MEETING SCHEDULE AND ACTIVITIES

Times for board meetings are subject to modifications within the June 6-8, 2012 timeframe.

**Wednesday, June 6, 2012 – 107 Lee Gorsuch Commons UAA Campus, Anchorage**

3:00 p.m. – 5:00 p.m. The Full Board will meet with the Alaska State Board of Education in Room 107 Lee Gorsuch Commons to discuss education.

**Thursday, June 7, 2012 – 107 Lee Gorsuch Commons UAA Campus, Anchorage**

9:00 a.m. The Full Board will meet in Room 107 Lee Gorsuch Commons in executive session.

10:00 a.m. The Full Board will hear Public Testimony in Room 107. The board chair will announce when public testimony is closed.

11:00 a.m. The Full Board will hear the Governance Reports and President’s Report which will include the Make Students Count presentations.

11:30 a.m. The Full Board will meet in Room 107 to consider the FY13 budgets. Lunch will be served to regents and participating staff.

3:00 p.m. Academic and Student Affairs Committee will meet in Room 107.

3:00 p.m. Facilities and Land Management Committee will meet in Room 106.

5:30 p.m. – 7:00 p.m. Board members and staff will tour the UAA Health Sciences Building and have light refreshments following the tour in the building's atrium.
Friday, June 8, 2012 – 107 Lee Gorsuch Commons UAA Campus, Anchorage

8:00 a.m. Audit Committee will meet in Room 107.

9:00 a.m. The Full Board will hear Public Testimony in Room 107. The board chair will announce when public testimony is closed.

10:00 a.m. The Full Board will meet in Room 107 to continue with its agenda of reports and action items.

11:30 noon The Full Board will hear a presentation from UAA regarding entrepreneurship and commercialized research. Lunch will be provided for regents and participating staff.

12:30 p.m. The Full Board will continue its meeting in Room 107.

3:30 p.m. Adjourn

To contact members of the Board of Regents or participating staff during the meeting, please call (907) 450-8000 or email sybor@alaska.edu.
P01.01.010. University of Alaska Mission Statement.
The University of Alaska inspires learning, and advances and disseminates knowledge through teaching, research, and public service, emphasizing the North and its diverse peoples. (10-06-00)

P01.01.020. University of Alaska Anchorage Mission Statement.
The mission of the University of Alaska Anchorage is to discover and disseminate knowledge through teaching, research, engagement, and creative expression.

Located in Anchorage and on community campuses in Southcentral Alaska, UAA is committed to serving the higher education needs of the state, its communities, and its diverse peoples.

The University of Alaska Anchorage is an open access university with academic programs leading to occupational endorsements; undergraduate and graduate certificates; and associate, baccalaureate, and graduate degrees in a rich, diverse, and inclusive environment. (09-18-07)

P01.01.030. University of Alaska Fairbanks Mission Statement.
The University of Alaska Fairbanks, the nation’s northernmost Land, Sea and Space Grant university and international research center, advances and disseminates knowledge through teaching, research and public service with an emphasis on Alaska, the circumpolar North and their diverse peoples. UAF – America’s Arctic University – promotes academic excellence, student success and lifelong learning. (06-08-06)

P01.01.040. University of Alaska Southeast Mission Statement.
The mission of the University of Alaska Southeast is student learning enhanced by faculty scholarship, undergraduate research and creative activities, community engagement, and the cultures and environment of Southeast Alaska. (06-03-11)

P01.01.050. Prince William Sound Community College Mission Statement.
Prince William Sound Community College applies innovative and sustainable practices in providing accessibility, student success, effective teaching and learning, and community engagement. (09-23-11)
UNIVERSITY OF ALASKA SYSTEM

Patrick Gamble
President

Donald Smith
Executive Director
Labor & Employee Relations

Tom Case
UAA Chancellor

Nancy Spink
Chief Risk Officer

John Pugh
UAS Chancellor

Brandi Berg
Executive Officer
Board of Regents

Dianne Milke
Executive Assistant
to the President

Brian Rogers
UAF Chancellor

Michael Hostina
General Counsel

Ardith Lynch
Assoc General Counsel

Larry Zervos
Assoc General Counsel

Michael O'Brien
Assoc General Counsel

Matt Cooper
Assoc General Counsel

Donald Smith
Interim Chief HR Officer

Erika Van Flein
Director
Benefits

Ashok Roy
VP Finance & Admin
Chief Financial Officer

Michelle Ritz
Assoc VP
Budget

Tara Ferguson
Director
Classification/Compensation

Kit Duke
Assoc VP
Facilities & Land Mgmt

Anne Sakumoto
Director, Faculty/Staff
Training & Development

Nikki Pittman
Director
Internal Audit

Myron Dosch
Controller

Raye Anne Robinson
Assoc VP, Financial
Sys, Devl, Operations

Russell O'Hare
Chief Records Officer

Jim Lynch
Assoc VP
Finance

Karl Kowalski
Chief Info Tech Officer

Martha Mason
Acting Executive Director
User Services

Jim Durkee
Executive Director
Technology Oversight Svcs

Rory O'Neill
Executive Director
Application Services

David DeWolfe
Acting Executive Director
Infrastructure Tech Svcs

Carla Beam
VP Univ Relations
Pres, UA Foundation

Kate Wattum
Interim Director
Public Affairs

Chris Christensen
Assoc VP
State Relations

University of Alaska
Foundation Staff

Dana Thomas
Interim VP Academic Affairs

Paula Donson
Assoc VP
Academic Affairs

Saichi Oba
Assoc VP
Student & Enrollment Svcs

Gwen Gruenig
Assoc VP
Instl Research & Analysis

Fred Villa
Assoc VP
Workforce Programs

VACANT
Diror
K-12 Outreach Operations

VACANT
Executive Officer
System Governance

Effective June 2012
Agenda
Board of Regents
Meeting of the Full Board
June 7-8, 2012
Room 107 Lee Gorsuch Commons
University of Alaska Anchorage
Anchorage, Alaska

Times for meetings are subject to modifications within the June 7-8, 2012 timeframe.

Thursday, June 7, 2012

I. Call to Order [Scheduled for 9:00 a.m.]

II. Adoption of Agenda

MOTION
"The Board of Regents adopts the agenda as presented.

I. Call to Order
II. Adoption of Agenda
III. Approval of Minutes
IV. Executive Session
V. Public Testimony
VI. President’s Report
VII. Governance Report
VIII. Acceptance of FY13 Operating Budget Appropriation and Approval of the Distribution Plan
IX. Acceptance of FY13 Capital Budget Appropriation and Approval of the Distribution Plan
X. Approval of FY14 Operating Budget Guidelines
XI. Approval of FY14 Capital Budget Guidelines
XII. Approval of FY13 Student Government Budgets
XIII. Approval of FY13 Natural Resources Fund Spending Plan
XIV. Approval of Revisions to the Consolidated Endowment Fund Policy
XV. Approval of Revisions to Regents’ Policy 05.12.043.E Capital Project Development: Schematic Design Approval
XVI. Approval of Revisions to Regents’ Policy 05.12.047 Capital Project Development: Approval Levels for Changes in Funding Sources, Total Project Cost, or Scope Subsequent to Schematic Design Approval
XVII. Approval of Revisions to Board of Regents’ Bylaws
XVIII. Human Resources Report
XIX. Planning and Development Issues
   A. UA Foundation Report
   B. Development Report
XX. Presentation from the University of Alaska Anchorage
XXI. Presentation on System Facilities Data
XXII. Presentation on UA Fisheries, Seafood and Maritime Initiative
XXIII. Approval of Amendment to the University’s Optional Retirement Plan
XXIV. Approval of Revision to Industrial Security Resolution
XXV. Approval of University of Alaska Anchorage Core Themes
XXVI. Approval of Regents’ Policy 01.01.030 – University of Alaska Fairbanks Mission Statement and University of Alaska Fairbanks Core Themes
XXVII. Approval of Naming of Ridge on the University of Alaska Fairbanks Campus – Troth Yeddha’
XXVIII. University of Alaska Anchorage Commercialization Project Update
XXIX. University of Alaska Fairbanks Research Foundation Update
XXX. Consent Agenda
A. Facilities and Land Management Committee
   1. Formal Project Approval for the University of Alaska Anchorage MAC Housing Renewal
   2. Schematic Design Approval for the University of Alaska Fairbanks Critical Electrical Distribution Renewal Phase 2
   3. Approval of University of Alaska Anchorage Campus Master Plan Amendment for the Engineering Parking Garage
   4. Schematic Design Approval for University of Alaska Anchorage Engineering and Industry Building Project
   5. Schematic Design Approval for the University of Alaska Fairbanks Engineering Building Project
   6. Schematic Design Approval for the University of Alaska Anchorage Matanuska-Susitna Valley Center for Arts and Learning

XXXI. Old Business Items
XXXII. New Business and Committee Reports
A. Academic and Student Affairs Committee
B. Audit Committee
C. Facilities and Land Management Committee

XXXIII. Alaska Commission on Postsecondary Education Report
XXXIV. Future Agenda Items
XXXV. Board of Regents' Comments
XXXVI. Adjourn

This motion is effective June 7, 2012."

III. Approval of Minutes

MOTION
"The Board of Regents approves the minutes of its regular meeting of April 12-13, 2012 as presented. This motion is effective June 7, 2012."
IV. Executive Session

MOTION
"The Board of Regents goes into executive session at _______ Alaska Time in accordance with the provisions of AS 44.62.310 to discuss matters the immediate knowledge of which would have an adverse effect on the finances of the university related to real estate and labor, and matters that could affect the character or reputation of a person or persons related to presidential assessment, and legal matters. The session will include members of the Board of Regents, President Gamble, General Counsel Hostina, and such other university staff members as the president may designate and will last approximately ____________ hours. This motion is effective June 7, 2012.”

(To be announced at conclusion of executive session)

The Board of Regents concluded an executive session at _____ Alaska Time in accordance with AS 44.62.310 discussing matters the immediate knowledge of which would have an adverse effect on the finances of the university, and matters that could affect the reputation or character of a person or persons, and legal matters. The session included members of the Board of Regents, President Gamble, General Counsel Hostina, and other university staff members designated by the president and lasted approximately ______ hour(s).

V. Public Testimony [Scheduled for 10:00 a.m.]

Public testimony will be heard at approximately 10:00 a.m. on Thursday, June 7, 2012. Comments are limited to three minutes per individual. Written comments are accepted and will be distributed to the Board of Regents and President Gamble by the Board of Regents’ Officer following the meeting. The chair will determine when public testimony is closed.

VI. President's Report [Scheduled for 11:00 a.m.]

President Gamble will present the “Make Students Count” awards and report on items of interest.

VII. Governance Report [Scheduled for 11:15 a.m.]

Representatives from the Staff Alliance, Faculty Alliance, Coalition of Student Leaders and System Governance Council will report on issues of importance to the faculty, staff and students at the University of Alaska. Representatives are:

Juella Sparks, Staff Alliance Chair
Daniel Monteith, Faculty Alliance Chair
Nicholas Pennington, Coalition of Student Leaders Speaker
Joe Hayes, System Governance Council Chair
VIII. Acceptance of FY13 Operating Budget Appropriation and Approval of the Distribution Plan

The President recommends that:

MOTION #1
“The Board of Regents accepts the FY13 Operating Budget Appropriation as presented. This motion is effective June 7, 2012.”

MOTION #2
“The Board of Regents approves the FY13 Operating Budget Distribution Plan as presented. This motion is effective June 7, 2012.”

POLICY CITATION
Regents' Policy 05.01.04 – Acceptance of State Appropriations states, "The board must accept state appropriations to the university before any expenditure may be made against the appropriation."

RATIONALE/RECOMMENDATION
President Gamble and Associate Vice President Rizk will discuss the legislative appropriations and propose an operating budget distribution plan for board approval. Governor Parnell signed the state’s operating, and mental health budget bills into law without any vetoes of University of Alaska programs or projects. Below is a system budget summary and distribution plan considerations. The operating and capital distribution reference documents are titled “Proposed FY13 Operating and Capital Budget Distribution Plans.”

UA’s final operating budget state appropriation increased by $12.2M (3.5%). State appropriations, including general funds, technical vocational education program funds (TVEP), and mental health trust general funds, total $363.7M, up from $351.5M in FY12. This amount includes an additional $406.5K in TVEP funding. UA’s total budget for FY13 is $925.8M compared to $887.4M in FY12, an increase of 4.3%.

Approximately 96% of UA’s fixed cost increases were covered ($6.7M of $6.9M, excluding utilities). No base funding was included in the budget for utility cost increases; however, the budget includes one-time utility funding to state agencies to offset increased fuel and utility costs. The university expects to continue to receive additional one-time funding to cover utility cost increases through the “fuel trigger” (chart on page 20 of the reference document).

Of the $12.2M increase, $4.4M is directed to the board’s priority program requests for: honors programs and initiatives to improve graduation rates ($1.5M); high demand jobs in engineering ($400K), health ($940K), teacher education ($250K), and workforce development ($749K); and Alaska research ($550K). An additional $.7M was added by
the legislature for other priority programs. Below are the highlights of the program investments. A complete list of programs receiving funding and program descriptions begin on page 9 of the reference document.

Initiatives to Improve Graduation Rates: These requests support UA’s responsibility during students “3 critical years.” They include supporting UA’s part in the joint effort for ensuring college readiness and student success during their three key decision and high attrition years (last year of high school and year 1 and year 2 of college). Specific focus is placed on improving retention, timely completion, removing student obstacles, establishing much better performance facts, and creating a common database for student decision making.

Response to State High-Demand Jobs: Funding to accommodate the growing demand for trained professionals in the areas of engineering, health/biomedical, teacher education, and other high demand workforce development fields continues to be a top priority for UA. The state’s support in these important program areas will help UA keep pace with the state’s need.

Alaska Research: These requests support instructional support and research guidance for graduate program students; graduate education and training focused on interdisciplinary studies in northern sustainability, resilience, and adaptation to change; and non-state funding for on-shore support staff for the oceanographic research ship Sikuliaq.

As in the past, the legislature has included intent language regarding future UA budget requests. It is the intent of the legislature that UA requests for unrestricted general fund increments do not exceed the amount of additional university receipts requested for that year and that unrestricted general funds move toward a long-term goal of 125 percent of actual university receipts for the most recently closed fiscal year. The state funded portion of UA’s budget had been increasing as a percentage of the total budget over the last several years, and the intent language is meant to reinforce the need for reversing that trend.

IX. **Acceptance of FY13 Capital Budget Appropriation and Approval of the Distribution Plan**

The President recommends that:

**MOTION #1**
“The Board of Regents accepts the FY13 Capital Budget Appropriation as presented. This motion is effective June 7, 2012.”
MOTION #2
“The Board of Regents approves the FY13 Capital Budget Distribution Plan as presented. This motion is effective June 7, 2012.”

POLICY CITATION
Regents' Policy 05.01.04 – Acceptance of State Appropriations states, "The board must accept state appropriations to the university before any expenditure may be made against the appropriation."

RATIONAL/RECOMMENDATION
Associate Vice President Rizk and Chief Facilities Officer Duke will present a summary of the FY13 capital budget appropriation and discuss capital funding distribution implications.

The university’s capital budget request totaled $246.1M with $202.2M requested from state funding and $43.9M in receipt authority. UA received state funding of $154.9M and $18.0M in receipt authority. A comparison of the UA capital budget request and the final legislation can be found on page 23 of the reference document.

The amount of $37.5M in state funds fully supports the request by the Board of Regents for the number one priority of maintaining existing facilities. Funding will be used to address the current critical needs of each project.

New Construction (New Starts) and New Construction Planning funding requests were not included in the FY13 budget request; however, the final legislation includes additional state funding for the UAA Engineering Building ($58.6M), the UAF Engineering Building ($46.3M), and the UAS Banfield Hall Dormitory Project ($4M). These projects all received prior state funding: UAA and UAF Engineering Buildings ($4M each) and UAS dormitory project ($2M).

Two Research for Alaska projects had funding appropriated to further study the areas of Ocean Acidification ($2.7M in state funds and $750.0K in receipt authority), and Research and Development of Unmanned Aerial Systems ($5.0M in state funds). Assessing the Impacts of Ocean Acidification on Alaska’s Fisheries was included in the Board of Regents’ request and the Research and Development of Unmanned Aerial Systems was added by the legislature.

Other projects also funded with state funds include: Juneau Campus Mining Workforce Development for $190.0K, UAA Kachemak Bay Campus - Pioneer Avenue Building Addition for $50.0K, and $100.0K for UAF Research Survival Georgeson Botanical Garden.

The board is asked to accept the capital appropriation and approve the distribution as presented. The Board of Regents’ number one priority, “Deferred Maintenance (DM) and Renewal and Repurposing (R&R)” distribution amounts are based on a formulaic
approach using the adjusted value of the facility multiplied by the weighted average age of the facility (distribution model is on page 40 of the reference document).

The project budget is derived from the MAU’s estimated funding distribution to address the most critical portions of the priority DM and R&R projects. The priority DM and R&R project descriptions begin on page 27 of the reference document. As the exact project scope and costs are known, project approval will be obtained from the appropriate authority in accordance with the Board of Regents’ Policy. If a subsequent transfer of funding between projects or to a new project is requested, the chief finance officer shall determine the level of approval required, based on the size and nature of the transfer.

X. Approval of FY14 Operating Budget Guidelines

The President recommends that:

MOTION
"The Board of Regents approves the FY14 Operating Budget Development Guidelines as presented. This motion is effective June 7, 2012."

POLICY CITATION
Regents' Policy 05.01.01.A. – Budget Policy states, "The budget of the university represents an annual operating plan stated in fiscal terms. All budgetary requests shall be adopted by the board prior to submittal to the Office of the Governor or the legislature."

RATIONALE/RECOMMENDATION
President Gamble and Associate Vice President Rizk will present the FY14 Operating Budget Development Guidelines recommendation (Reference 1). The operating guidelines serve as a tool for administration to prioritize budget requests and maintain alignment with the Board of Regents’ goals and expected administrative efficiencies.

For FY14, it is expected that Governor Parnell will continue his strategy to “hold-the-line” on budget requests for all state agencies, including the university. The legislature has also signaled intentions to slow the growth of all state operating expenditures. With the state’s emphasis on reducing growth, UA’s Strategic Direction Initiative (SDI) which is currently underway, and the program funding received in FY13, the request level for new programs is expected to be limited in FY14.

This presentation of the FY14 budget guidelines is the first step in a process that will end in early November with the Board of Regents’ approval of the operating budget.
XI. Approval of FY14 Capital Budget Guidelines

The President recommends that:

**MOTION**

"The Board of Regents approves the FY14 Capital Budget Development Guidelines as presented. This motion is effective June 7, 2012."

**POLICY CITATION**

Regents' Policy 05.01.01.A – Budget Policy states, "The budget of the University of Alaska represents an annual operating plan stated in fiscal terms. All budgetary requests shall be adopted by the board prior to submittal to the Office of the Governor or the legislature."

**RATIONALE AND RECOMMENDATION**

Associate Vice President Michelle Rizk and Chief Facilities Officer Kit Duke will discuss current capital budget activities, and the capital budget guidelines recommendation. The proposed guidelines are included as Reference 2.

Guidance from Governor Parnell for the FY14 Capital Budget is expected to place emphasis once again on deferred maintenance. With this in mind, the FY14 capital budget requests will incorporate much of the analysis and planning work accomplished during the FY13 budget development process, as well as review and reconsider elements not incorporated in the project list for the last two budget years.

UA’s long range capital improvement plan will be consistent with the 10-year fiscal plan submitted to the State of Alaska. The plan provides the Board of Regents, President Gamble, executive staff, and the university community a clear picture of the desired capital projects and the annual operating costs associated with those projects. The long range capital improvement plan aims to balance program needs across UA campuses with realistic expectations.

This presentation of the FY14 budget guidelines is the first step in a process that will end in early November with the Board of Regents’ approval of the capital budget.

XII. Approval of FY13 Student Government Budgets

The President recommends that:

**MOTION**

"The Board of Regents approves the student government fees and budgets as presented, and authorizes the vice president of finance and administration/chief finance officer to review, modify, and approve fees and budgets and approve requests for increased expenditure authority for all student government organizations as deliberated by student governance and determined by the vice
president of finance and administration/chief finance officer to be appropriate. This motion is effective June 7, 2012."

POLICY CITATION
Regents’ Policy 09.07.050 requires student government organizations to submit annual budgets, including the amount of any mandatory student government fees, to the Board of Regents for approval.

RATIONALE/RECOMMENDATION
The new UAA Green Fee goes into effect Spring 2013 with a $3/student flat fee for those enrolled in 3+ credits. The fee will promote sustainability efforts on the UAA campus.

The Kenai Peninsula College fee will increase from $3.75/credit to $4.25/credit for part-time students or $51 per semester for full-time students.

All other student government activity fees are the same as last year.

XIII. Approval of FY13 Natural Resources Fund Spending Plan

The President recommends that:

MOTION
“The Board of Regents approves the FY13 Natural Resources Fund Budget as presented. This motion is effective June 7, 2012."

POLICY CITATION
Regents’ Policy 05.07.010 – Land-Grant Endowment provides that the university president will present an annual budget to the board for approval.

RECOMMENDATION

<table>
<thead>
<tr>
<th>Natural Resources Fund</th>
<th>Proposed FY2013 Budget/Spending Plan</th>
</tr>
</thead>
<tbody>
<tr>
<td>Approved FY12</td>
<td>Proposed FY13</td>
</tr>
<tr>
<td>University of Alaska Press</td>
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<tr>
<td>System-based scholarships</td>
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<tr>
<td>Cooperative Extension support</td>
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<tr>
<td>Land management costs</td>
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<tr>
<td>University of Alaska Scholars program</td>
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</tr>
</tbody>
</table>

The proposed FY13 budget or expenditure plan for the Land-Grant Endowment spending allowance distribution provides for the funding of ongoing commitments to the UA Press.
of $125,000 and system-based scholarships of $160,000. In addition, the expenditure plan includes a continued commitment to fund $400,000 of incremental support for the Cooperative Extension program. The remainder of the distributions will be used to fund the land management office costs of $1,050,000 and the UA Scholars program at $3,761,545.

RATIONALE
The Natural Resources Fund was established to facilitate the distribution of the annual spending allowance from the university’s Land-Grant Endowment Funds. The spending allowance is based on 4.5% of a 5-year moving average of the December 31st endowment fund value as shown in Reference 4. The proposed fiscal year 2013 spending allowance decreased $174,177 over the prior year as a result of the relatively high December 31, 2006 endowment value dropping out of the 5-year average calculation. A similar decrease is estimated for fiscal year 2014. These declines represent a trailing effect of the significant endowment market losses suffered in fiscal year 2009 as a result of the global financial crisis.

The spending allowance is first applied to cover costs of the land management department. In recent years, the remainder of the allowance has been nearly fully dedicated to funding the UA Scholars program, which is the university’s single largest enrollment management effort. Unexpended amounts from the provision to land management and the UA Scholars program are held in the Natural Resources Fund as a reserve for the scholars’ obligation in the out years. System-based scholarships represent awards to students from various groups and organizations, such as pageants and foster youth. The decline from the prior year represents the trailing off of several large awards and the effect of restructuring the awards to be the same per semester amount as the UA Scholars program.

XIV. Approval of Revisions to the Consolidated Endowment Fund Policy References 5, 6, 7

The President recommends that:

MOTION
“The Board of Regents approves the amendments to the Consolidated Endowment Fund Investment Policy as presented. This motion is effective June 7, 2012.”

RATIONALE AND RECOMMENDATION
The UA Foundation Investment Committee manages the Consolidated Endowment Fund (CEF) in accordance with the CEF Investment Policy, which is approved by the Board of Trustees and the Board of Regents. The UA Foundation Investment Committee met on May 3, 2012 to set the target rate of return and asset allocation for the coming year and address other related issues.

In setting the target rate of return and asset allocation, the UA Foundation Investment Committee concluded that it is probably not prudent to continue increasing the risk in the
portfolio in order to meet its current distribution requirements and fully fund intergenerational equity (the reserve for inflation-proofing the portfolio) at the estimated CPI inflation rate. However, the CEF Investment Policy contemplates fully funding intergenerational equity at the CPI inflation rate in addition to the distribution requirements. The policy also includes statements indicating that planned risk levels should be less than that of an 80% equity portfolio and maintaining the real value of the assets is of “paramount” concern. At the time this policy was drafted, these statements were not particularly problematic, but the volatility of the markets in recent years has brought this issue to the forefront. Setting a target rate of return and corresponding asset allocation at a level sufficient to fund the current distributions and full inflation-proofing would exceed the risk level intended by the policy and, in the opinion of the UA Foundation Investment Committee, probably not prudent.

Reference 6 reflects the increase in risk over time that has been required to maintain a portfolio designed to produce an 8% return. The volatility level has increased almost four fold since 1991 from a standard deviation of approximately 3% in 1991 to 12% in 2010. This trend can also be seen in Reference 7, the CEF Portfolio’s projected returns. The UA Foundation Investment Committee expects the projected return to be approximately 47 basis points short of the amount needed to fully fund intergenerational equity. Reference 5 is Section IV of the Consolidated Endowment Fund Investment Policy reflecting the proposed amendments to this policy, which are necessary to avoid technical non-compliance.

On May 3, 2012, the UA Foundation Investment Committee passed a motion recommending that the Board of Regents and the Board of Trustees approve the proposed amendments as presented in Reference 5.

XV. Approval of Revisions to Regents’ Policy 05.12.043.E Capital Project Development: Schematic Design Approval

The President recommends that:

**MOTION**

“The Board of Regents approves revisions to Regents’ Policy 05.12.043.E Capital Project Development: Schematic Design Approval as presented. This motion is effective June 7, 2012.”

A discussion during the April 2012 Facilities and Land Management Committee meeting regarding approval by the full board for new construction projects at the schematic design phase resulted in a request for university administration to consider making revisions to Regents’ Policy 05.12.043.E. The revisions are noted in Reference 8.
XVI. **Approval of Revisions to Regents’ Policy 05.12.047 Capital Project Development: Approval Levels for Changes in Funding Sources, Total Project Cost, or Scope Subsequent to Schematic Design Approval**

The President recommends that:

**MOTION**
“The Board of Regents approves revisions to Regents’ Policy 05.12.047 Capital Project Development: Approval Levels for Changes in Funding Sources, Total Project Cost, or Scope Subsequent to Schematic Design Approval as presented. This motion is effective June 7, 2012.”

A discussion during the April 2012 Facilities and Land Management Committee meeting regarding prioritization of spending for any savings that become available to a project resulted in a request for university administration to consider making revisions to Regents’ Policy 05.12.047. The revisions are noted in Reference 9. It is the intent of the administration to require an information report identifying any realized decrease in construction and/or total project cost be provided to the FLMC within 90 days of substantial completion, and apply change approval request thresholds to savings.

XVII. **Approval of Revisions to Board of Regents’ Bylaws**

The President recommends that:

**MOTION**
“The Board of Regents approves revisions to the Board of Regents’ Bylaws as presented. This motion is effective June 7, 2012.”

Bylaw 19 of the Board of Regents’ Bylaws requires every five years the university administration report to the board on the status of the bylaws, making such recommendations as to revisions, additions and/or deletions as appear appropriate. A first reading of the revisions occurred at the April 2012 meeting. The recommendations from university administration are included in Reference 10.

_Friday, June 8, 2012_

V. **Public Testimony (continued)**

Public testimony will be heard at approximately 9:00 a.m. on Friday, June 8, 2012. Comments are limited to three minutes per individual. Written comments are accepted and will be distributed to the Board of Regents and President Gamble by the Board of Regents’ Officer following the meeting. The chair will determine when public testimony is closed.
XVIII. **Human Resources Report**  

Donald Smith, Interim Chief Human Resources Officer, will update the board regarding human resources issues.

XIX. **Planning and Development Issues**  

A. **UA Foundation Report**

Vice President Carla Beam along with UA Foundation Board of Trustees Chair Jo Michalski will provide an update on UA Foundation activity.

B. **Development Report**  

Vice President Carla Beam will update the board on development activities at the University of Alaska.

XX. **Presentation from the University of Alaska Anchorage**  

Dr. Helena Wisniewski, Vice Provost for Research and Graduate Studies, and Dean of the Graduate School, will provide an overview of innovation at UAA and a presentation of several notable products recently developed by faculty that highlight entrepreneurship and commercialized research at UAA.

XXI. **Presentation on System Facilities Data**  

Associate Vice President Duke will introduce representatives from Sightlines, LLC who will present a report on system facilities data.

XXII. **Presentation on UA Fisheries, Seafood and Maritime Initiative**  

Associate Vice President Villa will introduce Captain Michael A. Neussl, Deputy Commissioner for Marine Operations, Alaska Dept. of Transportation & Public Facilities and Alaska Marine Highway System and Glenn Reed, President, Pacific Seafood Processors Association who will share opportunities available for partnership with industry in these economically critical areas for Alaska, particularly rural and coastal communities.

Initiative activities are available at [www.alaska.edu/fsmi](http://www.alaska.edu/fsmi).
XXIII. **Approval of Amendment to the University’s Optional Retirement Plan**  

The President recommends that:

**MOTION**  
“The Board of Regents approves the amendment to Section 12.5 of University’s Optional Retirement Plan as presented. This motion is effective June 8, 2012.”

**POLICY CITATION**

Regents’ Policy 04.07.090 provides that the Public Employees Retirement System, the Teachers’ Retirement System or any applicable Optional Retirement Plan govern retirement benefits at the University. The January 1, 2009, University of Alaska Retirement Program establishes the terms and conditions of the University’s Optional Retirement Plan.

According to Section 9.1 of the program, amendments to the optional retirement plan must be referred to the University’s Retirement Committee for review and comment prior to sending the amendment to the president or the Board of Regents for approval. The University’s Retirement Committee reviewed this amendment on May 11, 2012.

Section 9.1 also provides that while the president may amend the optional retirement plan, the “board reserves to itself the authority to approve any amendment consisting of a change of contribution rates . . .” Because the proposed amendment modifies the employer contribution rate for Tier 1 members of the optional retirement plan, only the board has the authority to approve this amendment.

**RATIONALE AND RECOMMENDATION**

1) By deleting Section 12.5 (b) and replacing it with a new Section 12.5 (b) that uncouples the Tier 1 Optional Retirement Plan employer contribution rate from the Teachers’ Retirement System employer contribution rate and sets a new employer contribution rate at 14%;

2) By eliminating Sections 12.5 (c) and (d) because they are now superfluous;

3) By re-lettering the remaining subsections of Section 12.5 to account for eliminating subsections (c) and (d) and;

4) By modifying what was Section 12.5 (h) to eliminate reference to Section 12.5 (c). (Reference 13 includes redline revisions.)

The language for the new Section12.5 (b) is:

**Section 12.5 Employer Contributions to the Code Section 401(a) Portion of the ORP**

(b) The Employer plan contribution rate shall be 14%. The ORP I benefits described in this paragraph (b) shall be referred to as the “Tier 1” Employer plan contribution rate.
As part of the settlement in the ORP Tier 1 class action lawsuit, the parties agreed, among other things, to uncouple the ORP Tier 1 employer’s contribution rate from the Teachers’ Retirement System and to change the employer rate to a fixed 14% commencing on July 1, 2012. ORP Tier 1 participants agreed to this change and agreed that it would not violate any of their legal protections.

The Board of Regents and the judge presiding over the case have already approved the parties’ settlement agreement, and this proposed amendment effectuates one portion of that settlement agreement.

**XXIV. Approval of Revision to Industrial Security Resolution**

The President recommends that:

**MOTION**

"The Board of Regents approves the Industrial Security Resolution as revised to reflect changes in university administration, and authorizes the Chair and Secretary of the Board of Regents to sign the resolution. This motion is effective June 8, 2012."

**RATIONALE/RECOMMENDATION**

The president and selected members of the university administration are routinely designated by the Board of Regents to handle any duties and responsibilities relating to classified information in connection with contracts with the Department of Defense and other federal agencies. These individuals are given an extensive security screening and are the only members of the administration, including the Board of Regents, to have access to classified information.

The university has received similar security clearances since the mid-1950s. Execution of the resolution allows regents and other members of the administration to be exempted from security clearance procedures.

**XXV. Approval of University of Alaska Anchorage Core Themes**

The President recommends that:

**MOTION**

“The Board of Regents approves revisions to University of Alaska Anchorage Core Themes as presented. This motion is effective June 8, 2012.”

**RATIONALE/RECOMMENDATION**

In 2009, the UAA Chancellor’s Cabinet approved five core themes intended to manifest essential elements of UAA’s mission for accreditation purposes. The core themes align with existing UAA 2017 Strategic Plan priorities, allowing the university to connect ongoing planning and management activities with accreditation requirements. The Board of Regents reviewed UAA’s strategic plan priorities, which became the core themes,
when the board officially approved UAA’s mission statement at the September 2007 meeting. The Board of Regents was not asked to approve the core themes at that time, but was briefed on UAA’s mission and core themes during periodic accreditation updates.

Since the adoption of these themes, the Northwest Commission on Colleges and Universities has adopted the requirement that an institution’s core themes be formally approved by the governing board.

Below is a table that illustrates the alignment between the five core themes and the UAA 2017 Strategic Plan priorities.

<table>
<thead>
<tr>
<th>Accreditation Core Theme</th>
<th>UAA 2017 Strategic Plan Priority</th>
</tr>
</thead>
<tbody>
<tr>
<td>Teaching and Learning</td>
<td>Strengthen and develop the total UAA instructional program</td>
</tr>
<tr>
<td>Research, Scholarship, and Creative Activity</td>
<td>Reinforce and rapidly expand our research mission</td>
</tr>
<tr>
<td>Student Success</td>
<td>Expand educational opportunity and increase student success</td>
</tr>
<tr>
<td>UAA Community</td>
<td>Strengthen the UAA community</td>
</tr>
<tr>
<td>Public Square</td>
<td>Expand and enhance the public square</td>
</tr>
</tbody>
</table>

The mission of the University of Alaska Anchorage is to discover and disseminate knowledge through teaching, research, engagement, and creative expression. Located in Anchorage and on community campuses in Southcentral Alaska, UAA is committed to serving the higher education needs of the state, its communities, and its diverse peoples.

The University of Alaska Anchorage is an open access university with academic programs leading to occupational endorsements; undergraduate and graduate certificates; and associate, baccalaureate, and graduate degrees in a rich, diverse, and inclusive environment.

XXVI. Approval of Regents’ Policy 01.01.030 – University of Alaska Fairbanks Mission Statement and University of Alaska Fairbanks Core Themes

The President recommends that:

**MOTION**

“The Board of Regents approves revisions to Regents’ Policy 01.01.030 – University of Alaska Fairbanks Mission Statement, and University of Alaska Fairbanks Core Themes as presented. This motion is effective June 8, 2012.”

**RATIONALE/RECOMMENDATION**

The Northwest Commission on Colleges and Universities (NWCCU), UAF’s accrediting organization, requires that an institution’s mission statement and core themes be approved by its governing board. After extensive review and approval by the UAF Faculty Senate, UAF has recently revised its mission statement and core themes in preparation for a Year One report, due to the Commission in September 2012, and requests Board of Regents approval.
Current Mission Statement
The University of Alaska Fairbanks, the nation’s northernmost Land, Sea and Space Grant university and international research center, advances and disseminates knowledge through teaching, research and public service with an emphasis on Alaska, the circumpolar North and their diverse peoples. UAF – America’s Arctic University – promotes academic excellence, student success and lifelong learning. (06-08-06)

Proposed Mission Statement
The University of Alaska Fairbanks is a Land, Sea, and Space Grant university and an international center for research, education, and the arts, emphasizing the circumpolar North and its diverse peoples. UAF integrates teaching, research, and public service as it educates students for active citizenship and prepares them for lifelong learning and careers.

Proposed Core Themes
Educate: Undergraduate and Graduate Students and Lifelong Learners

Research: To Create and Disseminate New Knowledge, Insight, Technology, Artistic and Scholarly Works

Prepare: Alaska’s Career, Technical, and Professional Workforce

Connect: Alaska Native, Rural, and Urban Communities by Sharing Knowledge and Ways of Knowing

Engage: Alaskans through Outreach for Continuing Education and Community and Economic Development

XXVII. Approval of Naming of Ridge on the University of Alaska Fairbanks Campus – Troth Yeddha’

The President recommends that:

MOTION
“The Board of Regents approves the naming of the ridge that runs east/west and is the site of the University of Alaska Fairbanks and UA system-wide office building as Troth Yeddha’. This motion is effective June 8, 2012.”

POLICY CITATION
Regents’ Policy 05.12.080.A. states: “Official naming of all ‘significant’ buildings, building subcomponents such as wings, additions, auditoriums, and libraries, streets, parks, recreational areas, plazas and similar facilities or sites will be approved by the board.”

Regents’ Policy 05.12.080.D. states: “The president is authorized to determine which namings will be considered “significant” for purposes of approval by the board. In

Full Board Agenda: Page 17 of 22
making that determination, the president shall consider the type, location, usage, condition, and value of the facility or area to be named; the individual, event or other to be memorialized; and the compatibility of the name with the facility or other improvement.”

RATIONALE AND RECOMMENDATION
The ridge where the University of Alaska Fairbanks is located has no official place name. Throughout the UAF Master Plan document, the namelessness of UAF’s ridge is evident. The areas frequently referred to as “West Ridge”, “Lower Campus”, and “College Hill” do not have official status as geographic names in the Geographic Names Information System (GNIS), the official record of US place names.

This proposal recommends the official name of the ridge to be “Troth Yeddha’” and that, pending Board of Regents’ approval, the name be submitted to the Alaska Historical Commission as the official name of the ridge.

Background:
The land now occupied by the University of Alaska Fairbanks campus was called Troth Yeddha’ (sometimes spelled Troth Yedda’ or Troth Yeddh) by the Tanana Athabascans. Tanana Athabascan is the indigenous language of the Middle Tanana Valley, spoken from Salcha (Sol Chaget) to Chena Village (Ch’eno’) to Nenana (Nina No’) to Minto (Menhti).

The word troth refers to the plant known in English as "Indian potato", "wild potato", or "wild carrot". The word yeddha’ means "its ridge, its hill." Linguistically, the name Troth Yeddha’ can be translated into English as "Wild Potato Ridge." The apostrophe at the end of the word yeddha’ is a meaningful symbol that represents a glottal stop in the Tanana language.

Recognition of the place name Troth Yeddha’ reinforces several core themes of UAF and the University of Alaska system and recognizes the connection between the ancient Athabascan place name and the mission of the University of Alaska.

On February 7, 2008, the Board of Regents officially named a tract of land located between the Reichardt Building and the University of Alaska Museum of the North, Troth Yeddha’ Park. The proposed action would enhance the significance of the previous naming and enshrine the name with official status.

Reference materials include the following:

- Proposal to Alaska Historical Commission to Name a Geographic Feature in Alaska
- Map of proposed area
- Troth Yeddha’ Park Approval Memo and References (February 7, 2008 action)
- Letters of support
- Resolutions of support from Doyon, Ltd and Tanana Chiefs Conference
XXVIII. University of Alaska Anchorage Commercialization Project Update

Chancellor Case will provide an update on the commercialization project at UAA.

XXIX. University of Alaska Fairbanks Research Foundation Update

The intention of this presentation is to advise the board that UAF is considering the formation of a research foundation for the commercialization of intellectual property.

While many universities encourage intellectual property development as a mechanism for benefitting society, it must be done in a way that is consistent with the University's mission, public responsibilities, and the law. Publicly funded universities have a responsibility as a steward of public funds to ensure that activities related to technology transfer mitigate risk, litigation, and institutional conflict of interest that might adversely affect the university.

UAF’s review of university commercialization efforts indicates that other universities have managed these issues successfully through a foundation. Further, these universities have found that a foundation permits technology transfer to move at the speed of business.

A research foundation can also be a tool that eases the costs of technology development for small business, and permits alternative IP licensing strategies at the university. The development of intellectual property by small business is risky, and it is common for a new company to offer shares in itself in lieu of paying an up-front fee. This manages the financial risk of investing in a new technology for the business, while compensating the University through equity in the company. State law in Alaska permits UA to hold interests in corporations while limiting its liability if properly structured. However, UAF believes it is not set up to directly hold equity or to function like a business. To address these issues, other universities have used research foundations to hold equity in IP startup companies. As a result, UAF is exploring the formation of a separate foundation to address these issues in a lean, economically sustainable manner.

UAF recently commissioned a study on the potential for a UAF research foundation by Dr. Keith Jones, the former head of the Washington State University research foundation. That study will be available at the board meeting.

Please note that Dr. Jones is not an attorney and is not familiar with Alaska law, including laws permitting UA to hold interests in corporations while limiting its liability. UAF is working with UA General Counsel to obtain a complete legal review of this approach.
XXX. Consent Agenda

MOTION
“The Board of Regents approves the consent agenda as presented. This motion is effective June 8, 2012.”

A. Facilities and Land Management Committee

1. Formal Project Approval for the University of Alaska Anchorage MAC Housing Renewal

MOTION
“The Board of Regents approves the Formal Project Approval for the University of Alaska Anchorage MAC Housing Renewal as presented in compliance with the campus master plan, and authorizes the university administration to proceed through Schematic Design not to exceed a total project cost of $12,132,000. This motion is effective June 8, 2012.”

2. Schematic Design Approval for the University of Alaska Fairbanks Critical Electrical Distribution Renewal Phase 2

MOTION
“The Board of Regents approves the Schematic Design Approval for the University of Alaska Fairbanks Critical Electrical Distribution Renewal Phase 2 as presented in compliance with the campus master plan, and authorizes the university administration to complete construction bid documents to bid and award a contract within the approved Total Project Cost budget of $26.25 million, and to proceed with project construction not to exceed a Total Project Cost of $14,325,000. This motion is effective June 8, 2012.”

3. Approval of the University of Alaska Anchorage Campus Master Plan Amendment for the Engineering Parking Garage

MOTION
“The Board of Regents approves the University of Alaska Anchorage Campus Master Plan Amendment for the Engineering Parking Garage as presented. This amendment will be incorporated in the existing 2004 Campus Master Plan. This motion is effective June 8, 2012.”
4. Schematic Design Approval for the University of Alaska Anchorage Engineering and Industry Building Project  

MOTION  
“The Board of Regents approves the Schematic Design Approval for the University of Alaska Anchorage Engineering and Industry Building Project as presented in compliance with the campus master plan, and authorizes the University administration to complete construction bid documents to bid and award a contract within the approved Total Project Cost budget of $123,200,000, and to proceed with project construction not to exceed a Total Project Cost $62.6 million. This motion is effective June 8, 2012.”

5. Schematic Design Approval for the University of Alaska Fairbanks Engineering Building Project  

MOTION  
“The Board of Regents approves the Schematic Design Approval for the University of Alaska Fairbanks Engineering Building Project as presented in compliance with the campus master plan, and authorizes the university administration to complete construction bid documents to bid and award a contract within the approved Total Project Cost budget of $108.6 million, and to proceed with project construction not to exceed a Total Project Cost of $50.3 million. This motion is effective June 8, 2012.”

6. Schematic Design Approval for the University of Alaska Anchorage Matanuska-Susitna Valley Center for Arts and Learning  

MOTION  
“The Board of Regents approves the Schematic Design Approval for the University of Alaska Anchorage Matanuska-Susitna Valley Center for Arts and Learning as presented in compliance with the campus master plan, and authorizes the University administration to complete construction bid documents to bid and award a contract within the approved budget, and to proceed to completion of project construction not to exceed a Total Project Cost of $20,000,000. This motion is effective June 8, 2012.”

XXXI. Old Business

XXXII. New Business and Committee Reports  
A. Academic and Student Affairs Committee  
B. Audit Committee  
C. Facilities and Land Management Committee
XXXIII. Alaska Commission on Postsecondary Education Report

A report will be given by members representing the Board of Regents on the Alaska Commission on Postsecondary Education.

XXXIV. Future Agenda Items

XXXV. Board of Regents' Comments

XXXVI. Adjourn
I. Call to Order

II. Adoption of Agenda

MOTION
"The Academic and Student Affairs Committee adopts the agenda as presented.

I. Call to Order
II. Adoption of Agenda
III. Ongoing Issues
   A. Presentation on Health Program Initiatives
   B. Report on Tuition & Student Related Issues
   C. Discussion regarding Ph.D. Leadership Cohort at UAF
   D. Discussion regarding establishing GER Standards
   E. Discussion regarding Program Review Guidelines
   F. Discussion regarding Metrics & Educational Quality
   G. Update on UAF’s Partnership with Colorado State University regarding the Veterinary Medicine Program

IV. New Business
V. Future Agenda Items
VI. Adjourn

This motion is effective June 7, 2012.

III. Ongoing Issues

A. Presentation on Health Program Initiatives

Vice Provost Harris will provide a presentation. Reference 16
B. **Report on Tuition & Student Related Issues**

Associate Vice President Oba will provide a report.

C. **Discussion regarding Ph.D. Leadership Cohort at UAF**

Provost Henrichs will discuss the Ph.D. Leadership Cohort at UAF with the committee.

D. **Discussion regarding establishing GER Standards**

Faculty Alliance President Dr. Monteith will discuss the processes the Faculty Alliance intends to use related to GERs and the transfer of credit issues with the committee.

E. **Discussion regarding Program Review Guidelines**

Interim Vice President Thomas and the provosts will continue the discussion on program review guidelines with the committee.

F. **Discussion regarding Metrics & Educational Quality**

Interim Vice President Thomas and the provosts will discuss educational quality measures with the committee.

G. **Update on UAF’s Partnership with Colorado State University regarding the Veterinary Medicine Program**

Provost Henrichs will provide an update on the partnership with Colorado State University regarding the veterinary medicine program.

IV. **New Business**

V. **Future Agenda Items**

VI. **Adjourn**
Agenda  
Board of Regents  
Facilities and Land Management Committee  
Thursday, June 7, 2012, *3:00 p.m. – 5:00 p.m.  
Room 106 Lee Gorsuch Commons  
University of Alaska Anchorage  
Anchorage, Alaska  
*Times for meetings are subject to modifications within the June 7-8, 2012 timeframe.

Committee Members:  
Carl Marrs, Committee Chair  
Kirk Wickersham, Committee Vice Chair  
Dale Anderson  
Timothy Brady  
Mary K. Hughes  
Patricia Jacobson, Chair

I. Call to Order

II. Adoption of Agenda

MOTION  
"The Facilities and Land Management Committee adopts the agenda as presented.

I. Call to Order

II. Adoption of Agenda

III. Full Board Consent Agenda

A. Formal Project Approval for the University of Alaska Anchorage MAC Housing Renewal
B. Schematic Design Approval for the University of Alaska Fairbanks Critical Electrical Distribution Renewal Phase 2
C. Approval of the University of Alaska Anchorage Campus Master Plan Amendment for the Engineering Parking Garage
D. Schematic Design Approval for the University of Alaska Anchorage Engineering and Industry Building Project
E. Schematic Design Approval for the University of Alaska Fairbanks Engineering Building Project
F. Schematic Design Approval for the University of Alaska Anchorage Matanuska-Susitna Valley Center for Arts and Learning

IV. New Business

A. Amended Formal Project Approval for the University of Alaska Fairbanks P3 Housing and Dining Development

V. Ongoing Issues

A. UAF College of Rural and Community Development and Community and Technical College Master Plans Second Reading
B. UAA Seawolf Sports Arena Status Report
C. UAF Life Sciences Facility Status Report
D. UAF Combined Heat and Power Plant Replacement Status Report
E. UAF Infrastructure Updates
F. Construction Manager at Risk Project Delivery Method
G. Deferred Maintenance Spending Report
H. Approvals by the Chair of the Facilities and Land Management Committee and the Chief Finance Officer

I. Construction in Progress

J. IT Report

VI. Future Agenda Items

VII. Adjourn

This motion is effective June 7, 2012.

III. Full Board Consent Agenda

A. Formal Project Approval for the University of Alaska Anchorage MAC Housing Renewal

The President recommends that:

MOTION

“The Facilities and Land Management Committee recommends that the Board of Regents approve the Formal Project Approval request for the University of Alaska Anchorage MAC Housing Renewal as presented in compliance with the campus master plan, and authorizes the university administration to proceed through Schematic Design not to exceed a total project cost of $12,132,000. This motion is effective June 7, 2012.”

POLICY CITATION

In accordance with Regents’ Policy 05.12.042, Formal Project Approval (FPA) represents approval of the project including the program justification and need, scope, the Total Project Cost (TPC), and funding plan for the project. It also represents authorization to complete the development of the project through the schematic design, targeting the approved scope and budget, unless otherwise designated by the approval authority.

An FPA is required for all projects with an estimated TPC in excess of $2.5 million in order for that project’s inclusion of construction funding to be included in the university’s capital budget request, unless otherwise approved by the board.

The level of approval required shall be based upon TPC as follows:

TPC > $4 million will require approval by the Board based on recommendations from the Facilities and Land Management Committee (F&LMC).

RATIONALE AND RECOMMENDATION

MAC Housing was built in 1985, consists of 6 buildings, and provides approximately 300 beds in an apartment style setting. The buildings are now over 25 years old and are ready for major renewal work. While the housing auxiliary
takes care of maintenance, repair, and minor renewal with auxiliary funds, major renewal projects are beyond the reach of the auxiliary operating budget and fund balance. This project is for major renewal work.

The replacement value for the 6 MAC buildings is $40.62M in 2011. Based on the investment of $12.13 million UAA needs for renovation, the building has a Facility Condition Index of 29.9%. This FCI is within acceptable bounds for making that investment.

**Project Scope**
Renewal of exterior materials including: roof, siding, and stairwells; interior fixtures and finishes and equipment including kitchen equipment, millwork, flooring, plumbing, and lighting; bathroom millwork, flooring plumbing, and lighting; upgrades to the electrical and IT services; and replacement building systems including boilers and supporting mechanical equipment; all of which have reached the end of their useful lives. The work will be accomplished in phases to minimize the number of apartments that are off-line at one time, while completing the project as quickly as possible.

Phase 1 will address life safety issues and the mechanical equipment for all 6 buildings. This work will consist of the stairwells, the roofs, and the boilers and supporting mechanical equipment. With these items taken care of, the following phases will consist primarily of interior work; this will enable the remaining work to be implemented throughout the year and mitigate issues across the complex.

**Variance Report**
The work to be implemented in Phase 1 has changed due to the project funding being spread over a number of fiscal years. Originally the MAC 1 building and the boiler system were to be Phase 1; however, addressing the areas of largest concern across all of the MAC buildings, before failure occurs, is a more effective approach to this project. The modified scope of Phase 1 work will cover the stairwells, the roofs, and the boiler system.

Additionally in Phase 1, UAA plans to mock-up the consultant proposed materials and fixtures in 4-6 apartments and allow the space to be occupied by students. This will test the proposed materials and fixtures prior to applying the specifications across all 80 apartments.

In the preliminary administrative approval, of September 29, 2011, the project was described to include Phase 1A, which consisted of fire panel upgrades and new sprinkler system in MAC 6. This work has been removed from the MAC Housing Renewal scope and is currently being performed under the approved project 07-0021-6.
Proposed Total Project Cost and Funding Source(s)

<table>
<thead>
<tr>
<th>Phase 1</th>
<th>(FY12 Series Q DM Bonds)</th>
<th>$3,177,000</th>
</tr>
</thead>
<tbody>
<tr>
<td>Phase 2</td>
<td>(FY12 DM &amp; R&amp;R Capital)</td>
<td>$600,000</td>
</tr>
<tr>
<td>Phase 3</td>
<td>(FY13 Capital Budget)</td>
<td>$655,000</td>
</tr>
<tr>
<td>Phase 4</td>
<td>(FY14 Capital Budget)</td>
<td>$3,000,000</td>
</tr>
<tr>
<td>Phase 5</td>
<td>(FY15 Capital Budget)</td>
<td>$3,000,000</td>
</tr>
<tr>
<td>Phase 6</td>
<td>(FY16 Capital Budget)</td>
<td>$1,700,000</td>
</tr>
<tr>
<td><strong>Total Project Cost</strong></td>
<td></td>
<td><strong>$12,132,000</strong></td>
</tr>
</tbody>
</table>

Estimated Annual Maintenance and Operating Costs (O&M)

This renewal work will provide a reduction in maintenance costs as well as operational costs.

Consultant(s)

- Bezek Durst Seiser, Architects
- MBA Engineering, Mechanical and Electrical
- Enterprise Engineering, Civil
- Reid Middleton, Structural
- EHS Alaska, Hazardous Materials
- RIM Design, Interior Design
- Estimations, Inc., Cost Estimating

Other Cost Considerations

This project will be phased, to minimize the financial impact on Housing by reducing the number of apartments that are off-line at any given time. Once the major life safety and building envelope issues are addressed, the interior work will be performed, focusing on completing a building at a time until all 6 buildings are complete.

Plan for Renovation and Reallocation of Existing Space Vacated by Occupants of this Project (Previously called Backfill)

This project renews existing space for continued use as currently allocated.

Schedule for Completion

**DESIGN**

- Conceptual Design: May 2012
- Formal Project Approval: June 2012
- Schematic Design: July 2012
- Schematic Design Approval: September 2012
- Construction Documents: November 2012

**BID & AWARD CMAR**

- Advertise and Bid: July 2012
- Construction Contract Award: August 2012
CONSTRUCTION
Start of Construction January 2013
Date of Beneficial Occupancy August 2016

Procurement Method for Construction
Construction Management at Risk is the preferred method of procuring a contractor. There will be benefits to maintaining the same contractor throughout the project implementation as the work is very repetitive; the process will be more efficient as the project progresses; there will be only one invitation to bid opposed to six and the contractor can participate in the design and project scheduling process.

Affirmation
This project complies with Regents’ Policy, the campus master plan, and amends the project agreement.

Supporting Documents
Budget

B. Schematic Design Approval for the University of Alaska Fairbanks Critical Electrical Distribution Renewal Phase 2
Reference 18

The President recommends that:

MOTION
“The Facilities and Land Management Committee recommends the Board of Regents approve the Schematic Design Approval request for the University of Alaska Fairbanks Critical Electrical Distribution Renewal Phase 2 as presented in compliance with the campus master plan, and authorizes the university administration to complete construction bid documents to bid and award a contract within the approved Total Project Cost budget of $26.25 million, and to proceed with project construction not to exceed a Total Project Cost of $14,325,000. This motion is effective June 7, 2012.”

POLICY CITATION
In accordance with Regents’ Policy 05.12.043, Schematic Design Approval (SDA) represents approval of the location of the facility, its relationship to other facilities, the functional relationship of interior areas, the basic design including construction materials, mechanical, electrical, technology infrastructure, and telecommunications systems, and any other changes to the project since Formal Project Approval.

Unless otherwise designated by the approval authority or a Material Change in the project is subsequently identified, SDA also represents approval of the proposed cost of the next phase(s) of the project and authorization to complete the
Construction Documents process, to bid and award a contract within the approved budget, and to proceed to completion of project construction.

For the Schematic Design Approval, since a Material Change in the project has been identified, such change will be subject to the approval process described below.

**TPC > $4 million will require approval by the Board based on recommendations from the Facilities and Land Management Committee (F&LMC).**

**RATIONALE AND RECOMMENDATION**

**Background**

Major deficiencies of the UAF electrical distribution system were identified in a report prepared by PDC Inc. Engineers in 2001. The report was commissioned in response to the near catastrophic power plant failure experienced in December, 1998. In response to the recommendations, UAF has incrementally proceeded towards addressing the deficiencies in the high voltage electrical distribution system. The primary features of the overall improvement program are to:

1. Upgrade the connection to Golden Valley Electric Association (GVEA).
2. Replace aged components of the existing system that are over 40 years old.
3. Increase system voltage to increase overall electric distribution capacity.
4. Relocate the campus switchgear outside of the Atkinson Combined Heat and Power facility to avoid a failure due to a steam leak (as was experienced in 1998).

In order to address all of these problems, the report recommended that UAF move the campus distribution function out of the power plant and onto a new switchboard that is separate, but near the power plant. It was also recommended to increase the distribution voltage from 4,160v to 12,470v. The recommended changes would create increased reliability and capacity of the electrical distribution system.
The following projects have been completed as phases towards the overall goals of the Critical Electrical Distribution Renewal objectives.

<table>
<thead>
<tr>
<th>Project Name</th>
<th>TPC</th>
<th>Scope</th>
<th>Status</th>
</tr>
</thead>
<tbody>
<tr>
<td>GVEA Tie Substation</td>
<td>$1,773,000</td>
<td>Replace 40-year old substation that connects to GVEA.</td>
<td>Complete 2005</td>
</tr>
<tr>
<td>Phase 1A Critical Electrical Distribution Renewal</td>
<td>$5,187,000</td>
<td>Construct utilidors that will connect proposed new switchgear building to campus distribution system.</td>
<td>Complete 2010</td>
</tr>
<tr>
<td>Phase 1B Critical Electrical Distribution Renewal</td>
<td>$10,000,000</td>
<td>Extend utilidors, construct new switchgear building and purchase major equipment.</td>
<td>Complete 2011</td>
</tr>
<tr>
<td>Phase 1C Critical Electrical Distribution Renewal</td>
<td>$13,500,000</td>
<td>Purchase additional major equipment, install major equipment and controls, commission and energize two feeders.</td>
<td>Completion October 2012</td>
</tr>
</tbody>
</table>

The Critical Electrical Distribution Renewal project has always been envisioned as a multi-phase project. After Phase 1C is completed the major central infrastructure and new switchgear building will be in place which will allow the systematic conversion of the campus distribution feeders to the new distribution voltage and replacement of the 45-year old components in the system.

**Project Scope**
Phase 2 will continue the work started in the previous phases to provide a functional medium voltage distribution system for UAF. This phase of the project will consist of the following elements that will be performed throughout the UAF campus:

- Replace old building transformers (approximately 50% of the existing transformers will need replacement).
- Replace old high voltage cable (approximately 35% of the existing cables will need to be replaced). The cables are in the existing underground utilidor system.
- Install 5 new underground vaults to house new high voltage switches.
- Modify new building transformers for new distribution voltage of 12,470v.
• Correct code deficiencies in the building electrical service for 8 buildings. This is required to complete the conversion to the new distribution voltage.
• Install an alternate connection to GVEA to the new switchgear building. This connection could be used to supply most of the power needs of campus if there were an emergency and the UAF/GVEA substation was not operational.
• Install an alternate feed from the Atkinson Combined Heat and Power Plant to the campus switchgear building to provide increased reliability.

Accomplishing the above scope of the project will occur in two phases due to funding availability. Any temporary power provisions that may be needed if conversions of the buildings cannot be done in a short outage will be included. Although there will be some inconvenience to building occupants, a work plan will be developed to minimize these impacts.

The new distribution system will be installed in a looped configuration which will provide a level of reliability that is significantly better than the current radial configuration. If a problem is encountered on a feeder it can be isolated while keeping the majority of the buildings on that feeder in service. The current system limits the ability to isolate problems in feeders.

Variance Report
The TPC has increased $2,000,000 from $24,250,000 to $26,250,000 (an 8.3% increase) since the Formal Project Approval was granted. This increase can be attributed to the following items:

• An additional connection to GVEA is needed to provide increased reliability for the campus.
• Additional cost for electrical equipment and cabling. Inflation for these items is outpacing earlier estimates.
• Additional cost for converting existing building electrical services to the new system. Many of the existing buildings have indoor substations and the distribution transformer standard is an outdoor installation. This requires additional work on the secondary wiring for these buildings that was not anticipated.

Proposed Total Project Cost and Funding Source(s)

<table>
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<tr>
<th>Funding Source</th>
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<td>Total Project Cost</td>
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<td>$26,250,000</td>
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</tbody>
</table>
Estimated Annual Maintenance and Operating Costs (O&M)
O&M costs for the medium voltage distribution system are expected to decrease as a result of this project.

Consultant(s)
PDC, Inc. was selected in accordance with Board of Regents’ Policy in Phase 1A to design all phases of the project.

Other Cost Considerations
None

Plan for Renovation and Reallocation of Existing Space Vacated by Occupants of this Project (Previously called Backfill)
N/A

Procurement Method for Construction
Kiewit Building Group was selected as the Construction Manager at Risk (CMAR) for all phases of the project. UAF intends to continue with CMAR to best take advantage of phased funding. The CMAR method has minimized delays to date from phased funding. Construction has been continuous with no breaks for Phase 1A, 1B and 1C. There has also been approximately $500,000 in savings from earlier phases that has returned to UAF. The CMAR will be competitively bidding subcontracts.

Schedule for Completion
DESIGN
- Conceptual Design: January 2012
- Formal Project Approval: February 2012
- Schematic Design: March 2012
- Schematic Design Approval: June 2012
- Design Development: July 2012
- Construction Documents: September 2012

BID & AWARD
- Advertise and Bid New Subcontracts: September 2012
- Construction Contract Award: October 2012

CONSTRUCTION
- Start of Construction: October 2012
- Date of Substantial Completion: September 2014
- Date of Beneficial Occupancy: September 2014

Affirmation
This project complies with Regents’ Policy and the campus master plan.
C. Approval of the University of Alaska Anchorage Campus Master Plan Amendment for the Engineering Parking Garage

The President recommends that:

MOTION
“The Facilities and Land Management Committee recommends that the Board of Regents approve the University of Alaska Anchorage Campus Master Plan Amendment for the Engineering Parking Garage as presented. This amendment will be incorporated in the existing 2004 Campus Master Plan. This motion is effective June 7, 2012.”

POLICY CITATION
In accordance with Regents’ Policy 05.12.030.C.3, a campus plan may be revised or amended from time to time. An amendment to accommodate a proposed specific capital project shall be considered and approved by the board prior to consideration of the proposed capital project.

RATIONALE AND RECOMMENDATION
Background
Since the UAA campus master plan was drafted in 2003, adopted in 2004, and amended in 2009 a number of significant changes regarding the UA Engineering program have been made. This amendment will address changes needed to proceed with project development for the parking associated with the Engineering and Industry Building project.

Supporting Documents
UAA School of Engineering Parking Garage Master Plan Amendment

D. Schematic Design Approval for the University of Alaska Anchorage Engineering and Industry Building Project

The President recommends that:

MOTION
“The Facilities and Land Management Committee recommends that the Board of Regents approve the Schematic Design Approval request for the University of Alaska Anchorage Engineering and Industry Building Project as presented in compliance with the campus master plan, and authorizes the University administration to complete construction bid documents to bid and award a contract within the approved Total Project Cost budget of $41 million.”
$123,200,000, and to proceed with project construction not to exceed a Total Project Cost $62.6 million. This motion is effective June 7, 2012.”

POLICY CITATION
In accordance with Regents’ Policy 05.12.043, Schematic Design Approval (SDA) represents approval of the location of the facility, its relationship to other facilities, the functional relationship of interior areas, the basic design including construction materials, mechanical, electrical, technology infrastructure, and telecommunications systems, and any other changes to the project since Formal Project Approval.

Unless otherwise designated by the approval authority or a Material Change in the project is subsequently identified, SDA also represents approval of the proposed cost of the next phase(s) of the project and authorization to complete the Construction Documents process, to bid and award a contract within the approved budget, and to proceed to completion of project construction.

For the Schematic Design Approval, if there has been no Material Change in the project since the Formal Project Approval, approval levels shall be as follows:

**TPC > $4 million will require approval by the Board based on recommendations from the Facilities and Land Management Committee (F&LMC).**

RATIONALE AND RECOMMENDATION
UAA engineering is experiencing dramatic growth in its enrollments with a near doubling of the entire program in the past five years now at nearly 1,000 students. New baccalaureate engineering and related associate and certificate programs were created to meet industry demand and have been one of the driving forces for the enrollment increases. The existing engineering building was built in the early 1980s and is currently undersized. The site selected for the new Engineering and Industry Building is directly south of the bookstore and will eventually connect with the new Health Sciences Building across Providence Drive and the spine connection to the existing engineering building.

The UAA School of Engineering has just over 40,000 gsf available has made an additional 14,000 gsf available beginning in the fall 2009 semester in leased and temporary space on and around the campus.

The UAA Master Plan approved by the Board of Regents in June 2004 called for additional space to meet the needs of the engineering program as it was configured at that time. A more recent study conducted by Ira Fink & Associates confirmed the need for additional space to meet the existing programmatic need for the engineering space at both UAA and UAF. This additional space would be comprised of classrooms, instructional laboratories, educational labs or shops and
office space to accommodate graduating students to meet the high demand for engineers in Alaska.

This project will accommodate existing program requirements and allow for the consolidation of engineering programs currently being taught elsewhere on and off campus.

**Project Scope**
The project consists of three major components: 1) construction of the new four story, 75,000 gsf Engineering and Industry Building located on Providence Drive, in the UAA South Parking lot; 2) renovation of the existing three story, 40,000 gsf School of Engineering Building; and 3) construction of a multi-story structured parking facility with approximately 500 parking spaces. Sub-components of the parking structure include construction of a temporary parking lot to accommodate displaced parking during construction and Mallard Drive realignment.

**A. ENGINEERING AND INDUSTRY BUILDING**
The Engineering and Industry Building will be designed to accommodate the first phase of the School of Engineering expansion. At four stories, the building will be similar to the Health Sciences Building in height and scale due to the change in topography across Providence Drive. The southwest corner of the Engineering and Industry Building will incorporate a future connection for a pedestrian bridge across Providence Drive, linking the Engineering and Industry Building to the Health Sciences District. Phase II of construction will occur to the north of the Phase I building and will allow an enclosed connection to the campus spine circulation network. Outdoor areas will be integral to the building design, serving both as amenities for students, faculty and staff and as functional spaces for project work display and storage areas.

The first floor includes the lobby, teaching labs and building support spaces include storage, mechanical and electrical rooms. A double height project work area provides connecting crane access for the structures testing and properties of materials labs, and allows outdoor access for the service yard and deliveries. Additional mechanical teaching labs, e-learning classrooms, and a student commons are located on the second floor. The third floor consists of environmental, computer system and electrical teaching labs, as well as a faculty office suite. An HVAC teaching lab, computational lab and faculty office suite are located on the fourth floor. In order to display the building’s mechanical systems, the boiler room and fan rooms are also located on the fourth floor in high visible locations along the main corridor.
Engineering on Display
The influence of the School of Engineering on the UAA campus, in industry, and as an economic driver in Alaska will be illustrated in the Engineering and Industry Building. Elements of the design may include:

- Building systems and materials express architecturally to highlight the engineering of the building itself and creative use of engineered materials in conventional and unconventional ways.
- Interactive displays, both active and passive, that integrate civil, structural, mechanical and/or electrical engineering design, as well as exhibits that celebrate UAA engineering achievements.
- Corridors and other public areas incorporating interior glazing for visual connections to engineering laboratories and student project work areas. Views into unique laboratory spaces may serve to stimulate interest in engineering for students or visitors.

In addition to the above elements, a double façade at the south elevation of the building provides a unique opportunity for engineering on display in the building. The configuration of the façade structure may take advantage of the southern exposure to potentially increase the efficiency of the building envelope and allow possible reductions in systems and operations. Possible solar energy systems to be integrated may include photovoltaic, hydronic heating, thermal mass and innovative materials. Additionally the interstitial space between facades may be considered a vertical lab for teaching and research, integrating faculty, students and industry. Monitoring of systems performance and testing of engineers system components in the extreme climate conditions are likely within the double façade. With a transparent outer curtain wall façade, the south elevation will be a highly visible display of engineering to the campus and to the community.

B. EXISTING ENGINEERING BUILDING
In conjunction with construction of the Engineering and Industry Building, the existing engineering building will be upgraded and fully renovated to complete the first phase of the School of Engineering expansion. The three-story building was originally designed in 1980 as a classroom and office building, and has been modified over the last thirty years to accommodate various academic programs mostly recently the School of Engineering. Engineering labs, classrooms and offices will be relocated to the new Engineering and Industry Building, and existing spaces are intended to be renovated for the functions below.

The lobby with an enclosed computational lab will be located in the first floor. The remainder of the floor will be dedicated to lab support spaces including the machine shop, wood shop, milling and lathing shop, composite materials lab, reverse engineering lab, and materials storage. Outdoor access to the service yard
will be through two existing sets of double doors located on the east side of the building. The second floor will consist of classrooms, open student computational labs and student success and faculty office suite. The dean’s suite, faculty offices, computational labs and geomatics labs will be located on the third floor.

C. PARKING STRUCTURE
This 500 space parking structure will be constructed of post-tensioned concrete beams and a concrete slab. The structure is four levels of parking with the option of having a roof system that is accessible to faculty and students for research. Each level will have 42” barrier at perimeter for building safety. This will also provide, or work in coordination with, headlight screening required by local authorities. The east façade, facing UAA Drive, will include a decorative screening element/art project ensuring the garage is visually appealing. Remaining façades will include vertical anodized aluminum elements similar to the east façade for safety and aesthetic reasons.

Each floor of the parking structure including the roof will be serviced by one elevator and two stairs. This will meet access and code exiting requirements. A bridge will be developed for pedestrian connection to the existing School of Engineering Building, and thus, to the existing pedestrian spine and campus.

D. TEMPORARY PARKING LOT
The temporary parking lot will provide parking to replace the stalls displaced in the South Campus Parking Lot by the construction of the new School of Engineering Building. The temporary lot will accommodate approximately 239 stalls. A university shuttle bus station and a Pay-n-Park station will be provided. The project site for the temporary parking lot is located at the southeast corner of the Providence Drive Lake Otis Parkway intersection, on Tract 1, U-med Professional Park Subdivision. The lot will be rezoned from B-3 SL to Public Lands and Institutions (PLI). Tract 1 contains 7.162 acres and includes a 45 foot Public Use Easement along the east side. The condition of the parcel prior to UAA acquisition included an existing storm sewer and sanitary sewer lines run diagonally across the site and along the south property line. The diagonal run of sanitary sewer line has been abandoned in-place. Access roads with curb, gutter, and sidewalks exist within easements along the east and south property lines. The south third of the site was cleared and appears to have been used as a construction staging area. A thick swath of trees, along the west and north property, screens the site from Lake Otis Parkway and Providence Drive.

Temporary parking may not be required if the parking structure can be completed early.
Variance Report
The Alaska State Legislature appropriated $58,600,000 in FY13 for the UAA Engineering and Industry Building project. This amount represents approximately half of the funding required for the project. The UAA plan for this initial funding is to complete the design for all facilities, construct the parking structure, and begin site work for the new building.

UAA plans to issue a request for proposal for a Construction Manager at Risk (CMAR) contractor for preconstruction services, and the construction of the new building and renovation of the existing building. UAA plans to construct the parking structure with design-bid-build method.

Proposed Total Project Cost and Funding Source(s)

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<tr>
<th>Funding Source</th>
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Estimated Annual Maintenance and Operation Costs (O&M)

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Consultant(s)
- **Architect:** Livingston Slone, Inc.
- **Associate Architect:** Ayers/Saint/Gross
- **Laboratory Design:** Research Facility Design
- **Mechanical/Electrical Engineering:** AMC Engineers
- **Civil Engineering:** Livingston Slone, Inc.
- **Structural Engineering:** Reid Middleton Engineers
- **Geotechnical Engineering:** Dowl, LLC
- **Landscape Architect:** Corvis Design, Inc.
- **Cost Estimating:** Estimations, Inc.

Other Cost Considerations
The cost estimate for the schematic design is currently under review. The cost of the current scope of the project will be reduced to bring the total project cost down to the amount of $123,200,000 as approved in the amended Formal Project Approval by the Board of Regents on September 23, 2011. Items to be considered include, but are not limited to: 1) eliminate the roof and reduce the...
size of the parking garage; 2) seeking road upgrade funding for Mallard Drive realignment; 3) defer replacement of the exterior siding, curtain wall of the atria, elevator refurbishment and installation of the smoke management system in the atrium of the existing building; and 4) identify and eliminate LEED items with no/minimal cost benefit.

**Plan for Renovation and Reallocation of Existing Space Vacated by Occupants of this Project** (Previously called Backfill Plan)

This space currently does not exist on campus. Some relief in the engineering building would occur as labs are reconfigured and multi-purposed. Equipment is insufficient for the program needs and will need to be purchased. The existing building will be partially reconfigured after the completion of the new building to allow existing spaces to be vacated for renovation.

**Schedule for Completion**

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<td>Formal Project Approval</td>
<td>September 2011</td>
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<td>Schematic Design</td>
<td>April 2012</td>
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<td>Schematic Design Approval (As Presented)</td>
<td>June 2012</td>
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<tr>
<td>Design Development</td>
<td>December 2012</td>
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<tr>
<td>Construction Documents Structured Parking</td>
<td>December 2012</td>
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<tr>
<td>New Building</td>
<td>January 2013</td>
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<tr>
<td>Existing Building Renovation</td>
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<td>New Building</td>
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<td>Existing Building Renovation</td>
<td>February 2013</td>
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<tr>
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<td>New Building</td>
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<td>Existing Building Renovation</td>
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<td>New Building</td>
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<td>Date of Beneficial Occupancy Structured Parking</td>
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<td>New Building</td>
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<td>Existing Building Renovation</td>
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**Procurement Method for Construction**

- New Building Construction: Construction Manager at Risk
- Existing Building Renovation: Construction Manager at Risk
- Parking Structure: Design-Bid-Build
- Temporary Parking Lot: Design-Bid-Build (if required)
Affirmation
This project complies with Regents’ Policy, the campus master plan, and the project agreement.

Supporting Documents
Project Budget
Rendering – UAA Engineering and Industry Building
Project Drawings

E. Schematic Design Approval for the University of Alaska Fairbanks Engineering Building Project

The President recommends that:

MOTION
“The Facilities and Land Management Committee recommends that the Board of Regents approve the Schematic Design Approval request for the University of Alaska Fairbanks Engineering Building Project as presented in compliance with the campus master plan, and authorizes the university administration to complete construction bid documents to bid and award a contract within the approved Total Project Cost budget of $108.6 million, and to proceed with project construction not to exceed a Total Project Cost of $50.3 million. This motion is effective June 7, 2012.”

POLICY CITATION
In accordance with Regents’ Policy 05.12.043, Schematic Design Approval (SDA) represents approval of the location of the facility, its relationship to other facilities, the functional relationship of interior areas, the basic design including construction materials, mechanical, electrical, technology infrastructure, and telecommunications systems, and any other changes to the project since Formal Project Approval.

Unless otherwise designated by the approval authority or a Material Change in the project is subsequently identified, SDA also represents approval of the proposed cost of the next phase(s) of the project and authorization to complete the Construction Documents process, to bid and award a contract within the approved budget, and to proceed to completion of project construction.

For the Schematic Design Approval, if there has been no Material Change in the project since the Formal Project Approval, approval levels shall be as follows:

TPC > $4 million will require approval by the Board based on recommendations from the Facilities and Land Management Committee (F&LMC).
RATIONALE AND RECOMMENDATION

Background
The University of Alaska Fairbanks, responding to the 100 percent increase in student enrollment and graduation of baccalaureate trained engineers called for in the University of Alaska Statewide Engineering Expansion Initiative, is proposing a new UAF Engineering Facility at the Fairbanks campus. The proposed new UAF Engineering Facility responds to the initiative to graduate more engineering students, enhances the student experience for engineering students and other students campus-wide with a visible and interactive learning environment, integrates UAF’s successful engineering research and graduate programs, and addresses critical classroom needs. The proposed facility of 116,900 gross square feet (gsf) is ideally situated adjacent to the existing Duckering Building, which currently houses the College of Engineering and Mines (CEM), and provides the opportunity to complete Cornerstone Plaza with an attractive and functional focal point at the far side of the Fairbanks campus. The proposed new facility will have five floors blending with surrounding buildings while standing out as a new and exciting campus destination. The proposed new facility maintains full connectivity to the existing Duckering Building and programs and connects to the nearby Bunnell Building. The proposed new facility plan will provide approximately 23,000 gsf of renovation to portions of the Duckering Building to provide a functional connection with the proposed new building and to allow efficient use to better serve the needs of the engineering program.

The Fairbanks campus is the home of the College of Engineering and Mines (CEM) and the Institute of Northern Engineering (INE). CEM and INE are currently housed in the Duckering Building on the Fairbanks campus, the main facility that supports the engineering programs at UAF. The Duckering Building supports engineering education and research throughout the state of Alaska. The Duckering Building, as documented by the UA Engineering Plan 2010, is too small and the facilities cannot fully support the needs of modern engineering education and research.

Through efficient use of the facilities in the existing Duckering Building, the project will magnify the benefit provided by the available funds to support the greatest number of students. A partially upgraded Duckering Building is an integral component of the proposed solution; the proposed facility includes approximately 23,000 gsf of renovation in the existing Duckering Building. The proposed UAF Engineering Facility provides a new addition of 116,900 gross square feet (gsf) to be located between the Duckering Building and the Bunnell Building. The new facility will incorporate the strengths of the existing building and the successful existing UAF engineering program. The proposed solution is to selectively upgrade portions of the existing building. Portions that currently adequately house their programs will remain in their current configuration. Some
of these spaces are not ideal, but they do provide an effective learning and/or research environment. The new UAF Engineering Facility design provides an efficient solution to the space and functional deficits recognized in the existing Duckering Building.

The new facility will support the University of Alaska Fairbanks in its role to graduate more engineering students. The new facility creates an environment that enhances interaction among the students, professors and researchers. The modern building improves indoor environment and building systems and student success and retention are enhanced through:

- a visible and interactive learning environment (engineering on display).
- day lighting of common, learning, and research spaces.
- improved air quality.
- student interaction and learning spaces in common areas.
- integrated engineering research and instruction.

Programming and Site Selection
UAF has completed programming for the College of Engineering and Mines (CEM) and the site selection process. ECI Hyer/NBBJ, through a series of work sessions with numerous UAF representatives, have identified CEM departmental program needs from the ground up. These needs have been evaluated with the UA Engineering Plan 2010 (UAEP2010) space need projections and refined to a final space need just under the UAEP2010 target value. Additional program needs that were not in the UAEP2010 report have been included to arrive at a total space need for the new facility.

The approved site is located between the Duckering and Bunnell Buildings. The site offers many desirable features, the foremost of which are connectivity with Duckering (current location of CEM) and a commanding presence on the Fairbanks campus Cornerstone Plaza. The site carrying capacity of this site meets the ongoing current space needs of CEM and the UAF campus.

Project Scope
The scope of this project is to develop and construct a new UAF Engineering Facility on the Fairbanks campus. The project includes architectural and engineering professional services for identifying the program needs of the College of Engineering and Mines (CEM), incorporating UAF Facilities Services building requirements, selecting the new building site, designing and engineering the new structure, providing connection to existing infrastructure and responding to the overall university plan for engineering programs.

This project balances many University of Alaska goals and needs. The project provides the means to meet the UA Engineering initiative to graduate more engineers, meets the space requirements set out in the UA Engineering Plan 2010.
and balances the Fairbanks campus and CEM needs for program consolidation. The proposed new building and functional connection to the existing Duckering Building provide the space required to meet the initiative mandate by meeting the projected space needs goals set out in the UAEP2010 while recognizing and providing for shell space to accommodate CEM programs and campus classroom needs identified after the UAEP2010 was completed. Project site selection has resulted in a proposed new building that maximizes the use of the site and aligns with ongoing current CEM and campus needs. The project approval request includes state capital supported new building finished space and functional connection along with UAF bond supported new building shell space.

The proposed expansion of the College of Engineering and Mines (CEM) is conceived as an addition to the Duckering Building (current location of CEM) and provides state-of-the-art teaching and learning spaces for the college in support of the campus master plan vision for greater program and campus integration. The integration of teaching and research is a primary goal of the university.

The new CEM building, with the functional connection to the Duckering Building, will establish a campus precedent for connectivity between buildings. By exercising innovative campus planning and building design, the new engineering facility will enhance the campus experience and pedestrian circulation while specifically unifying building functions and exterior architecture. This new building will create “neighborhood” spaces on lower campus for collaboration and interaction that integrate research, teaching, and student life through the interconnection of mixed-use buildings presenting a new unified face for the College of Engineering and Mines to Cornerstone Plaza, the university and the engineering world beyond.

Energy
The building design will incorporate leading technology in energy conservation and usage: thermal envelope, special glass and arctic construction. These items will be explored and evaluated during the design process. The design team will create a virtual model of the building using building information modeling (BIM) software. The BIM model will be used to analyze the building performance during the design process. Energy analysis, daylight harvesting and other energy saving ideas will be explored and evaluated during the design process. Real time data is provided to aid in value-based decision making. The building systems will be explored and evaluated for display in select locations as a teaching tool for students.

Mechanical
The mechanical systems will be designed to create a safe and healthy learning and research environment. Special consideration will be given to incorporating energy saving devices where feasible. Systems will be designed to be safe, comfortable and efficient, using proven techniques and modern technology. Mechanical
system designs will focus on logical equipment placement, ease of operation and accessibility for both preventative and corrective maintenance.

The new facility central hydronic heating and cooling systems will receive their energy from the central Fairbanks campus low pressure steam and chilled water systems through an existing utilidor. A new branch connection point (blister) will be added to the existing utilidor located to the west of the new building. A new utilidor branch will extend from the new blister to the east and tie into the new facility’s mechanical room. The heat exchanger will be located in the mechanical room.

Mechanical systems will include centralized heating, ventilating and air conditioning systems, plumbing, fire protection and building automation systems. Specialty mechanical laboratory ventilation and plumbing systems will be provided where appropriate. The design will be based on standard quality commercial grade components and both custom and packaged systems.

The facility HVAC loads will be mechanically cooled using chilled water (glycol mixture) from the UAF central plant during cooling season when economizer cooling is not practical.

Electrical
Throughout the new facility power and light will be distributed to create a safe and healthy learning and research environment. Lighting will be designed to be efficient and effective. It is likely that there will be many renovations in the existing Duckering Building—some minor in nature and others more significant. The electrical infrastructure will be designed to be flexible and adaptable to accommodate these renovations.

From a power perspective, the power density will be quite high in some areas and more like an office space or standard classroom space in many others. The main challenge that presents itself is these power dense areas can be moved to a space that was originally less power dense. Therefore, the power distribution system will be designed with ample capacity and flexibility to accommodate moving these power dense areas without causing disruptions in other areas of the building. Typically, in lab spaces, there is a large quantity of receptacle devices and power connections to accommodate the laboratory equipment power needs. Labs also require a strong communication infrastructure and high telecommunication jack count to support the program requirements of the facility. The electrical design will provide power and communications support of the owner furnished equipment and the equipment and systems specified by other divisions.

The communications and other electrical systems will be designed to take advantage of the most current technology with an eye for future advancements.
Variance Report
No variance. Formal Project Approval was granted by the Board of Regents in September 2011.

Proposed Total Project Cost and Funding Source(s)
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<tr>
<td>FY14 State of Alaska Capital Appropriation (future request)</td>
<td>$48,300,000</td>
</tr>
<tr>
<td>UAF Bond Funds (FY14 authorization)</td>
<td>$10,000,000</td>
</tr>
<tr>
<td><strong>Total Project Funding</strong></td>
<td><strong>$108,600,000</strong></td>
</tr>
</tbody>
</table>

Estimated Annual Maintenance and Operating Costs (O&M)
M&O cost including M&R rates are escalated to FY15

<table>
<thead>
<tr>
<th></th>
<th>Amount</th>
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<tbody>
<tr>
<td>Utilities</td>
<td>$871,100</td>
</tr>
<tr>
<td>Custodial</td>
<td>$277,400</td>
</tr>
<tr>
<td>Trash/Grounds</td>
<td>$95,200</td>
</tr>
<tr>
<td>M&amp;R (1.5% Facility Value)</td>
<td>$1,440,000</td>
</tr>
<tr>
<td><strong>Total O&amp;M</strong></td>
<td><strong>$2,683,700</strong></td>
</tr>
</tbody>
</table>

R&R rates are formula-based on the age and value of the facility. It is expected the R&R cost will be funded through a future capital appropriation from the state. For the UAF Engineering Facility the average R&R funding request over a ten year period is:

R&R 10-year annual average $294,000

Consultant(s)
ECI/Hyer Architecture and Interiors of Anchorage teamed with NBBJ of Seattle are the core consultant team to provide professional services. Sub-consultants include Shannon and Wilson and PDC (Fairbanks), AMC Mechanical/Electrical, Corvus Landscape Design and HMS Cost Estimating.

Other Cost Considerations
None

Plan for Renovation and Reallocation of Existing Space Vacated by Occupants of this Project (Previously called Backfill Plan)
This project provides program space for engineering through the construction of new space and the renovation and reallocation of some of the existing space within the Duckering Building as identified in UAEP2010. Future renovation will be completed as deferred maintenance work is accomplished.
Schedule for Completion

**DESIGN**
- Conceptual Design: September 2011
- Formal Project Approval: September 2011
- Schematic Design: March 2012
- Schematic Design Approval: June 2012
- Construction Documents: April 2013

**CONSTRUCTION**
- CMAR Phase I Construction: April 2013
- CMAR Phase II (FY14 funded) Construction: July 2013
- Date of Beneficial Occupancy New Building: November 2014
- Duckering Functional Connection Phase III: November 2014
- Date of Beneficial Occupancy Functional Connection: August 2015

Procurement Method for Construction

Construction Manager at Risk (CMAR) method of construction contracting is planned for moving this project past the schematic design phase and into construction. CMAR offers value by including a selected contractor early in the process at a time when builder experience, innovation, and methodology can be incorporated into the design at a fundamental level.

Affirmation

This project complies with Regents’ Policy and the campus master plan.

Supporting Documents

One Page Budget
- Concept Renderings
- Site Plan
- Design Drawings

F. Schematic Design Approval for the University of Alaska Anchorage Matanuska-Susitna Valley Center for Arts and Learning

The President recommends that:

**MOTION**

“The Facilities and Land Management Committee recommends that the Board of Regents approve the Schematic Design Approval request for the University of Alaska Anchorage Matanuska-Susitna Valley Center for Arts and Learning as presented in compliance with the campus master plan, and authorizes the University administration to complete construction bid documents to bid and award a contract within the approved budget, and to proceed to completion of project construction not to exceed a Total Project Cost of $20,000,000. This motion is effective June 7, 2012.”
POLICY CITATION
In accordance with Regents’ Policy 05.12.043, Schematic Design Approval (SDA) represents approval of the location of the facility, its relationship to other facilities, the functional relationship of interior areas, the basic design including construction materials, mechanical, electrical, technology infrastructure, and telecommunications systems, and any other changes to the project since Formal Project Approval.

Unless otherwise designated by the approval authority or a Material Change in the project is subsequently identified, SDA also represents approval of the proposed cost of the next phase(s) of the project and authorization to complete the Construction Documents process, to bid and award a contract within the approved budget, and to proceed to completion of project construction.

For the Schematic Design Approval, if there has been no Material Change in the project since the Formal Project Approval, approval levels shall be as follows:

**TPC > $4 million will require approval by the Board based on recommendations from the Facilities and Land Management Committee (F&LMC).**

RATIONALE AND RECOMMENDATION

**Background**
The Matanuska-Susitna College has demonstrated a need for large space for lecture series and classes, a student life program, an expanded music and theater program, performances, convocations and community partnered events. The existing facilities do not adequately meet the current needs of the campus. The Valley Center for Arts and Learning will address both the campus needs and university goals and fulfill the public square mission of the campus.

The MSC campus is currently limited to gatherings of 120 people in the cafeteria, which itself is not ideally suited for lectures, presentations or guest speakers. The campus has needs to address larger groups of faculty, staff and students for orientation, training and lectures. The new center will address the needs of campus and goals addressed in the academic master plan, the strategic plan and facilities master plan.

**Project Scope**
The project will design and construct a new facility that will address the stated needs of the campus. The building will be a separate facility adjacent to the Frank and Sara Machetanz Building. The building will provide display areas, gathering/study spaces and a theater with seating for 500 people for lectures, public gatherings and conferences.
Variance Report

The project siting, as shown in the approved 2010 Mat-Su Campus Master Plan, showed the new building perpendicular to the northeast end of Frank and Sara Machetanz Building and spanning an existing valley. The project team recognized during initial design efforts that the cost of spanning the valley with the new building was prohibitive and rotated the building 90 degrees to place it roughly in line with Frank and Sara Machetanz Building. In that location, one side of the building was supported on solid ground and only a portion of the opposite side of the building required structural build-out. The structural build-out of the basement area was to provide additional program space in the building. This revised alignment was depicted in the formal project approval request, approved by the Board of Regents in November 2011. Unfortunately, as the design progressed to schematic design, the updated cost estimate again demonstrated that even the reduced amount of additional structural build-out could not be accommodated within the approved budget. In order to reduce costs sufficiently to allow the project to stay within the budget and still meet the programmatic needs of the facility, the building was shifted to the northwest into the existing parking lot in order to avoid additional structural build-out. The current building siting is shown in the supporting documents. The impact on existing parking will be addressed in a separate project being developed to address overall increased campus parking needs. A campus master plan amendment will be prepared in conjunction with the parking project development. To accommodate the time for design changes, the expected occupancy has shifted from July 2014 to December 2014.

Proposed Total Project Cost and Funding Source(s)

FY11 GO Bond $20,000,000

Estimated Annual Maintenance and Operating Costs (O&M)

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<thead>
<tr>
<th>Category</th>
<th>Cost</th>
</tr>
</thead>
<tbody>
<tr>
<td>Maintenance and Repair</td>
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<tr>
<td>Custodial</td>
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<td>Grounds</td>
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<td>Administration</td>
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<td>Utilities</td>
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<tr>
<td><strong>Total</strong></td>
<td><strong>$324,219</strong></td>
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</table>

Consultant(s)
Kumin and Associates, Inc.

Other Cost Considerations
None

Plan for Renovation and Reallocation of Existing Space Vacated by Occupants of this Project (Previously called Backfill)
None
Schedule for Completion

DESIGN
Conceptual Design  August 2011
Formal Project Approval  November, 2011
Schematic Design  May 2012
Schematic Design Approval  June 2012
Construction Documents  November 2012

BID & AWARD
Advertise and Bid  November 2012
Construction Contract Award  January 2013

CONSTRUCTION
Start of Construction  May 2013
Date of Beneficial Occupancy  December 2014

Procurement Method for Construction
Design - Bid - Build

Affirmation
This project complies with Regents’ Policy, the campus master plan and the project agreement.

Supporting Document
Proposed Project Budget
Project Drawings

IV. New Business

A. Amended Formal Project Approval for the University of Alaska Fairbanks P3 Housing and Dining Development

The President recommends that:

MOTION
“The Facilities and Land Management Committee approves the Amended Formal Project Approval request for the University of Alaska Fairbanks P3 Housing and Dining Development as presented in compliance with the campus master plan, and authorizes the University administration to proceed through Schematic Design not to exceed a total project cost of $2.5 million. This motion is effective June 7, 2012.”

POLICY CITATION
In accordance with Regents’ Policy 05.12.042, Formal Project Approval (FPA) represents approval of the Project including the program justification and need, scope, the Total Project Cost (TPC), and funding plan for the project. It also represents authorization to complete the development of the project through the
schematic design, targeting the approved scope and budget, unless otherwise designated by the approval authority.

An FPA is required for all projects with an estimated TPC in excess of $2.5 million in order for that project’s inclusion of construction funding to be included in the university’s capital budget request, unless otherwise approved by the Board.

The level of approval required shall be based upon TPC as follows:

TPC > $2 million but ≤ $4 million will require approval by the F&LMC.

RATIONALE AND RECOMMENDATION

Background
Formal Project Approval of $850,000 for the Campus Wide Housing and Dining project was received at the June 2011 board meeting. Since initial approval, the university has worked through an RFP and design competition to choose a preferred developer for the Public Private Partnership (P3) process. Since February 2012, the university and the developer have worked as a partnership to further develop the project scope and the P3 contracts. The unique method of the P3 process has allowed the university to work closely with the developer, the design architect and engineers, and the contractor from the beginning of design, allowing UAF to finalize the scope that is within the funding limitations in four months.

The funding approved under the initial FPA has brought UAF this far. Additional funding is required to take the project from final scoping and preliminary project cost estimates to the point of bond sale in December 2012.

Project Scope
The project will build approximately 325 beds in four dormitory buildings and 34,000 square feet of additional dining space adjacent to the Wood Center. It is desired to complete the dining portion and as much as possible of the housing portion of the project by August 2014. In order to meet such an aggressive construction schedule, the project will be constructed in two phases. The first phase, consisting of the dining addition, and a 90-bed dormitory, will be constructed between April 2013 and August 2014. The second phase, consisting of the remainder of the housing, will begin construction approximately in the spring of 2014. Current renderings of the dining and housing facilities will be available at the board meeting for viewing and discussion.
**Variance Report**

UAF requests an amendment to the original June 2011 FPA approval of $850,000 to a revised total of $2,500,000. This revised amount will allow UAF to proceed with contract negotiations, continue design through 25% construction documents, obtain a maximum project budget commitment from the developer, and complete bonding of the project.

**Proposed Total Project Cost and Funding Source(s)**

Project cost to reach the point at which bonds for the project are issued is $2,500,000. This portion of the project will be funded through the housing auxiliary fund balance. Once bonding occurs, these expenditures will be rolled into the bond issuance and the auxiliary fund balance will be reimbursed. The partnership entity is the bond holder and UAF will lease the facility from the non-profit entity.

Based on the original proposal, the total project cost will be in range of $75M to $82M. The first phase project will be sized at a level for which UAF can pay the lease payment with existing auxiliary revenue capacity and additional dorm rents. Every effort will be made to get both the dining addition and the 90-bed dorm in phase 1, however the dining facility is the highest priority. The second phase of the project will require subsidy and UAF anticipates requesting an FY14 state operating increment for a portion of the lease payments for phase 2. A FY14 capital appropriation request to lower the lease is also an option.

**Estimated Annual Maintenance and Operating Costs (O&M)**

To Be Determined

**Consultant(s)**

Developer – Lorig Associates, LLC  
Financing Partner – National Development Council  
Architect – Perkins + Will  
Engineering – Design Alaska  
General Contractor – Ghemm Company, Inc

**Other Cost Considerations**

Residence Life programs will be operated and funded by UAF as they are for all on-campus housing.

**Plan for Renovation and Reallocation of Existing Space Vacated by Occupants of this Project** (Previously called Backfill Plan)

The renovation and reallocation plan for this new housing and dining project will be coordinated with the renovation and reallocation plan being developed for lower campus by the building of the new Life Sciences Facility building on West Ridge. With much of the Bunnell Building and all of Lola Tilly Commons being...
vacated at essentially the same time, there is an opportunity to create sensible adjacencies of programs and student life activities.

**Schedule for Completion**

**DESIGN**

- Program Completion: May–June 2012
- Formal Project Approval: June 2011
- Schematic Design: July 2012
- Amended Formal Project Approval: June 2012
- Maximum Project Budget: November 2012
- BOR Approval of Legal Documents: November 2012
- Completion of Legal Documents: November 2012
- Complete Bond Sale: December 2012
- Schematic Design Approval: December 2012
- Construction Contract Award: January 2013

**CONSTRUCTION**

- Start of Construction: May 2012
- Date of Beneficial Occupancy: August 2013

**Procurement Method for Construction**

Bond sale through the Public Private Partnership.

**Affirmation**

This project complies with Regents’ Policy, the campus master plan, and the project agreement.

**Supporting Documents**

One Page Budget

V. **Ongoing Issues**

A. **UAF College of Rural and Community Development and Community and Technical College Master Plans Second Reading**

**Background**

In accordance with Regents’ Policy 05.12.030, UAF is updating the 2006 College of Rural and Community Development (CRCD) Master Plans for the Bristol Bay, Northwest, Kuskokwim, Interior Aleutians, and Chukchi campuses and the UAF Community and Technical College (CTC) to meet the requirements to update plans on a 5 to 7 year cycle.

**Status of Master Plan Update Efforts**

The final drafts of the Master Plan Updates 2012, were presented for first reading at the April 12-13, 2012 Board of Regents meeting. To allow adequate review
time by the board, Chancellor Rogers will be requesting any comments from the regents at the June 2012 meeting.

The final version of the Master Plan Updates 2012 addressing regent comments will be presented to the Board of Regents for adoption at its September 27-28, 2012 meeting.

PDF versions of the documents are available at the following link: http://webshare.alaska.edu/2012MasterPlan/

CRCD and CTC Master Plan Updates 2011-2012 Milestones

- Appointment of steering committees for each campus March 2011
- Contract with consultants March 2011
- Initial visits to campuses May-August 2011
- Consultants prepare first draft versions, review with users August-October 2011
- Consultants complete final draft of master plans November 2011
- Internal review by CRCD and Chancellor’s Staff November-December 2011
- Consultants correct master plans per review comments January 2012
- BoR Information Item; CRCD Master Plan Update February 16-17, 2012
- Consultants submit final draft of master plans to DD&C February 3, 2012
- DDC reviews and forwards correction items to consultants February 10, 2012
- Consultant to produce bound sets of final drafts; forward to owner February 29, 2012
- CRCD Final Draft of master plans to Chancellor/ CFO March 5, 2012
- Presentation of final draft CRCD Master Plan Updates to BoR April 12-13, 2012
- Presentation of final draft CRCD Master Plan Updates to BoR June 7-8, 2012
- DDC forwards regents comments to Consultants, NLT June 12, 2012
- Consultants revise master plans, forward final versions to owner July 17, 2012
- BoR Meeting-Presentation for Approval September 27-28, 2012

B. UAA Seawolf Sports Arena Status Report

The Municipality of Anchorage Urban Design Commission (UDC) approved the final landscape plan for the UAA Seawolf Sports Arena in April. The UDC will require UAA to finalize the shared parking agreement with Providence Hospital prior to final plan approval. UAA is currently coordinating with UA Land Management and Providence Hospital to finalize this agreement.
Clearing and grubbing of entire site is nearly complete. Preliminary flow rates on cooling well #1 have been positive and authorization was given to begin drilling well #2 (reinjection).

The University of Alaska Anchorage initiated an early Phase I package for installation of footings, foundation, site utilities, and structural steel for the new Seawolf Sports Arena based upon significant cost savings and the realistic expectation of a summer of 2014 completion schedule. Reconciliation and preliminary budget alignment for phase I is complete and a construction contract for phase I has been awarded.

The project team continues to work on the final building design. The cost estimate for the 65% design came in significantly over budget. The Design Team and the CMAR contractor have reconciled the estimate and worked with the Project Team to modify the design to reduce cost without loss of program support or ability to generate revenue to cover operating costs. Projected O&M Costs have actually reduced as a result of the reduction and/or deletion of some of the system components included in the original design. The Phase 2 construction package will include several additive alternates that will be incorporated into the project as construction progresses and construction contingency funds can be utilized. The positive results of this collaborative effort would not have been possible without the participation of the CMAR contractor during the design process.

The current schedule for completion is:

<table>
<thead>
<tr>
<th>Phase</th>
<th>Completion Dates</th>
</tr>
</thead>
<tbody>
<tr>
<td>Planning &amp; Design:</td>
<td>August 2008 – Summer 2012</td>
</tr>
<tr>
<td>Construction, Ph 1:</td>
<td>May 2012 – July 2014</td>
</tr>
<tr>
<td>Construction, Ph 2:</td>
<td>October 2012 – July 2014</td>
</tr>
<tr>
<td>Occupancy:</td>
<td>August 2014</td>
</tr>
</tbody>
</table>

C. UAF Life Sciences Facility Status Report

Background
The Life Sciences Facility will provide multiuse teaching and research labs, classrooms, and office space for life science research and academic purposes. The research portion will provide nearly 60,000 gsf of lab and lab support space for biology research. The teaching portion will provide 40,000 gsf of academic classroom and lab space for biology and wildlife degree programs. The Life Sciences Facility project also includes expansion of utilities to West Ridge and a research greenhouse replacement.
Total Project Cost and Funding Source(s)
Revised Funding Sources:
Funding for the project has been provided from the State of Alaska FY11 General Obligation Bonds and from UA Revenue Bonds. Under a previous Project Change Approval granted by the Chair of the FL&M Committee, UAF and State of Alaska operating funds were added to the project to allow the existing BiRD and State Virology Lab buildings to connect to the new gravity line that was installed under the Life Sciences project.

State of Alaska FY11 General Obligation Bond $88,000,000
UA General Revenue Bond $20,600,000
State of Alaska $53,000
UAF FY11 Operating Funds $250,000
Total $108,903,000

The funding from the various projects associated with the Life Sciences Facility breaks down as follows:

Life Sciences Facility Construction (Revised SDA June 2012) $88,578,000
Utilities Steam Expansion to West Ridge (Revised SDA June 2012) $15,000,000
West Ridge Greenhouse (SDA June 2010) $5,325,000
Revised Total $108,903,000

Variance since Last Report to Board of Regents
During project development, UAF held back on bidding certain scopes of work of the Life Sciences Facility project to ensure the main building, greenhouse, and steam expansion projects could be bid and awarded. The scope reductions included work previously approved by the Board of Regents: completion of a chilled water plant and associated chilled water distribution system. It was anticipated these scopes could be completed based on available funds once all bids were received. Since UAF has enjoyed lower construction cost on the projects associated with the Life Sciences Facility, there are unexpended portions of the construction budgets (specifically unused contingency funds from Life Sciences Facility and the steam expansion projects) that UAF will utilize to complete remaining scopes of work described in the formal project approval.

Under the previous approvals granted by the Board of Regents, UAF identified a scope of work to construct a central chilled water plant for West Ridge within the Life Sciences Facility. The scope included construction of a low-energy centralized steam absorption chilled water plant and distribution of the chilled water to buildings surrounding and including the Life Sciences Facility. Distribution of centralized chilled water will eliminate large electrical consumption on West Ridge, reducing utility cost to the university. Though the benefit will be felt in multiple buildings on West Ridge, distribution of the chilled water system is a requirement for the large steam chiller being installed in the Life
Sciences Facility. The chiller is sized to handle at least four Life Sciences Facility sized buildings and to provide any chilled water to the building, it must have at least a 50 percent load on it during the summer to operate.

Currently, the Life Sciences Facility construction contract includes a large steam absorption chiller and distribution piping up to the existing utilidor that serves the surrounding buildings on West Ridge as well as space for a second future chiller. To complete the original scope of work noted in the formal project approval, UAF has completed concept design of the chilled water distribution system to the buildings surrounding the Life Sciences Facility (Museum of the North, BiRD, State Virology, Irving 1 and Irving 2). Utilizing unpledged contingency funds from the Life Sciences Facility noted above, UAF proposes to complete the design and negotiate with the current Construction Manager at Risk (CMAR) for the Life Sciences Facility to complete the installation. UAF feels it can achieve the best value for the work through the CMAR because of the very low margins for overhead and profit, advanced scheduling and installation with existing crews on-site, and no cost for additional direct project oversight.

The chilled water piping work must proceed immediately to ensure the distribution system is ready for the chiller commissioning in May 2013. Utilizing Life Sciences Facility contingency funds to complete the work does expose the project to some risk of needing additional funds to complete the project. The university feels the risk is manageable within the Life Sciences Facility total project cost. If additional funding is needed, UAF will request a project change to shift unused contingency from the steam expansion project to the main Life Sciences Facility project. UAF will not exceed the overall total authority of $108,600,000 given by the board during Formal Project Approval.

Schedule for Completion

<table>
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<tr>
<td>Formal Project Approval</td>
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</tr>
<tr>
<td>Schematic Design</td>
<td>February-September 2010</td>
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<tr>
<td>Schematic Design Approval</td>
<td>November 2010</td>
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<tr>
<td>Design Development</td>
<td>November 2010-April 2011</td>
</tr>
<tr>
<td>Construction Documents</td>
<td>April-December 2011</td>
</tr>
</tbody>
</table>

| CONTRACTOR SELECTION | |
| Advertise and Bid | November 2010 |
| Selection Construction Contract | December 2010 |

| CONSTRUCTION | |
| Start of Construction | April 2011 |
| Date of Substantial Completion | May 2013 |
| Date of Beneficial Occupancy | May 2013 |
D. UAF Combined Heat and Power Plant Replacement Status Report

Project Update
The consulting team of Stanley Consultants and SLR, Inc. has been advancing work toward the major deliverables of a preliminary design, cost estimate and air permit application. The preliminary design and cost estimate are scheduled for submittal at the end of June 2012 and the air permit could be submitted as early as September 2012. The intermediate milestones that have been met are:

- Approval by ADEC of an air monitoring site near old University Park Elementary just southeast of the new power plant.
- Plant size optimization analysis.
- Order of magnitude cost review.
- Review of permitting schedule.

The cost estimate will be the basis of funding request for FY14. It is anticipated that funding will be requested over at least two years.

Background
At the direction of the vice chancellor for administrative services, a working group was established in early 2010 to re-evaluate the 2006 recommendations and consider new options. The circumstances and economics for coal, natural gas, and other alternative fuels have changed since 2006, and it is prudent to revisit the plan in light of current conditions.

The 2006 Utilities Development Plan (UDP) consultant, GLHN, was hired to evaluate multiple options at a high level order of magnitude, and then to perform a detailed evaluation of two or three viable options. The process included solicitation of input from industry, public, and the campus. Ten alternatives were evaluated and were narrowed to two options: a coal/biomass boiler and a natural gas turbine with heat recovery.

A detailed evaluation which included an independent peer review was completed and a recommendation for a solid fuel (biomass/coal) Circulating Fluidized Bed Boiler was forwarded to Chancellor Rogers for approval. A major concern for evaluating natural gas options is to determine when adequate quantities may be available in Fairbanks and what the price may be. Another factor will be evaluating the risk associated with long-term price volatility. The risk of permitting a coal/biomass facility is also being evaluated.

The result of this work group was a recommendation that prepares UAF to efficiently and reliably heat and power the UAF campus for the next 40 years. Chancellor Rogers approved the recommendation for a solid fuel (coal/biomass) Circulating Fluidized Bed Boiler.
FY12 Funding and Construction Plans

The FY12 R&R appropriation contains three items related to UAF utilities:

- Critical Electrical Distribution Renewal Phase 1C
  Connects GVEA and UAF generators - $8.5M plus $5.25M bond funding
- Atkinson Heating Plant Critical Utilities Revitalization
  Three critical items - $0.9M plus $1.0M bond funding
- Atkinson Heating Plant Boiler and Turbine Replacement
  Design and permitting for $180.0-$200.0M project - $3.0M

The Atkinson Heating Plant Critical Utilities Revitalization project will upgrade needed items even if the new boilers and turbine are installed. Many components of the existing plant will be needed for redundancy in order to provide reliable power, heat and other utilities to the UAF campus.

Highlights since Last Report to Board of Regents

- Water Treatment Plant Aeration Basin replacement contract is 100% complete.
- Replacement of a few select tubes in Boilers 1 and 2 is 50% complete. Inspection found additional tubes needing repair. There is concern that boiler tubes are becoming brittle.
- The bid for the replacement of the de-aerator tank, feed water heater and key high pressure valves is expected in May 2012. The work will be completed by November 1, 2012 and will require a campus steam shutdown (two days) to install key valves.

E. UAF Infrastructure Updates

West Ridge Steam Capacity Expansion (aka the Utilidor Project)
Construction on the final 90% of the utilidor started April 20, 2012. Construction is on schedule to complete 2,400 ft. of new utilidor and install 5,400 ft. of steam and water piping. The project is very visible near the Student Recreation Center. Traffic disruptions will be minimal. Two lanes of traffic on Tanana Loop will be routed to a temporary bypass while the utilidor is installed under the road. Completion of this project will provide adequate steam capacity for the Life Sciences Facility.

UAF Utilities Wasteline Repairs - South Chandalar
This project addresses the highest priority in a multi-year effort to replace aging and failing sanitary wastelines on the UAF campus. The project constructs a main sewer waste line serving the central lower campus core at Wood Center. The project will eliminate leaking from broken wood stave and separated steel pipe in the main campus area. In addition, the project will
replace the Wood Center lift station with a gravity sewer main, and will replace service line connections to several affected buildings.

**UAF Utilities Wasteline Repairs - Relining**

This project addresses a high priority listed in the UAF Campus-wide Sewer Assessment report. The project employs a relining technology to construct, in-place, long term upgrades to sewer waste lines serving several campus student housing buildings. The project relines broken wood stave and separated steel pipe in three campus locations; Hess Village, Garden Apartments and Lower Dorms.

**F. Construction Manager at Risk Project Delivery Method**

The Construction Manager at Risk (CMAR) project delivery method procures the construction team through a partially bid, partially negotiated process for acquiring the construction contract. One of the values of this process is involving the construction contractor in the design process as one means to value engineer a project design as it is being developed, rather than after it is bid and over budget. CMAR is being utilized by UAA and UAF. Active projects that are using this method include the UAF Life Sciences Facility project, the Critical Electrical project (all phases), and the UAA Seawolf Sports Arena. Future projects that plan to utilize this method include the UAA and UAF engineering buildings and the UAA MAC Housing R&R project, which has multiple phases. Previously completed projects include UAF Arctic Health phase 2, UAA Integrated Science Building and UAA Health Science Building.

This delivery method is considered most effective when used to complete large projects with complex phasing or schedule demands, unique or complex scope, and/or sufficient size to warrant contractor involvement during the design phase.

In response to regent and administration concerns about determining whether the university achieves best value for the investment made using this delivery method, the facilities and procurement units cooperated to develop standard contract documents to be used system-wide, and to investigate and adopt best management practices as advisable. These new documents and management practices were first utilized for the UAF Life Sciences Facility project and recently for the UAA Seawolf Sports Arena. An interim version of the new contract documents was used for the UAF Arctic Health and UAA Health Sciences Building projects.

The report included in the reference tab evaluates the initial effectiveness of the final contract documents and the improved management practices adopted, and provides a summary statement from the initial third-party evaluation recently completed for the Life Sciences project. Further evaluation can be provided as the
Life Sciences Facility and UAA Seawolf Sports Arena projects progress to completion.

G. Deferred Maintenance Spending Report

An updated report on the progress of spending for the Deferred Maintenance and Renewal appropriations for FY07-FY12 is available in Reference 25.

H. Approvals by the Chair of the Facilities and Land Management Committee and the Chief Finance Officer

Regents’ Policy 05.12.042 delegates Formal Project Approval to the Chair of the FLMC under certain conditions. Projects granted FPA by the Chair are reported in this section. Based on that policy, the following projects were given FPA by the Chair.

- UAA Engineering Accreditation Upgrades, (12-0077) TPC $1.1M on 3/10/12.

Regents’ Policy 05.12.043 delegates Schematic Design Approval to the Chief Finance Officer under certain conditions. Projects that are phased as a part of the FLMC FPA approval and receive SDA for each phase under the limits for approval as delegated to the Chief Finance Officer are reported in this section. The following projects were given SDA at the CFO level:

- UAA Engineering Accreditation Upgrades Phase 1, (12-0077-1) TPC for Phase 1 $343K (TPC $1.1M for all phases) on 3/23/12.
- UAA Engineering Accreditation Upgrades Phase 2 (12-0077-2) TPC for Phase 2 $742K (TPC $1.1M for all phases) on 4/20/12.
- UAF Harper Hall Renovations Phase 2 Reroof (2012023 HARF) TPC $2.0M on 3/8/12.
- UAF Utility Main Waste Line Repairs South Chandalar (2010182 UTLRC) TPC $1.9M on 4/17/12.

Regents’ Policy 05.12.047 delegates Project Change Approval to the Chief Finance Officer under certain conditions. Projects granted PCA by the CFO are reported in this section. Based on that policy, the following project was given PCA by the CFO:
UAA Allied Health Sciences, Phase 1 – 2nd Floor Remodel
(11-0110) TPC $4.6M (TPC increase of $192,724) on 2/10/12.

I. Construction in Progress

Kit Duke, AVP Facilities and Land Management, and campus facilities representatives will answer questions regarding the status report on active construction projects approved by the Board of Regents. This is an information and discussion item; no action is required.

J. IT Report

Karl Kowalski, Chief Technology Officer will update the committee on the eText Pilot Program, FCC Universal Service Fund, AK Broadband Taskforce and IT security.

VI. Future Agenda Items

VII. Adjourn
Agenda
Board of Regents
Audit Committee
Friday, June 8, 2012; *8:00 a.m. – 9:00 a.m.
Room 107 Lee Gorsuch Commons
University of Alaska Anchorage
Anchorage, Alaska

*Times for meetings are subject to modifications within the June 7–8, 2012 timeframe.

Committee Members:
Kenneth Fisher, Committee Chair
Carl Marrs
Mike Powers
Patricia Jacobson, Board Chair

I. Call to Order

II. Adoption of Agenda

MOTION
"The Audit Committee adopts the agenda as presented.

I. Call to Order
II. Adoption of Agenda
III. Executive Session
   A. Executive Session with Internal Audit Director
IV. New Business
   A. External Auditor Comments
   B. Approval of the FY13 Annual Audit Plan
V. Ongoing Issues
   A. Final Audit Reports Issued
   B. Internal Audit Status Report
   C. External Audit Status Report
VI. Future Agenda Items
VII. Adjourn

This motion is effective June 8, 2012."

III. Executive Session

A. Executive Session with Internal Audit Director

MOTION
"The Audit Committee of the Board of Regents goes into executive session at _______ Alaska Time in accordance with the provisions of AS 44.62.310 to discuss matters the immediate knowledge of which would have an adverse effect on the finances of the university and could affect the reputation or character of a person or persons. The session will include members of the

Audit Committee Agenda: Page 1 of 3
Board of Regents, Internal Audit Director Pittman, General Counsel Hostina, and such other university staff members as the Audit Chair may designate and will last approximately ____ hour(s). Thus, the open session of the Audit Committee of the Board of Regents will resume in this room at approximately ____ Alaska Time. This motion is effective June 8, 2012."

(To be announced at the conclusion of executive session:)
The Audit Committee of the Board of Regents concluded an executive session at _____ a.m. Alaska Time in accordance with AS 44.62.310 discussing matters which would have an adverse effect on the finances of the university and which could affect the reputation or character of a person or persons. The session included members of the Board of Regents, Internal Audit Director Pittman, General Counsel Hostina, and other university staff designated by the chair of the Audit Committee and lasted approximately __________.

IV. New Business

A. **External Auditor Comments**
   Reference 27
   Daniel Rozema, the engagement partner from KPMG, will discuss planning for the annual audit with the committee.

B. **Approval of the FY13 Annual Audit Plan**
   Reference 28
   The President recommends that:

   **MOTION**
   “The Board of Regents’ Audit Committee approves the annual audit plan for fiscal year 2013 as presented. This motion is effective June 8, 2012.”

   **POLICY CITATION**
   Regents’ Policy 05.03.016 states: The director of internal audit, in conjunction with the regents’ external auditors, shall annually present a complete audit plan for the university to the board’s audit committee for review and approval.

   **RATIONALE AND RECOMMENDATION**
   Nichole Pittman, director of internal audit, will present to the Audit Committee for approval the annual audit plan for FY13, which is included as Reference 28.
V. **Ongoing Issues**

A. **Final Audit Reports Issued**

Nichole Pittman, director of internal audit, will review with the Audit Committee the final audit reports issued since the last Audit Committee meeting and answer any questions members of the committee may have. This is an information item; no action is necessary.

B. **Internal Audit Status Report**

Nichole Pittman, director of internal audit, will review with the Audit Committee the Internal Audit Status Report and answer any questions members of the committee may have. This is an information item; no action is necessary.

B. **External Audit Status Report**

Nichole Pittman, director of internal audit, will review with the Audit Committee the External Audit Status Report and answer any questions members of the committee may have. This is an information item; no action is necessary.

VI. **Future Agenda Items**

VII. **Adjourn**
Unofficial Minutes
Board of Regents
Meeting of the Full Board
April 12-13, 2012
Soldotna, Alaska

Regents Present:  
Patricia Jacobson, Chair  
Carl Marrs, Vice Chair  
Kirk Wickersham, Secretary  
Jyotsna Heckman, Treasurer  
Dale Anderson  
Timothy C. Brady  
Mari Freitag  
Kenneth Fisher  
Mary K. Hughes  
Michael Powers

Patrick K. Gamble, Chief Executive Officer and President, University of Alaska

Regents Absent  
Fuller A. Cowell

Others Present:  
Tom Case, Chancellor, University of Alaska Anchorage  
Brian D. Rogers, Chancellor, University of Alaska Fairbanks  
John Pugh, Chancellor, University of Alaska Southeast  
Michael Hostina, General Counsel  
Carla Beam, Vice President for University Relations  
Daniel J. Julius, Vice President for Academic Affairs and Research  
Karl Kowalski, Chief Information Technology Officer  
Kit Duke, Associate Vice President, Facilities  
Michelle Rizk, Associate Vice President, Budget  
Donald Smith, Interim Chief Human Resources Officer  
Kate Ripley, Director, Public Affairs  
Brandi Berg, Executive Officer, Board of Regents  
Jennifer Mahler, Assistant, Board of Regents

I. Call to Order

Chair Jacobson called the meeting to order at 9:00 a.m. on Thursday, April 12, 2012.
II. **Adoption of Agenda**

Regent Marrs moved, seconded by Regent Powers and passed with Regents Anderson, Brady, Fisher, Freitag, Heckman, Hughes, Marrs, Powers, Wickersham, and Jacobson voting in favor that:

**PASSED AS AMENDED** (amendments noted by *)

"The Board of Regents adopts the agenda as presented.

I. Call to Order
II. Adoption of Agenda
III. Approval of Minutes
IV. Executive Session
V. Public Testimony
VI. President’s Report
VII. Governance Report
VIII. Presentation from the Kenai Peninsula College
IX. Approval of Resolution of Appreciation for Robert Martin, Jr.
X. First Review of Bylaw Revisions
XI. Presentation on UA Mining Initiative
XII. Human Resources Report
*XIII. Planning and Development Issues* (removed)
   A. UA Foundation Report
   B. Development Report
XIV. Legislative Update
XV. Technology Presentation
XVI. Approval of Point MacKenzie Material Sale Development Plan
XVII. Approval of Revision to the Industrial Security Resolution
XVIII. Consent Agenda
   A. Academic and Student Affairs Committee
      1. Approval of Bachelor of Arts in Special Education at the University of Alaska Southeast
      2. Approval of Master of Arts in Teaching in Special Education at the University of Alaska Southeast
      3. Approval of Associate of Applied Sciences in Medical Diagnostic Sonography at the University of Alaska Anchorage
      4. Approval of Deletion of the Associate of Applied Sciences in Paralegal Studies at the University of Alaska Southeast
      5. Approval of Deletion of the Bachelor of Science in Information Systems at the University of Alaska Southeast
XIX. Old Business Items
XX. New Business and Committee Reports
   A. Academic and Student Affairs Committee
   B. Audit Committee
   C. Facilities and Land Management Committee
XXI. Alaska Commission on Postsecondary Education Report
XXII. UA Athletics Report
XXIII. Future Agenda Items
XXIV. Board of Regents’ Comments
*XXIV.A. Executive Session regarding Finances of the University, Personnel and Legal Advice from Counsel (added)

XXV. Adjourn

This motion is effective April 12, 2012."

III. Approval of Minutes

Regent Heckman moved, seconded by Regent Freitag and passed with no objection that:

PASSED
"The Board of Regents approves the minutes of its regular meeting of February 15-16, 2012 as presented. This motion is effective April 12, 2012."

Regent Marrs moved, seconded by Regent Wickersham and passed with no objection that:

PASSED
"The Board of Regents approves the minutes of its special meeting of February 24, 2012 as presented. This motion is effective April 12, 2012."

Regent Powers moved, seconded by Regent Marrs and passed with no objection that:

PASSED
"The Board of Regents approves the minutes of its special meeting of March 9, 2012 as presented. This motion is effective April 12, 2012."

IV. Executive Session

Regent Marrs moved, seconded by Regent Fisher and passed with Regents Anderson, Brady, Fisher, Freitag, Heckman, Hughes, Marrs, Powers, Wickersham, and Jacobson voting in favor that:

PASSED
"The Board of Regents goes into executive session at 9:08 a.m. Alaska Time in accordance with the provisions of AS 44.62.310 to discuss matters the immediate knowledge of which would have an adverse effect on the finances of the university related to a material sale, and matters that could affect the reputation or character of a person or persons related to personnel and to receive legal advice from counsel. The session will include members of the Board of Regents, President Gamble, General Counsel Hostina, and such other university staff members as the president
may designate and will last approximately 1 hour. This motion is effective April 12, 2012.”

The Board of Regents concluded an executive session at 10:08 a.m. Alaska Time in accordance with AS 44.62.310 discussing matters the immediate knowledge of which would have an adverse effect on the finances of the university and matters that could affect the reputation or character of a person or persons related to personnel. The session included members of the Board of Regents, President Gamble, General Counsel Hostina, and other university staff members designated by the president and lasted approximately 1 hour.

V. Public Testimony

Paul Ostrander, Kenai Peninsula Borough Mayor’s Office chief of staff, welcomed the board to Soldotna; spoke about KPC being a vital economic engine in the peninsula area; and provided information regarding the borough’s financial support to the college.

Jesse Swain, KPC student and military veteran, spoke about the great education facility at KPC and the friendly staff and students; stated a problem that exists at KPC is the limited availability of 4-year degree programs even with the eLearning capabilities; and indicated UA should provide better service to veterans in obtaining an education of choice no matter which campus the student attends.

Linda Tannehill, representative from UAF Cooperative Extension for the Kenai Peninsula district, spoke about the partnership with KPC for eLearning and outreach education opportunities.

Jason Floyd, UAF Cooperative Extension 4H and youth development agent for the Kenai Peninsula district, spoke about the activities held on the KPC campus and his appreciation of the partnership KPC and UA provide to the 4H program.

Liz Downing, Kenai Peninsula Borough School Board vice president and an employee at KPC, expressed appreciation for the collaboration between the school district and KPC; welcomed the board to Kenai and thanked the board for meeting in Soldotna.

Sean Dusek, Kenai Peninsula Borough School District assistant superintendent of instruction, welcomed and thanked the board for meeting in Soldotna, noted appreciation for KPC Director Turner and highlighted some of the partnerships between the school district and KPC.

Phillip Miller, construction manager at KPC, thanked the board for addressing the deferred maintenance needs across the system; identified the projects at KPC that have been removed from the deferred maintenance backlog; and spoke about the significant change and challenge of eLearning in higher education.
John French, KPC council member and retired UAF faculty member, welcomed the board to the Kenai Peninsula; stated appreciation for serving on the KPC council; and spoke about credit hour concerns.

Debra Miller, KPC student, spoke about her education struggles and her desire to receive an education; stated appreciation for the KPC Learning Center and the compassion received from faculty and staff at KPC while pursuing her GED.

Jenny Olendorff, program coordinator for the Peninsula Smoke Free Partnership, spoke about health concerns associated with tobacco use and her support of the no tobacco use policy pending approval at the University of Alaska.

Pam Shirrell, PWSCC council chair, spoke about concerns regarding the recent change in administration at PWSCC and requested the council be included in selecting the new college president.

John Fenske, Kachemak Bay advisory board chair, thanked the board for meeting at KPC; stated appreciation for the board’s work in prioritizing the needs of the university; and spoke in support of education opportunities offered at the university.

Ryan Buchholdt, USUAA student body president, introduced Alejandra Buitrago, the USUAA president-elect, and spoke about tuition concerns at the university.

Sandra Sterling, KPC student, spoke about the prerequisite classes offered at KPC and suggested the required classes for the BFA program that are currently only offered at UAA be made available via eLearning.

VI. President's Report

President Gamble gave a brief update on the budget and thanked the university team for providing support to staff in Juneau during the budget process; reported on the mining and fisheries initiatives, the progression of existing recruitments, working with FAA regarding airspace and unmanned aircraft testing at Poker Flat; and updated the board on the “Complete College America” national program initiative and the process to determine the next steps in the Strategic Direction.

VII. Governance Report

Monquie Musick, Staff Alliance Vice Chair, spoke on behalf of Juella Sparks, Staff Alliance Chair, indicating a concern for staff moral and the many changes to staff benefits including healthcare, tuition waiver and compensation; stated other concerns include the tobacco surcharge and the code of conduct; suggested working with governance leaders to find solutions to the concerns so UA can continue to recruit, attract, motivate and retain outstanding staff while inspiring individuals to follow the Strategic Direction and create a world class institution.
Nicolas Pennington, Coalition of Student Leaders Speaker, reported the Strategic Direction listening sessions were well received by students and the feedback was positive; expressed enthusiasm regarding the advising portion of the university’s budget being added back into the governor’s budget; stated students are meeting with the tuition taskforce and the coalition is preparing for the June 2012 student summit meeting.

Daniel Monteith, Faculty Alliance Chair, thanked KPC for hosting the meeting; reported work continues on the university policy and regulation review; stated comments are being gathered on the potential tobacco policy; indicated discussions regarding the need to complete the code of conduct are ongoing; and provided an update on eLabs, curriculum review and the alliance’s involvement in Strategic Direction sessions.

VIII. Presentation from the Kenai Peninsula College

Director Gary Turner and Suzie Kendricks, Advancement Programs Manager, presented information regarding programs and services provided to Southcentral Alaska communities by Kenai Peninsula College.

The presentation included multimedia slideshows and personal testimonies from Soldotna Mayor Peter Micciche, Central Peninsula Hospital Nursing Director Andie Posey, Professor Jeff Laube, Kenai River Guide Academy Co-founder Joe Connor, Nikiski Fire Department Chief James Baisden, Naomi Thibodeau, Cindy Miller, RN, Gemma Smith, ANP, and students Bud Sexton, Alicia Itta, Josh Tonione, Cory Shane, Karin Reese and Hannah Heath.

IX. Approval of Resolution of Appreciation for Robert Martin, Jr.

Regent Marrs moved, seconded by Regent Fisher, and passed unanimously that:

PASSED
"The Board of Regents approves the resolution of appreciation for Robert Martin, Jr. This motion is effective April 12, 2012.”

WHEREAS, Robert “Bob” Martin, Jr. has served the University of Alaska with distinction and humility ever since his appointment to the Board of Regents by former Gov. Frank Murkowski in January 2005; and

WHEREAS, Bob Martin served on numerous committees of the board during his tenure, including the Facilities & Land Management, Finance & Audit, and Human Resources committees;

WHEREAS, Bob Martin most recently served as Vice Chair of the Board; and
WHEREAS, Bob Martin graduated from the University of Alaska in 1969 with a degree in electrical engineering; and

WHEREAS, Bob Martin was born in Kake and raised in Kake and Juneau, and considers himself a Southeast boy at heart, even claiming to love the rain; and

WHEREAS, Bob Martin has had a productive professional career, including serving as chair of the Alaska Energy Authority and Goldbelt Inc.’s Board of Directors; Director of the Southeast Region for the Alaska Department of Transportation and Public Facilities; 14 years in the utility industry, serving as general manager of both Tlingit Haida REA and Chugach Electric. He also served as regional roads engineer for the Alaska Bureau of Indian Affairs and vice president of corporate development for Sealaska Corp; and

WHEREAS, Bob Martin’s civic life has been an active one as well, including his staunch support for building a road to Juneau. In one guest opinion printed in the Juneau Empire in 2002, Bob’s characteristic humor was in full display with this ending quote arguing in favor of the road: “Let my people go!”; and

WHEREAS, Bob Martin’s contributions to various organizations are too numerous to list, but a few of the notable ones include being a member and past president of the Alaska Native Brotherhood Camp No. 70; a past president of the Northwest Public Power Association; and serving as a member of the Denali Commission’s Energy Advisory Board; and

WHEREAS, Bob Martin’s reputation for hard work and dedication started young. As a student, he made the national “Who’s Who in American Students” list. After graduating from the university, he served in the U.S. Army as a captain, and won an Army Commendation Medal for service in a classified security program overseas; and

WHEREAS, the Juneau Chamber of Commerce honored Bob as Citizen of the Year in 2008. Kathy Kolkhorst Ruddy, a past president of the chamber, summed up Bob’s character well when she said at the time, “He has the heart of a public servant”; and

WHEREAS, Bob Martin is an appropriately proud and knowledgeable historian and storyteller, particularly when it comes to his Tlingit heritage and family lineage; and

WHEREAS, Bob Martin is devoted to his family; he treasures his wife Ginny and their daughters Hilary and Danielle.

NOW THEREFORE, BE IT RESOLVED that the Board of Regents of the University of Alaska officially recognizes and thanks the service of Robert “Bob” Martin, Jr. to not only the University of Alaska and its students, but to the Southeast Alaska region and the state as a whole. He will be sincerely missed; and
BE IT FURTHER RESOLVED that this resolution be appropriately engrossed and conveyed to Robert “Bob” Martin, Jr. with a copy incorporated into the official minutes of the April 12-13, 2012 meeting of the Board of Regents.

X. First Review of Bylaw Revisions  

Recommended revisions to the Board of Regents’ Bylaws were presented by university administration. This was a first reading to allow regents to review and comment on the proposed revisions.

XI. Presentation on UA Mining Initiative  

Associate Vice President Villa introduced Fred Parady, Executive Director of the Alaska Miners Association, and David Stone, Alaska Department of Labor and Workforce Development Deputy Commissioner, who discussed current status and projected activity related to the mining industry in Alaska including the workforce projections and opportunities for the university in education and training.

XII. Human Resources Report  

Donald Smith, Interim Chief Human Resources Officer, updated the board regarding human resources issues.

XIII. Planning and Development Issues (removed from agenda)  

A. UA Foundation Report  
B. Development Report  

Reference 5

XIV. Legislative Update  

Chris Christensen, Associate Vice President for State Relations, and Michelle Rizk, Associate Vice President for Budget, provided an update regarding the status of legislation concerning the University of Alaska.

XV. Technology Presentation  

Karl Kowalski, CITO, gave a presentation on eTextbooks.

XVI. Approval of Point MacKenzie Material Sale Development Plan  

Regent Fisher moved, seconded by Regent Hughes, and passed with no objection that:

PASSED  
“The Board of Regents reauthorizes the 2008 Point MacKenzie Development Plan and authorizes UA Land Management to respond to the current offer for material...
extraction in excess of 100,000 cubic yards as presented and accept future qualified offers. This motion is effective April 13, 2012.”

XVII. **Approval of Revision to the Industrial Security Resolution**

Regent Marrs moved, seconded by Regent Hughes, and passed with no objection that:

**PASSED**
"The Board of Regents approves the Industrial Security Resolution as revised to reflect a change in the members of the Board of Regents and authorizes the Chair and Secretary of the Board to sign the resolution. This motion is effective April 13, 2012."

**RATIONALE/RECOMMENDATION**

The President and selected members of the university administration are routinely designated by the Board of Regents to handle any duties and responsibilities relating to classified information in connection with contracts with the Department of Defense and other federal agencies. These individuals are given an extensive security screening and are the only members of the administration, including the Board of Regents, to have access to classified information.

The university has received similar security clearances since the mid-1950s. Execution of the resolution allows regents and other members of the administration to be exempted from security clearance procedures.

The resolution is identical to resolutions previously passed except for changes to university administration and a board member.

XVIII. **Consent Agenda**

Regent Fisher moved, seconded by Regent Powers, and passed with no objection that:

**PASSED**
"The Board of Regents approves the consent agenda as presented. This motion is effective April 13, 2012."

A. **Academic and Student Affairs Committee**

1. **Approval of Bachelor of Arts in Special Education at the University of Alaska Southeast**

   **PASSED**
   "The Board of Regents approves the Bachelor of Arts in Special Education at the University of Alaska Southeast. This motion is effective April 13, 2012."
2. **Approval of Master of Arts in Teaching in Special Education at the University of Alaska Southeast**
   Reference 8
   
PASSED
   "The Board of Regents approves the Master of Arts in Teaching in Special Education at the University of Alaska Southeast. This motion is effective April 13, 2012."

3. **Approval of Associate of Applied Sciences in Medical Diagnostic Sonography at the University of Alaska Anchorage**
   Reference 9
   
PASSED
   "The Board of Regents approves the Associate of Applied Sciences in Medical Diagnostic Sonography at the University of Alaska Anchorage. This motion is effective April 13, 2012."

4. **Approval of Deletion of the Associate of Applied Sciences in Paralegal Studies at the University of Alaska Southeast**
   Reference 10
   
PASSED
   "The Board of Regents approves the deletion of the Associate of Applied Sciences in Paralegal Studies at the University of Alaska Southeast. This motion is effective April 13, 2012."

5. **Approval of Deletion of the Bachelor of Science in Information Systems at the University of Alaska Southeast**
   Reference 11
   
PASSED
   "The Board of Regents approves the deletion of the Bachelor of Science in Information Systems at the University of Alaska Southeast. This motion is effective April 13, 2012."

**XIX. Old Business Items**

No old business was brought forward.

**XX. New Business and Committee Reports**

A. **Academic and Student Affairs Committee**

In addition to the action items, the committee also heard reports on fisheries and university partnerships, general education requirements and three-year degree options.
Future agenda items include continued discussions regarding program review and establishing general education standards, reports on the vet tech program, health program initiatives, tuition and the Ph.D. leadership cohort.

B. Audit Committee

1. **Approval of Modification to the FY12 Annual Audit Plan and Internal Audit Status Report**
   *Approval of Modification to the FY12 Annual Audit Plan was removed from the Audit Committee Agenda; the Internal Audit Status Report was moved to Ongoing Business within the Audit Committee Agenda*

2. **Committee Report**

   The committee heard reports on final audits issued, external audit status, an overview of follow-up auditing and annual audit plan development.

C. Facilities and Land Management Committee

1. **Formal Project Approval for University of Alaska Fairbanks Kuskokwim Campus HVAC Upgrades**

   The Facilities and Land Management Committee approved the following motion:

   **PASSED**
   “The Facilities and Land Management Committee approves the Formal Project Approval request for the University of Alaska Fairbanks Kuskokwim Campus HVAC Upgrade as presented in compliance with the campus master plan, and authorizes the university administration to proceed through Schematic Design not to exceed a total project cost of $4,000,000. This motion is effective April 12, 2012.”

2. **Schematic Design Approval for University of Alaska Matanuska-Susitna College Valley Center for Arts and Learning**

   *removed from the Facilities and Land Management Committee Agenda*

3. **Committee Report**

   In addition to action items, the committee heard reports on the UAS campus master plan, UA engineering facilities, UAF College of Rural and Community Development master plans, UAF campus-wide student housing and dining development, UAF combined heat and power plant, AHFC energy audits, constructions in progress and approvals by the chair
of the Facilities and Land Management Committee and the chief finance officer.

Karl Kowalski, Chief Information Technology Officer, gave a report on IT issues. Security issues were discussed and the board affirmed its belief that the right things are being done to correct deficiencies given the available resources and complexities involved, its support of the CITO in this effort; and offered support and assistance to complete this effort.

XXI. Alaska Commission on Postsecondary Education Report

Regent Jacobson reported ACPE executive director Diane Barrans extended an invitation to President Gamble to participate in the Alaska Education Consortium as indicated in the UA Teacher Education Plan; the Alaska Career Information System (AKCIS) continues to be recognized statewide as a one-stop interactive career and education planning resource and ACPE is adding a training and development specialist position in response to the success of AKCIS; as a result of the increased need for higher education resources, including information about ACPE and Alaska’s financial aid programs, ACPE has repurposed an existing position as a marketing specialist to focus on mass media and social media campaigns; and reported ACPE is the statewide coordinator for College Bowl Sunday, a national program assisting students and parents with filing the Free Application for Federal Student Aid (FAFSA). The next meeting of ACPE will be held on July 26, 2012 in Anchorage.

XXII. UA Athletics Report

Regent Mari Freitag reviewed the following:

UAA

Taylor Rohde became the first UAA student-athlete ever to be named National Player of the Year.

The Seawolf Women’s Basketball team made it to the NCAA D-II Elite Eight, with Hanna Johansson becoming the winningest student-athlete in Seawolf history. The UAA skiers finished 5th in the nation.

The Men's and Women's track & field teams are ranked 8th and 13th in the National Poll. The Seawolves are ranked 10th in the nation after the winter season in the Learfield Director's Cup.

Haleigh Lloyd set the UAA and the GNAC record in the 400 meter hurdles and was named GNAC Athlete of the Week.
UAF

Rifle: The Nanooks finished third at 2012 NCAA Championships (tied 2nd with defending champion Kentucky, but lost tie-breaker to take 3rd) with a team of two sophomores and three freshmen. Freshmen Ryan Anderson (smallbore) and Mats Eriksson (air rifle) both named Honorable Mention All-Americans by the NRA. Eriksson, Anderson and Anna Hjelmevoll all on Collegiate Rifle Coaches Association All-Academic Team.

Skiing: Scott Jerome was named the Collegiate Ski Association (CCSA) Men's Coach of the Year after guiding Nanooks to men's conference title. Eight student-athletes (4 men, 4 women) earned CCSA All-Conference accolades. Five skiers (2 men, 3 women) qualified for NCAA Championships after taking second at Central Region Championships.

Hockey: The Alaska Nanooks set the program record for highest team GPA (3.55) in fall 2011. The Nanooks won Governor's Cup vs. UAA for the 3rd straight year and 8th time in 11 years. Sophomore Cody Kunyk was named to the CCHA All-Conference Second Team.

Women's Swimming: Five Nanook swimmers qualified for the 2012 NCAA Division II Swimming and Diving Championships. There were seven All-America swimmers (4 individual, 3 relays) en route to 16th place at the Championships. Freshman Margot Adams was the national runner-up in the 100 butterfly with a varsity-record time of 54.96 seconds. Sophomore Bente Heller received six All-America honors for the week (three individual, three relays).

Women's Basketball: Redshirt senior Nicole Bozek was the Second Team All-GNAC and Third Team Academic All-American. Bozek and sophomore Emily Johnson were named to the GNAC All-Academic Team.

Men's Basketball: Senior Nico Matthews received an Honorable Mention All-GNAC he led the league in assists and steals this season. Senior Armand Burkhead made the GNAC All-Academic Team.

XXIII. Future Agenda Items

Future agenda items will include a review of Regents’ Policy 05.12.43.E. Capital Project Development: Schematic Design Approval and information regarding a potential for profit enterprise.

XXIV. Board of Regents' Comments

Regent Powers appreciated the eTextbook presentation by Karl Kowalski; thanked Gary Turner and Suzie Kendrick for the impressive public square presentation; and complimented President Gamble on the capital budget success thus far.
Regent Fisher acknowledged the staff at KPC for their kindness during the meeting; recognized Provost Driscoll’s professionalism; wished the provost and Kate Ripley well in their new endeavors; and thanked Brandi Berg and Ken Jernstrom for a job well done.

Regent Brady thanked Gary Turner for the hospitality and the vibrant educational environment at KPC, welcomed Regent Anderson to the board; and thanked Provost Driscoll and Kate Ripley for their service to the university.

Regent Freitag thanked Gary Turner for the hospitality at KPC, welcomed Regent Anderson to the board, and thanked Kate Ripley for her support with student government matters.

Regent Wickersham recognized Kate Ripley as an excellent member of the administration and complimented her on her impeccable service to the university; wished Provost Driscoll success in his new endeavor and stated he will be missed; welcomed Regent Anderson to the board; thanked Gary Turner and the KPC staff for their hospitality; and acknowledged and thanked Michelle Rizk, Chris Christensen and President Gamble for their competence, creditability and skill in presenting the university’s affairs to the legislature.

Regent Marrs appreciated being back on the peninsula and meeting in Soldotna; complimented the administration for work well done; thanked Gary Turner and staff for a wonderful meeting; and spoke of his appreciation for the eTextbook presentation by Karl Kowalski.

Regent Heckman enjoyed and was intrigued by the eTextbook presentation; welcomed Regent Anderson to the board; thanked Gary Turner and KPC staff for their hospitality; gave kudos to the team in Juneau and President Gamble for the budget success; and wished Kate Ripley well on her journey to India.

Regent Hughes welcomed Regent Anderson and thanked him for his willingness to serve; noted the continued camaraderie amongst the board members; thanked Gary Turner for the hospitality, Provost Driscoll for his professional service to the university and Kate Ripley for her guidance, professionalism and expertise in supporting regents and the university.

Regent Anderson thanked the board members for the welcoming comments; appreciated the open and frank discussions and diverse opinions presented at the meeting; shared a message from former Regent Martin and in classic Bob humor stated Regent Martin wanted his fellow board members to know that he remembers most of them; thanked Gary Turner and staff for the hospitality; appreciated the opportunity to meet with President Gamble and Mrs. Gamble and President Gamble’s willingness to think outside the box by looking at opportunities to create a better educational system; wished Kate Ripley well on her journey; and acknowledged Brandi Berg for providing pertinent information and assisting with a smooth transition for the new role as a regent.
Regent Jacobson thanked Gary Turner and KPC staff for a wonderful experience, a great presentation and the hospitality in Soldotna; wished Kate Ripley well and thanked her for work well done; stated her appreciation for Mike Driscoll’s service to the university; reminded regents about participation at commencements; welcomed Regent Anderson to the board; thanked President Gamble for everything he is doing for the university and thanked board staff for a successful meeting.

President Gamble expressed gratification for the board’s recognition, appreciation and support of the UA team and complimented Gary Turner and KPC staff on the first class hospitality.

Chancellor Case welcomed Regent Anderson to the board; thanked the board for providing support to the chancellors; on behalf of Chancellor Rogers, thanked Gary Turner and his team for the wonderful showcase; stated Kate Ripley will be missed and her work is appreciated; stated it was an honor to work with Mike Driscoll and wished him success in the new position; announced Dean Baker will become the interim provost and provided an update on UAA runner Marco Cheseto.

Chancellor Pugh thanked Gary Turner for showcasing KPC’s successes; cited the collaboration amongst UA campuses and how such allows students to achieve educational goals; stated Kate Ripley will be missed and thanked her for her service to the university; noted appreciation and commented on the great addition Mike Driscoll has been to the UA team; and expressed excitement about having regents visit for commencements.

Mike Driscoll thanked the board for the comments and remarks; stated the hardest thing about leaving UA is the people; noted the incredible collaboration between the provosts; and thanked the board members for their excellent work and service.

Kate Ripley thanked the board for their kind words and expressed her enjoyment working with the board, the chancellors and the president.

XXIV.A. Executive Session (added)

Regent Wickersham moved, seconded by Regent Powers and passed with Regents Anderson, Brady, Fisher, Freitag, Heckman, Hughes, Marrs, Powers, Wickersham, and Jacobson voting in favor that:

PASSED
"The Board of Regents goes into executive session at 1:40 p.m. Alaska Time in accordance with the provisions of AS 44.62.310 to discuss matters the immediate knowledge of which would have an adverse effect on the finances of the university, and matters that could affect the reputation or character of a person or persons related to personnel and to receive legal advice from counsel. The session will
include members of the Board of Regents, President Gamble, General Counsel Hostina, and such other university staff members as the president may designate and will last approximately 1 hour. This motion is effective April 13, 2012.”

The Board of Regents concluded an executive session at 3:40 p.m. Alaska Time in accordance with AS 44.62.310 discussing matters that could affect the reputation or character of a person or persons related to personnel and received legal advice from counsel. The session included members of the Board of Regents, President Gamble, General Counsel Hostina, and other university staff members designated by the president and lasted approximately 2 hours.

XXV. Adjourn

Chair Jacobson adjourned the meeting at 3:40 p.m. on Friday, April 13, 2012.
UNIVERSITY OF ALASKA

PROPOSED - FY14 OPERATING BUDGET DEVELOPMENT GUIDELINES

INTRODUCTION

UA began its strategic direction efforts, “Shaping Alaska’s Future 2017,” in the summer of 2011. Over the last 6 months, over 80 listening sessions have been conducted with students, faculty, staff, business leaders and employers, elected officials, alumni, donors, K-12 partners and community members to discuss how the UA System can become more productive and aligned with the priorities of students, employers and the people of the state. With the listening sessions complete, UA will begin the content assessment phase through identifying the inputs and ideas that came from the listening sessions. Once complete, Shaping Alaska’s Future 2017 will provide the budget framework for the next five years to 2017 (UA’s 100th anniversary).

For FY14, it is expected that the Governor will continue his strategy to “hold-the-line” on budget requests for all state agencies, including the university. The Legislature has also signaled intentions to slow the growth of all state operating expenditures. With the state’s emphasis on reducing growth, UA’s Strategic Direction Initiative (SDI) which is currently underway, and the program funding received in FY13, the request level for new programs is expected to be limited in FY14.

During FY14, the University’s focus will continue to be on:
- Streamlined efforts in transferring of credits
- Improving student access to e-learning
- Initiatives to improve program completion rates (including student advising services)
- Selective growth and cost containment for high-demand program areas:
  - Engineering
  - Fisheries
  - Mining
  - Teacher education
  - Health/biomedical
  - Workforce Development
  - Research – applied and basic research should have a strong focus on Alaska issues
- Limit new programs without corresponding offsets
- Generate savings opportunities through administrative and programmatic restructuring and realignment

PROGRAM PRIORITIES

The budget aligns with and supports the highest priorities of our students, employers, and we believe aligns well with legislative intent. It focuses on:

- Initiatives to help more students graduate (sooner) and contribute to Alaska’s economy (faster)
- Support for training and education in Alaska’s high-demand jobs.
• Research that tackles pressing Alaskan and National issues that UA is uniquely positioned to address, and that have the potential to attract high interest and create a source of alternative revenue

Educational output priorities for the University will not change significantly.
• Enhance college readiness and student success. Continue emphasis on efficient student enrollment, advising, retention, and timely completion at all levels.
• Prepare Alaskans for the State’s high-demand jobs
• Win more competitive research grants and create commercial value from UA intellectual property spin offs

As usual we will continue our efforts to align with public service, conduct outreach, increase development, and pursue engagement efforts. International opportunities will be discontinued at Statewide and encouraged at all three MAUs.

FIXED COSTS

Fixed Costs/Administrative Requests will be developed using system wide standards. Information Technology (IT) and business process improvement initiatives will be vetted through the Information Technology Executive Council (ITEC) and System-wide Administrative Leadership Team (SALT). As part of the fixed cost review process, each MAU will follow the new approval plan for any new facilities.

PERFORMANCE FUNDING POOL

Each MAU will control the distribution of its FY14 performance funding pool, to be used in support of performance-related strategies. One percent of general funds are the expected funding pool size, although annual circumstances will dictate the exact amount chosen by the MAU for internal reallocation. In the FY14 budget and planning process, MAU performance evaluation and reporting requirements are based on the State of Alaska’s requirements. As the Strategic Direction Initiative continues, additional metrics will be developed to support the SDI areas of focus.

BUDGET ASSUMPTIONS

The budget will be developed using the following assumptions:
• Enrollment will increase slightly
• Externally funded research activity will be flat to slightly down
• Indirect Costs Recovery (ICR) will be flat to slightly down
• Tuition rates will be modest, at best
• Regionally comparative compensation increases for staff and faculty
• FY14 PERS and TRS retirement system employer contribution rates will remain at the FY13 levels (12.56% TRS, and 22.00% PERS), FY14 ORP-Tier 1 rate remaining the same as FY13 (14%)
• Healthcare costs will continue to increase until alternatives can be agreed to by employees
FY14 BUDGET TIMELINE

Below are key dates in the FY14 budget development process. BOR identifies dates for which the Board of Regents will be involved.

**June**
- BOR - FY13 Operating and Capital Budget Acceptance
- BOR - FY13 Operating and Capital Budget Distribution Plans Approval
- BOR - FY13 Natural Resources Fund Budget Allocation Approval
- BOR - FY13 Student Government Budget Approval

**July**
- Initial discussions with the Governor’s Office of Management and Budget (OMB) and Legislative Finance Division on FY14 program themes, fixed costs and capital budget needs
- FY14 MAU Operating Budget Requests submitted to Statewide Budget Office including: extraordinary fixed cost increases, new facility operating costs, priority program descriptions, expected non-state funding source(s), revenue estimates by source, and savings claims
- FY14 MAU Performance Assessments submitted to Statewide Institutional Research and Analysis via State of Alaska website
- FY14 MAU Capital Budget Requests submitted to Statewide Budget Office

**August**
- FY14 MAU deferred maintenance lists submitted to Statewide Budget Office
- List of expected leased properties and any projects needing potential debt financing
- FY14 budget meeting of the University of Alaska leadership to present and review MAU budget request priorities (to include a presentation by each Chancellor on the expected outcomes in FY13 and a general discussion of their 3-5 year planning horizon)

**September**
- BOR - First Review of FY14 Operating and Capital Budgets, and Capital Improvement Plan
- Formal budget meeting with Governor’s Office of Management and Budget (OMB)

**November**
- BOR - FY14 Operating and Capital Budget Request Approval
- BOR - FY14 Capital Improvement Plan Approval
- Submit Board of Regents’ FY14 Operating and Capital Budgets to the Governor’s Office of Management and Budget (OMB)
UNIVERSITY OF ALASKA

PROPOSED-FY14 CAPITAL BUDGET DEVELOPMENT GUIDELINES

INTRODUCTION

Guidance from the Governor for the FY14 Capital Budget is expected to place emphasis once again on deferred maintenance. With this in mind, the FY14 capital budget requests will incorporate much of the analysis and planning work accomplished during the FY13 budget development process, as well as review and reconsider elements not incorporated in the project list for the last two budget years.

UA’s long range Capital Improvement Plan will be consistent with the 10-year fiscal plan submitted to the State of Alaska. The plan provides the Board of Regents, President, executive staff, and university community a clear picture of the desired capital projects and the annual operating costs associated with those projects. The long range Capital Improvement Plan aims to balance program needs across UA campuses with realistic expectations.

PRIORITIES

Deferred Maintenance (DM) and Renewal & Repurposing (R&R) is, and will continue to be, the Board of Regents’ highest overall priority. Regularly scheduled Annual Renewal and Repurposing funding at a consistent level is necessary to realize UA’s sustainment funding goal… an annual investment of $50 million. Annual R&R funding helps revitalize the life of older buildings that need major system replacements before the systems deteriorate below their intended functionality. A large deferred maintenance backlog, ultimately leads to a loss in facility support for education program delivery, which is mission failure for UA.

Based on previous guidance from the Governor, the Board delayed new construction requests for two budget years. After two consecutive years of forgoing new construction requests, there are programmatic needs arising that must be addressed mainly in the areas of engineering, student life, and infrastructure replacement. Overall, the FY14 Capital Budget Request maintains the Board’s priority to address the DM and R&R backlog. We included engineering projects which have already received planning and partial construction funding. Additional new construction projects could be supported by UA in FY14 if outside opportunities (such as housing) present themselves. Any new construction projects will employ an improved capital project planning process which includes a mission area analysis (MAA), statement of need (SON) and statement of requirements (SOR). The guidance found in the main and community campus master plans will be considered in the overall long range Capital Improvement Plan.

During the FY12 and FY13 budget cycles, UA introduced the concept of a perpetual sustainment funding plan for our facilities. There was also discussion on establishing a university building fund. The legislature has been receptive to these ideas. We will continue to refine these concepts during the FY14 budget development process for further discussion and possible action with the Board and the Alaska Legislature.

BACKGROUND

- UA maintains over 400 buildings worth nearly $3.5 billion as measured by replacement value. These facilities comprise 6.7 million gross square feet and have annual depreciation totaling about $58 million. More than half of UA’s buildings are more than 30 years old. UA estimates an annual investment of $50 million for facility R&R is necessary to prevent adding to the
deferred maintenance and renewal backlog. Although new facilities are important to the University, annual deferred maintenance as well as facility renewal and repurposing, code corrections, and some upgrades for University equipment has been, and will continue to be, a top capital budget priority.

- Over the past 10 years (FY04-FY13), UA has requested an average of $95.9 million in state funding for DM and R&R, but only received an average of $23.9 million. The vast gap between the funding required and the funding received, in current dollars, has elevated UA’s deferred maintenance and renewal and repurposing backlog from $200 million in 2000 to over $1.0 billion as of September 2011. Extending the life of existing facilities is absolutely essential. The longer UA goes without consistent adequate facilities funding, the faster the deferred maintenance backlog threatens UA with areas of mission failure. That, in turn, impacts annual O&M dollars that become unprogrammatically diverted to the problems.

- Through its operating budget, the University dedicates funding (approximately 1.5% of adjusted facility value) every year to routine and preventive maintenance and repair (M&R). Common industry standards prescribe 2% - 4% of current replacement value as the most appropriate annual investment for M&R. The specific percentage is determined based on various factors such as the age of the buildings, previous renovations, the level of building use, and the climate.

**FY14 BUDGET TIMELINE**

Below are key dates in the FY14 budget development process. BOR identifies dates for which the Board of Regents will be involved.

**June**
- BOR - FY13 Operating and Capital Budget Acceptance
- BOR - FY13 Operating and Capital Budget Distribution Plans Approval

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- Formal budget meeting with Governor’s Office of Management and Budget (OMB)

**November**
- BOR - FY14 Operating and Capital Budget Request Approval
- BOR - FY14 Capital Improvement Plan Approval
- Submit Board of Regents’ FY14 Budget to the Governor’s Office of Management and Budget (OMB)
<table>
<thead>
<tr>
<th>University of Alaska Anchorage</th>
<th>FY12 Budget</th>
<th>FY13 Proposed</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Anchorage Campus</strong></td>
<td></td>
<td></td>
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<tr>
<td>Revenue</td>
<td>$1,179,435</td>
<td>$1,250,758</td>
</tr>
<tr>
<td>Expenditure</td>
<td>$1,179,435</td>
<td>$1,250,758</td>
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<tr>
<td><strong>Kenai Peninsula College</strong></td>
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<td></td>
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<tr>
<td>Revenue</td>
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<tr>
<td>Expenditure</td>
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<td>$78,300</td>
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<tr>
<td><strong>Kachemak Bay Campus</strong></td>
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<tr>
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<td>$17,000</td>
</tr>
<tr>
<td>Expenditure</td>
<td>$23,000</td>
<td>$17,000</td>
</tr>
<tr>
<td><strong>Kodiak College</strong></td>
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<td></td>
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<tr>
<td>Revenue</td>
<td>$10,000</td>
<td>$16,606</td>
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<tr>
<td>Expenditure</td>
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<td>$16,606</td>
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<td><strong>Matanuska-Susitna College</strong></td>
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<td></td>
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<td>$49,250</td>
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<td>Expenditure</td>
<td>$42,500</td>
<td>$49,250</td>
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<tr>
<td><strong>Prince William Sound College</strong></td>
<td></td>
<td></td>
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<tr>
<td>Revenue</td>
<td>$31,000</td>
<td>$25,593</td>
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<tr>
<td>Expenditure</td>
<td>$31,000</td>
<td>$25,593</td>
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<td><strong>Total University of Alaska Anchorage</strong></td>
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</tr>
<tr>
<td>Revenue</td>
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<tr>
<td>Expenditure</td>
<td>$1,357,935</td>
<td>$1,437,507</td>
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</table>
# FY13 Student Government Budget Request

## BUDGET REQUEST SUMMARY

### REVENUE AND EXPENDITURE INFORMATION

<table>
<thead>
<tr>
<th></th>
<th>FY12 Budget</th>
<th>FY13 Proposed</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>University of Alaska Fairbanks</strong></td>
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<td></td>
</tr>
<tr>
<td><strong>Fairbanks Campus</strong></td>
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<tr>
<td>Revenue</td>
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<td>$545,775</td>
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<td>Expenditure</td>
<td>578,128</td>
<td>545,775</td>
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<td><strong>Fairbanks Campus Recreation Center</strong></td>
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<td>695,000</td>
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<td>Revenue</td>
<td>712,125</td>
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<td>Expenditure</td>
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<td>695,000</td>
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<td><strong>Kuskokwim Campus</strong></td>
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<tr>
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<td>Expenditure</td>
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<td><strong>Total University of Alaska Fairbanks</strong></td>
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<td>$1,251,375</td>
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<tr>
<td>Revenue</td>
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<td>$1,251,375</td>
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<tr>
<td>Expenditure</td>
<td>$1,300,853</td>
<td>$1,251,375</td>
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<table>
<thead>
<tr>
<th></th>
<th>FY12 Budget</th>
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<tbody>
<tr>
<td><strong>University of Alaska Southeast</strong></td>
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<td><strong>Juneau Campus</strong></td>
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<tr>
<td>Revenue</td>
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<td>$193,500</td>
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<tr>
<td>Expenditure</td>
<td>223,500</td>
<td>193,500</td>
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<td><strong>Ketchikan Campus</strong></td>
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<td>Expenditure</td>
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<td><strong>Sitka Campus</strong></td>
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<tr>
<td>Revenue</td>
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<td>$18,500</td>
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<tr>
<td>Expenditure</td>
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<td>18,500</td>
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<tr>
<td><strong>Total University of Alaska Southeast</strong></td>
<td>$250,500</td>
<td>$223,000</td>
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<tr>
<td>Revenue</td>
<td>$250,500</td>
<td>$223,000</td>
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<tr>
<td>Expenditure</td>
<td>$250,500</td>
<td>$223,000</td>
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</table>
### University of Alaska

#### Spending Allowance Calculation

**FY12 - FY14**

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<thead>
<tr>
<th></th>
<th>Actual FY12</th>
<th>Proposed FY13</th>
<th>Estimated FY14</th>
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<tbody>
<tr>
<td>Endowment value at</td>
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<td></td>
<td></td>
</tr>
<tr>
<td>12/31/2012</td>
<td></td>
<td></td>
<td>$ 122,000,000</td>
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<tr>
<td>12/31/2011</td>
<td></td>
<td>$ 115,851,716</td>
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<tr>
<td>12/31/2010</td>
<td>$ 123,852,087</td>
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<td>123,852,087</td>
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<tr>
<td>12/31/2008</td>
<td>106,033,618</td>
<td>106,033,618</td>
<td>106,033,618</td>
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<tr>
<td>12/31/2007</td>
<td>147,421,464</td>
<td>147,421,464</td>
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<tr>
<td>12/31/2006</td>
<td>135,204,698</td>
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<td></td>
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<tr>
<td>Five year average</td>
<td>126,016,049</td>
<td>122,145,452</td>
<td>117,061,160</td>
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<tr>
<td>Spending Rate</td>
<td>4.5%</td>
<td>4.5%</td>
<td>4.5%</td>
</tr>
<tr>
<td>Spending Allowance</td>
<td>$ 5,670,722</td>
<td>$ 5,496,545</td>
<td>$ 5,267,752</td>
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<tr>
<td>Estimated reduction from prior year</td>
<td>(174,177)</td>
<td>(228,793)</td>
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</tbody>
</table>
IV. PRINCIPLES AND CONSIDERATIONS FOR FUND MANAGEMENT AND INVESTMENT

The Primary Investment Goal of the Fund is to provide a real rate of return (total return minus investment expenses, administrative fees and inflation) sufficient to support the purposes of the various endowments that make up the Fund in perpetuity. Of paramount concern is the preservation of the value of the assets in real terms in order to maintain the purchasing power of the funds for support of the University without eroding the real, long-term value of the corpus.

The greatest investment risk for the Fund is the probability of not meeting its Primary Investment Goal. Therefore, in order to minimize this risk the Committee will consider in all aspects of its investment decision-making process (1) the probability of missing the objective and (2) the asset allocation, which is the primary determinant of long-term performance. Achievement of the Primary Investment Goal and management of funds will be driven by the core principles and considerations listed below.

Charitable Purpose: Endowment management and investment decisions shall be made with consideration to the purposes of the institution and the participating fund(s) and documented donor intent.

Distributions (Spending Allowances): Distributions from the endowment funds shall be made in accordance with spending policies adopted for the particular endowment or class of endowments by the responsible Board. In making such distributions and managing endowments the responsible board shall consider the duration and preservation of the fund, the purposes of the institution and the fund, the general economic conditions including inflation and deflation, the expected total return, other resources of the institution, and the applicable investment policies.

Diversification: The likelihood of realization of the Primary Investment Goal is enhanced substantially through diversification and the reduction of risk; therefore, the Committee will diversify assets among various classes of investments and managers.

Fees and Expenses: Fees and expenses may cause a significant drag on returns and appreciation, which can limit the Boards’ ability to attain the Primary Investment Goal; therefore, the Committee will monitor fees and expenses associated with investment activities on an annual basis and incur only costs that are appropriate and reasonable.

Inflation: The Consumer Price Index shall be used as the basis for determining the real rate of return, and attainment of the Primary Investment Goal, and for setting the Target Rate of Return and Target Asset Allocation.

Liquidity: The Fund has relatively modest cash outflow requirements; therefore, excessive amounts of liquidity are not required and modest portions of the Fund may be invested in non-liquid investments.

Time Horizon: The Fund has an infinite life; therefore, investment strategies may take a long-term perspective.
Total Return: The Boards have adopted a “Total Return” approach to managing endowments, unless otherwise directed by the donor; therefore, the Committee will manage the Fund’s investments without regard to the distinction between current income and net realized or unrealized gains and losses, and will emphasize returns net of fees when assessing overall performance of the Fund and recommending spending rates.

Verification of Facts: A reasonable effort shall be made to verify facts relevant to the management and investment of funds.

Volatility: The Primary Investment Goal can best be achieved by assuming acceptable risk levels commensurate with long-term market volatility; therefore, the Committee will measure and seek to limit the overall level of volatility to an acceptable level as it makes specific asset allocation decisions.
Risks for 8% Mixes

**Historical Projected Standard Deviations for 8% Mixes**

- **Asset Mix Risks Have Risen as Fixed Income Allocations Have Fallen**
  - The additional equity needed to achieve an 8% return increases risk
- **Risks Over Recent Years Have Stabilized at High Levels**
## Consolidated Endowment Fund

### Portfolio Target Returns

<table>
<thead>
<tr>
<th>Year</th>
<th>Foundation Pooled Endowment Funds</th>
<th>UA Land Grant Endowment Funds</th>
<th>Foundation Pooled Endowment Funds</th>
<th>UA Land Grant Endowment Funds</th>
<th>Foundation Pooled Endowment Funds</th>
<th>UA Land Grant Endowment Funds</th>
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<tr>
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<td></td>
<td></td>
<td>2013</td>
<td></td>
<td>2014</td>
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<tr>
<td></td>
<td>Maximum Distribution Requirements:</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
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<tr>
<td></td>
<td>Endowment Fee (current rate)</td>
<td>1.00%</td>
<td>1.00%</td>
<td>1.00%</td>
<td>1.00%</td>
<td>0.50%</td>
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<tr>
<td></td>
<td>Investment Costs (estimated)</td>
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<td>0.22%</td>
<td>0.22%</td>
<td>0.22%</td>
<td>0.10%</td>
</tr>
<tr>
<td></td>
<td>Annual Spending Rate (current rate)</td>
<td>4.00%</td>
<td>4.00%</td>
<td>4.00%</td>
<td>4.00%</td>
<td>4.50%</td>
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<tr>
<td></td>
<td>Distribution Requirements</td>
<td>5.22%</td>
<td>5.22%</td>
<td>5.22%</td>
<td>5.22%</td>
<td>5.10%</td>
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<tr>
<td></td>
<td>Planned Portfolio Growth:</td>
<td></td>
<td></td>
<td></td>
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<tr>
<td></td>
<td>Inflation Provision (Note 1)</td>
<td>2.50%</td>
<td>2.50%</td>
<td>2.50%</td>
<td>2.50%</td>
<td>2.50%</td>
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<tr>
<td></td>
<td>Other</td>
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<td>0.33%</td>
<td>0.00%</td>
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<td></td>
<td>Desired Return (Note 2)</td>
<td>8.05%</td>
<td>8.05%</td>
<td>7.72%</td>
<td>7.72%</td>
<td>7.60%</td>
</tr>
<tr>
<td></td>
<td>Shortfall</td>
<td>0.00%</td>
<td>0.00%</td>
<td>-0.29%</td>
<td>-0.29%</td>
<td>-0.48%</td>
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<tr>
<td></td>
<td>Projected Return (Note 3)</td>
<td>8.05%</td>
<td>8.05%</td>
<td>7.43%</td>
<td>7.43%</td>
<td>7.12%</td>
</tr>
<tr>
<td></td>
<td>Portfolio Risk (Standard Deviation, Note 4)</td>
<td>13.68%</td>
<td>13.68%</td>
<td>13.92%</td>
<td>13.92%</td>
<td>14.30%</td>
</tr>
</tbody>
</table>

**Notes:**

1. The inflation provision based on Callan Associates forecast of inflation.

2. The return required to fund the current spending rate and set aside a provision for inflation equal to the forecasted CPI.

3. Projected Return is based on Callan Associates forecast of returns based on the portfolio's asset allocation and risk characteristics.

4. Projected by Callan Associates based on asset allocation targets approved by the Investment Committee.

5. This schedule demonstrates the trend of expected risk and return and the impact on spending and accumulation decisions.
B. The level of approval required for formal project approval shall be based upon estimated total project costs:

1. Projects with an estimated total project cost of in excess of $4.0 million will require approval by the board based on recommendations from the regents’ committee responsible for facilities;

2. Projects with an estimated total project cost in excess of $2.0 million but not more than $4.0 million will require approval by the regents’ committee responsible for facilities;

3. Projects with an estimated total project cost in excess of $1.0 million but not more than $2.0 million will require approval by the chair of the regents’ committee responsible for facilities;

4. Projects with an estimated total project cost of $1.0 million or less will require approval by the chief finance officer.

(09-18-03)

A. Schematic design approval represents approval of the location of the facility, its relationship to other facilities, the functional relationship of interior areas, the basic design including construction materials, mechanical, electrical, technology infrastructure and telecommunications systems, and any other changes to the project since formal project approval.

B. Unless otherwise designated by the approval authority or a material change in the project is subsequently identified, Schematic Design Approval also represents approval of the proposed cost of the next phases of the project and authorization to complete the design development process, to bid and award a contract within the approved budget, and to proceed to completion of project construction. Provided however, if a material change in the project is subsequently identified, such change will be subject to the approval process described in P05.12.047.

C. (not included – outlines requirements for submittal materials)

D. The request for schematic design approval shall also include a variance report identifying any significant changes in scope, cost, schedule, funding plan, operating cost impact, or other cost considerations from the time the project received formal project approval.
E. Schematic design approval levels shall be the same as formal project approval levels; provided however, if no material change in the project has been identified since formal project approval, approval levels shall be as follows:

1. Projects with an estimated total project cost of in excess of $4.0 million will require approval by the board based on recommendations from the regents’ committee responsible for facilities;
2. Projects with an estimated total project cost of more than $2.0 million but not more than $4.0 million will require approval by the regents’ committee responsible for facilities;
3. Projects with an estimated total project cost of more than $1.0 million but not more than $2.0 million will require approval by the chair of the regents’ committee responsible for facilities;
4. Projects with an estimated total project cost of $1.0 million or less will require approval by the university’s chief finance officer.  (09-18-03)

PROPOSED FINAL LANGUAGE

E. Schematic design approval levels shall be as follows:

1. Projects with an estimated total project cost of in excess of $4.0 million will require approval by the board based on recommendations from the regents’ committee responsible for facilities;
2. Projects with an estimated total project cost of more than $2.0 million but not more than $4.0 million will require approval by the regents’ committee responsible for facilities;
3. Projects with an estimated total project cost of more than $1.0 million but not more than $2.0 million will require approval by the chair of the regents’ committee responsible for facilities;
4. Projects with an estimated total project cost of $1.0 million or less will require approval by the university’s chief finance officer.  (06-07-12)
CURRENT LANGUAGE with TRACK CHANGES for PROPOSED LANGUAGE CHANGES

P05.12.047. Capital Project Development: Approval Levels for Changes in Funding Sources, Total Project Cost, or Scope Subsequent to Schematic Design Approval.

Approval levels required for changes in the source of funds, decreases or increases in budget, savings to the construction budget or material changes in program or project scope identified subsequent to schematic design approval shall be determined by the chief finance officer based on the extent of the change and other relevant circumstances. This determination requires judgment, but will generally be based on the nature of the funding source, the amount, and the budgetary or equivalent scope impact relative to the approved budget at the schematic design approval stage, and assigned as follows:

A. Changes with an estimated impact in excess of $1.0 million will require approval by the board based on recommendations from the regents’ committee responsible for facilities;

B. Changes with an estimated impact in excess of $0.4 million but not more than $1.0 million will require approval by the regents’ committee responsible for facilities;

C. Changes with an estimated impact in excess of $0.2 million but not more than $0.4 million will require approval by the chair of the regents’ committee responsible for facilities;

D. Changes with an estimated impact in of $0.2 million or less will require approval by the chief finance officer.

PROPOSED FINAL LANGUAGE

P05.12.047. Capital Project Development: Approval Levels for Changes in Funding Sources, Total Project Cost, or Scope Subsequent to Schematic Design Approval.

Approval levels required for changes in the source of funds, increases or decreases in budget, savings to the construction budget, or material changes in program or project scope identified subsequent to schematic design approval shall be determined by the chief finance officer based on the extent of the change and other relevant circumstances. This determination requires judgment, but will generally be based on the nature of the funding source, the amount, and the budgetary or equivalent scope impact relative to the approved budget at the schematic design approval stage, and assigned as follows:

A. Changes with an estimated impact in excess of $1.0 million will require approval by the board based on recommendations from the regents’ committee responsible for facilities;

B. Changes with an estimated impact in excess of $0.4 million but not more than $1.0 million will require approval by the regents’ committee responsible for facilities;
Bylaws of the Board of Regents

BL01. Name, Authority, and Seal.

A. Name.

The official name of the Board of Regents will be the Board of Regents of the University of Alaska. In these bylaws, the term “board” means the Board of Regents of the University of Alaska.

B. Constitutional Authority.

1. The University of Alaska is established by the Constitution of the State of Alaska, Article VII, Section 2, which provides:

   The University of Alaska is hereby established as the state university and constituted a body corporate. It shall have title to all real and personal property now or hereafter set aside for or conveyed to it. Its property shall be administered and disposed of according to law.

2. The Board of Regents and its authority over the University of Alaska is established by the Constitution of the State of Alaska, Article VII, Section 3, which provides:

   The University of Alaska shall be governed by a board of regents. The regents shall be appointed by the governor, subject to confirmation by a majority of the members of the legislature in joint session. The board shall, in accordance with law, formulate policy and appoint the president of the university. He shall be the executive officer of the board.

C. Statutory Authority.

Statutory provisions related to the authority of the Board of Regents over the University of Alaska are contained in AS 14.40.

D. Corporate Seal.

The corporate seal of the University of Alaska will contain an inner circle and an outer circle. The outer circle will contain the name "University of Alaska" and the inner circle will contain the words "corporate seal," and the year "1917" signifying the founding of the University of Alaska.

   (06-07-12)
BL02. Appointment, Term of Office, Compensation and Orientation.

A. Appointment of Regents.
Regents will be selected, appointed, and will hold office in the manner provided by law.
For purposes of determining the qualifications for office of the student regent appointed
pursuant to AS 14.40.150(b), "full-time student" as used in AS 14.40.130(e) means a
student enrolled in at least 12 units, or 9 units if admitted as a graduate student. Unless
otherwise disqualified for academic or disciplinary reasons, a person who has met the
standard of "full-time student" ceases to be a student only upon failing to enroll as a full-
time student at the university by the end of the last applicable late registration deadline
for two consecutive semesters. For purposes of the preceding sentence, "semester"
includes the fall, spring, or summer semester, summer session, or summer term.

B. Term of Office.
The term of office for a regent other than the student regent appointed pursuant to AS
14.40.150(b) is eight years as provided by AS 14.40.140. The term of office begins on
the first Monday in February of the year in which the appointment is made. The term of
office for the student regent appointed pursuant to AS 14.40.150(b) is two years and
begins on June 1 of the year in which the appointment is made as provided by AS
14.40.150(b). Regents serve for the length of their term, until resignation, or until a
replacement has been named by the governor.

C. Compensation.
Regents receive no compensation for their service. Regents will receive per diem and
reimbursement for travel expenses for attendance at board meetings or for other
university purposes approved by the board chair.

D. Orientation.
Each regent will be informed of the powers and responsibilities of members of the board
by the board chair and the university president within a reasonable time following the
regent's appointment. (06-07-12)

BL03. Duties of the Board of Regents.
The board will be responsible for the governance of the university as provided by the
Constitution of the State of Alaska and the laws enacted pursuant thereto. The board may
annually review the performance of the board and set annual goals. A failure to perform an
annual review is an internal matter and does not affect the validity of any action. (06-07-12)

BL04. Officers.
The officers of the board will be chair, vice chair, secretary, and treasurer. The board may
establish or abolish from time to time such offices and positions as may be appropriate to
perform the functions of the board. (02-07-07)
**BL05. Officer Election, Term of Office, Removal from Office, and Vacancies.**

A. Election.
At the annual meeting of the board, the officers of the board will be elected by a simple majority vote. Voting may be by secret ballot. Nominations will be taken from the floor.

B. Term of Office.
The officers of the board will serve a 1-year term of office or until a successor is elected. A regent may not hold office as chair for more than three full consecutive terms.

C. Removal from Office.
An officer of the board may be removed from the office by a simple majority vote of the whole board at any regular or special meeting.

D. Vacancies.
Upon completion of service of a regent holding office, the office becomes vacant. A vacancy created by death, resignation, expiration of the term of appointment or otherwise may be filled at the same meeting, or the next regular or special meeting of the board. A person elected to fill a vacancy serves the remainder of the term of the office vacated.

**BL06. Duties and Powers of Board Officers.**

A. Chair.
The board chair will preside at all meetings of the board; will establish and eliminate committees of the board as appropriate; will appoint the chairs and members of all committees of the board unless otherwise specified in these bylaws; will assign individual regents to external boards and commissions; will sign requisitions as provided in AS 14.40.290(a); and will perform such other duties as may be provided by these bylaws or by law. All decisions of the chair are subject to the will of the board. The chair will be entitled to vote in all matters.

B. Vice Chair.
The vice chair will, in the case of the vacancy, absence, incapacity, or resignation of the chair, perform the duties of the chair until the chair returns or is replaced in the manner provided by these bylaws.

C. Secretary.
The secretary will cause to be kept minutes of the meetings of the board; will attend to the serving of all notices required by these bylaws after consultation with the board chair and the university president; will attend to such correspondence as may be assigned; will perform all duties incidental to the office of secretary; and will sign requisitions as provided by AS 14.40.290(a).

D. Treasurer.
The treasurer will be the custodian of the funds and securities of the university, and will deposit the same in the name of the university in such bank or banks as the board may designate. The treasurer will pay out money under the direction of the board, and will
exhibit the records at any time to any person authorized to inspect the same. The treasurer will give a bond for the faithful performance of duties in such sum as the board may prescribe, the premiums to be paid from the funds of the university.

E. Secretary or Treasurer Pro Tem.
In the absence of the secretary or treasurer, the chair may appoint a regent to serve as secretary pro tem or treasurer pro tem who will have all authority of the secretary or treasurer. The appointments may be terminated by a majority vote of the board.

F. Delegation of Powers.
In case of the absence of any officer of the board, or for any other reason that the board may deem sufficient, the board, by majority vote, may delegate the powers or duties of such officer to any member of the board.

(04-08-11)

BL07. Committees of the Board of Regents.

A. Scope.
The committees of the board will study problems in the areas assigned to them and advise the board as to appropriate policy changes and action. Each committee will keep informed with respect to the manner in which the policies of the board are being administered in its assigned area. Unless otherwise specifically directed by action of the board, all committees will be advisory to the board. Committees will be established and eliminated by the board chair. Decisions of committees may be overruled by action of the board.

B. Composition.
Unless committee composition is otherwise provided by these bylaws, committees will consist of not less than three, nor more than five regents appointed by the chair with the chair serving as an ex-officio member of each committee.

C. Committee Chair.
The board chair will appoint and may remove the chair of each committee unless otherwise specified in these bylaws.

D. Term.
The 1-year term of all committee appointees will expire concurrently with the term of the officers of the board.

E. Specially Designated Committee Members.
The chair of each committee may designate any regent who is present at a committee meeting, but is not a regular member of that committee, to serve as a special member of the committee in the event that a regular member is absent from the meeting. Specially designated committee members will enjoy all the rights and privileges of regularly appointed committee members for the duration of the scheduled meeting, including the right to vote.
F. Audit Committee.
The Audit Committee is established as a standing committee of the board. The committee shall be responsible for advising the board on matters relating to stewardship of University finances and assets, for oversight of internal and external audit functions, and for ascertaining the existence and adequacy of accounting and internal control systems and safeguards over University assets. The committee shall recommend to the board the selection of the University's external auditors.

G. Audit Committee Charter.

1. The primary function of the Audit Committee is to assist the board in fulfilling its oversight responsibilities relating to: the university's financial statements, systems of internal control, compliance with legal and regulatory requirements, and the independence and performance of the external and internal audit functions. The committee shall maintain free and open communication among the committee, independent auditors, the internal auditors and management of the university.

2. Members shall be independent of management of the university and its component units and related organizations, and be free of any financial or personal relationship that would impair such independence. If possible, a majority of members shall be financially literate and at least one member shall be a financial expert. “Financial literacy” means being able to read and understand fundamental financial statements. “Financial expert” means a person who has one or more of the following: an understanding of generally accepted accounting principles and financial statements, experience applying such principles, experience preparing or auditing financial statements, experience with internal controls, and an understanding of audit committee functions.

3. Management is directly responsible for the preparation, presentation, and integrity of the university’s financial statements and for the appropriateness of the accounting principles and reporting practices used by the university. The committee is responsible for overseeing management’s efforts to meet those responsibilities in a reasonable and appropriate manner. The principal duties and responsibilities of the committee include:

   a. the appointment, compensation, oversight, and retention of the independent external auditor; the external auditor shall report directly to the committee;

   b. the approval of all audit and non-audit services provided by the external auditor; pre-approval authority may be delegated to the committee chair, subject to later ratification by the committee;

   c. appropriate rotation of the lead external audit partner on the audit engagements;
d. providing sufficient opportunity for the external auditors, the internal auditor, and the general counsel to each meet privately with the committee;

e. inquiring of management and the external auditor about the effectiveness of the university’s system of internal controls;

f. inquiring of management, the independent auditors and the internal auditors about: the appropriateness of the university’s accounting principles, the consistency in the application of those principles, the degree of aggressiveness or conservatism used in applying those principles;

g. inquiring of management, the external auditors and the internal auditors about the clarity and completeness of the financial statements and related disclosures, including the appropriateness of any significant changes in accounting principles;

h. reviewing with management and the independent external auditor all matters required to be communicated to the committee under generally accepted auditing standards, including communications under Statement of Auditing Standards No. 61 "Communications with Audit Committee", as amended; reviewing and approving the annual financial statements of the university and the audit report on Federal Awards as required by OMB Circular A-133, also known as the single audit; the report on the single audit is completed at a later date than the university’s financial statements;

i. reviewing periodic reports from the internal auditor regarding all audit activities at the university;

j. reviewing, as needed, the internal audit charter and audit protocols under P05.03.010 – 05.03.018 and making recommendations to the board regarding changes and enhancements;

k. maintaining adequate policies and procedures for addressing complaints regarding accounting controls and reports of financial fraud;

l. reviewing briefings from the internal auditor, general counsel, or management on financial fraud situations and/or whistleblower complaints;

m. the development and monitoring of the university’s conflict of interest policies, principles of employee conduct, and fraud policy; and

n. reporting the results of the committee’s activities to the board.
H. Special Committees.
The board chair may appoint such special committees with such membership and responsibilities as the chair may determine.

(06-07-12)

BL08. Meetings of the Board of Regents and Committees.

A. Open Meetings
Meetings of the board and its committees are subject to the Alaska Open Meetings Act. The board will provide adequate facilities for members of the public to attend board meetings.

B. Executive Sessions.
To the full extent allowed and pursuant to procedures provided by AS 44.62.310, the board or a committee of the board may go into executive session upon majority vote. Voice votes are authorized on all motions made during executive sessions. At any time during executive session, without regard to how the regent voted, a motion to reconsider the motion to go into executive session may be made by any regent, and discussed by the board or committee in executive session. If the board makes findings during an executive session, the findings will be made a part of the record of the proceedings and will be open to inspection by the public at reasonable times.

C. Meeting Dates.
The date and location of regular or special meetings of the board will be fixed by the board from time to time. Special and emergency meetings may also be called by the board chair, university president, or at the written request of any three regents, provided that notice as required by these bylaws is given.

D. Annual Meeting.
The Annual Meeting of the board shall be the last regular meeting of the calendar year. The board shall elect its officers at the annual meeting.

E. Notice of Meetings.
1. In accordance with AS 14.40.160(b), thirty days public notice will be provided for regular meetings of the board. Ten days public notice will be provided for special meetings of the board. Emergency meetings may be called without public notice.

2. Notice of all board meetings will be given to each regent and will specify the time and place of the meeting. Unless all regents are present, action taken at a special or emergency meeting must be directly related to the purpose of the meeting as noticed to regents. Notice will be deemed given, whether or not such notice is actually received, by means of any of the following methods:
   a. mailing written notice by the United States Postal Service postage prepaid to the last known address of the regent at least 96 hours prior to the time of meeting;
b. attempting to give verbal notice by telephoning the business, cell phone or residence of the regent at the last known telephone number of the regent and leaving a message notifying the regent of the meeting; or leaving a message to return the call, and, if the call is returned, notifying the regent of the meeting;

c. providing written notice by facsimile transmission to the last known facsimile telephone number of the regent; or

d. mailing notice to the last known email address of the regent.

F. Disputes Concerning Notice.
The board has the final determination of all disputes concerning the giving of notice.

G. Quorum and Voting.
No business may be transacted at any meeting of the board unless at least six regents are present, either participating in person or by remote conferencing (audio or video). There will be no proxy permitted. There is no quorum requirement for committee meetings. Official action of the board requires the affirmative vote of the majority of the whole board. During public session of the full board, any vote may be taken by roll call at the discretion of the chair. Except for organizational matters, roll call votes must be taken when regents participate via remote conferencing. Roll call votes will not normally be used in committee meetings except those conducted by teleconference.

H. Rules of Order.
When not in conflict with any of the provisions of these bylaws or other law, the latest revision of Robert's Rules of Order will constitute the rules of parliamentary procedure applicable to all meetings of the board.

I. Unanimous Consent.
In meetings of the board or its subcommittees that are not held by teleconference, the chair may elect to seek unanimous consent, in which case, the following process shall be used. The chair shall ask if there is any objection to unanimous consent to a motion or action. If no regent objects, all regents present at the time shall be counted and recorded as voting to approve the action or motion. In such event, the chair should announce that there was no objection so all regents present will be counted as voting in favor of the action or motion. If any regent present objects to unanimous consent or requests another method of voting, a roll call vote or other appropriate method of voting shall be used.

J. Agenda.

1. An advance agenda for committee and full board meetings will be prepared by the president after consultation with the officers of the board, and distributed along with relevant supporting papers, reports, or other communications or exhibits pertaining to agenda items so that it is received by each regent at least seven days prior to any meeting of the board. The 7-day requirement may be waived by the chair of the board at the request of the board. The provisions of this paragraph are for guidance in preparation for meetings and do not affect the validity of actions of the board.
2. The first order of business at any meeting of the board will be the adoption of the agenda for the meeting. At that time, an item of business may be added to or deleted from the agenda upon a majority vote of the board or committee members present. After the agenda has been adopted by the board or committee, changes can be made upon a two-thirds vote of the members present. Unless all regents are present, action taken at a special or emergency meeting must be directly related to the purpose of the meeting as noticed to regents.

3. The board, its committees, and subcommittees, may conduct public forums or hearings without a formal agenda for the forums or hearings, provided that such meetings are properly noticed in accordance with these bylaws.

K. Effective Date of Actions.
Board action will be effective at the time of the action, unless otherwise specified in the motion.

(06-07-12)

BL09. Public Testimony.
Subject to the will of a majority of the board, the chair may offer an opportunity for public testimony at regular meetings upon such terms as deemed appropriate and may limit the amount of time allocated to any particular individual or issue.

(02-07-07)

The board may allow presentations by individuals or groups external or internal to the university. Persons or groups not having submitted a timely request in advance of the meeting to make a presentation at a board meeting may be recognized from the floor at the sole discretion of the chair. The chair may limit the length of any presentation.

(02-07-07)

BL11. Minutes; Public Inspection.
A. The minutes of full board meetings will record the action taken on motions or resolutions and, once approved, will be the official record of board actions. The minutes will reflect at least the statement of the problem considered, pertinent recommendations, action taken by the board, and the result of the vote. The minutes will reflect how each regent voted. Separate minutes will not be prepared for proceedings of executive sessions and committee meetings.

B. The approved minutes of the board and other records of public sessions of the board will be available for public inspection under reasonable rules during regular office hours. Minutes shall be retained indefinitely in printed form.

(02-07-07)
BL12. University President.

In accordance with Article VII, Section 3, of the Alaska Constitution, the board will appoint the president by a majority vote of the whole board and fix the president's compensation. The board shall annually review the performance of the president. A failure to conduct a performance review is an internal matter and does not affect the validity of any action. (06-07-12)

BL13. Indemnification.

The board will defend, indemnify, and hold harmless board members and officers, university officers and employees, and members of advisory bodies and councils established by policy or regulation from any and all liability or damage arising out of acts on behalf of the board and the university performed within the course or scope of their official duties. (02-07-07)


The board may adopt, amend, or repeal policies. Action by the board to adopt or amend a policy of the board may be taken at any regular, special, or emergency meeting by a majority vote of the whole board, but any proposed policy or policy proposed for amendment must appear in the advance agenda of the meeting. (06-07-12)


The board will maintain its bylaws and policies in the form of a compiled manual entitled "Regents' Bylaws and Policy," which will be made available for public inspection. (02-07-07)


The president is authorized to adopt regulations consistent with bylaws and policies of the board and maintain them in the form of a compiled manual entitled "University Regulations," which will be made available for public inspection. The lack of a regulation anticipated in policy is an internal matter and does not create a right of action for any purpose. (02-07-07)

BL17. Actions by the Board of Regents; Ratification; Objections.

A. The board at any meeting may take action by motion that is consistent with these bylaws, even if inconsistent with adopted policy.

B. Requirements of these bylaws may be waived at any time by unanimous consent of all regents who are not disqualified from acting on the matter. Actions of the board in violation of these bylaws may be ratified by a majority vote at a meeting of the board at least three days following notice of the action to all regents.

C. Objections to proceedings or action taken during meetings must be made as soon as reasonably possible and the right of a regent to object may be waived by action of that regent which is inconsistent with the objection. (02-07-07)

If provisions conflict, the following order of priority will apply:

1. Bylaws
2. Regents’ Policy
3. University Regulation

(02-07-07)

BL19. Amendment and Review of Bylaws.

A. Bylaws may be amended by a majority vote of the whole board at any regular or special meeting. Any proposed amendment, however, must be filed with the secretary of the board at least 14 days prior to the meeting at which the proposed bylaw or amendment to these bylaws will be acted upon, and a copy of the proposed bylaw or amendment to these bylaws will immediately be transmitted by the secretary to each member of the board. A proposed amendment filed and noticed timely may be further amended by a two-thirds majority vote of the whole board at the regular or special meeting specified in the notice.

B. The filing and notice provisions of this section may be waived by unanimous consent of all regents.

C. Every five years, the university administration will report to the board on the status of the bylaws, making such recommendations as to revisions, additions and/or deletions as appear appropriate.

(02-07-07)

BL20. Referral of a Regent for Possible Impeachment

A. Upon a simple majority vote of the whole board finding that it is in the best interests of the university to do so, the board may refer a regent to the senate with a recommendation that the senate consider impeachment of the regent.

B. Grounds for referral may include:

1. A criminal complaint, presentment, information, indictment or conviction involving a felony in any jurisdiction;

2. An information, formal criminal charges or conviction of a misdemeanor involving dishonesty, breach of trust, or the University of Alaska;

3. A probable cause determination of a knowing ethics violation under AS 39.52 that results in an accusation under consideration by the personnel board, or a recommendation of removal from office under AS 39.52.410(b)(3);
4. Circumstances indicating: conduct that necessarily brings the university into disrepute; material, repeated and documented neglect of duty; or a regent’s inability to serve for an extended period;

5. Judicial proceedings involving or an adjudication of incompetence;

6. A formal allegation or charge, or a final decision, by a professional or occupational licensing body, alleging or finding a violation of the relevant licensing statutes or regulations that is related to the regent's ability or fitness to serve as a regent; or

7. Failure to possess the qualifications of a regent under AS 14.40.130.

C. The following process shall be followed in considering a motion to refer for possible impeachment. Consistent with AS 44.62.310(d)(5), the Open Meetings Act does not apply and all meetings regarding a possible referral shall be conducted in executive session. The process shall maintain confidentiality consistent with the circumstances and the requirements of the review:

1. Any member may request an executive session to discuss appointment of a review committee;

2. The board may consider a motion to appoint a review committee. If a simple majority of the whole board approves the motion:

   a. The chair shall appoint a review committee of not less than three members and provide written notice to the affected member of the makeup of the committee and the stated grounds for possible referral;

   b. The review committee shall gather information relevant to the stated grounds for referral, offer the affected member an opportunity to comment on the information gathered, and make a written report of its review, findings and recommendation to the secretary of the board. The report shall be confidential unless a referral for impeachment is made, at which point any further release shall be made in accordance with this bylaw and applicable law. The secretary shall immediately distribute the report to all members of the board, including the affected member.

3. The chair shall schedule a meeting to consider the report, to occur at least 14 calendar days after distribution. The board shall consider information the affected member provides in response to the report that is relevant to the issue of referral and consistent with the question before the board.

4. The board shall consider whether it is in the best interests of the university to refer the affected member for possible impeachment.
a. In accordance with AS 39.52.120(a)(4), Roberts Rules of Order and this bylaw, the affected member may not participate in the vote, but is considered an active member for purposes of the required majority.

5. If the motion passes by the required majority the secretary immediately shall transmit the motion, the report and any written response or materials provided by the affected member to the president of the senate.

a. The board shall reconvene in public session and the motion shall be entered in the official minutes of the board.

(03-09-12)
### Fundraising Progress (excluding private grants)**
#### FY12 YTD (July 1 to March 31)

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<tr>
<th></th>
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<tr>
<td>UAA</td>
<td>$3,778,259</td>
<td>$22,714,487</td>
<td>$15,080,120</td>
<td>$6,054,845</td>
<td>$9,243,206</td>
<td>$8,387,500</td>
<td>$6,935,619</td>
</tr>
<tr>
<td>UAF*</td>
<td>$6,573,432</td>
<td>$6,386,583</td>
<td>$5,166,640</td>
<td>$6,186,988</td>
<td>$4,050,756</td>
<td>$7,080,000</td>
<td>$11,016,471</td>
</tr>
<tr>
<td>UAS</td>
<td>$933,445</td>
<td>$411,202</td>
<td>$266,034</td>
<td>$661,068</td>
<td>$500,000</td>
<td>$500,000</td>
<td>$337,647</td>
</tr>
<tr>
<td>UA Statewide</td>
<td>$11,366,769</td>
<td>$734,119</td>
<td>$8,380,464</td>
<td>$3,657,321</td>
<td>$1,000,000</td>
<td>$1,000,000</td>
<td>$1,205,668</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>$22,651,905</strong></td>
<td><strong>$30,246,391</strong></td>
<td><strong>$28,946,811</strong></td>
<td><strong>$16,165,188</strong></td>
<td><strong>$15,264,489</strong></td>
<td><strong>$16,967,500</strong></td>
<td><strong>$19,495,406</strong></td>
</tr>
</tbody>
</table>

* Excludes KUAC giving
** Starting in FY11, private grants were added to Raisers Edge. These numbers exclude those grants.

### Fundraising Goals**

<table>
<thead>
<tr>
<th></th>
<th>Student Support</th>
<th>Program Support</th>
<th>Faculty Support</th>
<th>Capital Projects</th>
<th>General Support</th>
<th>Totals</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Goal</td>
<td>FY12 YTD</td>
<td>Goal</td>
<td>FY12 YTD</td>
<td>Goal</td>
<td>FY12 YTD</td>
</tr>
<tr>
<td>UAA</td>
<td>$1,415,000</td>
<td>$1,007,105</td>
<td>$3,885,000</td>
<td>$2,831,665</td>
<td>$2,320,000</td>
<td>$1,401,825</td>
</tr>
<tr>
<td>UAF*</td>
<td>$570,000</td>
<td>$1,707,286</td>
<td>$1,480,000</td>
<td>$1,032,011</td>
<td>$1,300,000</td>
<td>$0</td>
</tr>
<tr>
<td>UAS</td>
<td>$370,000</td>
<td>$203,102</td>
<td>$100,000</td>
<td>$81,112</td>
<td>$10,000</td>
<td>$0</td>
</tr>
<tr>
<td>UA Statewide</td>
<td>$587,968</td>
<td>$444,900</td>
<td>$0</td>
<td>$0</td>
<td>$172,800</td>
<td>$1,000,000</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>$3,355,000</strong></td>
<td><strong>$3,505,461</strong></td>
<td><strong>$5,465,000</strong></td>
<td><strong>$4,389,688</strong></td>
<td><strong>$3,630,000</strong></td>
<td><strong>$2,980,000</strong></td>
</tr>
</tbody>
</table>

% of Total

- Student Support: 12.1%
- Program Support: 18.0%
- Faculty Support: 28.0%
- Capital Projects: 22.5%
- General Support: 18.6%
- Totals: 7.2%

* Excludes KUAC giving
** Starting in FY11, private grants were added to Raisers Edge. These numbers exclude those grants.

### Private Grants and Fundraising (including private grants)
#### FY12 YTD (July 1 to March 31)

<table>
<thead>
<tr>
<th></th>
<th>FY11</th>
<th>FY12 Goal</th>
<th>FY12 YTD</th>
</tr>
</thead>
<tbody>
<tr>
<td>UAA</td>
<td>$10,371,708</td>
<td>$8,387,500</td>
<td>$7,841,302</td>
</tr>
<tr>
<td>UAF*</td>
<td>$20,843,493</td>
<td>$11,000,000</td>
<td>$12,602,233</td>
</tr>
<tr>
<td>UAS</td>
<td>$706,068</td>
<td>$500,000</td>
<td>$362,647</td>
</tr>
<tr>
<td>UA Statewide</td>
<td>$2,974,436</td>
<td>$1,000,000</td>
<td>$2,253,447</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>$34,895,705</strong></td>
<td><strong>$20,887,500</strong></td>
<td><strong>$23,059,628</strong></td>
</tr>
</tbody>
</table>

* Excludes KUAC giving
### Donor Progress
#### FY12 YTD (July 1 to March 31)

<table>
<thead>
<tr>
<th></th>
<th>FY07</th>
<th>FY08</th>
<th>FY09</th>
<th>FY10</th>
<th>FY11</th>
<th>FY12 YTD</th>
<th># Addressable records+</th>
<th>Participation Rate</th>
<th>Non Addressable Records</th>
</tr>
</thead>
<tbody>
<tr>
<td>Total*</td>
<td>4,437</td>
<td>4,787</td>
<td>4,460</td>
<td>5,324</td>
<td>5,732</td>
<td>3,487</td>
<td>120,537</td>
<td>2.89%</td>
<td>11,171</td>
</tr>
<tr>
<td>Individuals</td>
<td>3,994</td>
<td>4,279</td>
<td>3,949</td>
<td>4,753</td>
<td>5,066</td>
<td>3,054</td>
<td>114,696</td>
<td>2.66%</td>
<td>9,774</td>
</tr>
<tr>
<td>Alumni</td>
<td>2,616</td>
<td>2,529</td>
<td>2,452</td>
<td>2,682</td>
<td>2,738</td>
<td>1,426</td>
<td>68,037</td>
<td>2.10%</td>
<td>5,078</td>
</tr>
<tr>
<td>Faculty/Staff**</td>
<td>n/a</td>
<td>463</td>
<td>525</td>
<td>520</td>
<td>510</td>
<td>306</td>
<td>17,316</td>
<td>1.77%</td>
<td>729</td>
</tr>
<tr>
<td>Friends</td>
<td>1,239</td>
<td>1,378</td>
<td>1,287</td>
<td>1,179</td>
<td>1,818</td>
<td>1,322</td>
<td>39,117</td>
<td>3.38%</td>
<td>3,967</td>
</tr>
<tr>
<td>Organizations</td>
<td>443</td>
<td>508</td>
<td>511</td>
<td>571</td>
<td>666</td>
<td>433</td>
<td>5,841</td>
<td>7.41%</td>
<td>1,397</td>
</tr>
<tr>
<td>Corporations</td>
<td>n/a</td>
<td>343</td>
<td>325</td>
<td>314</td>
<td>420</td>
<td>254</td>
<td>4,621</td>
<td>5.50%</td>
<td>621</td>
</tr>
<tr>
<td>Foundations</td>
<td>n/a</td>
<td>50</td>
<td>33</td>
<td>38</td>
<td>49</td>
<td>44</td>
<td>327</td>
<td>13.46%</td>
<td>26</td>
</tr>
<tr>
<td>Other</td>
<td>n/a</td>
<td>115</td>
<td>153</td>
<td>219</td>
<td>197</td>
<td>135</td>
<td>2,290</td>
<td>5.90%</td>
<td>750</td>
</tr>
</tbody>
</table>

* Excludes KUAC donors
** Faculty/Staff that are alumni of the University of Alaska are reflected under the alumni category
+ Determined as of report date

### Alumni Participation Rate by Undergraduate-Degreed Alumni (Public Institutions)

<table>
<thead>
<tr>
<th>National Comparison</th>
<th>2008</th>
<th>2009</th>
<th>2011</th>
<th>2012 YTD</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>UAA</td>
<td>UAF</td>
<td>UAS</td>
<td>UAA</td>
</tr>
<tr>
<td>Research/Doctoral</td>
<td>10.50%</td>
<td>9.40%</td>
<td>53.85%</td>
<td>27.27%</td>
</tr>
<tr>
<td>Master's</td>
<td>5.50%</td>
<td>4.70%</td>
<td>8.31%</td>
<td>5.00%</td>
</tr>
<tr>
<td>Baccalaureate</td>
<td>8.40%</td>
<td>7.60%</td>
<td>5.23%</td>
<td>2.62%</td>
</tr>
<tr>
<td>Associates</td>
<td>1.80%</td>
<td>1.30%</td>
<td>2.69%</td>
<td>1.23%</td>
</tr>
<tr>
<td>Total</td>
<td>6.55%</td>
<td>5.75%</td>
<td>5.18%</td>
<td>2.37%</td>
</tr>
</tbody>
</table>
**Report on Generosity**
**Board Giving**
(by IRS Receipting Standards)

### Foundation Trustees*

<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Total Gifts ($)</td>
<td>$100,948</td>
<td>$26,855</td>
<td>$2,010,510</td>
</tr>
<tr>
<td>Donors</td>
<td>23</td>
<td>11</td>
<td>5</td>
</tr>
<tr>
<td>Total Members</td>
<td>32</td>
<td>27</td>
<td>32</td>
</tr>
<tr>
<td>% of Board Giving</td>
<td>72%</td>
<td>41%</td>
<td>16%</td>
</tr>
<tr>
<td>Average Gift Amount**</td>
<td>$4,389</td>
<td>$2,441</td>
<td>$402,102</td>
</tr>
<tr>
<td>Number of Legacy Society Members</td>
<td>6</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

* Includes Trustees serving anytime during reporting period

** Cumulative gifts in excess of $100,000

### University Regents*

<table>
<thead>
<tr>
<th></th>
<th>FY12 YTD (7/1/2011 to 3/31/2012)</th>
<th>Calendar Year 2012</th>
<th>Lifetime Giving** (through March 31, 2012)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Total Gifts ($)</td>
<td>$5,000</td>
<td>$210</td>
<td>$178,306</td>
</tr>
<tr>
<td>Donors</td>
<td>7</td>
<td>2</td>
<td>1</td>
</tr>
<tr>
<td>Total Members</td>
<td>11</td>
<td>11</td>
<td>11</td>
</tr>
<tr>
<td>% of Board Giving</td>
<td>64%</td>
<td>18%</td>
<td>9%</td>
</tr>
<tr>
<td>Average Gift Amount**</td>
<td>$714</td>
<td>$105</td>
<td>$178,306</td>
</tr>
<tr>
<td>Number of Legacy Society Members</td>
<td>0</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

* Includes Regents serving anytime during reporting period

** Cumulative gifts in excess of $100,000

Giving based on IRS Standards, including outright gifts, pledge payments, and gifts given by spouse.
Prepared By:  David Woodley, Executive Director Advancement Services
Date Prepared: 5/14/2012
Education and Training Gap Analysis for the Fisheries, Seafood, Maritime Workforce

Prepared for:
University of Alaska

Prepared by:
McDowell Group
Juneau • Anchorage

May 2012
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Study Purpose and Methodology

Study Purpose

This gap analysis was developed to help identify training and education needs and opportunities related to industries in the Fisheries, Seafood, Maritime (FSM) sector. It reflects the ideas and experience of participants from private, public and nonprofit organizations working in FSM subsectors across Alaska, as well as data collected by the Alaska Department of Labor and Workforce Development (DOLWD). This research is intended to provide a factual and theoretical foundation for further training and education design efforts by the University of Alaska (UA), other workforce training and education entities, and the businesses and agencies of the sector itself.

Assessment Methodology

The gap analysis included the following major tasks:

• An overview of the Fisheries Seafood Maritime sectors and summary of discussions held at the Alaska Joint Fisheries Seafood Maritime Workforce Forum held at UAA on March 5, 2012

• Telephone interviews with 25 representatives of the FSM sector and selected training providers

• Design and fielding of an online Workforce Needs Survey distributed by email to 250 FSM businesses and organizations and promoted through sector membership organizations

• Identification and analysis of specialized employment and training data in cooperation with the Alaska Department of Labor and Workforce Development Research and Analysis Unit

• Briefing and discussion with the UA Allied Fisheries Working Group

• Production of this report and associated data files for public use

Conclusions presented below draw on all these sources of information to identify common themes. It is important to remember, however, that the information provided at the Forum, through interviews, and in the online survey are anecdotal and may not be representative of the sector as a whole. Data and analysis provided by the Alaska Department of Labor also has limitations, primarily because it is based on industry and occupation codes that are not always aligned with the structure and activities of the FSM sector.
The FSM Sector

Overview

Like the visitor Industry, the FSM sector has not been formally defined by agencies that track workforce participation. Yet the sector is profoundly important to the Alaskan economy. Alaska has one mile of coastline for every 20 residents and more than 12,000 rivers. There is hardly an economic entity in the state that is unaffected by FSM activities.

Broadly defined, the FSM sector includes any firm or occupation connected in some way with oceans or waterways. Positions range from seasonal fish-census workers to experts in maritime law. McDowell Group identified firms associated with FSM activities and found that their employees represent more than 800 different Standard Occupational Codes (SOCs). Many firms, and even individual occupations, are only partly associated with FSM activities, however. For example, many professionals and technicians, from economists to diesel mechanics to construction managers, perform a portion of their work in the FSM sector.

This analysis focuses on firms and occupations that are typically or mainly associated with fishing, seafood processing, vessel operation, and the businesses that provide direct technical and professional support to those industries. Even by that abbreviated definition, the FSM sector in Alaska includes more than 500 firms (not counting the many sole proprietorships and smaller fishing operations that do not file unemployment reports). With proprietorships and fishing operations included, McDowell Group estimates the FSM workforce at more than 68,000 workers.

Sector Employment

This analysis, together with more detailed employment data in the appendices, is based on two sets of federal codes, the North American Industry Classification System (NAICS) codes, and the Standard Occupational Codes (SOCs). The analysis is useful mainly as a general indicator of the overall potential market for various types of education and training. Data should be considered an approximation. Neither code-set specifically identifies FSM businesses or workers, and reporting by employers of both kinds of data is of variable accuracy.

The NAICS and SOC data, provided by DOLWD, indicates that Alaska’s FSM sector consists of roughly 68,000 workers not counting scientists, educators and other professionals whose association with the sector is not evident from DOLWD employment records. Alaska residents make up 47 percent of the private-sector FSM workforce. The seafood industry dominates employment in the sector. Commercial fishing, seafood processing, and non-profit hatcheries employ 92 percent of the private FSM workforce. With the exception of AMHS, most FSM-related government positions support the commercial seafood and sport-fish seafood industries in some manner.
Based on interviews with industry and the array of applicable NAICS codes, McDowell Group segregated Alaska’s FSM sector into the following subsectors:

- Commercial Fishing
- Seafood Processing and Marketing
- Sport-fish Guides
- Salmon Hatcheries
- Boat Building, Repair, and Dealers
- Selected Marine Engineering and Surveying
- Water Transportation (Freight and Sightseeing)
- State and Federal Government

The table that follows breaks down selected employment indicators by these sub-sectors to the extent possible with available data. It gives a sense of the overall potential market for education and training within each of the subsectors. The table highlights the large component of resident FSM employment represented by commercial fishing. Government workers shown are limited to those for whom data was readily available. Those are employees of the Alaska Department of Fish and Game, USCG, and the National Marine Fisheries Service (NMFS).
<table>
<thead>
<tr>
<th>Maritime Sub-Sector</th>
<th># Workers</th>
<th>Pct. Resident</th>
<th># of Resident Workers</th>
<th>Wages and/or Earnings ($MM)</th>
<th>Average Age</th>
</tr>
</thead>
<tbody>
<tr>
<td>Commercial Fishing¹</td>
<td>30,980</td>
<td>56%</td>
<td>17,349</td>
<td>$1,742.0</td>
<td>N/A</td>
</tr>
<tr>
<td>Seafood Processing/Marketing</td>
<td>22,412</td>
<td>27</td>
<td>6,051</td>
<td>$323.2</td>
<td>40</td>
</tr>
<tr>
<td>Water Transportation</td>
<td>4,056</td>
<td>62</td>
<td>2,515</td>
<td>134.2</td>
<td>39</td>
</tr>
<tr>
<td>Sport-fish Guiding²</td>
<td>3,034</td>
<td>72</td>
<td>2,184</td>
<td>N/A</td>
<td>N/A</td>
</tr>
<tr>
<td>Boat Building/Repair</td>
<td>693</td>
<td>76</td>
<td>527</td>
<td>21.5</td>
<td>38</td>
</tr>
<tr>
<td>Salmon Hatcheries</td>
<td>456</td>
<td>64</td>
<td>292</td>
<td>10.7</td>
<td>37</td>
</tr>
<tr>
<td>Marine Engineering/Surveying</td>
<td>183</td>
<td>85</td>
<td>156</td>
<td>12.1</td>
<td>40</td>
</tr>
<tr>
<td>ADF&amp;G, USCG, NMFS</td>
<td>5,641</td>
<td>N/A</td>
<td>5,077</td>
<td>N/A</td>
<td>N/A</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td>68,042</td>
<td>N/A</td>
<td>34,150</td>
<td>N/A</td>
<td>N/A</td>
</tr>
</tbody>
</table>

¹ Workers represent total count of fishermen fishing commercial permits and adult crewmembers. Earnings are estimated gross ex-vessel earnings for the industry and are not directly comparable to wages in other industries.

² Guiding employment is estimated based on 2010 license and logbook data. Figures cover saltwater and freshwater guides. Residency is based on address data provided by guides.

³ Data provided on residency and age apply to private sector only; data was not available for government employees.

⁴ For purposes of estimating potential training demand, McDowell Group assumes that 90 percent of these state and federal workers are residents of Alaska. Adding these workers to the private sector data brings the proportion of resident workers from 47 percent to approximately half.

Note: Data on age applies to Alaska residents only, as data is not available for nonresident workers.


The remaining tables in this section show only workers who are covered under Alaska’s unemployment insurance program. These include private-sector wage and salary workers, but not sole proprietorships. The latter encompass, for example, most of the sport-fish guides shown in the previous table. In addition, thousands of fishing and government jobs are not covered by the data. Nevertheless, the table may help identify the approximate overall market for certain types of education and training, this time by occupational area. The next table segments the FSM workforce by occupation using Standard Occupational Codes.
Private Sector Wage and Salary Employment in Alaska’s Maritime Sector – 2010
by Type of Occupation
(not including government or most guiding and commercial fishing)

<table>
<thead>
<tr>
<th>All Private Sector Wage/Salary Maritime Industries</th>
<th>Number of Workers</th>
</tr>
</thead>
<tbody>
<tr>
<td>Production Occupations</td>
<td>18,697</td>
</tr>
<tr>
<td>Transportation and Material Moving Occupations</td>
<td>3,121</td>
</tr>
<tr>
<td>Office and Administrative Support Occupations</td>
<td>1,163</td>
</tr>
<tr>
<td>Installation, Maintenance, Cleaning, and Repair Occupations</td>
<td>1,065</td>
</tr>
<tr>
<td>Management and Financial/Business Operations</td>
<td>456</td>
</tr>
<tr>
<td>Sales and Related Occupations</td>
<td>325</td>
</tr>
<tr>
<td>Architecture and Engineering Occupinations</td>
<td>189</td>
</tr>
<tr>
<td>Life, Physical, and Social Science Occupations</td>
<td>177</td>
</tr>
<tr>
<td>Business and Financial Operations Occupations</td>
<td>115</td>
</tr>
<tr>
<td>All Other</td>
<td>2,607</td>
</tr>
</tbody>
</table>

Source: DOLWD.

The next table shows the same employment data grouped by type of FSM business (Boat Building, Hatcheries, Seafood Processing, Selected Marine Engineering and Surveying, and Water Transportation).

Private Sector Wage and Salary Employment in Alaska’s Maritime Sector – 2010
by Type of Business
(not including government or most guiding and commercial fishing)

<table>
<thead>
<tr>
<th>Boat Building</th>
<th>Number of Workers</th>
</tr>
</thead>
<tbody>
<tr>
<td>Construction and Extraction Occupations</td>
<td>222</td>
</tr>
<tr>
<td>Production Occupations</td>
<td>188</td>
</tr>
<tr>
<td>Installation, Maintenance, and Repair Occupations</td>
<td>104</td>
</tr>
<tr>
<td>Office and Administrative Support Occupations</td>
<td>72</td>
</tr>
<tr>
<td>Sales and Related Occupations</td>
<td>65</td>
</tr>
<tr>
<td>Management Occupations</td>
<td>14</td>
</tr>
<tr>
<td>All Others</td>
<td>28</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>693</strong></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Hatcheries</th>
<th>Number of Workers</th>
</tr>
</thead>
<tbody>
<tr>
<td>Farming, Fishing, and Forestry Occupations</td>
<td>293</td>
</tr>
<tr>
<td>Management Occupations</td>
<td>38</td>
</tr>
<tr>
<td>Installation, Maintenance, and Repair Occupations</td>
<td>30</td>
</tr>
<tr>
<td>Life, Physical, and Social Science Occupations</td>
<td>21</td>
</tr>
<tr>
<td>Office and Administrative Support Occupations</td>
<td>20</td>
</tr>
<tr>
<td>All Others</td>
<td>54</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>456</strong></td>
</tr>
</tbody>
</table>

(continued on next page)
### Seafood Processing

<table>
<thead>
<tr>
<th>Occupation</th>
<th>Count</th>
</tr>
</thead>
<tbody>
<tr>
<td>Production Occupations</td>
<td>19,931</td>
</tr>
<tr>
<td>Installation, Maintenance, and Repair Occupations</td>
<td>685</td>
</tr>
<tr>
<td>Office and Administrative Support Occupations</td>
<td>568</td>
</tr>
<tr>
<td>Management and Financial/Business Operations</td>
<td>221</td>
</tr>
<tr>
<td>Architecture and Engineering Occupations</td>
<td>99</td>
</tr>
<tr>
<td>Life, Physical, and Social Science Occupations</td>
<td>93</td>
</tr>
<tr>
<td>All Others</td>
<td>815</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td>22,412</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Occupation</th>
<th>Count</th>
</tr>
</thead>
<tbody>
<tr>
<td>Architecture and Engineering Occupations</td>
<td>84</td>
</tr>
<tr>
<td>Life, Physical, and Social Science Occupations</td>
<td>49</td>
</tr>
<tr>
<td>Office and Administrative Support Occupations</td>
<td>37</td>
</tr>
<tr>
<td>All Others</td>
<td>13</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td>183</td>
</tr>
</tbody>
</table>

### Selected Marine Engineering & Surveying

<table>
<thead>
<tr>
<th>Occupation</th>
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</tr>
</thead>
<tbody>
<tr>
<td>General Labor/Operations</td>
<td>1,887</td>
</tr>
<tr>
<td>Sailors/Oilers/Navigation</td>
<td>1,120</td>
</tr>
<tr>
<td>Management</td>
<td>272</td>
</tr>
<tr>
<td>Maintenance</td>
<td>248</td>
</tr>
<tr>
<td>Operating Engineers and Truck Drivers</td>
<td>235</td>
</tr>
<tr>
<td>Cooking</td>
<td>172</td>
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<tr>
<td>Administrative</td>
<td>81</td>
</tr>
<tr>
<td>Specific Pipeline Operations</td>
<td>27</td>
</tr>
<tr>
<td>Other</td>
<td>14</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td>4,056</td>
</tr>
</tbody>
</table>

Source: DOLWD.

For purposes of estimating FSM training and education needs, it would be helpful to know how long specific positions typically remain vacant and how often hires are made out of state for that reason. Unfortunately, there is no public source for that information. DOLWD has data on occupation and duration of employment by individual social security number. However, the data does not show why individuals leave particular positions (for example, whether there was simply not enough work). Neither does the data show how long positions remain open.
Goals for FSM Workforce Development

Interest in UA’s FSM education and training initiative has been high. In spite of the sector’s social and economic importance, the initiative represents the first comprehensive effort to understand and address its workforce development needs. The research suggests FSM-sector participants have somewhat different overarching goals for workforce development. Primary concerns include the following:

- **Fishing** – counteract the aging of the fleet and, especially, the aging of those providing the fishing fleet with shore-based marine support services of many kinds.

- **Seafood processing and marketing** – Help attract and hold motivated workers who have potential to advance into more highly skilled technical, supervisory, and management positions.

- **Maritime** – 1) Training to meet USCG requirements for safety training and licensed and experienced mariners as well as trained unlicensed deckhands and engineers (for organizations involved in vessel operations); and 2) workers with enhanced technical skills similar to those sought by the Fishing participants, above (for organizations involved in vessel construction, repair and support).

Within these broad concerns are a host of workforce needs specific to different components of this varied sector. Those most often identified during the research are discussed below.

Training and Education Needs Reported by FSM Businesses and Organizations

This study concludes that additional training and education opportunities would be especially welcome in six main areas:

1. Technical support services for shore-side and at-sea fishing, processing and maritime operations.
2. Seafood processing and mariculture technologies
3. Business management relevant to the FSM sector
4. Resource management for sustainable ocean resources
5. Mariner licensure and certification for career ladders
6. Safety and risk management

These areas are described further below.
**TECHNICAL SUPPORT SERVICES FOR SHORE-SIDE AND AT-SEA FISHING, PROCESSING AND MARITIME OPERATIONS.**

This often-referenced need includes vessel support services, construction, and repair. Technical skills identified as in short supply include welding, electronics, fabrication, electrical generation and other plant and vessel support. Refrigeration engineers and technicians are especially in demand, in part because of an ongoing shift from canned to fresh and frozen seafood products. All refrigeration work must be performed by certified technicians, and commercial anhydrous ammonia systems are potentially dangerous if mishandled.

**SEAFOOD PROCESSING AND MARICULTURE TECHNOLOGIES**

The skilled positions most often identified as in short supply are plant managers, plant engineers, mechanics, and quality-assurance technicians and managers. Training needs for specific employers depend on the equipment and technologies actually employed. Mariculture and hatchery personnel need training in fish biology and also in maintaining mechanical systems in remote locations. Another need is for environmental monitoring and compliance officers.

**BUSINESS MANAGEMENT RELEVANT TO THE FSM SECTOR**

Currently, UA management programs do not directly address the business activities of the FSM sector. Companies need managers with a combination of traditional management skills and industry-specific knowledge and experience. This is especially true for seafood processing and marketing firms and for fish hatcheries. Fishermen who want to self-market their catch also need training in marketing and product quality.

**RESOURCE MANAGEMENT FOR SUSTAINABLE OCEAN RESOURCES**

Regulatory managers, and sometimes technicians, need a combination of technical, managerial, and communications skills. Related training needs include applied fisheries science such as by-catch reduction, gear design, and marine mammal avoidance.

Documentation of training needs for the Alaska Department of Fish and Game (ADF&G), with 1,700 employees, is not readily available and will require further research and analysis in cooperation with the department. Training needs were not assessed for the Department of Environmental Conservation, the Department of Natural Resources, the Department of Public Safety, or other State departments with responsibilities that include marine and maritime activities. The same is true for the Alaska-based staff of the U.S. Fish and Wildlife Service and Region 10 of the U.S. Forest Service. All these agencies might benefit from training as varied as biological sciences and boat handling, but specific needs are not yet identified.

**MARINER LICENSURE AND CERTIFICATION FOR CAREER LADDERS**

This category includes masters, deckhands, and vessel and marine engineers. These highly specific technical certifications should be developed in consultation with prospective employers, existing training providers (for example, AVTEC and UA’s Ketchikan campus), and the United States Coast Guard (USCG). Vessel engineers
manage systems such as diesel engines, gas turbines, boilers, steam turbines, heat exchangers, and pumps and compressors, electrical machinery; hydraulic machinery, refrigeration machinery, steam, water, fuel oil, lubricating oil, compressed gas, equipment for automation and control, equipment for fire fighting and other forms of damage control, and systems for cargo handling. Marine engineers are responsible for design, outfitting, inspection and surveying, corrosion protection, and repair of ships.

SAFETY AND RISK MANAGEMENT

Requirements for vessel and food-safety training, as well as environmental safety, are both increasing. The Alaska Marine Highway System (AMHS) has a specific need for USCG-approved emergency-trauma technicians. More broadly, small-boat fishermen need training, likely through short courses or winter classes, in vessel operation and systems of all sorts. One interviewee referred to this material as an “Alaska mariner basic skill set.”

Other Training Needs

In addition to the six areas above, representatives of various segments of the FSM sector cited the following education and training needs:

• Education in the implications of climate change for subsistence and commercial harvesting and other arctic commerce
• An AA or similar degree in maritime transportation
• Training for new fishermen in sophisticated modern electronics, fish handling techniques and equipment, diesel engines, etc.
• Commercial diver training
• Additional emphasis on coastal engineering disciplines within existing UA engineering programs
• Culinary training, especially with a seagoing component
• Customer service and other training for interpretive naturalists
• Training in various disciplines for marine surveyors
• Commercial truck-driver training

Additional Findings

• Workforce development efforts for the FSM sector statewide currently consist of localized efforts with no overall plan, priorities or coordination. Some close working relationships exist, however, between regional UA campuses, regional training providers, and sometimes CDQ groups and Alaska Native organizations. These relationships may be fertile starting points for developing an FSM strategy.
• The FSM sector is different from healthcare and warrants very different approaches to training. Healthcare employment is highly structured and concentrated in large employers or in clinics and offices that are similar in structure and services. Credentials are well established and widely known.
FSM, with the exception of the Coast Guard and AMHS, has a heterogeneous employment pool with little formal structure spread across disparate businesses and organizations.

- **Except for the Coast Guard and agencies such as ADF&G and AMHS, the concept of career ladders seems almost unknown in the FSM sector.** Similarly, professional development experiences, as distinguished from technical training needed or required for particular positions, typically is provided on an ad hoc basis rather than as part of a workforce strategy.

- **CDQ groups could be important partners in the workforce initiative.** The groups have long relationships with 65 FSM-dependent communities. They already engage in workforce development and have dedicated staff in that area. Finally, CDQ groups are engaged in a variety of FSM businesses and occupations. Of particular importance to CDQ groups, in addition to training for plant personnel, is knowledge of the regulatory process, including the North Pacific Fisheries Management Council and the Alaska Board of Fisheries.

**Structuring Training**

Different employers have different needs with respect to the content and scheduling of employee education and training. Among the considerations that will require ongoing discussion between employers and educators are the following:

- **A hands-on training component is important to meet most of the existing needs.** This is particularly true of positions on vessels. Shore-based processors and other manufacturers also need technical workers who are trained on particular kinds of equipment. Apprenticeships and internships are examples of how some employers have combined classroom and workplace learning. It has been suggested that UA could support apprenticeship programs by providing specific classroom components. Apprenticeships and internships in areas such as quality control and mechanical/industrial repair are especially useful because they tend to be:
  - Career-oriented
  - Flexible to meet industry needs
  - A combination of classroom and practical experience
  - Eligible for grant subsidies

- **Scheduling and duration of classes is important and must adapt to seasonal businesses and geographic location of workers.** Short (3 weeks or less), off-season, and online courses are necessary to meet many industry needs, assuming that adequate hands-on experience can be incorporated where necessary. Timing and duration of classes should be developed in consultation with target employers and trainees. This might lead, for example, to a series of short courses that feed into a certification.

- **Existing providers of technical training can help UA identify potential links between academic and vocational programs.** AVTEC, with its ship and fire-response simulators, is the most
comprehensive FSM training organization in the state outside the UA system. UA Ketchikan already offers more than 20 different maritime certifications.

- **In addition to new training courses, training materials might be useful to the sector in other forms.** For example, video and other online content could be developed to help fishermen and others perform repairs and other tasks, even in real time, that formerly required trained technicians.

### Training Needs versus Workforce Needs

Finally, it is important to differentiate between unmet training needs and a real or perceived lack of skilled workers in particular positions. The former represents potential immediate demand for new training programs. The latter may be a result of lack of training availability, but may also reflect other factors that retard new entries into certain professions. Those factors may include lack of real or perceived job or future advancement opportunities, the nature of the work, wages associated with the work, demanding training requirements, or other considerations that discourage new entrants.

For example, the research suggests there is a growing shortage of qualified, shore-based marine services, such as refrigeration, welding, diesel maintenance, fabrication, etc. Training in these areas is indeed limited in most parts of Alaska. Economics, however, is also a factor in whether a new generation of owners develops to take over the small businesses that often provide these services. Finally, those entrepreneurs will need the necessary management and financial as well as technical skills.

### Recommended Further Steps

McDowell Group suggests that the university consider where training will create the most benefit for Alaska’s employers and its economy as measured by the health of its communities. This suggests the workforce initiative should:

- **Take a long-term view.** Properly managed, the FSM sector will be a mainstay of Alaska employment indefinitely. The big challenge is to capture more and more of the value created in the sector here in Alaska, and one way is to generate career opportunities for Alaskans. For example, 85 percent of the first-wholesale value of Alaska commercial fisheries goes to companies whose headquarters are outside the state. Goals and strategies in this area must be chosen carefully, however. For example, Alaska is unlikely to capture significant management infrastructure associated with large catcher/processors that are logistically best suited to be based in more southern ports.

- **Establish strong relationships with industry and other training providers, such as AVTEC, not just to design courses, but to work in a continuing three-way partnership.** Focus on flexibility to adapt approaches to the needs of both employers and workers. Work toward production of a statewide workforce development plan for the FSM sector.

- **Look to the CDQ groups and other innovative companies such as Copper River Seafoods that are already exploring training, internships, and apprenticeships in a variety of areas.** CDQ
groups already engage in community workforce development, and their workforce needs likely will continue to increase. Consider bringing together the workforce development staff from these companies for more targeted discussions about education and training.

• **Package and promote FSM-oriented offerings to the sector.** Make it easy for prospective students to find and evaluate relevant classes across the entire university system, and link individual classes to potential careers. As part of that effort, develop business, regulatory, and other management classes that incorporate FSM-specific skills and content.

• **Work individually with ADF&G, AMHS, and USCG to evaluate potential for specific training and certification support.** AMHS and USCG training needs are well documented because most address legal and regulatory requirements. (See the accompanying electronic file, “AMHS Crew Training Requirements”). ADF&G represents a large workforce (1,700 employees) with diverse training needs that are not fully documented. The best way to pinpoint opportunities with ADF&G may be to work directly with department leadership to conduct a department-wide survey designed to identify recent past trainings and future needs for each division.

• **Look for ways to combine classroom and field experience.** For many FSM positions and careers, employers stressed the need for training to include significant hands-on, as well as classroom time. This is particularly true of positions on vessels.

• **In addition to new training courses, consider provision of training materials in other forms.** For example, video and other online content could be developed to help fishermen and others perform repairs and other tasks, even in real time, that formerly required trained technicians.
Appendix 1: Summary of FSM Workforce Forum Discussions

Two broad areas of discussion at the March 5 UA FSM Workforce Forum concerned the level of training most appropriate for UA attention and the challenges of training versus recruiting. Other themes from the discussion groups are described briefly following.

Entry-level versus skilled training needs

There was much discussion at the Forum of training needs for both skilled and entry-level positions. Other research for this report continued to identify needs for both types of training. Most entry-level positions that involve basic production activities (production line, laborer, driver, etc.) benefit from training that is reasonably well known and understood. These so-called “soft” or job-readiness skills include basic reading, math, organization, interpersonal dynamics, safety and other skills and practices, sometimes extending to customer service. This type of training often serves the related function of screening prospective workers for attitude, drug and alcohol use, and other personal attributes that may affect job performance. Job readiness skills are important and in great demand and are provided by a variety of training organizations, some of which are FSM-related and some not.

Training versus recruiting

Many Forum participants said there is a need to address a broad set of recruiting factors that include perceptions of and information about various types of FSM jobs. This need exists among school-age youth as well as the workforce in general. Expanded training efforts will, to some extent, raise the profile of the FSM sector, however training and recruiting are different functions. Recruiting—and also retention—includes management strategies, public relations, pay and benefits, working conditions, career opportunities, and other considerations that go far beyond training or even development of career ladders. Effectively addressing the public awareness/public-relations aspects of recruiting would take additional planning and resources beyond training provision.

Following are themes or comments that represent some of the views voiced at the FSM Forum.

Fishing Group Themes

Current Practices

- Many employers depend on personal references, word of mouth, and relationships with tribal and regional organizations for recruiting.
- Small boat owners are in a difficult spot. They don’t have resources for formal recruiting and depend mainly on on-the-job training.
- CDQ groups invest in a variety of education programs.
CHALLENGES

• The private sector competes with ADF&G for employees, and ADF&G competes with NOAA and other federal employers.

• It’s hard to find qualified people in rural regions.

• Refrigeration and other technical skills are in short supply. In general, shoreside support for small boats is aging and declining.

• High school graduates have a very limited skill set.

• Students need to be exposed to industry skills and opportunities at a much earlier age (high school or younger). This needs to be a major effort/partnership.

• ADF&G is facing a shortage of biologists and people with educational skills.

• Young people have to see opportunity before they will get excited about skills. Need to sell the range of careers available in the whole industry and career paths need to be clear.

• Look at educational models in other states and countries.

• Overly specific training will saturate individual positions, but there is a great need for broad-based training, including business skills.

• It’s difficult for employers and workers to find out what training is available, where, and when. We need easier access to information, maybe through a central clearinghouse, but one that is clearly identified as FSM.

OTHER CONSIDERATIONS

• Breadth of training is extremely wide. There needs to be an ongoing, working interface between the University and industry to evaluate and address. What kind of structure could do this with fish/maritime as the focus?

• Looked at sectors and the items that weave through all.

• Build interest at a younger age and make the industry more visible to those students. Sell the career opportunities.

• Scholarships are an important tool to consider.

• Need to coordinate approaches across the University. Credits must be transferable.

• Distance delivery will be important, but how to do it and coordinate across the state?

Seafood Group Themes

CURRENT PRACTICES

• Employers being flexible to create year round opportunities

• Outreach working well in some areas, word of mouth

• Replicating successful programs – EX: Coastal Villages Regional Fund. Some programs working well, but small in scale

• Promoting from within, investing in current workers
• Skilled and entry-levels cannot be differentiated by number of hours or seasons. Season length can differ by region, and positions adapt.

**CHALLENGES**

• Entry level jobs hard to fill and have high turnover.
• Processors would like to attract more people to entry-level work who have interest in and potential for advancement.
• Seasonal nature of industry
• Remote nature of industry
• Current online and urban recruiting methods are not effective in rural Alaska.
• Both companies and workers need a better understanding of what kinds of training and recruiting tools are available.
• Most employers are not familiar with training providers. Need a statewide inventory of what’s available.

**FUTURE NEEDS**

• Better placement information -- a centralized job bank
• Connect with existing academies/programs, i.e. STEM Academy
• Site based training – bring education to people
• Contact students younger – K-12 to get them interested in the industry.

**Maritime Group Themes**

**CURRENT PRACTICES**

• AK is a good place to build careers – good lifestyle and good opportunities
• AVTEC and UAS MT program offer good training used by AMHS
• AVTEC has an on-line maritime class for high school seniors – get to hear from folks in industry about opportunities and what it takes to get there
• Bristol Bay region has a CTE maritime model
• ASD gives HS tours, introduces students to workers, get to see facility – also hire high school kids in summer – get them into work force
• Teacher Externship opportunities (such as APICC’s TIE program, which places teachers in companies to help them learn first-hand about an important industry) would be good for this sector

**CHALLENGES**

• Lack of central source of information
  o On training
  o Work standards
  o Credentials required
  o Opportunities
  o Pathways
• AK has lack of industry recognition
• Need for screening and employability skills among entry level workers
• AK maritime operations must be viewed in a global context.
• Young people not aware of opportunities

FUTURE NEEDS
• Look at transferability of training to other positions, including seasonal shifts in location for some positions.
• Need strong industry support and input for this to work
• Look at on-the-job career paths as well as formal/academic paths.
• Need to start young – middle school and high school.
• Guidance counseling (secondary and post-secondary) is important.

Key steps include:

• Employability and basic skills
• Basic analytical skills
• Career paths
• Centralized career/job/training information
• Understand the structure of the Maritime sector better
• Look at gaps and what others are doing. Design complementary and cooperative training
• Don't lose track of demand. Look at what the workforce really needs.
Appendix 2: Online Survey Responses

McDowell Group developed an online survey based on discussion topics from the FSM Forum and the UA Working Group. Survey questions were designed to identify training and education needs based on general information from the diverse participants in the FSM sector. Final design of effective training courses will require additional information about, and discussions with, the industry segments to be targeted by the training.

The survey link was emailed to 250 organizations and businesses that represent a cross-section of the FSM Sector. Business associations were invited to circulate the link to their members. This appendix summarizes the results of the 52 complete survey responses.

Please note that the survey results represent a small, non-scientific (nonrandom) sample. The responses are a useful source of insight but are not necessarily representative of the whole FSM sector either in content or in number.

Respondents

Where is your organization’s headquarters located?

<table>
<thead>
<tr>
<th>Headquarters Location</th>
<th># Respondents</th>
</tr>
</thead>
<tbody>
<tr>
<td>Anchorage</td>
<td>7</td>
</tr>
<tr>
<td>Kodiak</td>
<td>4</td>
</tr>
<tr>
<td>Dutch Harbor/Unalaska</td>
<td>2</td>
</tr>
<tr>
<td>Dillingham</td>
<td>0</td>
</tr>
<tr>
<td>Sitka</td>
<td>5</td>
</tr>
<tr>
<td>Juneau</td>
<td>8</td>
</tr>
<tr>
<td>Ketchikan</td>
<td>7</td>
</tr>
<tr>
<td>Seattle</td>
<td>5</td>
</tr>
<tr>
<td>Cordova</td>
<td>3</td>
</tr>
<tr>
<td>Petersburg</td>
<td>2</td>
</tr>
<tr>
<td>Homer</td>
<td>1</td>
</tr>
<tr>
<td>Wrangell</td>
<td>2</td>
</tr>
<tr>
<td>Kenai/Soldotna</td>
<td>2</td>
</tr>
<tr>
<td>Other outside Alaska</td>
<td>4</td>
</tr>
</tbody>
</table>
Which part of the Fisheries Seafood Maritime Sector best describes your business/organization?

<table>
<thead>
<tr>
<th>Primary Business Activity</th>
<th># Respondents</th>
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</thead>
<tbody>
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<td>Fish harvesting</td>
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<tr>
<td>Shellfish mariculture</td>
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</tr>
<tr>
<td>Fish hatcheries</td>
<td>4</td>
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<tr>
<td>Seafood processing/marketing</td>
<td>11</td>
</tr>
<tr>
<td>Resource management</td>
<td>4</td>
</tr>
<tr>
<td>Professional/technical services</td>
<td>3</td>
</tr>
<tr>
<td>Manufacturing</td>
<td>0</td>
</tr>
<tr>
<td>Industrial or logistical support for marine vessels</td>
<td>3</td>
</tr>
<tr>
<td>Public safety or enforcement</td>
<td>1</td>
</tr>
<tr>
<td>Equipment installation and maintenance</td>
<td>0</td>
</tr>
<tr>
<td>Construction/mechanical services</td>
<td>0</td>
</tr>
<tr>
<td>Transportation/shipping</td>
<td>6</td>
</tr>
<tr>
<td>Tourism/hospitality</td>
<td>3</td>
</tr>
<tr>
<td>Resource exploration/development</td>
<td>0</td>
</tr>
<tr>
<td>Scientific/academic research or education</td>
<td>0</td>
</tr>
<tr>
<td>Trade or advocacy organization</td>
<td>8</td>
</tr>
<tr>
<td>Economic Development</td>
<td>1</td>
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</tbody>
</table>

What was the average monthly number of employees working in Alaska for the business/organization you represented during 2011?

<table>
<thead>
<tr>
<th>Average Monthly Employment</th>
<th># Respondents</th>
</tr>
</thead>
<tbody>
<tr>
<td>1-10</td>
<td>12</td>
</tr>
<tr>
<td>11-50</td>
<td>11</td>
</tr>
<tr>
<td>51-200</td>
<td>11</td>
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<tr>
<td>201-500</td>
<td>4</td>
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<tr>
<td>501-1,000</td>
<td>7</td>
</tr>
<tr>
<td>1,001-2,000</td>
<td>3</td>
</tr>
<tr>
<td>&gt;2,000</td>
<td>4</td>
</tr>
</tbody>
</table>
Current Education and Training Priorities

Needed Positions and Skills

What are the hardest Alaska-based positions for your business/organization to fill?

Scientific/Professional

- Biometric positions
- Entry level labor/technicians AND experienced upper level Fishery Biologist positions (upper level management and research)
- Fisheries economist
- Fisheries managerial positions
- Middle management
- Upper management for processing and for trade groups
- Project managers, supervisors, top level subject matter experts (journey level)
- Science based - from the field technicians to biologists who want to work in rural Alaska.
- Senior Level Managers

Vessel or Plant Operations

- Chef, mate
- Class A - CDL Truck Drivers. Most applicants cannot pass a drug test
- Class A - CDL, Master 100 ton with towing
- Competent divers
- Deckhands (2 responses)
- Engineers
- Filleters, Shipper, HACCP trained personnel
- Fish culturists and hatchery managers
- Fish culturists at entry through 5 year experience levels
- Plant Managers, QA, Chief Engineers with Ammonia Certification
- Individuals trained in seamanship; vessel operation, handling & navigation; general vessel maintenance
- Licensed mariners
- Marine engineers (2 responses)
- Processor engineer
- Processor positions. Other technical positions such as engineers and refrigeration technicians
- Processor workers (2 responses)
- Vessel captains, mates, engineers
- Seafood Processors
Customer Service

- Customer service positions on board vessels: Naturalist, Deckhand, Passenger Service
- Naturalist-guides for day tours and Expedition Leaders for multi-day cruises.

 Trades/Technical

- Highly skilled people to work on/repair of fishing vessel (e.g. diesel mechanic, electrician, fiberglass, welder)
- General ship mechanics (electrical work, plumbing, engine mechanics, refrigeration, fabrication, etc.)
- Instructors
- Marine surveyor
- Millwrights, Tech professionals
- Refrigeration Engineers, Millwrights, Port Engineers (skilled in both vehicle and vessel repair)
- Refrigeration Technicians, Quality Control Specialist and Environmental Compliance personnel
- Refrigeration technicians, Machinists (can line), Electricians, QA managers, Production Managers, Maintenance workers
- Refrigeration
- Safety officer, Welding Foreman, Ship fitters, Machinists, Mechanics, Electricians, and Bookkeepers
- Chief Engineers, Refrigeration Techs, Electricians
- Technical positions, such as Quality Assurance and process related production positions
- Trained Quality Control Technicians (seafood safety & seafood quality issues, including biological/chemical/other contamination, general quality, etc.), trade persons (Electricians, Plumbers, Mechanics, Refrigeration specialists, Welders, etc.), individuals with other skills (Personnel managerial, Manufacturing management, Human Resources, Accounting, etc.)
- Unlicensed deck and engineering

Other

- Community organizers
- Seasonal employees that will stay throughout the whole summer season
- Security
- Cooks

Regardless of what positions they might apply to, what specific workforce knowledge, skills and abilities are hardest for your business/organization to find for your Alaska-based operations?

Business and Industry Experience

- Alaska based experience and knowledge of enhancement program, and understanding of commercial fishing industry
- Basic business skills, problem-solving skills, and specialized training in their field
- Project/program management skills including written communications, budget management and supervision
- Understanding of on the grounds reality of the fishing industry
- Experience
• Knowledge of the industry
• Experience in fisheries management/economics
• Historical knowledge of resource management issues, current knowledge of resource management issues

Interpersonal skills/Guiding
• Customer Service
• Customer service, interpretive guide
• Experienced naturalists/guides
• Mainly the service related positions

Specific Technical
• Commercial divers that have experience with boat husbandry
• Engineers, refrigeration technicians, plant managers (in-region). Hard to retain processors (high turnover)
• Fish picking skills
• Food sciences and up-to-date, sophisticated process skills
• Common sense
• Unique repairs skills related to canning machinery; ability to cope with 7 days per week min 11 hour per day schedule for up to 90 days straight
• Engineering
  • Qualified people to repair onboard freezers, weld, fabricate, repair fiberglass, perform shipwright; above all- finding shipyards that support work on commercial fishing vessels is increasingly a problem
• Chief engineer
• Employees able to work on the fish processing specific equipment we have in our plants
• Aquaculture and Fishery Research techniques; scientific or formal report writing/communication
• Fisheries managerial positions, Plant Managers, QA, Chief Engineers with Ammonia Certification
• Security
• Shipwrights
• Since the rationalization of the BSAI Crab fisheries we are lucky to have among the highest skilled crewmembers of any fishery in the nation. What concerns me are the lack of mechanics, welders, refrigeration technicians, and other shore-based workers that the crab industry depends upon to keep operating.
• Diesel mechanics, electrical, refrigeration
• The tradesmen need more background knowledge in the theory of fabricating constructing etc. Bookkeepers need better knowledge of the fundamentals of running a small business office and the type of software programs required to do it efficiently
**Good Workers/Basic Education**

- Drug-free employees
- Maintenance, attention to detail. High school education, simple math skills
- Information Technology
- Safety, ability and drive to work in remote operations at basic line production work
- Ability to work only 3 months
- For the vessels I represent, its finding people who are willing to work long hard hours

**Mariners**

- USCG Licensed and experienced mariners
- Licensed Mariners with a wide range of maritime skills and vessel handling abilities
- Experienced, knowledgeable, educated, Mariners
- USCG master licensed individuals. Professionally trained cook/chef
- Marine engineering
- Unlicensed deck and engineering, cooking
- Marine vessel knowledge; USCG regulations; ABYC Standards; NFPA Standards

**Combination of Technical and Qualitative Skills**

- Experienced and qualified employees with knowledge of manufacturing processes, project management, supervisory and leadership skills
- Large-scale production-oriented salmon rearing skills. Knowledge of small hydropower operations, maintenance and repair. Managing a staff in an isolated, remote, year-around production facility
- Biology, policy/regulatory. We generally desire Alaska Native individuals
- A combined skill-set of statistics, biology/oceanography, communication, speaking, and writing
Hiring Graduates of Education and Training Programs

Does your company/organization regularly hire graduates of an education or training program related to their job, either in Alaska or elsewhere?

<table>
<thead>
<tr>
<th>Name of position hired</th>
<th>Name of program or organization providing the training</th>
<th>Location of program or organization</th>
<th>Degree, credential or certification (if applicable)</th>
<th>Approx. # hires per year of graduates from this program</th>
</tr>
</thead>
<tbody>
<tr>
<td>Diver</td>
<td>Commercial diver training</td>
<td>Various around the country</td>
<td>ADC recognized air diver certification</td>
<td>2</td>
</tr>
<tr>
<td>Marine Engineer</td>
<td>Massachusetts Maritime Academy</td>
<td>Buzzards Bay, MA</td>
<td>Marine Engineer</td>
<td>2</td>
</tr>
<tr>
<td>Pilot boat operators</td>
<td>UAS Ktn Maritime</td>
<td>Ketchikan</td>
<td>STCW, radar endorse</td>
<td>2</td>
</tr>
<tr>
<td>Unlicensed deck and engineering</td>
<td>UAS, AVTEC</td>
<td>KTN and JNU for UAS. Seward for AVTEC</td>
<td>QMed, Able Seaman</td>
<td>25</td>
</tr>
<tr>
<td>USCG Licensed and unlicensed Mates</td>
<td>AVTEC, Seattle CC, Astoria CC and others</td>
<td>100 ton masters Navigation and vocational training certificates</td>
<td>6</td>
<td></td>
</tr>
</tbody>
</table>

Internal Training of Existing Workforce

Does your business/organization use its own staff to deliver internal, formal training lasting one full day or more and based on a recognized curriculum (more than just on-the-job instruction and coaching)?

<table>
<thead>
<tr>
<th>Type</th>
<th>Position</th>
<th>Training</th>
<th>Curriculum</th>
</tr>
</thead>
<tbody>
<tr>
<td>ENV</td>
<td>Biometrician</td>
<td>Escapement Goal Analysis</td>
<td></td>
</tr>
<tr>
<td>ENV</td>
<td>Biometrician</td>
<td>Writing techniques</td>
<td></td>
</tr>
<tr>
<td>ENV</td>
<td>Procurement Specialist</td>
<td>Contracts, Grants, Procurement</td>
<td>NOAA Required</td>
</tr>
<tr>
<td>ENV</td>
<td>Supervisors</td>
<td>Supervisory Training using various vendors</td>
<td>Required Training</td>
</tr>
<tr>
<td>F</td>
<td>Skiff operator</td>
<td>Extreme skiff training</td>
<td>Internal</td>
</tr>
<tr>
<td>H</td>
<td>Our seasonal employees are provided with a week of training before being employed in the fisheries field.</td>
<td>Safety, fish identification and sampling methods</td>
<td>Internal</td>
</tr>
<tr>
<td>M</td>
<td>Adjunct Instructor</td>
<td>Mentoring</td>
<td>Internal</td>
</tr>
<tr>
<td>M</td>
<td>All positions</td>
<td>Customer Service</td>
<td>Alaska Host</td>
</tr>
<tr>
<td>M</td>
<td>Customer Service Crew</td>
<td>Classroom sessions, facility orientation, TAM training and safety/emergency training. CPR &amp; First Aid</td>
<td>AMT - company designed</td>
</tr>
<tr>
<td>---</td>
<td>------------------------</td>
<td>------------------------------------------------------------------------------------------------</td>
<td>------------------------</td>
</tr>
<tr>
<td>M</td>
<td>Deckhand/engineers</td>
<td>Classroom sessions, facility orientation and safety/emergency training. CPR &amp; First Aid</td>
<td>AMT - company designed</td>
</tr>
<tr>
<td>M</td>
<td>Fork Lift Operator</td>
<td>Instruction and hands on</td>
<td>Vendor</td>
</tr>
<tr>
<td>M</td>
<td>HAZ-COM</td>
<td>Instructor-led</td>
<td>Commercially produced</td>
</tr>
<tr>
<td>M</td>
<td>In house training consists of Customer Service, Retail, Tour Supply, Inventory, Stocking, Maritime nomenclature and skills (such as line handling etc, safety (at work and with guests)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>M</td>
<td>Job Hazard Awareness</td>
<td>In person</td>
<td>Company provided</td>
</tr>
<tr>
<td>M</td>
<td>Lock Out Tag Out Stored Energy</td>
<td>Instructor Led</td>
<td>Company provided</td>
</tr>
<tr>
<td>M</td>
<td>Marine surveyor</td>
<td>Fiberglass, aluminum, wood recreational and commercial boats; damage investigations; appraisal training</td>
<td>ABYC standards; Society of Accredited Marine Surveying Recommended Content</td>
</tr>
<tr>
<td>M</td>
<td>Naturalist/interpreters</td>
<td>Classroom sessions, facility orientation, area familiarization and safety/emergency training. CPR &amp; First Aid</td>
<td>AMT - company designed</td>
</tr>
<tr>
<td>M</td>
<td>New hires</td>
<td>Basic safety training, crowd control</td>
<td></td>
</tr>
<tr>
<td>M</td>
<td>Port Security</td>
<td>Security, first aid, safety, customer service</td>
<td></td>
</tr>
<tr>
<td>M</td>
<td>Respirator fit testing</td>
<td>Training of this nature is usually a regulatory requirement; i.e. asbestos, HASWOPER, etc.</td>
<td></td>
</tr>
<tr>
<td>M</td>
<td>As needed.</td>
<td>Training of this nature is usually a regulatory requirement; i.e. asbestos, HASWOPER, etc.</td>
<td></td>
</tr>
<tr>
<td>M</td>
<td>Vessel Captains (w/ 100 Ton License)</td>
<td>Classroom sessions, facility orientation, area familiarization and safety/emergency training. CPR &amp; First Aid</td>
<td>AMT - company designed</td>
</tr>
<tr>
<td>M/A</td>
<td>Apprentice Pilot Trainee</td>
<td>Hands on training, simulation</td>
<td></td>
</tr>
<tr>
<td>M/A</td>
<td>Deputy Pilot trainee</td>
<td>Hands on training, simulation</td>
<td></td>
</tr>
</tbody>
</table>

Continued on next page
### Foreman Management

In FY 13 we will be begin apprenticeships in IT and Seafood Marketing.

Internal training is conducted on an as needed basis. Forklift driving, Quality Control, etc. Also, the company has been conducting training programs for Electricians and other skilled positions. This works well as those selected for these openings have demonstrated that they enjoy living and working in Dutch Harbor.

### Line Manager Management

- **Mechanical Repair**
  - Industrial/Refrigeration
  - Apprenticeship
  - NCCER, Liberty Mutual, Garden City Ammonia Program

- **Microbiology Quality Control**
  - Technician-Seafood handling and production
  - Apprenticeship
  - NCCER, HACCP, Liberty Mutual, State of Alaska FSS, American Society Quality

- **Mobile Heavy Equipment Repair**
  - Apprenticeship
  - NCCER, MAVCC, Liberty Mutual,

### Office Manager Personnel management

### Quality Control Manager Management

### Electricians

### Millwrights

### Specialty Welders

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**Type Codes:**
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- **F** = Fisheries
- **F/A** = Fisheries Association
- **H** = Hatchery
- **M** = Maritime
- **M/A** = Maritime Association
- **S** = Seafood
### External Training of Existing Workforce

**Does your company/organization regularly send existing employees to an education or training program (including an online program) either in Alaska or elsewhere?**

<table>
<thead>
<tr>
<th>Type</th>
<th>Name of position trained</th>
<th>Name of program or organization providing the training</th>
<th>Location of program or organization</th>
<th>Degree, credential or certification (if applicable)</th>
<th>Approx. # employees sent per year</th>
</tr>
</thead>
<tbody>
<tr>
<td>M</td>
<td>Able seamen</td>
<td>Fast rescue boat</td>
<td>10</td>
<td></td>
<td></td>
</tr>
<tr>
<td>M</td>
<td>Able seamen</td>
<td>80% KTN Ratings</td>
<td>10</td>
<td></td>
<td></td>
</tr>
<tr>
<td>M</td>
<td>ALL</td>
<td>NOAA/NMFS</td>
<td>Seattle</td>
<td>HACCP</td>
<td>2</td>
</tr>
<tr>
<td>M</td>
<td>ALL</td>
<td>NPFVOA</td>
<td>Seattle</td>
<td>Fire training</td>
<td>8</td>
</tr>
<tr>
<td>M</td>
<td>ALL</td>
<td>NPFVOA</td>
<td>Seattle</td>
<td>Immersion suit pool training</td>
<td>12</td>
</tr>
<tr>
<td>M</td>
<td>ALL</td>
<td>NPFVOA</td>
<td>Seattle</td>
<td>Medical</td>
<td>12</td>
</tr>
<tr>
<td>M</td>
<td>All Crew Positions</td>
<td>CPR/FA Tongass Substance Screening</td>
<td>Ketchikan</td>
<td>CPR/FA Card</td>
<td>20</td>
</tr>
<tr>
<td>H</td>
<td>All employees</td>
<td>Red Cross or AK EMS</td>
<td>Kodiak</td>
<td>ETT or First Aid/CPR</td>
<td>15</td>
</tr>
<tr>
<td>H</td>
<td>All Employees</td>
<td>UA</td>
<td>Kodiak</td>
<td>N/A continuing ed</td>
<td>2</td>
</tr>
<tr>
<td>M</td>
<td>All Vessel Crew Positions</td>
<td>Red Cross</td>
<td>Various</td>
<td>CPR &amp; First Aid</td>
<td>100</td>
</tr>
<tr>
<td>ENV</td>
<td>Biometrician</td>
<td>American Fisheries Society</td>
<td>2</td>
<td></td>
<td></td>
</tr>
<tr>
<td>ENV</td>
<td>Biometrician</td>
<td>American Statistical Association</td>
<td>1</td>
<td></td>
<td></td>
</tr>
<tr>
<td>S</td>
<td>Boiler Technician</td>
<td>Cleaver Brooks</td>
<td>Fresno, CA</td>
<td>Boiler fundamentals</td>
<td>1</td>
</tr>
<tr>
<td>S</td>
<td>Community Liaisons</td>
<td>BBEDC</td>
<td>Dillingham or Naknek</td>
<td>N/A</td>
<td>17</td>
</tr>
<tr>
<td>S</td>
<td>Crane Operator</td>
<td>Overton ?</td>
<td>Aloha, OR\ Yakima, WA</td>
<td>OSHA Crane Operation</td>
<td>1</td>
</tr>
<tr>
<td>H</td>
<td>Culturist</td>
<td>UAS</td>
<td>Online or Sitka</td>
<td></td>
<td>2</td>
</tr>
<tr>
<td>H</td>
<td>Culturist/Biologist</td>
<td>UA</td>
<td>Anchorage</td>
<td>N/A</td>
<td>2</td>
</tr>
<tr>
<td>M</td>
<td>Customer Service Crew</td>
<td>State Contractor</td>
<td>Various</td>
<td>TAM qualification</td>
<td>100</td>
</tr>
<tr>
<td>F</td>
<td>Deckhand</td>
<td>Alaska Marine Safety Education Association</td>
<td>Sitka</td>
<td>First aid, Marine safety</td>
<td>1</td>
</tr>
<tr>
<td>M</td>
<td>Fire fighting</td>
<td>NPFVOA</td>
<td>Seattle</td>
<td>Certificate</td>
<td>12</td>
</tr>
</tbody>
</table>

Continued on next page
<table>
<thead>
<tr>
<th>Type</th>
<th>Job Title</th>
<th>Training Provider</th>
<th>Location</th>
<th>Certification/Proficiency</th>
<th>Duration</th>
</tr>
</thead>
<tbody>
<tr>
<td>H</td>
<td>Fish culturist and technician</td>
<td>UAS Fisheries Technology Program</td>
<td>Sitka or online</td>
<td></td>
<td>3</td>
</tr>
<tr>
<td>M</td>
<td>Marine surveyor</td>
<td>ABYC STANDARDS</td>
<td>ABYC various</td>
<td>Certificate</td>
<td>1</td>
</tr>
<tr>
<td>S</td>
<td>Mechanical Repair/Refrigeration</td>
<td>NPFVOA</td>
<td>Internet based</td>
<td>Food Worker Card</td>
<td>6</td>
</tr>
<tr>
<td>M</td>
<td>Medical emergency</td>
<td>NPFVOA</td>
<td>Seattle</td>
<td>Certificate</td>
<td>12</td>
</tr>
<tr>
<td>S</td>
<td>Microbiology Quality Control Technician</td>
<td>NCCER, Liberty Mutual, ASQ, HACCP</td>
<td></td>
<td></td>
<td>5</td>
</tr>
<tr>
<td>S</td>
<td>Mobile Heavy Equipment Repair</td>
<td>NCCER, Liberty Mutual, MAVVC, Class A CDL</td>
<td></td>
<td></td>
<td>5</td>
</tr>
<tr>
<td>M</td>
<td>Passenger Service</td>
<td>AK Food Handlers</td>
<td>Internet based</td>
<td>Food Worker Card</td>
<td>14</td>
</tr>
<tr>
<td>M</td>
<td>Passenger Service</td>
<td>TAP</td>
<td>Ketchikan</td>
<td>TAP Card</td>
<td>10</td>
</tr>
<tr>
<td>CDQ</td>
<td>Plant Engineer</td>
<td>Garden City Ammonia                                                               Kansas</td>
<td>Ammonia Cert</td>
<td>1</td>
<td></td>
</tr>
<tr>
<td>CDQ</td>
<td>Plant Engineer</td>
<td>American Trainco inc                                                             Anchorage</td>
<td>HVAC Cert</td>
<td>1</td>
<td></td>
</tr>
<tr>
<td>CDQ</td>
<td>Plant Manager</td>
<td>MAP Seagrant</td>
<td>Anchorage</td>
<td>ASPLI</td>
<td>2</td>
</tr>
<tr>
<td>CDQ</td>
<td>Plant Manager</td>
<td>Two-day seminars</td>
<td>Anchorage</td>
<td></td>
<td>5</td>
</tr>
<tr>
<td>S</td>
<td>Salmon Cook</td>
<td>Better Process School                                                            Burien, WA</td>
<td>Container Closure Technician, Low Acid Processing</td>
<td>2</td>
<td></td>
</tr>
<tr>
<td>M</td>
<td>Steward</td>
<td>UAS, AVTEC</td>
<td>KTN, Seward</td>
<td>Proficiency</td>
<td>35</td>
</tr>
<tr>
<td>ENV</td>
<td>Supervisors</td>
<td>Mandatory safety training                                                         Various</td>
<td>Certification</td>
<td>1</td>
<td></td>
</tr>
<tr>
<td>ENV</td>
<td>Supervisors</td>
<td>Supervisory training                                                              Various</td>
<td>Mandatory NOAA Training</td>
<td>2</td>
<td></td>
</tr>
<tr>
<td>M</td>
<td>Survival at sea</td>
<td>NPFVOA</td>
<td>Seattle</td>
<td>Certificate</td>
<td>12</td>
</tr>
<tr>
<td>S</td>
<td>Technician</td>
<td>Multi Vac                                                                          Kansas City, MO</td>
<td>Basic Machine Operations</td>
<td>1</td>
<td></td>
</tr>
<tr>
<td>M</td>
<td>Tugboat / Pilotboat master</td>
<td>Crawford Maritime                                                                  Vancouver, WA</td>
<td>License upgrades</td>
<td>2</td>
<td></td>
</tr>
<tr>
<td>M</td>
<td>Tugboat mate</td>
<td>Columbia Maritime                                                                  Seattle, WA</td>
<td>Towing lic. upgrade</td>
<td>2</td>
<td></td>
</tr>
<tr>
<td>M</td>
<td>Unlicensed deck and engineering</td>
<td>UAS, AVTEC</td>
<td>KTN, Seward</td>
<td>Advanced fire</td>
<td>20</td>
</tr>
</tbody>
</table>

**Type Codes:**
- CDQ = CDQ Group
- ENV = Environmental or Regulatory Agency
- F = Fisheries
- H = Hatchery
- M = Maritime
- S = Seafood
### Regional Employment and Training Needs

**Does your business/organization have special employment or training needs in particular regions or communities in Alaska?**

<table>
<thead>
<tr>
<th>Type</th>
<th>Location</th>
<th>Special Employment Need</th>
</tr>
</thead>
<tbody>
<tr>
<td>CDQ</td>
<td>Aleutian/Pribilof Region</td>
<td>Community development</td>
</tr>
<tr>
<td>CDQ</td>
<td>Western Alaska</td>
<td>Biology and general field technician skills</td>
</tr>
<tr>
<td>F</td>
<td>Wrangell</td>
<td>Vessel repair, Diesel mechanic, Electrician</td>
</tr>
<tr>
<td>F/A</td>
<td>Cook Inlet</td>
<td>Fish picking, net hanging and mending, outboard motor repair, knot tying, welding</td>
</tr>
<tr>
<td>F/A</td>
<td>Kodiak Island</td>
<td>Certification programs on trawl gear design and repair. Certification programs on refrigeration operation and maintenance. Certification programs on marine electronics, new generation of communication equipment, hydro-acoustic fish finders, fisheries and oceanographic data collection</td>
</tr>
<tr>
<td>F/A</td>
<td>South Central</td>
<td>Continued Education in commercial fishing fields</td>
</tr>
<tr>
<td>H</td>
<td>Kodiak</td>
<td>Fisheries Research Techniques; Basic and Advanced Fisheries Biology (salmon), Fish Culture techniques, Worker Safety, first aid/emergency medical training; Welding</td>
</tr>
<tr>
<td>H</td>
<td>Nanwalek, Port Graham</td>
<td>Fisheries Technicians and Hatchery Operations</td>
</tr>
<tr>
<td>H</td>
<td>Rural Southeast Alaska</td>
<td>Small hydropower operation, maintenance and repair</td>
</tr>
<tr>
<td>M</td>
<td>All maritime (including interior) region</td>
<td>Willingness to travel</td>
</tr>
<tr>
<td>M</td>
<td>Ketchikan</td>
<td>Customer Service in Seasonal Visitor Industry</td>
</tr>
<tr>
<td>M</td>
<td>Sitka, Alaska - Allen marine Shipyard</td>
<td>Qualified aluminum welders, Mechanics and Marine Electricians</td>
</tr>
<tr>
<td>M</td>
<td>SE Alaska / Ketchikan</td>
<td>Trained and licensed Mariners</td>
</tr>
</tbody>
</table>

Continued on next page
<table>
<thead>
<tr>
<th>Code</th>
<th>Region</th>
<th>Skills</th>
</tr>
</thead>
<tbody>
<tr>
<td>M</td>
<td>Statewide</td>
<td>Entry-level construction and employability skills (NCCER LEVEL 1 - 2)</td>
</tr>
<tr>
<td>M</td>
<td>Unalaska/Dutch Harbor</td>
<td>HAZWOPPER, confined space, shipyard competent person training</td>
</tr>
<tr>
<td>M/A</td>
<td>Glacier Bay and Tracy Arm</td>
<td>Ice maneuvering</td>
</tr>
<tr>
<td>S</td>
<td>Bristol Bay</td>
<td>Refrigeration engineers, Diesel Mechanics, Welders, fiberglass workers</td>
</tr>
<tr>
<td>S</td>
<td>Floating processors</td>
<td>Finding skilled and non-killed workers willing to work in remote areas of Alaska</td>
</tr>
<tr>
<td>S</td>
<td>Naknek, Ketchikan</td>
<td>Refrigeration, Electrician, Millwright</td>
</tr>
<tr>
<td>S</td>
<td>Southeast</td>
<td>Smokehouse, retort, canning, packaging, shipping, filleting</td>
</tr>
</tbody>
</table>

**Type Codes:**
- CDQ = CDQ Group
- F = Fisheries
- F/A = Fisheries Association
- H = Hatchery
- M = Maritime
- M/A = Maritime Association
- S = Seafood
### Priorities for Future Workforce Development

**How important are each of the following trends to your workforce needs over the next ten years:**

<table>
<thead>
<tr>
<th>Workforce trend or training need</th>
<th>Very important</th>
<th>Important</th>
<th>Somewhat important</th>
<th>Not at all important</th>
</tr>
</thead>
<tbody>
<tr>
<td>Need for additional skilled machinery operators</td>
<td>21%</td>
<td>29%</td>
<td>23%</td>
<td>23%</td>
</tr>
<tr>
<td>Training workers to use new types of technology (other than machinery)</td>
<td>19</td>
<td>38</td>
<td>25</td>
<td>13</td>
</tr>
<tr>
<td>Training to meet safety standards</td>
<td>44</td>
<td>37</td>
<td>12</td>
<td>4</td>
</tr>
<tr>
<td>Need for additional installation/repair/maintenance technicians</td>
<td>35</td>
<td>25</td>
<td>19</td>
<td>17</td>
</tr>
<tr>
<td>Need for more business and financial personnel</td>
<td>6</td>
<td>25</td>
<td>37</td>
<td>29</td>
</tr>
<tr>
<td>Cross-training workers (i.e., train workers to fill multiple positions)</td>
<td>31</td>
<td>40</td>
<td>21</td>
<td>4</td>
</tr>
<tr>
<td>Training employees for positions in foreign countries</td>
<td>2</td>
<td>2</td>
<td>8</td>
<td>85</td>
</tr>
<tr>
<td>Training in writing, public speaking or communication in the workplace</td>
<td>17</td>
<td>33</td>
<td>35</td>
<td>12</td>
</tr>
<tr>
<td>Training in quantitative skills</td>
<td>15</td>
<td>37</td>
<td>31</td>
<td>13</td>
</tr>
<tr>
<td>Training in the regulatory process</td>
<td>21</td>
<td>44</td>
<td>23</td>
<td>8</td>
</tr>
<tr>
<td>Training in environmental science</td>
<td>21</td>
<td>23</td>
<td>31</td>
<td>21</td>
</tr>
<tr>
<td>Other</td>
<td>21</td>
<td>29</td>
<td>23</td>
<td>23</td>
</tr>
</tbody>
</table>

“Other” responses, above, include vessel operation; fishing vessel repair and maintenance; seafood quality, safety and product development; advanced manufacturing production processes; USCG maritime requirements; packaging; and motivated workers.
**WHAT TYPES OF TRAINING THAT YOU EITHER NEED NOW OR EXPECT TO NEED IN THE NEXT TEN YEARS ARE HARDEST TO FIND OR IN SHORT SUPPLY?**

<table>
<thead>
<tr>
<th>Type</th>
<th>Training Needed</th>
</tr>
</thead>
<tbody>
<tr>
<td>CDQ</td>
<td>Ammonia training (not available in state), Quality Assurance, fisheries management, production management</td>
</tr>
<tr>
<td>CDQ</td>
<td>Technical training for skilled trades such as Refrigeration Technicians, Engineers, Welders, electricians, etc.</td>
</tr>
<tr>
<td>ENV</td>
<td>Writing and speaking training for employees for whom English is not the first language</td>
</tr>
<tr>
<td>ENV</td>
<td>Fish habitat protection</td>
</tr>
<tr>
<td>ENV</td>
<td>Most of the training we need at NOAA Fisheries is readily available through academic or private entities or internally through NOAA</td>
</tr>
<tr>
<td>F</td>
<td>Mechanics, fiberglass, electrician (all marine related)</td>
</tr>
<tr>
<td>F</td>
<td>Qualified deckhand training</td>
</tr>
<tr>
<td>F</td>
<td>EPA regulatory compliance training</td>
</tr>
<tr>
<td>F/A</td>
<td>Safety training. Fishing skills training</td>
</tr>
<tr>
<td>F/A</td>
<td>1. Applied engineering skills, i.e. electrical, mechanical, electronics, hydraulics and refrigeration 2. Vessel operations, management, state and federal regulatory compliance and policy, critical thinking and problem solving 3. Basic seamanship skills, gear repair and construction, fundamental life and social skills</td>
</tr>
<tr>
<td>F/A</td>
<td>Support services for commercial vessels; skills with electronics</td>
</tr>
<tr>
<td>F/A</td>
<td>Shore-based technical support</td>
</tr>
<tr>
<td>H</td>
<td>Hatchery technicians</td>
</tr>
<tr>
<td>H</td>
<td>Data management, biometrics, fishery management</td>
</tr>
<tr>
<td>H</td>
<td>Middle management</td>
</tr>
<tr>
<td>M</td>
<td>USPAP Appraisal Training. ABYC Standards</td>
</tr>
<tr>
<td>M</td>
<td>Employees that hold certifications that are recognized by OSHA and DEC, etc.</td>
</tr>
<tr>
<td>M</td>
<td>USCG Certified and or Licensed mariners who are good teachers/instructors</td>
</tr>
<tr>
<td>M</td>
<td>Class A truck drivers 100 ton master with towing</td>
</tr>
<tr>
<td>M</td>
<td>advanced training for tradesmen and engineering types</td>
</tr>
<tr>
<td>M</td>
<td>Customer Service/Personnel/Business/Marketing</td>
</tr>
<tr>
<td>M</td>
<td>Training seems to be readily available if you know where to look</td>
</tr>
<tr>
<td>M</td>
<td>Advanced manufacturing production processes based on knowledge of key tasks in ship production processes (industry standards)</td>
</tr>
<tr>
<td>M</td>
<td>Trained and licensed mariners</td>
</tr>
<tr>
<td>M</td>
<td>Regulatory training - OSHA and USCG requirements</td>
</tr>
<tr>
<td>M</td>
<td>HVAC Training, CDL, Heavy Equipment Operator</td>
</tr>
</tbody>
</table>

Continued on next page
<table>
<thead>
<tr>
<th>M</th>
<th>Credentialed Mariners</th>
</tr>
</thead>
<tbody>
<tr>
<td>M</td>
<td>Training to meet everyday needs</td>
</tr>
<tr>
<td>M</td>
<td>Technical training in specialty areas</td>
</tr>
<tr>
<td>M/A</td>
<td>Cost effective simulation</td>
</tr>
<tr>
<td>S</td>
<td>HACCP trained workers, high school graduates, people detailed oriented</td>
</tr>
<tr>
<td>S</td>
<td>Seafood processing sector: quality control technicians (seafood safety &amp; seafood quality issues, including biological/chemical/other contamination and general quality, etc.); regulatory compliance as it applies to domestic and export markets; product development personnel to meet the needs of domestic and export consumer demand in retail and foodservice; food utilization technicians to assist with extracting maximum product and value from the entire raw product; trade persons (Electricians, Plumbers, Mechanics, Refrigeration specialists, Welders, etc.); individuals with other skills (Personnel Managerial, Manufacturing Management, Human Resources, Accounting, etc.). (\text{Harvesting sector: individuals trained in: seamanship; vessel operation, handling &amp; navigation; general vessel maintenance; general ship mechanics (electrical work, plumbing, engine mechanics, refrigeration, fabrication, etc.); on board quality assurance})</td>
</tr>
<tr>
<td>S</td>
<td>Technical-maintenance, etc. Regulatory familiarity and compliance production supervision and management for more advanced processes</td>
</tr>
<tr>
<td>S</td>
<td>Millwright, Electrical Engineer, Robotics Engineering</td>
</tr>
<tr>
<td>S</td>
<td>Refrigeration</td>
</tr>
<tr>
<td>S</td>
<td>Business analysts that understand the seafood industry. Environmental scientists that understand how our industry affects the environment around us and can work with government agencies to make sure we are in compliance with environmental laws.</td>
</tr>
</tbody>
</table>

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IF YOUR ORGANIZATION OR BUSINESS HAS RECOGNIZED CAREER PATHWAYS (ESTABLISHED WAYS FOR EMPLOYEES TO ADVANCE FROM JOB TO JOB WITHIN THE ORGANIZATION), PLEASE DESCRIBE THEM BRIEFLY.

<table>
<thead>
<tr>
<th>Type</th>
<th>Typical Career Pathways</th>
</tr>
</thead>
<tbody>
<tr>
<td>CDQ</td>
<td>Our seafood company recognizes hard working individuals and has promoted them through the years up to the position of plant manager and plant engineer. This is done by time in the positions and training requirements in either management or certifications for HVAC</td>
</tr>
<tr>
<td>CDQ</td>
<td>Processors to plant managers, deck hands to skippers, etc.</td>
</tr>
<tr>
<td>ENV</td>
<td>Biometrician I, Biometrician II, Biometrician III, Fishery Scientist I, Fishery Scientist II</td>
</tr>
<tr>
<td>ENV</td>
<td>NOAA offers an Advanced Studies Program, an Undergraduate Studies Program, a Leadership Competencies Development Program, and Aspiring Leaders Program. We have had from 10-20 employees go through the Advanced Studies or Undergraduate Studies programs at the University of Alaska. NOAA funds these students tuition</td>
</tr>
<tr>
<td>F/A</td>
<td>Improving on skills and take command</td>
</tr>
<tr>
<td>H</td>
<td>Not clearly defined</td>
</tr>
<tr>
<td>H</td>
<td>Pathway is available based on demonstrated abilities, performance, and drive</td>
</tr>
<tr>
<td>H</td>
<td>Employees can start in temporary Hatchery Technician positions assisting with fish feeding, cleaning, egg-takes and similar basic tasks. Those who demonstrate interest, dedication, competence and ability to communicate and interact well with other employees are usually offered permanent fish culture positions. The best of these, i.e. those that demonstrate ability to learn and execute a wide variety of specific hatchery skills and, most importantly, the ability to thrive socially in a small, remote work location, will be promoted to positions of increased authority and responsibility</td>
</tr>
<tr>
<td>M</td>
<td>Work toward full accreditation in the Society of Accredited Marine Surveyors</td>
</tr>
<tr>
<td>M</td>
<td>Vessel experience, USCG certification/licensing, teaching and organization leadership</td>
</tr>
<tr>
<td>M</td>
<td>We ask our employees where they want to go with their career and encourage them in that direction within our company as they show their ability and willingness to learn</td>
</tr>
<tr>
<td>M</td>
<td>We have a set of skill standards and a model training plan developed for the shipbuilding and repair industry by skilled workers</td>
</tr>
<tr>
<td>M</td>
<td>Deckhands with the necessary skills are given the opportunity to become vessel operators. In order to advance they must continue to upgrade their license and USCG requirements as well as show maritime abilities for competent operation of the vessel</td>
</tr>
<tr>
<td>M</td>
<td>Seasonal vessel captains are occasionally promoted to full-time operations managers. Seasonal deckhands are occasionally promoted to work full-time in the shipyard (as mechanics and engineers). Customer service crew are occasionally promoted to be naturalists or to shore support.</td>
</tr>
<tr>
<td>M</td>
<td>Greenhorn, full-share deckhand, engineer, captain</td>
</tr>
<tr>
<td>M</td>
<td>[See DOLWD career lattice] Positions are defined by USCG or AMHS regs.</td>
</tr>
<tr>
<td>S</td>
<td>Cross training. Suggesting one continues with their education</td>
</tr>
<tr>
<td>S</td>
<td>Yes we emulate the 16 Federal Career Clusters and have adapted them to our Company and the Seafood Industry</td>
</tr>
</tbody>
</table>

Continued on next page
Many managers started as production line workers. Always room for advancement for employees who are willing to put in the time and who are able to learn new skills.

We internally train our maintenance helpers on the equipment then as people get promoted or leave the company they are promoted into the next job level.

Almost every employee at the plants has been a processor. All of the supervisors, maintenance, auto shop, galley, dock workers, office, security, and all the way up to the production managers and also the plant managers. As positions open up each season, they are posted, and the selection begins.

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DO YOU HAVE ANY OTHER SUGGESTIONS FOR NEW OR EXPANDED TYPES OF TRAINING OR EDUCATION TO SUPPORT THE FISHERIES SEAFOOD MARITIME WORKFORCE NOW OR IN THE FUTURE?

<table>
<thead>
<tr>
<th>Type</th>
<th>Other Suggestions for New or Expanded Training or Education</th>
</tr>
</thead>
<tbody>
<tr>
<td>CDQ</td>
<td>Fisheries-specific management training, including regulatory training, logistics/processing plant management, accounting and human resources</td>
</tr>
<tr>
<td>ENV</td>
<td>Marketing Alaska wild salmon and their habitat as unique</td>
</tr>
<tr>
<td>ENV</td>
<td>Continue efforts to enhance and support the Undergraduate Fisheries Program (Rasmuson Foundation). Continue to work towards enhancing educational opportunities in Seafood Technology, Marketing, and Business fields</td>
</tr>
<tr>
<td>F</td>
<td>Alter the training programs available through the state/federal governments to allow for individuals to receive training for a specialized skill (e.g. diesel mechanic) and then go to work for themselves. In rural Alaska, many times an individual is his own business, yet most training programs won't allow people to enter unless they intend to work for another company after the training</td>
</tr>
<tr>
<td>F</td>
<td>There needs to be a highly specialized small-boat-operator course</td>
</tr>
<tr>
<td>F</td>
<td>Basic fisheries training - especially net hanging, net repair clinics</td>
</tr>
<tr>
<td>F/A</td>
<td>USCG safety regs are going to impose a huge burden on the fishing fleet in the coming years. We could use increased commercial fishing training. We could use more Mechanics, Refrigeration techs, Electricians, Machinists, and Welders</td>
</tr>
<tr>
<td>F/A</td>
<td>Certain areas of specialized applied fisheries science (other than classic fisheries and marine science) are becoming more important, but currently are not large enough to support an Alaska-based academic program. Mandated by-catch reduction, marine mammal avoidance, commercial fishing gear selectivity, gear design, etc. are becoming more important to the industry. Currently, vessel captains and crew have to travel to Denmark, Newfoundland, or Maryland to participate in workshops that address these issues. There may be potential for visiting professionals, researchers or professors to present seminars and workshops in these or similar topics. Timing and accessibility are always issues with programs like this</td>
</tr>
<tr>
<td>F/A</td>
<td>Training in support services-fiberglass repair; shipyard operation; welding; fabrication; shipwright, machining</td>
</tr>
<tr>
<td>H</td>
<td>As much online certificates, degrees, and workshops in the aquaculture, biometrics, data management areas</td>
</tr>
<tr>
<td>M</td>
<td>More training on the new USCG F/V regulations; and also the new towing industry regulations.</td>
</tr>
<tr>
<td>M</td>
<td>We suggest the University looks into emerging fisheries marketing new kinds of harvestable fish and shell fish that can be flown or moved by marine transport to foreign markets. Including farming of the shellfish. While we are not in the fishing industry directly, we serve the fishing fleet and do charter work for government, public and private industry in the areas of filming and research</td>
</tr>
<tr>
<td>M</td>
<td>Curriculum development</td>
</tr>
</tbody>
</table>

Continued on next page
| M | A big problem for employers is rapid turnover; long time employees are our biggest asset. The main reason for turnover is character issues and poor attitude. This problem has a root in our countries social ills but I believe training in this area would help a lot of them |
| M | Adopt a common curriculum for the educational and training providers for construction related work and a strong employability sequence for entry level skill (through the equivalent of a 2 year degree, then support work place learning with supervisory training to include coaching and mentoring for subject matter experts (Training Within Industry) |
| M | The University of Alaska should support full funding for the Associate of Applied Science degree program in Maritime Transportation for UAS. A proven need |
| M | Most of our applicants cannot pass a drug test. Some type of drug and alcohol training |
| M | 3-5 day USCG approved medical class (care provider - e.g., emergency trauma technician. An associate degree in deck or engineering duties that is USCG approved and receives credit for seagoing time to meet requirements |
| S | HACCP certification locally or at least a one-day program in Sanitary procedures. Numerous other Seafood businesses in the area would also be interested in this. Currently to have people certified we have to send out of town for training |
| S | The Post Secondary system offer RTI/short courses that support and work with the apprenticeship and training programs/systems of companies in the Seafood Industry |
| S | There is an ongoing need and domestic shortage of processor-level seasonal workers. I recommend targeting skilled trades (refrigeration, electrical, boilers/generators, line maintenance, welding, fabrication, production machinery maintenance |
| S | I recommend a vocational tech class specializing in refrigeration, but the class would need to be completed in a reasonable amount of time. Classes related to the fishing industry and what legal constraints surround this specific business |
| S | Training our existing workforce outside of the facilities is difficult as our permanent (non-seasonal) employees are needed at the plant every day with a few exceptions. But what can be promoted away from the plant would be the knowledge that Seafood Processing is not a dead end job. Almost all of our positions are filled with our own employees. Senior employees provide on the job training. We promote from within. Even though these are seasonal jobs, they provide employment from 9 to 10 months a year and the opportunity to earn and save a good amount of money |

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Interviews were conducted with 25 individuals from various segments of the FSM sector. Interviewees represented the following organizations:

- Alaska Department of Fish and Game (ADF&G)
- Alaska Longline Fishermen’s Association
- Alaska Marine Highway System (AMHS)
- Alaska Marine Safety Education Association (AMSEA)
- Alaska Vocational and Technical Education Center (AVTEC)
- At-Sea Processors Association
- Bristol Bay Economic Development Corporation (BBEDC)
- UA Bristol Bay Campus
- City of Petersburg Harbors
- Copper River Seafoods
- Kachemak Shellfish Growers
- Lynden Transport and Alaska Marine Lines
- Northwestern Alaska Career & Technical Center (NACTEC)
- Norton Sound Economic Development Corporation (NSEDC)
- Large Engineering Firm
- Port of Anchorage
- Port of Dutch Harbor
- Port of Kodiak
- Southwest Alaska Vocational Education Center (SAVEC)
- United Fishermen of Alaska
- UAS Ketchikan Campus

Because the FSM sector and the above organizations represent heterogeneous activities, it was not feasible to standardize interview questions or easily categorize responses. Interviews were designed to probe subjects’ particular area of expertise for insights into training needs and the potential role of the university. Themes that emerged include the following:

**WORKFORCE DEVELOPMENT GOALS**

- A UA FSM workforce development program should work, in part, to raise the profile of FSM occupations. Make people aware of opportunities.

- Be aware of, and realistic about, the number of positions available for graduates of upper level training programs. Some segments of the FSM sector will never have large management contingents in Alaska.

- Trainees in rural areas often need connections with employers outside the region.
TRAINING NEEDS

- Work readiness and drug/alcohol screening are important, especially to processors and other seasonal employers.
- Skills are needed at the management level, as well. Product development, marketing, QA, etc.
- Growing demand for icing/freezing technology.
- There may be unmet demand for 6-pack training. Too expensive for smaller training organizations.
- Port directors say vessel-support skills are hard to find, especially during the summer season, refrigeration, electronics, fiberglass, etc. A winter training program might provide some of these services to boat/permit owners during the off-season.
- Demand for safety-related training is significant and will increase with new USCG drill-instructor regulations.
- One reason for shortage of technical vessel support is that everyone needs them at once. Can training be used to extend availability of vessel services in places like Bristol Bay beyond the season?
- There is no particular shortage of highly trained technical crew such as licensed engineers and masters for larger transportation and catcher/processor vessels. However, those professionals need ongoing skills and refresher training.
- Training is needed in:
  - Fish quality and bleeding
  - Research on underutilized species
  - Marketing, both well known and less known species
  - Use of refrigeration, freezing, and slush technology
  - Impacts of environmental (climate) change

IN-HOUSE TRAINING STRATEGIES

- Most firms do in-house training. Copper River Seafoods developed a federally recognized apprenticeship program that currently has 15 candidates enrolled in 3 different disciplines.
- The concept of apprenticeships is receiving growing attention, spurred in part by federal and state funding when available. Keep curriculum flexible and duration of apprenticeships as short as possible. Ability to earn a wage during training is important.
- Firms are focusing more on developing technical, supervisory and management capacity from within, in part because complex industries such as seafood harvesting and processing demand local knowledge and experience as well as training.

OTHER DELIVERY CONSIDERATIONS

- Distance delivery is necessary to reach many Alaska workers, but it must typically be coupled with hands-on training, which is considered critical for many positions.
- AVTEC enjoys strong name recognition and an excellent reputation among high school students and counselors. They have the strongest maritime training program in the state, as well as sophisticated
equipment such as their ship and fire training simulators, and ongoing partnerships with the Pilots Association, cruise industry and US Coast Guard.

- A role for UA would be to offer short courses of technical instruction that support other programs, for example apprenticeships.
- Training needs to be accessible, affordable and credible, typically with a significant hands-on component.
- Young fishermen need training in new technologies partly to make themselves bankable – to get financing.
Appendix 4: Overview of Education and Training Needs by FSM Subsector

This appendix combines information from the Forum, survey and interview research with DOLWD data to profile education and training needs in major FSM subsectors.

Commercial Fishing

Commercial fishing is one of Alaska’s largest sectors, employing more than 30,000 people per year. Businesses range from a family with a few nets and a skiff to factory trawlers worth millions of dollars and employing more than 100 workers. In 2010, commercial fishermen of all kinds grossed an estimated $1.7 billion. However, these are gross earnings and not wages or profits. Significant deductions must be made for fuel, gear, boat repairs, interest, food, taxes and other expenses.

Investment in upgrades on commercial fishing boats typically follows fish prices. The last four seasons have seen strong prices and concomitant investment in the fleet that, in turn, has increased demand for many marine services.

Types of Skills Needed

Nearly all commercial fishing jobs are “blue collar” jobs requiring a range of technical skills. Most white-collar jobs associated with the seafood industry in Alaska are in government, sales, or non-profit organizations.

Very little formal training is required to enter the industry, but mastering the techniques needed to succeed can take a lifetime. The Alaska Vocational Technical Center (AVTEC) offers some relevant courses, such as Able Seaman, Basic Safety Training, Masters programs (25/50/100+ tons), Introduction to Nautical Skills, Shipboard Emergency Medicine, and several others. The Marine Transportation Department at UAS Ketchikan offers a range of courses for mariners, including many designed to meet the needs of AMHS staff. Finally, UA Fairbanks is the home of UA’s undergraduate and graduate Fisheries programs. Typically, UAF programs are tailored for individuals training to work as biologists, administrators, or researchers.

Although commercial fishing boats range from less than 20 feet to more than 300 feet, the majority of Alaska’s commercial fishing vessels are small and employ anywhere from three to 20 people. Larger factory trawlers may employ 100 or more, but most positions are processing rather than fishing jobs.

Ideally, each crew has a range of skills that cover all eventualities on a voyage (in addition to fishing skills such as hauling gear or knowing where/when to set gear). The same applies to other vessels on extended voyages, for example long-haul tugs. Some of these skills could be gained through vocational courses, including:

- Hydraulic Operation and Repair
- Marine Engine Repair
Skippers interviewed for this report indicated a need for skilled mechanics, refrigeration technicians, welder, shipwright/fiberglass, and marine electricians. A few respondents said they have trouble finding employees willing to work long, hard hours, but most responses indicated a lack of technical shoreside services.

Detailed occupational data on the commercial fishing industry is not available. Most commercial fishing operations are exempt from unemployment insurance levies. As a result, employment statistics similar to other wage and salary jobs are not available. License data shows how many permit holders (skippers) and crew participated in the industry during a given year. No government data is kept on how many first mates, hydraulic experts, or other specialists the industry requires, however.

New US Coast Guard requirements for safety drill instructors will affect fishermen and other who work outside the 3-mile limit. Unless it becomes a Coast Guard requirement, more general training aimed at qualifying people as “commercial fishermen/women” would likely take time to generate interest because the industry is so diverse, so remote, and has such a history of on-the-job learning. However, greater access to resource materials covering basic skills and how to address common problems might be helpful. Input from skippers in a range of fisheries, as well as from the US Coast Guard, would be important in designing such resources. The Coast Guard keeps incident reports that could provide clues to the type of reference materials that might be most useful.

**DIVE FISHERIES**

There are approximately 180 divers participating in the sea urchin and geoduck fisheries in Alaska. Southeast Alaska has three sea urchin plants, and the dive fisheries in that region are worth approximately $9 million annually.

**Seafood Processing**

Seafood processing is Alaska’s second largest FSM industry, employing more than 22,000 workers. Most seafood processing workers are not year-round residents (in 2010 resident workers made up 27 percent of the industry workforce). This is because many of Alaska’s busiest processing plants are located in remote areas (for example, Akutan, Unalaska, and Excursion Inlet) or are highly seasonal (Petersburg and Bristol Bay). In these areas and situations, the local workforce is too small to fill several hundred jobs on a short-term basis.
**Types of Skills Needed**

Every seafood plant in Alaska requires a unique collection of skills to function profitably. Most positions are low wage jobs requiring little training, but each plant contains several positions that require advanced skills/experience and pay substantial wages. Plant managers typically earn more than $100,000 per year, while fleet managers can earn $30,000 to $60,000 for a season. Talented maintenance staff are paid well and required almost year round, even in seasonal plants. In addition, there are sales staff, accounting staff, and other white-collar positions that may be located at the plant or in a separate location.

Seafood processors surveyed for this report reported the following labor challenges:

- Finding enough hard-working employees to staff production lines
- Building greater awareness of opportunity within the Industry
- Finding skilled trade-workers (to maintain equipment/facilities and coordinate plant upgrades)
- Hiring trained quality control technicians and environmental officers
- Developing effective plant managers (who want to live in rural areas)

**Production Line Workers and Awareness of Opportunity in Industry**

Forum feedback and industry surveys suggest staffing general line positions is the primary labor issue for most seafood processors. Uncertainty about the J-1 visa program has created additional concern about labor for the 2012 season. The J-1 visa program typically supplies several thousand workers for various Alaska industries, particularly the seafood processing industry during the summer months.

Work on the “slime line” can be tedious and exhausting, but it can also be a stepping-stone to more skilled positions within a plant or company. Although many of today’s managers started in entry-level positions, however, there is no clear ladder for advancement in most processing firms.

**Trade Workers (Refrigeration, Electrical, Production Equipment)**

Another big challenge for processors is finding skilled engineers who can fix refrigeration units, line equipment, and maintain other plant equipment/facilities. A few processors and a marine shipper said finding engineers or general maintenance workers with ammonia certification and the ability to fix onshore or offshore refrigeration units is especially difficult.

Alaska’s seafood industry has seen a great increase in refrigeration/freezing capacity during the past 10 years. In 2003, more than 50 percent of all commercially harvested Alaska salmon was canned. In 2011, only 20 percent of the salmon pack was sold in cans, the rest was delivered to fresh and frozen markets. In addition to plants adding more frozen capacity, a large percentage of the fleet now features Refrigerated Sea Water (RSW) systems that require specialized technical skills.

Maintenance and repair of RSW and refrigeration systems is a big part of most plant engineers’ jobs. Given the increase in refrigeration capacity, these skills are in high demand. The Alaska Marine Advisory Program
has addressed the situation by offering one-day workshops for fishermen so they can troubleshoot simple problems and have the background to communicate with a repair technician in order to fix a problem on the water. However, there are no programs available in Alaska to train people in the complex refrigeration systems being installed in Alaska’s seafood plants.

**Quality Control Technicians, Food Regulation Experts, and Efficiency Auditors**

Quality control (QC) technicians make sure processing plants comply with food safety and other regulations as well as meeting customer specifications. The latter can require knowledge of food science, especially as products become more complex. QC techs also audit production efficiency and many are responsible for monitoring plant discharge and overall worker safety.

The skill set needed to be an effective quality control technician is highly specific to the seafood industry. HACCP (basic food safety) training is common, but not ubiquitous, and no training program covers all the areas a QC technician might encounter.

**Plant Managers**

Several survey respondents said they have difficulties finding effective plant managers to live in rural Alaska. Plant managers are difficult to find because the position requires a combination of extensive plant experience and organizational, inter-personal, and business skills. Partly for this reason, some survey respondents expressed interest in the idea of a business-school curriculum tied to the seafood industry.

**Employment and Education/Experience Requirements**

Occupational data was matched with DOLWD data on job qualifications to produce a profile of processing jobs by education level and experience level. Roughly four percent of seafood processing workers worked in jobs requiring education beyond high school in 2010.
### Employment in Alaska Seafood Processing and Marketing Industry, 2010

<table>
<thead>
<tr>
<th>Education Level</th>
<th>Number of Workers</th>
<th>Pct. Resident</th>
<th>Average Quarterly Wage</th>
<th>Average Age</th>
</tr>
</thead>
<tbody>
<tr>
<td>High School or Less (or N/A)</td>
<td>21,497</td>
<td>25%</td>
<td>5,896</td>
<td>40</td>
</tr>
<tr>
<td>Associates Degree or Post-Secondary Award</td>
<td>527</td>
<td>65</td>
<td>7,921</td>
<td>32</td>
</tr>
<tr>
<td>Bachelor's Degree or Higher</td>
<td>388</td>
<td>35</td>
<td>$20,053</td>
<td>44</td>
</tr>
</tbody>
</table>

### By Experience

<table>
<thead>
<tr>
<th>Experience</th>
<th>Number of Workers</th>
<th>Pct.</th>
<th>Average Quarterly Wage</th>
<th>Average Age</th>
</tr>
</thead>
<tbody>
<tr>
<td>Less than 1 year (or N/A)</td>
<td>21,714</td>
<td>25%</td>
<td>$6,035</td>
<td>40</td>
</tr>
<tr>
<td>1 to 5 years</td>
<td>661</td>
<td>59%</td>
<td>10,100</td>
<td>37</td>
</tr>
<tr>
<td>More than 5 years</td>
<td>37</td>
<td>76%</td>
<td>27,189</td>
<td>48</td>
</tr>
</tbody>
</table>

Note: Data on age applies to Alaska residents only. Source: DOLWD.

## Water Transportation

Roughly 5,000 workers are employed ferrying goods, raw materials, and people to, from or within Alaska. The majority of these workers are residents and work for companies with significant operations in Alaska. The average private sector water transportation wage was $11,217 per quarter in 2010. Those employed moving freight tended to earn higher incomes.

Cruise line employees are not included in these data. Cruise lines employ an estimated 21,697 crewmembers. This estimate is based on data from the Juneau Convention and Visitor’s Bureau showing crew capacity for ships visiting Juneau in 2010.\(^1\) Cruise line employees are not included in data shown below because they are not covered under Alaska’s unemployment insurance program. These crewmembers are composed almost entirely of foreign nationals or US residents from other states and have little connection to the Alaska ports they visit (aside from shopping there along with the tourists they transport).

---

\(^1\) All major cruise ships coming to Alaska typically make at least one stop in Juneau, which make this total an acceptable proxy for statewide cruise line crew employment.
Employment in Alaska Water Transportation Industry by Education and Sub-Sector - 2010

<table>
<thead>
<tr>
<th>By Education (Private Sector Only)</th>
<th>Number of Workers</th>
<th>Pct. Resident</th>
<th>Average Quarterly Wage</th>
<th>Average Age</th>
</tr>
</thead>
<tbody>
<tr>
<td>High School or Less (or N/A)</td>
<td>3,306</td>
<td>64%</td>
<td>9,621</td>
<td>46</td>
</tr>
<tr>
<td>Associates Degree or Higher</td>
<td>750</td>
<td>53</td>
<td>17,821</td>
<td>38</td>
</tr>
<tr>
<td>Private Sector Total</td>
<td>4,056</td>
<td>62</td>
<td>11,217</td>
<td>39</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>By Sub-Sector (includes AMHS)</th>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Freight</td>
<td>1,895</td>
<td>70</td>
<td>15,156</td>
<td>42</td>
</tr>
<tr>
<td>Passenger/Sightseeing</td>
<td>1,816</td>
<td>50</td>
<td>6,042</td>
<td>35</td>
</tr>
<tr>
<td>Alaska Marine Highway System</td>
<td>935</td>
<td>N/A</td>
<td>N/A</td>
<td>N/A</td>
</tr>
<tr>
<td>Other</td>
<td>347</td>
<td>80</td>
<td>12,893</td>
<td>40</td>
</tr>
<tr>
<td>Cruise Lines</td>
<td>21,697</td>
<td>N/A</td>
<td>N/A</td>
<td>N/A</td>
</tr>
<tr>
<td>Total</td>
<td>26,688</td>
<td>-</td>
<td>-</td>
<td>-</td>
</tr>
</tbody>
</table>

Note: Data on age applies to Alaska residents only, as data is not available for nonresident workers. Employment by major cruise lines generally not included in these data because they operate primarily in international waters and the bulk of their employees are not covered under Alaska’s unemployment insurance system.

Source: DOLWD, JCVB, and OMB.

Slightly less than half of the private sector water transport industry workforce is employed in general operating positions that require relatively little training or education. These positions include a wide range of jobs, such as: clerks, cashiers, material movers, housekeepers/cleaners, labors, and porters.

A large percentage of workers are employed as captains, mates, sailors, or marine oilers. About 1 in 15 workers in private sector water transport is employed as a manager and a similar number are employed as maintenance workers.
Private Sector Employment in Alaska Water Transportation Industry by Occupation

<table>
<thead>
<tr>
<th>Number of Workers</th>
</tr>
</thead>
<tbody>
<tr>
<td>General Labor/Operations</td>
</tr>
<tr>
<td>Sailors/Oilers/Navigation</td>
</tr>
<tr>
<td>Management</td>
</tr>
<tr>
<td>Maintenance</td>
</tr>
<tr>
<td>Operating Engineers and Truck Drivers</td>
</tr>
<tr>
<td>Cooking</td>
</tr>
<tr>
<td>Administrative</td>
</tr>
<tr>
<td>Specific Pipeline Operations</td>
</tr>
<tr>
<td>Other</td>
</tr>
</tbody>
</table>

Note: Does not include employees of major cruise lines or government employees associated with the Alaska Marine Highway System. Source: DOLWD.

**SURVEY RESPONSES**

Several companies working in the freight, salvage, and scenic sightseeing industries were interviewed for this report. They said the hardest positions to fill were for USCG-licensed and experienced mariners, knowledgeable guides/naturalists, and skilled trade workers. Seasonality and ability to pass drug tests were also noted as challenges.

**Boat Building and Repair**

Companies that build, repair, or sell boats employed nearly 700 people in Alaska during 2010, not including self-employed workers. Workers earned an average of $9,868 per quarter and slightly more than 75 percent were Alaska residents.

An executive interviewed for this project expressed difficulty finding top-level project managers with knowledge of advanced manufacturing processes and supervisory/leadership skills. Hiring journeyman-level trade workers with substantial experience in key subject matters is also challenging. This executive suggested a common curriculum be adopted for educational and training programs related to vessel construction. He stressed three elements: 1) a strong employability sequence from entry level (through the equivalent of a two year degree), 2) workplace learning with supervisory training as employees progress, and 3) mentoring by subject-matter experts to ensure institutional knowledge is passed on.

Similar to other production-oriented segments of the FSM sector, vocational training most needed is for refrigeration, marine construction techniques, DC electrical systems, marine boilers, diesel engines, stainless/fiberglass fabrication, and processing equipment.
Salmon Hatcheries

Most salmon hatcheries in Alaska were established by the Alaska Department of Fish and Game in the 1970s and 1980s. Today, most hatcheries are run by private, non-profit companies or regional aquaculture associations. Operations are generally paid for through cost-recovery harvesting (when hatcheries contract local fishermen to catch and sell their fish) and enhancement taxes paid by fishermen. The State occasionally contributes funding for capital projects.

Alaska’s private salmon hatchery industry employed 456 workers in 2010. Including state and federal employees working at salmon hatcheries, the total figure is probably close to 500. These employees collect broodstock, hatch more than 1 billion fry, and release them into the wild according to regional salmon plans.

Four salmon hatchery operators were surveyed for this report. Those surveyed expressed difficulty filling positions from entry level through upper management. Skills noted as scare include: aquaculture/fishery research techniques, scientific report writing, project management skills, budget management, supervisory skill, and a basic understanding of Alaska and the commercial fishing industry. One hatchery operator suggested online certificates, courses, or workshops covering general aquaculture methods, biometrics, and data management.

Shellfish Mariculture

Shellfish mariculture, primarily oysters and mussels, is a small industry in Alaska, but one with potential for growth. Most farms are in Kachemak Bay or Southeast. Because world markets for these products are very large, and mariculture typically occurs in remote locations, the industry has been identified as having important community development potential if it can develop to a more efficient scale of operations.

Currently there are approximately 75 licensed shellfish farms in Alaska. Half are productive and employ a total of roughly 125 people. Kachemak Shellfish Growers Cooperative is exploring the possibility of an apprenticeship program. There are no regularly scheduled courses in shellfish biology in Alaska. UAS Ketchikan has arranged for visiting lecturers in the past. Other key employee skills include those associated with working in small boats.

Marine Engineering and Surveying

Unlike aquaculture or seafood processing, there is no NAICS code that specifically delineates marine engineering or marine surveying firms. In an effort to quantify Alaska’s marine engineering and surveying sector, the study team asked DOLWD to isolate a group of companies known to provide these services.

These firms employed 156 workers in 2010. They typically contract for design and construction management on marine or harbor/port construction projects but may work on other construction projects as well. Some firms also perform marine vessel surveys. As a group, these workers tend to require advanced degrees and earn relatively high wages.
One surveying firm was interviewed for this report. They noted difficulties filling positions for marine surveyors, which require knowledge of USCG regulations, American Boat and Yacht Council (ABYC) standards, and National Fire Protection Association (NFPA) standards.

An executive from an engineering firm known for design and construction of marine facilities urged UA to consider more course content related to coastal engineering, including areas such as harbor utilities design, marine geotechnical engineering, offshore foundation piles, heavy timber design, and hydrographic surveying. The representative also said there is a need for affordable training in certified welding and welding inspections.

**State and Federal Government**

The State of Alaska (ADF&G and AMHS), USCG, and NOAA employ a total of roughly 6,600 workers in Alaska’s FSM sector. Gathering occupational data on these government workers is challenging because state workers are not identified by agency within DOLWD data, and federal employees are not included in the State’s occupational database (because they are not covered under Alaska’s unemployment insurance system). Instead, the study team used budget reports and communicated with various federal departments to estimate employment in agencies known to support the FSM sector.

**Federal and State Employment in Agencies Related to Alaska Maritime Industries**

<table>
<thead>
<tr>
<th>Number of Workers</th>
</tr>
</thead>
<tbody>
<tr>
<td>US Coast Guard in Alaska</td>
</tr>
<tr>
<td>Alaska Department of Fish and Game</td>
</tr>
<tr>
<td>Alaska Marine Highway System</td>
</tr>
<tr>
<td>National Oceanic and Atmospheric Administration</td>
</tr>
<tr>
<td><strong>State and Federal Government Total</strong></td>
</tr>
</tbody>
</table>

NOAA and ADF&G were surveyed for this report. The NOAA representative suggested the University continue efforts to enhance and support the Undergraduate Fisheries Program and work towards enhancing educational opportunities in seafood technology, marketing, and business fields (although the latter programs are not related to NOAA staff). ADF&G responses indicated that finding biometricians can be difficult because many applicants do not possess a strong combination of statistical skills, biological/ocean knowledge, and writing/speaking skills.

ADF&G has a much broader range of training needs, and UA may be well suited to meeting many of them. However, those needs have not been documented recently. The department’s most recent comprehensive workforce development plan was published in 2008. It identifies cross-training and supervisory training as high priorities among employees. The report does not recommend specific kinds of technical training, but includes some suggestions offered by staff. These include training for:

- Seasonal field technicians in bear safety, first aid, boat handling etc.
- Programming languages
- Technical writing
- Leadership and management

The best way to pinpoint training needs and opportunities with ADF&G may be to work directly with department leadership to conduct a department-wide survey designed to identify the incidence and focus of past trainings and to estimate future needs for each division within the department.

**Potential Training Needs Related to Arctic Marine Research**

The Arctic Ocean and Alaska marine environment will be the subject of intensified research in coming years as a result of global warming. Climate change may also create commercial opportunities as receding ice sheets offer more efficient shipping routes or allow access to hydrocarbon deposits.

Alaska already plays a pivotal role in Arctic research/exploration. Endeavors. The University of Alaska-Fairbanks (UAF) International Arctic Research Center has a long history of collaborative Arctic research. In addition, the Arctic Research Consortium of the US (ARCUS) is based in Fairbanks and supports numerous ongoing Arctic research projects. One project is the Study of Environmental Arctic Change (SEARCH), which seeks to understand the nature, extent, and future system-scale developments in the Arctic and interpret those developments in the context of environmental changes occurring in other climates.

In order to carry out this massive research undertaking, a variety of tools and skills will be needed. One tool, the 261-foot research vessel R/V Sikuliaq is currently under construction in Wisconsin and is expected to begin collecting data in 2014. It will be able to break ice up to 2.5 feet thick and will be homeported in Seward at UAF’s Seward Marine Center.

Future research missions will require collaboration across physical borders and disciplines. The Arctic environment will require skilled technical staff (to ensure instruments and communication equipment continue to function during a research mission) and academic staff to study data. Expanding or forecasting all
the positions and skills required as Arctic research evolves is beyond the scope of this report, but the University should confer with UAF, ARCUS, SEARCH, and other Arctic research groups to discuss training needs and learn from experiences associated with prior research projects.

Summary of FSM Employment by Size of Employer

FSM employment data was segregated by employer size to determine whether there are significant differences in wages, residency, or quarters worked. These data do not include self-employed individuals, rather only wage and salary workers covered under Alaska’s unemployment insurance program.

In general, workers employed by larger companies work more quarters and make more money (except in the seafood processing industry where average wages were higher in smaller firms). Overall, smaller firms employed a higher percentage of residents. Remote processing plants are typically large-scale operations requiring many imported workers. This pushes the total nonresident hire percentage up. In the water-transport sector, smaller companies are likely involved in the visitor sightseeing or guiding industries, which require local knowledge.

<table>
<thead>
<tr>
<th>Private Sector Employment by Employer Size - 2010</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Employers with more than 25 FTE employees</strong></td>
</tr>
<tr>
<td><strong>Boat Building/Repair/Dealers</strong></td>
</tr>
<tr>
<td><strong>Salmon Hatcheries</strong></td>
</tr>
<tr>
<td><strong>Seafood Processing/Marketing</strong></td>
</tr>
<tr>
<td><strong>Selected Marine Engineering and Surveying</strong></td>
</tr>
<tr>
<td><strong>Water Transportation</strong></td>
</tr>
<tr>
<td><strong>Total</strong></td>
</tr>
<tr>
<td><strong>Employers with fewer than 25 FTE employees</strong></td>
</tr>
<tr>
<td><strong>Boat Building/Repair/Dealers</strong></td>
</tr>
<tr>
<td><strong>Salmon Hatcheries</strong></td>
</tr>
<tr>
<td><strong>Seafood Processing/Marketing</strong></td>
</tr>
<tr>
<td><strong>Selected Marine Engineering and Surveying</strong></td>
</tr>
<tr>
<td><strong>Water Transportation</strong></td>
</tr>
<tr>
<td><strong>Total</strong></td>
</tr>
</tbody>
</table>

Source: DOLWD.
Appendix 5: FSM Private Sector Workers and Education Requirements by Occupation Code

This table shows the number of workers (in 2010) in private-sector FSM occupations along with education and on-the-job training (OJT) requirements developed by DOLWD for each occupation.

<table>
<thead>
<tr>
<th>Occ. Code</th>
<th>Occupational Title</th>
<th>Count of Workers</th>
<th>Education Required</th>
<th>OJT Required</th>
</tr>
</thead>
<tbody>
<tr>
<td>111011</td>
<td>Chief Executives</td>
<td>34</td>
<td>Bachelors degree</td>
<td>None or N/A</td>
</tr>
<tr>
<td>111021</td>
<td>General and Operations Managers</td>
<td>134</td>
<td>Associate degree</td>
<td>None or N/A</td>
</tr>
<tr>
<td>112011</td>
<td>Advertising and Promotions Managers</td>
<td>2</td>
<td>Bachelors degree</td>
<td>None or N/A</td>
</tr>
<tr>
<td>112021</td>
<td>Marketing Managers</td>
<td>6</td>
<td>Bachelors degree</td>
<td>None or N/A</td>
</tr>
<tr>
<td>112022</td>
<td>Sales Managers</td>
<td>14</td>
<td>Bachelors degree</td>
<td>None or N/A</td>
</tr>
<tr>
<td>113011</td>
<td>Administrative Services Managers</td>
<td>21</td>
<td>HS diploma or GED</td>
<td>None or N/A</td>
</tr>
<tr>
<td>113021</td>
<td>Computer and Information Systems Managers</td>
<td>3</td>
<td>Bachelors degree</td>
<td>None or N/A</td>
</tr>
<tr>
<td>113031</td>
<td>Financial Managers</td>
<td>8</td>
<td>Bachelors degree</td>
<td>None or N/A</td>
</tr>
<tr>
<td>113051</td>
<td>Industrial Production Managers</td>
<td>12</td>
<td>Bachelors degree</td>
<td>None or N/A</td>
</tr>
<tr>
<td>113061</td>
<td>Purchasing Managers</td>
<td>4</td>
<td>Bachelors degree</td>
<td>None or N/A</td>
</tr>
<tr>
<td>113071</td>
<td>Transportation, Storage, and Distribution Managers</td>
<td>7</td>
<td>HS diploma or GED</td>
<td>None or N/A</td>
</tr>
<tr>
<td>113121</td>
<td>Human Resources Managers</td>
<td>6</td>
<td>Bachelors degree</td>
<td>None or N/A</td>
</tr>
<tr>
<td>119013</td>
<td>Farmers, Ranchers, and Other Agricultural Managers</td>
<td>14</td>
<td>HS diploma or GED</td>
<td>None or N/A</td>
</tr>
<tr>
<td>119041</td>
<td>Engineering Managers</td>
<td>21</td>
<td>Bachelors degree</td>
<td>None or N/A</td>
</tr>
<tr>
<td>119051</td>
<td>Food Service Managers</td>
<td>4</td>
<td>HS diploma or GED</td>
<td>None or N/A</td>
</tr>
<tr>
<td>119081</td>
<td>Lodging Managers</td>
<td>5</td>
<td>HS diploma or GED</td>
<td>None or N/A</td>
</tr>
<tr>
<td>119121</td>
<td>Natural Sciences Managers</td>
<td>1</td>
<td>Bachelors degree</td>
<td>None or N/A</td>
</tr>
<tr>
<td>119199</td>
<td>Managers, All Other</td>
<td>48</td>
<td>HS diploma or GED</td>
<td>None or N/A</td>
</tr>
<tr>
<td>131022</td>
<td>Wholesale and Retail Buyers, Except Farm Products</td>
<td>3</td>
<td>HS diploma or GED</td>
<td>Long-term</td>
</tr>
<tr>
<td>131023</td>
<td>Purchasing Agents, Except Wholesale, Retail, and Farm Products</td>
<td>22</td>
<td>HS diploma or GED</td>
<td>Long-term</td>
</tr>
<tr>
<td>131041</td>
<td>Compliance Officers, Except Agriculture, Construction, Health and Safety, and Transportation</td>
<td>49</td>
<td>Bachelors degree</td>
<td>Moderate-term</td>
</tr>
<tr>
<td>131071</td>
<td>Employment, Recruitment, and Placement Specialists</td>
<td>4</td>
<td>Bachelors degree</td>
<td>None or N/A</td>
</tr>
<tr>
<td>131075</td>
<td>Labor Relations Specialists</td>
<td>1</td>
<td>Bachelors degree</td>
<td>None or N/A</td>
</tr>
<tr>
<td>131081</td>
<td>Logisticians</td>
<td>4</td>
<td>Bachelors degree</td>
<td>None or N/A</td>
</tr>
<tr>
<td>131121</td>
<td>Meeting and Convention Planners</td>
<td>1</td>
<td>Bachelors degree</td>
<td>None or N/A</td>
</tr>
<tr>
<td>131199</td>
<td>Business Operations Specialists, All Other</td>
<td>9</td>
<td>HS diploma or GED</td>
<td>Long-term</td>
</tr>
<tr>
<td>132011</td>
<td>Accountants and Auditors</td>
<td>22</td>
<td>Bachelors degree</td>
<td>None or N/A</td>
</tr>
<tr>
<td>132082</td>
<td>Tax Preparers</td>
<td>1</td>
<td>HS diploma or GED</td>
<td>Moderate-term</td>
</tr>
<tr>
<td>151121</td>
<td>Computer Systems Analysts</td>
<td>2</td>
<td>Bachelors degree</td>
<td>None or N/A</td>
</tr>
<tr>
<td>151131</td>
<td>Computer Programmers</td>
<td>1</td>
<td>Bachelors degree</td>
<td>None or N/A</td>
</tr>
<tr>
<td>151142</td>
<td>Network and Computer Systems Administrators</td>
<td>1</td>
<td>Bachelors degree</td>
<td>None or N/A</td>
</tr>
<tr>
<td>151151</td>
<td>Computer User Support Specialists</td>
<td>1</td>
<td>Some college, no degree</td>
<td>Moderate-term</td>
</tr>
<tr>
<td>171021</td>
<td>Cartographers and Photogrammetrists</td>
<td>1</td>
<td>Bachelors degree</td>
<td>None or N/A</td>
</tr>
<tr>
<td>171022</td>
<td>Surveyors</td>
<td>2</td>
<td>Bachelors degree</td>
<td>None or N/A</td>
</tr>
<tr>
<td>172051</td>
<td>Civil Engineers</td>
<td>58</td>
<td>Bachelors degree</td>
<td>None or N/A</td>
</tr>
<tr>
<td>172071</td>
<td>Electrical Engineers</td>
<td>2</td>
<td>Bachelors degree</td>
<td>None or N/A</td>
</tr>
<tr>
<td>172081</td>
<td>Environmental Engineers</td>
<td>1</td>
<td>Bachelors degree</td>
<td>None or N/A</td>
</tr>
<tr>
<td>172121</td>
<td>Marine Engineers and Naval Architects</td>
<td>5</td>
<td>Bachelors degree</td>
<td>None or N/A</td>
</tr>
<tr>
<td>172141</td>
<td>Mechanical Engineers</td>
<td>83</td>
<td>Bachelors degree</td>
<td>None or N/A</td>
</tr>
<tr>
<td>172151</td>
<td>Mining and Geological Engineers, Including Mining Safety Engineers</td>
<td>1</td>
<td>Bachelors degree</td>
<td>None or N/A</td>
</tr>
<tr>
<td>172199</td>
<td>Engineers, All Other</td>
<td>14</td>
<td>Bachelors degree</td>
<td>None or N/A</td>
</tr>
<tr>
<td>173011</td>
<td>Architectural and Civil Drafters</td>
<td>17</td>
<td>Associate degree</td>
<td>None or N/A</td>
</tr>
<tr>
<td>173019</td>
<td>Drafters, All Other</td>
<td>2</td>
<td>Associate degree</td>
<td>None or N/A</td>
</tr>
<tr>
<td>173029</td>
<td>Engineering Technicians, Except Drafters, All Other</td>
<td>1</td>
<td>Associate degree</td>
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<td>173031</td>
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<tr>
<td>191021</td>
<td>Biochemists and Biophysicists</td>
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<td>Doctoral or prof. degree</td>
<td>None or N/A</td>
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<td>191023</td>
<td>Zoologists and Wildlife Biologists</td>
<td>9</td>
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<td>191029</td>
<td>Biological Scientists, All Other</td>
<td>12</td>
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<td>192031</td>
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<td>192041</td>
<td>Environmental Scientists and Specialists, Including Health</td>
<td>12</td>
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<td>192042</td>
<td>Geoscientists, Except Hydrologists and Geographers</td>
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<td>192043</td>
<td>Hydrologists</td>
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<td>193051</td>
<td>Urban and Regional Planners</td>
<td>5</td>
<td>Master's degree</td>
<td>None or N/A</td>
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<tr>
<td>193091</td>
<td>Anthropologists and Archeologists</td>
<td>3</td>
<td>Master's degree</td>
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<td>194011</td>
<td>Agricultural and Food Science Technicians</td>
<td>20</td>
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<td>194021</td>
<td>Biological Technicians</td>
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<td>194041</td>
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<td>194099</td>
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<td>Training Required</td>
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<td>1</td>
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<td>251199</td>
<td>Postsecondary Teachers, All Other</td>
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<td>252059</td>
<td>Special Education Teachers, All Other</td>
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<td>Internship/Residency</td>
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<td>Craft Artists</td>
<td>1</td>
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<td>272099</td>
<td>Entertainers and Performers, Sports and Related Workers, All Other</td>
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<td>273012</td>
<td>Public Address System and Other Announcers</td>
<td>3</td>
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<td>Short-term</td>
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<td>273042</td>
<td>Technical Writers</td>
<td>1</td>
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<td>Short-term</td>
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<td>274013</td>
<td>Radio Operators</td>
<td>1</td>
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<td>291071</td>
<td>Physician Assistants</td>
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<td>291141</td>
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<td>1</td>
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<td>299011</td>
<td>Occupational Health and Safety Specialists</td>
<td>2</td>
<td>Bachelors degree</td>
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<td>None or N/A</td>
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<td>Police and Sheriff's Patrol Officers</td>
<td>1</td>
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<td>Moderate-term</td>
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<td>42</td>
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<td>351011</td>
<td>Chefs and Head Cooks</td>
<td>49</td>
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<td>11</td>
<td>HS diploma or GED</td>
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<td>352012</td>
<td>Cooks, Institution and Cafeteria</td>
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<td>352014</td>
<td>Cooks, Restaurant</td>
<td>46</td>
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<td>352015</td>
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<td>352019</td>
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<td>Bartenders</td>
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<td>353022</td>
<td>Counter Attendants, Cafeteria, Food Concession, and Coffee Shop</td>
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<td>353031</td>
<td>Waiters and Waitresses</td>
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<td>Food Servers, Nonrestaurant</td>
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<td>Short-term</td>
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<td>Dining Room and Cafeteria Attendants and Bartender Helpers</td>
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<td>Dishwashers</td>
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<td>359031</td>
<td>Hosts and Hostesses, Restaurant, Lounge, and Coffee Shop</td>
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<td>Food Preparation and Serving Related Workers, All Other</td>
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<tr>
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<td>HS diploma or GED</td>
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<td>372011</td>
<td>Janitors and Cleaners, Except Maids and Housekeeping Cleaners</td>
<td>Less than HS</td>
<td>Short-term</td>
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<td>372012</td>
<td>Maids and Housekeeping Cleaners</td>
<td>Less than HS</td>
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<tr>
<td>372019</td>
<td>Building Cleaning Workers, All Other</td>
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<td>Short-term</td>
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<tr>
<td>372021</td>
<td>Pest Control Workers</td>
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<td>373011</td>
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<td>373019</td>
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<td>393091</td>
<td>Amusement and Recreation Attendants</td>
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<tr>
<td>396011</td>
<td>Baggage Porters and Bellhops</td>
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<td>Short-term</td>
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<tr>
<td>397011</td>
<td>Tour Guides and Escorts</td>
<td>HS diploma or GED</td>
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<td>397012</td>
<td>Travel Guides</td>
<td>HS diploma or GED</td>
<td>Moderate-term</td>
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<tr>
<td>399011</td>
<td>Child Care Workers</td>
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<td>399032</td>
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<td>Some college, no degree</td>
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<td>412011</td>
<td>Cashiers</td>
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<td>412021</td>
<td>Counter and Rental Clerks</td>
<td>Less than HS</td>
<td>Short-term</td>
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<tr>
<td>412022</td>
<td>Parts Salespersons</td>
<td>Less than HS</td>
<td>Moderate-term</td>
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<tr>
<td>412031</td>
<td>Retail Salespersons</td>
<td>Less than HS</td>
<td>Short-term</td>
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<tr>
<td>413099</td>
<td>Sales Representatives, Services, All Other</td>
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<td>414011</td>
<td>Sales Representatives, Wholesale and Manufacturing, Technical and Scientific Products</td>
<td>Bachelors degree</td>
<td>Moderate-term</td>
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<tr>
<td>414012</td>
<td>Sales Representatives, Wholesale and Manufacturing, Except Technical and Scientific Products</td>
<td>HS diploma or GED</td>
<td>Moderate-term</td>
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<td>Door-To-Door Sales Workers, News and Street Vendors, and Related Workers</td>
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<td>Short-term</td>
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<td>419099</td>
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<td>Billing and Posting Clerks and Machine Operators</td>
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<td>Procurement Clerks</td>
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<td>Financial Clerks, All Other</td>
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<tr>
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<td>File Clerks</td>
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<td>Short-term</td>
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<td>Human Resources Assistants, Except Payroll and Timekeeping</td>
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<td>Short-term</td>
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<td>Receptionists and Information Clerks</td>
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<td>Reservation and Transportation Ticket Agents and Travel Clerks</td>
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<td>Short-term</td>
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<td>Information and Record Clerks, All Other</td>
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<td>HS diploma or GED</td>
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<td>Cargo and Freight Agents</td>
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<td>Short-term</td>
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<td>Moderate-term</td>
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<td>Postal Service Clerks</td>
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<tr>
<td>Stock Clerks and Order Fillers</td>
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<td>Weighers, Measurers, Checkers, and Samplers, Recordkeeping</td>
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<td>HS diploma or GED</td>
<td>Short-term</td>
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<td>Secretaries, Except Legal, Medical, and Executive</td>
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<td>Short-term</td>
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<tr>
<td>Computer Operators</td>
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<td>HS diploma or GED</td>
<td>Moderate-term</td>
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<td>Data Entry Keyers</td>
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<td>HS diploma or GED</td>
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<td>Word Processors and Typists</td>
<td>5</td>
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<td>Short-term</td>
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<td>Mail Clerks and Mail Machine Operators, Except Postal Service</td>
<td>2</td>
<td>HS diploma or GED</td>
<td>Short-term</td>
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<td>Office Clerks, General</td>
<td>334</td>
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<td>100</td>
<td>HS diploma or GED</td>
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<td>452011</td>
<td>Agricultural Inspectors</td>
<td>7</td>
<td>Bachelors degree</td>
<td>Moderate-term</td>
</tr>
<tr>
<td>452041</td>
<td>Graders and Sorters, Agricultural Products</td>
<td>96</td>
<td>Less than HS</td>
<td>Short-term</td>
</tr>
<tr>
<td>452093</td>
<td>Farmworkers, Farm and Ranch Animals</td>
<td>62</td>
<td>Less than HS</td>
<td>Short-term</td>
</tr>
<tr>
<td>452099</td>
<td>Agricultural Workers, All Other</td>
<td>167</td>
<td>Less than HS</td>
<td>Short-term</td>
</tr>
<tr>
<td>453011</td>
<td>Fishers and Related Fishing Workers</td>
<td>875</td>
<td>Less than HS</td>
<td>Moderate-term</td>
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<tr>
<td>471011</td>
<td>First-Line Supervisors/Managers of Construction Trades and Extraction Workers</td>
<td>5</td>
<td>HS diploma or GED</td>
<td>None or N/A</td>
</tr>
<tr>
<td>472031</td>
<td>Carpenters</td>
<td>49</td>
<td>HS diploma or GED</td>
<td>Apprenticeship</td>
</tr>
<tr>
<td>472051</td>
<td>Cement Masons and Concrete Finishers</td>
<td>1</td>
<td>Less than HS</td>
<td>Moderate-term</td>
</tr>
<tr>
<td>472061</td>
<td>Construction Laborers</td>
<td>145</td>
<td>Less than HS</td>
<td>Short-term</td>
</tr>
<tr>
<td>472073</td>
<td>Operating Engineers and Other Construction Equipment Operators</td>
<td>11</td>
<td>HS diploma or GED</td>
<td>Moderate-term</td>
</tr>
<tr>
<td>472111</td>
<td>Electricians</td>
<td>63</td>
<td>HS diploma or GED</td>
<td>Apprenticeship</td>
</tr>
<tr>
<td>472141</td>
<td>Painters, Construction and Maintenance</td>
<td>31</td>
<td>Less than HS</td>
<td>Moderate-term</td>
</tr>
<tr>
<td>472152</td>
<td>Plumbers, Pipefitters, and Steamfitters</td>
<td>5</td>
<td>HS diploma or GED</td>
<td>Apprenticeship</td>
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<tr>
<td>472211</td>
<td>Sheet Metal Workers</td>
<td>2</td>
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<td>Apprenticeship</td>
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<tr>
<td>472221</td>
<td>Structural Iron and Steel Workers</td>
<td>10</td>
<td>HS diploma or GED</td>
<td>Apprenticeship</td>
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<td>Helpers--Carpenters</td>
<td>2</td>
<td>Less than HS</td>
<td>Short-term</td>
</tr>
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<td>473013</td>
<td>Helpers--Electricians</td>
<td>4</td>
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<td>Short-term</td>
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<tr>
<td>473019</td>
<td>Helpers, Construction Trades, All Other</td>
<td>27</td>
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<td>Short-term</td>
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<tr>
<td>474011</td>
<td>Construction and Building Inspectors</td>
<td>3</td>
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<td>Moderate-term</td>
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<tr>
<td>474031</td>
<td>Fence Erectors</td>
<td>2</td>
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<td>Moderate-term</td>
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<tr>
<td>474041</td>
<td>Hazardous Materials Removal Workers</td>
<td>14</td>
<td>HS diploma or GED</td>
<td>Moderate-term</td>
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<tr>
<td>474099</td>
<td>Construction and Related Workers, All Other</td>
<td>7</td>
<td>HS diploma or GED</td>
<td>Moderate-term</td>
</tr>
<tr>
<td>475013</td>
<td>Service Unit Operators, Oil, Gas, and Mining</td>
<td>1</td>
<td>Less than HS</td>
<td>Moderate-term</td>
</tr>
<tr>
<td>491011</td>
<td>First-Line Supervisors/Managers of Mechanics, Installers, and Repairers</td>
<td>45</td>
<td>HS diploma or GED</td>
<td>None or N/A</td>
</tr>
<tr>
<td>492021</td>
<td>Radio Mechanics</td>
<td>1</td>
<td>Associate degree</td>
<td>Moderate-term</td>
</tr>
<tr>
<td>492093</td>
<td>Electrical and Electronics Installers and Repairers, Transportation Equipment</td>
<td>3</td>
<td>Postsecondary non-degree award</td>
<td>Long-term</td>
</tr>
<tr>
<td>492095</td>
<td>Electrical and Electronics Repairers, Powerhouse, Substation, and Relay</td>
<td>9</td>
<td>Postsecondary non-degree award</td>
<td>Long-term</td>
</tr>
<tr>
<td>493011</td>
<td>Aircraft Mechanics and Service Technicians</td>
<td>5</td>
<td>Postsecondary non-degree award</td>
<td>None or N/A</td>
</tr>
<tr>
<td>493023</td>
<td>Automotive Service Technicians and Mechanics</td>
<td>30</td>
<td>HS diploma or GED</td>
<td>Long-term</td>
</tr>
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<td>OCS Code</td>
<td>Occupation Description</td>
<td>Shortage</td>
<td>Education Requirement</td>
<td>Duration</td>
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<tr>
<td>493031</td>
<td>Bus and Truck Mechanics and Diesel Engine Specialists</td>
<td>46</td>
<td>HS diploma or GED</td>
<td>Long-term</td>
</tr>
<tr>
<td>493042</td>
<td>Mobile Heavy Equipment Mechanics, Except Engines</td>
<td>6</td>
<td>HS diploma or GED</td>
<td>Long-term</td>
</tr>
<tr>
<td>493043</td>
<td>Rail Car Repairers</td>
<td>2</td>
<td>HS diploma or GED</td>
<td>Long-term</td>
</tr>
<tr>
<td>493051</td>
<td>Motorboat Mechanics</td>
<td>29</td>
<td>HS diploma or GED</td>
<td>Long-term</td>
</tr>
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<td>493052</td>
<td>Motorcycle Mechanics</td>
<td>3</td>
<td>HS diploma or GED</td>
<td>Long-term</td>
</tr>
<tr>
<td>493053</td>
<td>Outdoor Power Equipment and Other Small Engine Mechanics</td>
<td>7</td>
<td>HS diploma or GED</td>
<td>Moderate-term</td>
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<tr>
<td>493092</td>
<td>Recreational Vehicle Service Technicians</td>
<td>12</td>
<td>HS diploma or GED</td>
<td>Long-term</td>
</tr>
<tr>
<td>499021</td>
<td>Heating, Air Conditioning, and Refrigeration Mechanics and Installers</td>
<td>31</td>
<td>Postsecondary non-degree award</td>
<td>Long-term</td>
</tr>
<tr>
<td>499041</td>
<td>Industrial Machinery Mechanics</td>
<td>26</td>
<td>HS diploma or GED</td>
<td>Long-term</td>
</tr>
<tr>
<td>499043</td>
<td>Maintenance Workers, Machinery</td>
<td>81</td>
<td>HS diploma or GED</td>
<td>Long-term</td>
</tr>
<tr>
<td>499044</td>
<td>Millwrights</td>
<td>1</td>
<td>HS diploma or GED</td>
<td>Long-term</td>
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<td>499071</td>
<td>Maintenance and Repair Workers, General</td>
<td>159</td>
<td>HS diploma or GED</td>
<td>Moderate-term</td>
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<tr>
<td>499092</td>
<td>Commercial Divers</td>
<td>7</td>
<td>Postsecondary non-degree award</td>
<td>Moderate-term</td>
</tr>
<tr>
<td>499093</td>
<td>Fabric Menders, Except Garment</td>
<td>1</td>
<td>Less than HS</td>
<td>Long-term</td>
</tr>
<tr>
<td>499098</td>
<td>Helpers--Installation, Maintenance, and Repair Workers</td>
<td>102</td>
<td>HS diploma or GED</td>
<td>Moderate-term</td>
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<td>499099</td>
<td>Installation, Maintenance, and Repair Workers, All Other</td>
<td>111</td>
<td>HS diploma or GED</td>
<td>Moderate-term</td>
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<td>499099.02</td>
<td>Electrical and Electronic Equipment Maintenance, Installation and Repairers, All other</td>
<td>1</td>
<td>None or N/A</td>
<td>None or N/A</td>
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<td>499099.03</td>
<td>Vehicle, Mobile Equipment Mechanics, Installers, and Repairers, All Other</td>
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<td>511011</td>
<td>First-Line Supervisors/Managers of Production and Operating Workers</td>
<td>386</td>
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<td>511011.01</td>
<td>First-line Supervisors/Managers of Seafood Processing Workers</td>
<td>284</td>
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<td>512041</td>
<td>Structural Metal Fabricators and Fitters</td>
<td>8</td>
<td>HS diploma or GED</td>
<td>Moderate-term</td>
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<td>512091</td>
<td>Fiberglass Laminators and Fabricators</td>
<td>11</td>
<td>HS diploma or GED</td>
<td>Moderate-term</td>
</tr>
<tr>
<td>512099</td>
<td>Assemblers and Fabricators, All Other</td>
<td>6</td>
<td>HS diploma or GED</td>
<td>Moderate-term</td>
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<tr>
<td>513011</td>
<td>Bakers</td>
<td>5</td>
<td>Less than HS</td>
<td>Long-term</td>
</tr>
<tr>
<td>513022</td>
<td>Meat, Poultry, and Fish Cutters and Trimmers</td>
<td>2503</td>
<td>Less than HS</td>
<td>Short-term</td>
</tr>
<tr>
<td>513022.05</td>
<td>Seafood Processing Workers, Except Surimi and Fish Roe</td>
<td>14390</td>
<td>None or N/A</td>
<td>None or N/A</td>
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<tr>
<td>513091</td>
<td>Food and Tobacco Roasting, Baking, and Drying Machine Operators and Tenders</td>
<td>12</td>
<td>Less than HS</td>
<td>Moderate-term</td>
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<tr>
<td>513092</td>
<td>Food Batchmakers</td>
<td>72</td>
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<td>Surimi Technicians</td>
<td>387</td>
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<td>None or N/A</td>
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<td>Fish Roe Technicians</td>
<td>133</td>
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<tr>
<td>513093</td>
<td>Food Cooking Machine Operators and Tenders</td>
<td>3</td>
<td>HS diploma or GED</td>
<td>Short-term</td>
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<tr>
<td>513099</td>
<td>Food Processing Workers, All Other</td>
<td>44</td>
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<td>514031</td>
<td>Cutting, Punching, and Press Machine Setters, Operators, and Tenders, Metal and Plastic</td>
<td>23</td>
<td>HS diploma or GED</td>
<td>Moderate-term</td>
</tr>
<tr>
<td>514041</td>
<td>Machinists</td>
<td>145</td>
<td>HS diploma or GED</td>
<td>Long-term</td>
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<tr>
<td>514121</td>
<td>Welders, Cutters, Solderers, and Brazers</td>
<td>127</td>
<td>HS diploma or GED</td>
<td>Moderate-term</td>
</tr>
<tr>
<td>514192</td>
<td>Lay-Out Workers, Metal and Plastic</td>
<td>3</td>
<td>HS diploma or GED</td>
<td>Moderate-term</td>
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<tr>
<td>514199</td>
<td>Metal Workers and Plastic Workers, All Other</td>
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<td>HS diploma or GED</td>
<td>Moderate-term</td>
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<tr>
<td>516011</td>
<td>Laundry and Dry-Cleaning Workers</td>
<td>19</td>
<td>Less than HS</td>
<td>Short-term</td>
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<td>517099</td>
<td>Woodworkers, All Other</td>
<td>1</td>
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<td>Moderate-term</td>
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<tr>
<td>518013</td>
<td>Power Plant Operators</td>
<td>6</td>
<td>HS diploma or GED</td>
<td>Long-term</td>
</tr>
<tr>
<td>518021</td>
<td>Stationary Engineers and Boiler Operators</td>
<td>8</td>
<td>HS diploma or GED</td>
<td>Long-term</td>
</tr>
<tr>
<td>518093</td>
<td>Petroleum Pump System Operators, Refinery Operators, and Gaugers</td>
<td>2</td>
<td>HS diploma or GED</td>
<td>Long-term</td>
</tr>
<tr>
<td>518099</td>
<td>Plant and System Operators, All Other</td>
<td>2</td>
<td>HS diploma or GED</td>
<td>Long-term</td>
</tr>
<tr>
<td>519012</td>
<td>Separating, Filtering, Clarifying, Precipitating, and Still Machine Setters, Operators, and Tenders</td>
<td>4</td>
<td>HS diploma or GED</td>
<td>Moderate-term</td>
</tr>
<tr>
<td>519021</td>
<td>Cutting and Slicing Machine Setters, Operators, and Tenders</td>
<td>27</td>
<td>HS diploma or GED</td>
<td>Short-term</td>
</tr>
<tr>
<td>519032.05</td>
<td>Baader Machine Setters, Operators and Tenders</td>
<td>66</td>
<td>None or N/A</td>
<td>None or N/A</td>
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<tr>
<td>519061</td>
<td>Inspectors, Testers, Sorters, Samplers, and Weighers</td>
<td>26</td>
<td>HS diploma or GED</td>
<td>Moderate-term</td>
</tr>
<tr>
<td>519111</td>
<td>Packaging and Filling Machine Operators and Tenders</td>
<td>70</td>
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<td>Moderate-term</td>
</tr>
<tr>
<td>519122</td>
<td>Painters, Transportation Equipment</td>
<td>5</td>
<td>HS diploma or GED</td>
<td>Moderate-term</td>
</tr>
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<td>519193</td>
<td>Cooling and Freezing Equipment Operators and Tenders</td>
<td>13</td>
<td>HS diploma or GED</td>
<td>Moderate-term</td>
</tr>
<tr>
<td>519198</td>
<td>Helpers--Production Workers</td>
<td>12</td>
<td>Less than HS</td>
<td>Short-term</td>
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<tr>
<td>519199</td>
<td>Production Workers, All Other</td>
<td>10</td>
<td>HS diploma or GED</td>
<td>Moderate-term</td>
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<tr>
<td>531011</td>
<td>Aircraft Cargo Handling Supervisors</td>
<td>1</td>
<td>HS diploma or GED</td>
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<td>531021</td>
<td>First-Line Supervisors/Managers of Helpers, Laborers, and Material Movers, Hand</td>
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<td>HS diploma or GED</td>
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<td>531031</td>
<td>First-Line Supervisors/Managers of Transportation and Material-Moving Machine and Vehicle Operators</td>
<td>32</td>
<td>HS diploma or GED</td>
<td>None or N/A</td>
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<tr>
<td>532011</td>
<td>Airline Pilots, Copilots, and Flight Engineers</td>
<td>1</td>
<td>HS diploma or GED</td>
<td>Long-term</td>
</tr>
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<tr>
<td>532012</td>
<td>Commercial Pilots</td>
<td>2</td>
<td>HS diploma or GED</td>
<td>Long-term</td>
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<tr>
<td>532021</td>
<td>Air Traffic Controllers</td>
<td>2</td>
<td>Associate degree</td>
<td>Long-term</td>
</tr>
<tr>
<td>532031</td>
<td>Flight Attendants</td>
<td>1</td>
<td>HS diploma or GED</td>
<td>Moderate-term</td>
</tr>
<tr>
<td>533021</td>
<td>Bus Drivers, Transit and Intercity</td>
<td>6</td>
<td>HS diploma or GED</td>
<td>Moderate-term</td>
</tr>
<tr>
<td>533022</td>
<td>Bus Drivers, School</td>
<td>2</td>
<td>HS diploma or GED</td>
<td>Moderate-term</td>
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<tr>
<td>533031</td>
<td>Driver/Sales Workers</td>
<td>25</td>
<td>HS diploma or GED</td>
<td>Short-term</td>
</tr>
<tr>
<td>533032</td>
<td>Truck Drivers, Heavy and Tractor-Trailer</td>
<td>59</td>
<td>HS diploma or GED</td>
<td>Short-term</td>
</tr>
<tr>
<td>533033</td>
<td>Truck Drivers, Light or Delivery Services</td>
<td>59</td>
<td>HS diploma or GED</td>
<td>Short-term</td>
</tr>
<tr>
<td>533041</td>
<td>Taxi Drivers and Chauffeurs</td>
<td>7</td>
<td>Less than HS</td>
<td>Short-term</td>
</tr>
<tr>
<td>533099</td>
<td>Motor Vehicle Operators, All Other</td>
<td>38</td>
<td>HS diploma or GED</td>
<td>Short-term</td>
</tr>
<tr>
<td>535011</td>
<td>Sailors and Marine Oilers</td>
<td>798</td>
<td>Less than HS</td>
<td>Short-term</td>
</tr>
<tr>
<td>535021</td>
<td>Captains, Mates, and Pilots of Water Vessels</td>
<td>560</td>
<td>Bachelors degree</td>
<td>None or N/A</td>
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<tr>
<td>535022</td>
<td>Motorboat Operators</td>
<td>24</td>
<td>HS diploma or GED</td>
<td>Short-term</td>
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<td>535031</td>
<td>Ship Engineers</td>
<td>211</td>
<td>Bachelors degree</td>
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<td>536031</td>
<td>Service Station Attendants</td>
<td>9</td>
<td>Less than HS</td>
<td>Short-term</td>
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<tr>
<td>536051</td>
<td>Transportation Inspectors</td>
<td>3</td>
<td>Some college, no degree</td>
<td>Short-term</td>
</tr>
<tr>
<td>536061</td>
<td>Transportation Attendants, Except Flight Attendants</td>
<td>94</td>
<td>HS diploma or GED</td>
<td>Short-term</td>
</tr>
<tr>
<td>536099</td>
<td>Transportation Workers, All Other</td>
<td>30</td>
<td>HS diploma or GED</td>
<td>Short-term</td>
</tr>
<tr>
<td>536099.05</td>
<td>Water Transportation Workers, All Other</td>
<td>59</td>
<td>None or N/A</td>
<td>None or N/A</td>
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<tr>
<td>537011</td>
<td>Conveyor Operators and Tenders</td>
<td>9</td>
<td>Less than HS</td>
<td>Short-term</td>
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<td>537021</td>
<td>Crane and Tower Operators</td>
<td>68</td>
<td>Less than HS</td>
<td>Long-term</td>
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<td>537032</td>
<td>Excavating and Loading Machine and Dragline Operators</td>
<td>1</td>
<td>Less than HS</td>
<td>Moderate-term</td>
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<td>537041</td>
<td>Hoist and Winch Operators</td>
<td>2</td>
<td>Less than HS</td>
<td>Moderate-term</td>
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<td>537051</td>
<td>Industrial Truck and Tractor Operators</td>
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<td>Less than HS</td>
<td>Short-term</td>
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<td>537061</td>
<td>Cleaners of Vehicles and Equipment</td>
<td>11</td>
<td>Less than HS</td>
<td>Short-term</td>
</tr>
<tr>
<td>537062</td>
<td>Laborers and Freight, Stock, and Material Movers, Hand</td>
<td>332</td>
<td>Less than HS</td>
<td>Short-term</td>
</tr>
<tr>
<td>537064</td>
<td>Packers and Packagers, Hand</td>
<td>10</td>
<td>Less than HS</td>
<td>Short-term</td>
</tr>
<tr>
<td>537081</td>
<td>Refuse and Recyclable Material Collectors</td>
<td>1</td>
<td>Less than HS</td>
<td>Short-term</td>
</tr>
<tr>
<td>537121</td>
<td>Tank Car, Truck, and Ship Loaders</td>
<td>118</td>
<td>Less than HS</td>
<td>Short-term</td>
</tr>
<tr>
<td>537199</td>
<td>Material Moving Workers, All Other</td>
<td>598</td>
<td>Less than HS</td>
<td>Short-term</td>
</tr>
</tbody>
</table>
12.5 Employer Contributions to the Code Section 401(a) Portion of the ORP

The ORP I Account, and the terms and conditions of this Retirement Program that are applicable to benefits under the ORP I, constitute a tax-qualified, money-purchase, pension plan that is designed, and which shall be administered, in accordance with the provisions of Code Section 401(a) that apply to “governmental plans” (within the meaning of Code Section 414(d)).

(a) For each active Participant in the ORP, the Employer will make contributions to the ORP I Account of such Participant at the Employer plan contribution rate times Covered Wages for each Participant.

(b) The Employer plan contribution rate shall be 14%. The ORP benefits described in this paragraph (b) shall be referred to as the “Tier 1” Employer plan contribution, equal to the three year moving average of the rates (including the rate for the current year and the rates for each of the preceding two years) which are and were in effect during the applicable years for funding contributions to TRS by its participating employers. The ORP I benefits described in this paragraph (b) shall be referred to as “Tier 1” Employer plan contribution rates.

(c) The Tier 1 Employer plan contribution rate shall be adjusted as of the effective date of each change in the employer funding contribution rate for participating employers in TRS.

(d) For purposes of determining the rate of Employer contribution to the ORP I Account under the ORP, the minimum Employer plan contribution rate shall be six percent (6%).

(e) Employer contributions to the ORP for a Participant will terminate at any time the Participant ceases to be an Eligible Employee for the ORP, including transfer or reclassification to a position which is not classified as eligible or the Participant’s failure to make the mandatory contributions to the Participant’s ORP II Account as required by Section 12.6.

(f) Employer contributions shall be allocated to a Participant’s ORP I Account no less frequently than monthly.
(eg) Assets in an amount equal to the Employer contributions required to be made, in the aggregate, to the respective ORP I Accounts maintained by a Fund Sponsor shall be payable no less frequently than monthly to the custody of the Fund Sponsor or its custodian, in a manner acceptable to the Fund Sponsor and the Employer.

(fh) Notwithstanding the terms of Subsection 12.5(b) and (c), one or more alternative tiers of ORP I Employer contribution benefits shall apply under this Plan, as follows:

(i) Notwithstanding any other provision of this Section 12.5, the Employer plan contribution rate shall be equal to 12 percent of Covered Wages per annum in the case of an active Participant in the ORP who, by virtue of an Employment Date or Reemployment Date on or after July 1, 2005 and before July 1, 2006 qualifies for the first time as an Eligible Employee for the ORP, pursuant to an offer of employment after June 22, 2005. The ORP I benefits described in this paragraph (h)(i) shall be referred to as “Tier 2” Employer contribution rates.

(ii) Effective on and after July 1, 2006, notwithstanding any other provision of this Section 12.5, in the case of an Employee who, by virtue of an Employment Date or Reemployment Date with the Employer on or after that date, is entitled to elect, and does elect, to participate in the ORP, the Employer plan contribution rate for a calendar year shall be equal to the net amount of:

(A) 12 percent of Covered Wages, less

(B) the amount (whether expressed as a percentage of Covered Wages or as a flat dollar amount per annum) of any Employer contributions allocated from time to time to an individual account for the benefit of the same Employee under any plan or program maintained by the Employer to accumulate savings for – or reimburse – health care expenses of employees or retirees.

The ORP I benefits described in this paragraph (h)(ii) shall be referred to as “Tier 3” Employer contribution rates.

(i)(g) In the case of an individual who has a reclassification, transfer or Reemployment Date with the Employer on or after July 1, 2005, into a position that, once again, qualifies him or her as an Eligible Employee for the ORP, and who, during a prior period of employment with the Employer, made an election between ORP and either TRS or PERS pursuant to Section 12.3(a)(i), the following provisions shall apply:
(i) if the individual previously had elected to participate in ORP, then the individual shall resume coverage in the ORP benefit tier that applied to him or her as of his or her initial ORP election; and

(ii) if the individual previously had elected to participate in TRS or PERS and has a right to a second election under Section 12.3(a)(ii) because of a change from PERS-eligible to TRS-eligible status (or vice versa), the ORP election shall be governed by the ORP benefit tier that would then apply as if the individual’s Reemployment Date (or reclassification or transfer date) were an initial Employment Date.
PROPOSAL TO NAME A GEOGRAPHIC FEATURE IN ALASKA

ALASKA HISTORICAL COMMISSION

Department of Natural Resources
Office of History and Archaeology 550 West 7th Ave., Suite 1310
Anchorage, AK 99501-3565
(907) 269-8721 oha@alaska.net

ACTION REQUESTED

_X new name
__application change
__name change
__other

DESCRIPTION:

- Proposed name: Troth Yeddha'
- Type of feature: ridge
- Evidence the feature is unnamed: Unofficial designations include “West Ridge”, “Lower Campus” and “College Hill,” but none of these has official status in GNIS. Moreover, these unofficial names refer to particular sub-regions of the ridge as opposed to the entire feature.

LOCATION: ridge at the site of University of Alaska

Distance and direction from nearest community or prominent topographic feature:
one-quarter to three-quarters of a mile west of College, Alaska

Borough: Fairbanks North Star Borough
USGS map: Fairbanks D-2

Latitude: 64° 51.663’ N
Longitude: 147° 51.170 W
Elev: 614’
Section: 1 to 6, Township: T1S
Range: R2W to R1W

TYPE OF PROPOSAL:

LOCAL USAGE - Is the proposed name in local use? Yes (see description)

State the number of years known by recommended name:
Traditional Athabascan name of unknown antiquity, first recorded in 1967 by linguist Michael Krauss.

State variant spelling and/or usage if known:
Troth Yetth, Tro Yeddha’, Troyedda’, Troth Yedda, Tsół Yedla’, Tsoł Teye’

Is there local opposition or conflict regarding the proposed name?
The proposed spelling Troth Yeddha’ is widespread and is preferred by Lower Tanana Athabascan speakers and the Alaska Native Language Center. The name is being submitted without a generic term such as “Ridge”.

1

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**DESCRIPTIVE** - Provide information about the feature and why the proposed name is appropriate:

*Troth Yeddha* is widely recognized as the traditional Lower Tanana Athabascan name for the ridge on which the University of Alaska Fairbanks campus is located. *Troth Yeddha* means ‘Indian potato ridge.’ The parsnip-like root of the plant *Hedysarum alpinum* is an emergency vegetable food for Alaska Athabascans. Given that archaeological occupation of the Campus Site dates to 3000 years BP (Mobley 1991), the name *Troth Yeddha* may be of great antiquity. Regardless of its age the name has been repeatedly mentioned in modern times, as indicated in the following brief chronology.

- 1956. Laura Anderson (1902-1974, the last speaker of the Chena dialect), described how her mother gathered Indian potatoes in the lower Chena River area. (See Attachment A for this and other sources; also see [http://www.uaf.edu/anlc/troth/](http://www.uaf.edu/anlc/troth/) for factual information about the place name.)
- 1998. Name appears on widely-circulated poster distributed by University of Alaska Fairbanks Interior-Aleutians Campus.
- 1998. Name appears on visitors center map at Creamers Field Migratory Waterfowl Refuge (Alaska Department of Fish and Game).
- 2008. University of Alaska Board of Regents endorse name *Troth Yeddha* Park for 7-acre open space east of UA Museum (see Attachment C).
- 2012. Comprehensive inventory of 1060 Lower Tanana place names, including several names based on the word *troth*. (*Lower Tanana Athabaskan Place Names*, compiled by James Kari. Fairbanks: Alaska Native Language Center; 105 pp with 3 reference maps.)

**COMMEMORATIVE - NOT APPLICABLE**

**OTHER** - Provide information about the feature and why the proposed name is appropriate:

Official recognition of the place name *Troth Yeddha* reinforces the University of Alaska Fairbanks core theme to “connect with Alaska Native communities through contemporary and traditional knowledge.” Athabascan Elder Robert Charlie, one of the last speakers of
the Lower Tanana language, noted that use of the name will “recapture the ancient view.” Official recognition will support the growing unofficial use of the name on the campus.

ADDITIONAL INFORMATION:
Do other property owners adjacent to the feature endorse the proposed name? (See Attachment D, letters of support)

PROPOSERS:

1) Robert Charlie  
University of Alaska Fairbanks, Geophysical Institute  
PO box 74776, Fairbanks, AK  99709  
907-590-1927 / robert.charlie@gi.alaska.edu

2) James Kari  
Alaska Native Language Center, University of Alaska Fairbanks  
1902 Hilling Ave., Fairbanks, AK  99709  
907-374-1808 / james.kari@alaska.edu

3) Annette Freiberger  
Coordinator, Nenana Center, Interior Aleutians Campus  
616 Slater Dr., Fairbanks, AK  99701  
907-474-5826 / ajfreiburger@alaska.edu

ATTACHMENTS  
A. List of sources on Troth Yeddha’  
B. map: placement of proposed name on ridge  
C. 2008 University of Alaska materials on Troth Yeddha’ Park  
D. Letters of support
Attachment A. SOURCES ON *TROTH YEEDDA’*

1) ANLC Archive catalogue entries on Lower Tanana place names or with citations of the name *Troth Yeeddha’*
   grouped chronologically

**TNC956AL1956**
Title: According to Mama
Contributor(s): Anderson, Laura David (author); Loftus, Audrey (author);

**TNMN961K1962c**
Title: [Miscellaneous Minto-Nenana notes, 1962-1969.]
Contributor: Krauss, Michael E. (author);

**TNC961MKK1962**
Title: [Laura Anderson, Aug. 5, 1962.]
Contributor(s): Kari, James (author); Krauss, Michael E. (author); McKennan, Robert A. (author); Anderson, Laura David (speaker);

**TNC961K1969b**
Title: [Notes on Chena dialect.]
Contributor(s): Krauss, Michael E. (author); Anderson, Laura David (speaker);

**TNMN961K1974a CD**
Title: Minto-Nenana Athabaskan Noun Dictionary, Preliminary Version.
Contributor: Krauss, Michael E. (author);

**TNMN979T1979a**
Title: [Minto place names.]
Contributor: John, Peter (author); Thompson, Chad L. (author); Titus, Matthew. (author);

**TNMN973ATJ1980 CD**
Title: Native place names of Minto Flats and vicinity, Central Alaska.
Contributor: Andrews, Elizabeth F. (author); Thompson, Chad L. (author); John, Peter (author); Kari, James (editor); Titus, Matthew. (speaker);

**TNMN981KK1981**
Title: [Place names.]
Contributor: Kari, James (author); Krauss, Michael E. (author); Titus, Matthew. (author); Titus, Robert (author);

**TNMN981K1984a**
Title: Chena area place names.
Contributor: Kari, James (author);

**TN981K1984b CD**
Title: Athabaskan Place Names in the Fairbanks Area.
Contributor: Kari, James (author);

TN985B1985
Title: The Old Country: Alaska Native Place Names tell History of an Ancient People
Contributors: Bishop, Sam (author)

TN981K1990d
Title: Some Lower Tanana Athabaskan Place Names in the Fairbanks Area
Contributor: Kari, James (author)

TN987D1990
Title: [Lower Tanana place name map]
Contributor(s): Drozda, Robert (compiler);

TNMN981K1991c CD
Title: Lower Tanana Athabaskan Listening and Writing Exercises.
Contributor: Alexander, Evelyn (author); Charlie, Isabel (author); John, Peter (author); Kari, James (author);

TN981K1994 CD
Title: Lower Tanana Athabaskan Dictionary, first preliminary draft
Contributor: Kari, James (compiler);

TNMN981KC1995
Title: [Chena area place names.]
Contributor: Charlie, Isabel (author); John, Peter (author); Kari, James (author);

TN998L1998
Title: My Own Trail.
Contributor(s): Luke, Howard (author);

TN981K2001
Title: Tsoł Teya’ Khach’enadle’inenh (The One Who Hid Out at ‘Indian Potato Hill’: A Tanana Valley War Story)
Contributors: Evan, Hester (speaker) Kari, James (recorder) Charlie, Isabel (translator)
See http://www.uaf.edu/anlc/troth/hester_Evan_story.pdf

TN981K2012
Title: Lower Tanana Athabaskan Place Names
Contributor(s): Kari, James (editor); Holton, Gary (developer); Parks, Brett (developer); Charlie, Robert (reviewer);

2) Other sources: articles, brochures, web sources
1991 Peter John's 1991 remarks about a retaliatory raid at Troth Yetth.
http://www.uaf.edu/anlc/troth/peterjohn/index.xml


2010 Native Placenames of the Fairbanks Area. Digital map at ANLC website http://www.uaf.edu/anlc/fairbanks/

2011 Troth Yeddha' lends name to new dance group talkingalaska.blogspot.com/.../troth-yeddha-lends-name-to-new-dance.html

2011 Blessing at Troth Yeddha'.wmv - YouTube. See http://www.youtube.com/watch?v=XnFexzDq68E


Attachment B
Map: placement of proposed name on ridge
MEMORANDUM

DATE: January 22, 2008

TO: Mark Hamilton, UA President

FROM: Steve Jones, UAF Chancellor

RE: Naming Opportunity on UAF Campus -- Troth Yeddha' Park

I am requesting your endorsement of naming the open space on Yukon Drive, between the Reichardt Building and the UA Museum of the North, as Troth Yeddha' Park. Attached is a detailed project description, including maps of the area, prepared by UAF Facilities Services in support of this naming opportunity.

Thank you for considering this request. If you are supportive, I look forward to your advancing this naming opportunity to the Board of Regents for their action.

SBJ

Attachment (as stated)

cc: Ro Bailey, UAF Vice Chancellor for Administrative Services (w/ attachments)
Jake Poole, UAF Vice Chancellor for Advancement (w/ attachments)
Kathleen Schedler, UAF Assoc. VC for Facilities Services (w/ attachments)

dln/memoHamiltonnottmane/TrothYeddha

America's Arctic University

UA is an AAEO employer and educational institution.
MEMORANDUM

TO: Joseph Truba
Chief Financial Officer
Associate Vice President
Finance Operations

THROUGH: Kathleen Schadler
Associate Vice Chancellor
Facilities and Safety

FROM: Mike Ruckhaus
Sr. Project Manager

DATE: January 11, 2008

SUBJECT: Naming Approval
Project Name: Troth Yeddha' Park
Project No.: WRTY 2007086

In accordance with Regents' Policy 05.12.080, approval by the Board of Regents is required for this project. Your prompt review of this project would be greatly appreciated.

Requisite materials are enclosed.

CC: Ro Bailey
Vice Chancellor
Administrative Services
Master Planning Committee
of
University of Alaska Fairbanks

MEMORANDUM

Date: December 7, 2011

To: Brian Rogers, Chancellor

From: Deb Horner, Co-Chair
      Derek Miller, Co-Chair

Re: MPC Recommendation 2011-18 – Naming of Troth Yeddha

The MPC supports the proposed naming of the ridge that runs east/west and is the site of the University of Alaska Fairbanks and UA systemwide offices as Troth Yeddha. This recognizes the connection between the ancient Athabaskan place name and the mission of the University of Alaska.

The UAF Naming Guidelines procedures shall be followed prior to submission of the proposal to the United States Geological Survey.

Motion made by Lydia Anderson, Seconded by Scott McCrea.

Motion passed unanimously.

Thank you.

DEM
December 15, 2011

Board of Regents
University of Alaska
202 A Butrovich Building
P.O. Box 755300
Fairbanks, AK 99775-5300

Dear Regent Members:

I am honored to serve as the Chair of the Chancellor’s Advisory Committee on Native Education (CACNE) at the University of Alaska Fairbanks. CACNE meets once a month and is a very effective advocate for promoting issues of importance to Native students, staff and faculty on the UAF campus.

At the September meeting of CACNE Robert Charlie, Athabascan Elder from Minto, and Dr. James Kari, retired linguist, Alaska Native Language Center, presented the idea of submitting a proposal to the U.S. Board of Geographic Names to officially name the hill where the University of Alaska Fairbanks is located. 'Troth Yeddha' is the traditional Athabascan name known in Native culture. The hill does not have an official registered name.

The membership of CACNE voted unanimously to support moving this proposal through the proper channels of the University prior to submitting the proposal to the U.S. Board of Geographic Names. Collectively, we believe that it is appropriate to recognize names of importance in the landscape of the traditional people of Alaska.

Please recognize this as a letter of support for this action. As an Athabascan woman who has lived in Fairbanks all of my life, and as Chair of CACNE, I would very much appreciate your support for this historic act.

Respectfully,

Annette Freiburger, Coordinator, Nenana Center, IAC
Chair, Chancellor’s Advisory Committee on Native Education
December 19, 2011

Board of Regents
University of Alaska
202 A Butrovich Building
P.O. Box 755300
Fairbanks, AK 99775-5300

Dear UA Regents:

I have been asked to write a letter of support for the official naming of the hill on which the University of Alaska Fairbanks is located, on behalf of Tanana Chiefs Conference, to the Athabascan name of Troth Yeddha'. I am happy to support this effort, and applaud the University of Alaska for recognizing that this important place has significant history with the Interior Athabascans. It is a place where our ancestors gathered from various regions to meet and share information.

I understand that there is not currently an official name for the hill, so registering the name with the U.S. Board of Geographic Names will be a great source of pride for the first people of the Interior.

I appreciate the efforts of Robert Charlie, Dr. James Kari and Annette Freiburger for forwarding this proposal. I hope that this is one of many efforts to officially recognize the names that the Athabascan people have given to the landscape that they knew so well.

Sincerely,

Tanana Chiefs Conference

Jerry Isaac
President

Tanana Chiefs Conference is a unified voice advancing Tribal governments, economic and social development, promoting physical and mental wellness, educational opportunities and protecting language, traditional and cultural values.
MEMORANDUM

DATE: December 22, 2011

TO: Pat Gamble, President, UA

FROM: Brian Rogers, Chancellor, UAF

RE: Naming of Ridge Troth Yeddha'

I am requesting your endorsement of naming the ridge that runs east/west and is the site of the University of Alaska Fairbanks and UA systemwide offices as Troth Yeddha'. Attached is a detailed project description and background material that would be included in the February 2012 Board of Regents' agenda.

Regents' Policy 05.12.080.D. allows the president to determine if a naming is "significant" enough to be advanced to the Board of Regents for their approval. I would submit that this naming is "significant".

Thank you for considering this request. If you are supportive, I look forward to your advancing this naming opportunity to the Board of Regents for their action.

BDR

Attachment

cc: Pat Pitney, UAF Vice Chancellor for Administrative Services
    Kit Duke, Associate Vice President, Facilities & Land Management
    Jeannie Phillips, Executive Officer, Board of Regents
DOYON, LIMITED

BOARD RESOLUTION NO. 2012-31

SUBJECT: RESOLUTION OF SUPPORT – TROTH YEDDIHA

WHEREAS, the 2,250 acre ridge where the University of Alaska Fairbanks (UAF) is located has no official place name recorded through the United States Geological Survey (USGS); and

WHEREAS, in 1994 Chief Peter John of Minto gave a talk at the first Alaska Native Summit about the importance of TROTH YEDDIHA, identifying this ridge as a meeting place of the Athabascans of the Tanana Valley; and

WHEREAS, TROTH YEDDIHA means “Indian potato ridge” (the plant Hedysarum alpinum) in Lower Tanana Athabascan, and TROTH has been the most important vegetable food for the Alaska Athabascans; and

WHEREAS, considerable documentary evidence has accumulated about this name from ten or more expert speakers of dialects of Lower Tanana Athabascan, dating as far back as 1962, and for twenty years there has been increasing use of the name TROTH YEDDIHA, including reference to the name in the UAF Catalog since 2001, on numerous maps, posters and brochures, a recently formed Athabascan dance group at UAF identifies as The TROTH YEDDIHA Dancers, and the 2007 designation of space for the TROTH YEDDIHA Park was adopted by the University of Alaska Board of Regents; and

WHEREAS, recognition of the place name TROTH YEDDIHA reinforces several core themes of UAF and of the University of Alaska system, and as an official name it would appear on USGS maps, UAF campus maps and signs, and on privately published brochures and guide maps; and

WHEREAS, Athabascan Elder Robert Charlie of Minto has proposed that the aboriginal name TROTH YEDDIHA be submitted to the Alaska State Board of Geographic Names as the official name for this ridge, conveying this name proposal on behalf of the late Chief Peter John and other Tanana Valley Athabascan Elders who have recognized a connection between this ancient Athabascan place and the mission of the University of Alaska.

NOW THEREFORE BE IT RESOLVED that the Board of Directors of Doyon, Limited supports the submission of the proposal to the Alaska State Board of Geographic Names as the official name for the ridge where the University of Alaska Fairbanks is located to be officially named TROTH YEDDIHA.

ADOPTED and DATED this 25th day of February 2012 at Fairbanks, Alaska.

Michael Pegg, Secretary
Doyon, Limited
TANANA CHIEFS CONFERENCE
Executive Board of Directors
Resolution No. 2012 - 03

Place Name UAF Hill "Troth Yeddha"

Whereas, the 2,250 acre ridge where the University of Alaska Fairbanks is located has no official place name recorded through the US Geological Survey (USGS), and

Whereas, in 1994 Chief Peter John of Minto gave a talk at the first Alaska Native Summit about the importance of Troth Yeddha, identifying this ridge as a meeting place of the Athabascans of the Tanana Valley, and

Whereas, Troth Yeddha' means "Indian potato ridge" (the plant Hedysarum alpinum) in Lower Tanana Athabaskan, and Troth has been the most important vegetable food for the Alaska Athabascans, and

Whereas, considerable documentary evidence has accumulated about this name from ten or more expert speakers of dialects of Lower Tanana Athabaskan, dating as far back as 1962, and for twenty years there has been increasing use of the name Troth Yeddha' including reference to the name in the UAF Catalog since 2001, on numerous maps, posters and brochures, a recently formed Athabaskan dance group at UAF identifies as The Troth Yeddha' Dancers, and the 2007 designation of space for the Troth Yeddha' Park was adopted by the University of Alaska Board of Regents; and

Whereas, recognition of the place name Troth Yeddha' reinforces several core themes of UAF and of the University of Alaska system, and as an official name it would appear on USGS maps, UAF campus maps and signs, or on privately published brochures, and guide maps, and

Whereas, Athabaskan Elder Robert Charlie of Minto has proposed that the aboriginal name Troth Yeddha' be submitted to the Alaska State Board of Geographic Names as the official name for this ridge, conveying this name proposal on behalf of the late Chief Peter John and other Tanana Valley Athabaskan elders who have recognized a connection between this ancient Athabaskan place and the mission of the University of Alaska,

Therefore be it resolved, that the Executive Board of Directors of Tanana Chiefs Conference supports the submission of the proposal to the Alaska State Board of Geographic Names as the official name for the ridge where the University of Alaska Fairbanks is located to be officially named Troth Yeddha'.

CERTIFICATION

I hereby certify that this resolution was duly passed by the Tanana Chiefs Conference Executive Board of Directors on 3/8/2012 at Fairbanks, Alaska and a quorum was duly established.

Pat McCarty, Secretary/Treasurer
University of Alaska Fairbanks Research Foundation:

A tool for utilizing university intellectual property for economic development and managing risk

Prepared by

Keith Jones PhD
Kijani

27th April 2012

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This report has been prepared by Keith Jones PhD of Kijani at the request of Dan White PhD, Associate Vice Chancellor, Research, Intellectual Property & Commercialization at the University of Alaska Fairbanks (the University). The intention of this document is to share best practices and practical recommendations for commercialization of intellectual property created at the University. In particular, issues around the mechanism of start-up business creation by faculty, staff and students are noted. Management of many of these issues can be solved by creation of a Research Foundation. A Research foundation can bear the burden of problems that are difficult to manage within the University and isolate the university from issues that impose unacceptable risk to the University and therefore cannot be handled adequately within the University. I am not a lawyer and all advice and recommendations are given from my 12 years experience in university technology transfer.

This report and recommendation builds from the memorandum “Memorandum regarding the Management of Conflicts of Interest for Intellectual Property Dealings at the University of Alaska.”, prepared by Adam Krynicki JD dated 6th January 2012, where Adam explains the conflict of interest issue. This report will expand on issues other than conflict of interest.
Why

One of the most important mechanisms of transferring knowledge out of an institute of higher education is through creation of start-up companies. In 2010 over 600 companies were formed by US universities. Google, Netscape, Genentech, Hewlett Packard, Polaroid, Lycos, Sun Microsystems, Silicon Graphics, Chiron, Amgen, Regeneron and Cisco Systems are all examples of university startups. Whilst “home-run” successes are unusual especially outside of major technology centers like Silicon Valley there are many examples of companies formed that have significant impact in smaller communities. An illustrative example is Schweitzer Engineering Laboratories, Inc., (SEL) in the small, remote city of Pullman, Washington. SEL is a faculty lead start-up company that has thrived. SEL is a world leader in its industry and employs over 800 people, many in locally. Such start-up activity is difficult and time consuming for the University but is a rewarding and necessary activity for a relevant university.

Creation of successful start-ups by the University will result in significant positive feedback to the University, Fairbanks and the State of Alaska. The resulting local economic development will produce income for the University but more importantly it will create well paying jobs that will employ university graduates and others from the community. A vibrant start-up culture will also attract or, at least, be a positive factor in hiring of bright, entrepreneurial faculty.

There is risk associated with such start-up activity. Newly formed companies usually do not have cash on hand that is available for licensing intellectual property and know how from the university. It is common for a new company to offer shares in itself to the university in lieu of paying an up front fee and for reduced royalties on sales. Accepting equity in lieu of cash payment is of advantage to the university as by not taking cash it increases the likelihood of the company succeeding and the equity becoming very valuable. Given that taking equity is a recommended course of action it is unfortunate that it is difficult for State Universities to hold equity in commercial entities for a couple of reasons. In many, especially western, states it is not possible for a state entity to hold equity in private companies. The prime reason that state universities form research foundations to hold equity and be the active party in licenses to to insulate the university from the risk inherent in any private business transactions.

A second advantage of setting up a University of Alaska Fairbanks - Research Foundation (UAF-RF) is to isolate the University from risk associated with start-up activity and licensing. While the risks of lawsuit and potential significant loss may not be much greater than the risks associated with higher education they are very different and as such need a different structure to assess and act in the presence of the different risk. UAF-RF with a business savvy board of directors will be able to assess business risk and act in a business appropriate manner that would be difficult for a University to achieve.
Another advantage is the UAF-RF with its business savvy board and flat management / decision making structure will be able to make decisions at the speed of business. Universities sometimes find it difficult to make quick decisions especially outside of the university’s core competencies.

There are several other ways a well managed UAF-RF can support the University, such as raising and managing seed funds, facilitating research collaboration with industry and others. Such programs do not need to be put into action immediately but a structure should be put in place to allow implementation when appropriate.

**What**

The usual implementation of a Research Foundation is a not for profit corporation which are often referred to by the IRS designation 501(c)(3) corporation. Creation of a 501(c)(3) corporation involves an application process to the IRS. My recent experience in setting up a new 501(c)(3) corporation is that it takes 3 to 6 months and about $6000 for an outside lawyer to prepare an application and respond to the predictable initial reject by the IRS.

Once set up the new 501(c)(3) corporation is run by an independent board of directors. The board and directors are similar in roles and responsibility to the board and directors of for profit companies. One of their key responsibilities is selection of an Executive Director (this is the title given to the CEO in 501(c)(3) corporations), who manages the corporation and makes decisions on day to day activity. The Executive Director will generally have significant freedom in how the corporation is run, with the board of directors maintaining overall control. Given the limited budget available the UAF-F will be staffed, including the Executive Director, by employees of the University on quid pro quo as the service provided by the UAF-RF resulting in income to the University.

**Who**

The structure of the board of directors is important to maintain the independence of the UAF-RF but give all stakeholders an appropriate say in the proceedings. In general the a smaller board is more manageable and better able to make timely decisions and give relevant advice to the executive director. I would propose that a board of 10 might be sufficient to include all stakeholder but be of a manageable size:

Two board members from management of the university, Chancellor or designee, Vice Chancellor for Research or designee  Appointed by Chancellor

Two Regents, appointed by Chancellor

Two faculty members, appointed by faculty senate (perhaps add a staff member)
Four community members, from the wider community, Fairbanks, Alaska, local and or state government (non elected) possibly a native corporation representation. Also experts on start-up activity and university commercialization.

The numbers of each of these stake holder groups can be varied to get a good balance of interest but leaving ultimate control out of the university’s hands. In most cases around the country the boards of directors of research foundations are volunteer but given Fairbanks’ isolation travel support may need to be found to bring together a valuable board.

The executive director will be a university employee involved in technology commercialization and knowledgable of the process. The executive director will represent the UAF-RF for only a small percentage of their time. Administrative support will be given by employees of the university.

When
To calibrate the need it may be useful to learn that many land-grant peer institutions formed Research Foundations in mid 1900’s with University of Wisconsin leading the way in 1929 and many other forming in ’39 and ’40. Many state universities have research foundations to manage research commercialization, with both Washington Universities use research foundations. The Oregon schools have taken a different approach as they worked with the legislators to take a vote to the citizens of Oregon to amend the state constitution. Oregon schools can now directly hold equity. There are many drawback to this approach.

Implementation

There are several sets of documents that need to be negotiated and agreements reached. The Articles of incorporation and the by laws of the UAF-RF can be prepared by an attorney competent in the setting up of 501 (c) (3) corporations.

The other agreement that will need to be negotiated will be between between UAF-RF and the university. This agreement will describe in detail the relationship between the two entities. The University will use lawyers as part of its negotiation so UAF-RF will need to be represented perhaps Adam Krynicki with his qualifications could represent UAF-RF.

Issues to be negotiated include:

• University responsibilities, supplying staff, support, office space, transfer of ownership of IP for UAF-RF to be able to enter license agreements (if desired), when and how equity is transferred to UAF-RF
•UAF-RF responsibilities, holding and management of equity, exit policies for equity, distribution of proceeds to the university for distribution by policy or direct application of the university distribution ratios. What percentage of the income is held by and to the benefit of the UAF-RF?

The two lists of responsibilities need to balance to the satisfaction of both parties for a *quid pro quo* to be in place.

This list could be longer if the university plans on using the UAF-RF for other than holding equity at some time in the future. It may be worth documenting other possible responsibilities at this point rather than having to reopen the negotiation at a later time. Nothing other than equity holding needs be authorized or implemented but having agreement on how to move forward could be valuable and a time saver in the future.

**Other**

There are two other processes that the university could put in place that would streamline and enable university start-ups. One is a clear and transparent conflict of interest management approval process that faculty and staff can undergo. Absence of a university approved conflict of interest plan should give any faculty pause before embarking on working to create a start-up.

The other very helpful process is a documented and implemented system to allow “rental” of university space and resources. University start-ups are almost always cash poor and allowance of full cost rental of lab space, specialist equipment etc will enable many more new business to be born and survive the very early stages of development.
Environmental Scan

- Current situation
  - Critical and growing industry with ongoing shortages
  - Retirements looming – providers, faculty
  - State demographics - aging population -> more care needs
  - National recession easing -> recruitment success will likely wane
Health Care Industry

Health Care’s Employment and Total Wages
By economic region, Alaska 2010

Note: Average annual employment
Source: Alaska Department of Labor and Workforce Development, Research and Analysis Section
Job Locations

Where Health Care Jobs Are\(^1\)
Alaska, 2010

- Hospitals 40.3%
- Doctors’ offices\(^2\) 31.9%
- Outpatient care centers 9.0%
- Other ambulatory 2.2%
- Home health care 5.8%
- Nursing and residential 10.8%

\(^1\)Includes private and public sectors
\(^2\)Includes offices of physicians, dentists, and other health care practitioners

Source: Alaska Department of Labor and Workforce Development, Research and Analysis Section
Preparing Health Care Workers

9 Training for Future Health Care Jobs
By required education level, Alaska 2018

Health Care Support Occupations
Average Annual Wages = $37,180 (2010)

- Short-Term OJT 52.0%
- Moderate OJT (0.5 to 12 months) 26.9%

Health Care Practitioner and Technical Occupations
Average Annual Wages = $85,900 (2010)

- Associate 52.9%
- Vocational 11.0%
- Bachelor's 10.3%
- Master's 7.8%
- Ph.D./Professional 11.2%
- Long-Term OJT 1.0%
- Moderate OJT 5.8%

Notes: Percentages do not sum to 100 percent due to rounding. OJT stands for “on-the-job training.” Short-term OJT is one month or less, moderate OJT is one to 12 months, and long-term OJT is more than a year.

1Percentages are based on projected total openings in 2018 for health care occupations listed in Exhibit 8.
2Training levels are based on minimum training needed to get the position.

Source: Alaska Department of Labor and Workforce Development, Research and Analysis Section
The Picture of Health Workforce

- Many types of data are available – occupation projections, vacancies, industry and student data – but the picture is incomplete
- Working with partners to develop a more comprehensive and integrated set of data to allow for better prediction of critical needs
- Program needs assessments
- Deep dive studies
  - Physical Therapy
  - Nursing
- Occupational taxonomy/crosswalk
- Improved vacancy study design
External Partners

• Alaska Health Workforce Coalition
  • A public-private partnership created to develop, implement, and support a statewide approach to ensure a robust workforce to address Alaska’s growing health care needs
    • *Alaska Health Workforce Plan*
    • *Action Agenda 2012-2015*

• Alaska Health Reform
  • The goal of this group is to provide factual research, data and analysis regarding the state of health care in Alaska

• Health Care Action Coalition – Commonwealth North
  • This group meets periodically to track the activities and issues affecting major health care policy in Alaska and keeps the CWN Board apprised of new developments and the need for additional studies, recommendations, or other involvement by CWN to support the implementation of good public policy

• Associations, organizations, agencies, others
University of Alaska Health Students

**Health Majors - Fall 2000-2009**

UA Health Program Awards
Avg. 2006-2010

**Health Program Awards - AY2002-2010**

91% increase in UA health majors in a decade

**Health Degrees - AY2010**

Health Majors - Fall 2000-2009

UA Alaska Native and American Indian Health Majors/Training Participants

<table>
<thead>
<tr>
<th>Year</th>
<th>Fall 2005</th>
<th>Fall 2006</th>
<th>Fall 2007</th>
<th>Fall 2008</th>
<th>Fall 2009</th>
<th>Fall 2010</th>
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<td>Majors</td>
<td>305</td>
<td>321</td>
<td>341</td>
<td>364</td>
<td>430</td>
<td>439</td>
</tr>
<tr>
<td>Other Health</td>
<td>155</td>
<td>167</td>
<td>173</td>
<td>207</td>
<td>238</td>
<td>273</td>
</tr>
</tbody>
</table>
University of Alaska Health Programs

- More than **80** programs state wide:
  - Nursing
  - Medicine/primary care (physician, nurse practitioner, physician assistant)
  - Public health and wellness (nutrition, dietetics, fitness leadership)
  - Therapies (occupational therapy, speech/language pathology)
  - Allied health (radiography and ultrasound, medical laboratory, dental hygiene and assisting, medical assisting, pharmacy)
  - Behavioral health (social work, human services, psychology)
  - Direct services (nursing assistant, personal care assistant, disabilities services)
  - Emergency services/paramedic
  - Health information management/technology
  - Medical office/billing and coding
- About **50** programs are offered via eLearning or blended instruction
- Alaska Native/American Indian Students FY2009-2011
  - Health Majors – 15.4% (average 396 per year)
  - Health Degrees/Certificates Awarded – 14.6% (average 112 per year)
Program Initiatives

- Physical Therapy – in-Alaska program partnership
- Physical Therapy Assistant program
- Nurse Practitioner and Nurse Educator program expansions/doctorate in nursing practice (DNP)
- Pharmacy – in-Alaska program partnership
- Health Information Technology career pathway
- Wellness occupations/Health Coaching/Care Management
- BSHS tracks development (health education/promotion, management/supervision, pre-professional preparation, environmental health)
- WWAMI second year – need may be eliminated by new curriculum structure being proposed
- Ongoing support for Alaska AHEC System
- Alaska Health Workforce Coalition priorities
- Work with secondary schools/pathway programs
- Continuing education efforts
Goals

1. Alaskans Into Health Careers
2. Clinical Student Rotations to Underserved and Rural Areas
3. Continuing Education for Professionals in Underserved Areas
AHWC Action Agenda 2012-2015

Occupational Priorities

- Primary Care Providers
- Direct Care Workers
- Behavioral Health Clinicians
- Physical Therapists
- Nurses (Specialists, Educators, RN-BS)
- Pharmacists

Systems Change and Capacity Building

- Health profession loan repayment and incentive programs
- Training and professional development
- Aligning regulatory policies that impact the health workforce
- Engage and prepare Alaskan youth for health careers
- Health workforce recruiting
- Health workforce data
Important Program Needs

- **Funding**
  - Backlog of identified priorities across the MAUs
  - Nutrition/Dietetics faculty position
  - AHEC system funding
  - College of Health establishment
  - Mental Health Trust funding discontinuations in FY14
  - Partner programs in pharmacy and physical therapy

- **Faculty**

- **Space**

- **Clinical rotations**
  - Working with industry partners to expand
Challenges

- Limited clinical rotations
  - Other Alaska and Lower 48 programs coming into state
  - Coordination needed – AHEC has had initial meetings
- Recruiting well-prepared faculty/aging faculty
- Community/ethnicity preference requests
- Need to strengthen health research core and health workforce data
- Admissions issues/student preparation pressures
- Changing nurse workforce picture and continued high interest - need for bachelor’s prepared and specialty nurses, especially in urban areas, with foundational distributed outreach program at associate level and need to provide opportunities for associate graduates to advance their education
UNIVERSITY OF ALASKA ANCHORAGE
College of Health

Sr. Assistant Dean of Student Affairs
Russ Pressley

Advisor
Vacant

Student Services
Danielle Dixon

Administrative Dean
Susan Kaplan

Creighton/ UAA
OT Program
Diana Steer

CU/UA Pharmacy Program
Deb Cieplek

Executive Administrative Assistant
Harriet Paule

Clinical Simulation Manager
Rob Moore

Graphics/Website
Stacy Smith

Student Assistant
Dillon Pressley

Interim Dean
Bill Hogan

Technology Services
Computer Analyst
Ryan Stafford

Fiscal Manager
Marsha Oberlender

Grants & Contracts Analyst
Debbie Gleason

Presidential Professor
Richard Windsor

Associate Dean for Research
David Driscoll

School of Nursing
Director
Barbara Semer

School of Nursing Interim Associate Director
Maureen O'Malley

School of Nursing Bachelor Program Chair
Kate Stephenson

School of Nursing Master Program Chair
Gail Hoffman

School of Allied Health Bachelor of Science Health Sciences Chair
Rhonda Johnson

Department of Health Sciences
Chair
Rhonda Johnson

School of Allied Health Director
Robin Wahls

Medical Assisting

Bachelor of Science Health Sciences (PA) Coordinator
John Riley

Medical Imaging

Masters in Public Health Program Chair
Rhonda Johnson

Med Lab Coordinator
Heidi Mannon

Dental Hygiene Dental Programs Sandy Pence

Pharmacy Tech
Deb Cieplek

Center for Aging Studies
Vacant

Center for Alcohol & Addiction Studies Director
Vacant

National Resource Center Director
George Charles

EMT

Fire & Emergency

Institute for Circumpolar Health Studies
Director
David Driscoll

Certificate Program Civic Engagement Director
Judith Owens-Manley

Justice Center Director
Andre Rosay

School of Social Work Director
Elizabeth Siles

Bachelor of Social Work Program Coordinator
Kathi Trawver

Paralegal Studies
Deb Periman

Institute for Circumpolar Health Studies
Director
David Driscoll

Center for Human Development Director
Karen Ward

Bachelor of Arts Justice Program Coordinator
Ronald Everett

Statistical Analysis Center Director
Alan McKelvie

Master of Social Work Program Coordinator
Chad Morris

Family & Youth Services Training Academy Director
Tammy Sandoval

Gerontology Minor Coordinator
Ann Jach

School of Social Work Evaluation Program
Beth Skees

Social Work Evaluation Program
Beth Skees

220
College of Health

- Strategic Visioning – currently underway
- Inter-professional/interdisciplinary opportunities
- “One Stop Shop” for student success/advising
- CoH Dean search
- Foundational support for restructured and evolving organization

Programs
- Ultrasound
- Physical Therapy Assistant
- Nurse Practitioner/Educator expansion
- Wellness offerings

Facility projects
- HSB backfill
- HSB II planning
UAA Programs in Other Colleges

- College of Arts and Sciences
  - Joint PhD in Clinical/Community Psychology – the UAA Psychology faculty was thrilled to be able to offer a true joint degree to their two graduating PhD students at this year’s Commencement

- Community and Technical College
  - Nutrition – the number of admissions to this program were so overwhelming that admissions were temporarily suspended in order to serve the majors enrolled; funding for additional faculty is needed to support this and the Dietetics program in the future
UAF Health Program Updates

- Programs
  - Search for UAF CTC Dean
  - Kuskokwim Campus allied health/medical assisting faculty position is a priority
  - Also will need to find funds to replace Trust funding for the Human Services program in FY14
  - Update on Bachelor’s in Social Work (BSW) distance program

- Facility Projects
  - Completion of Courthouse remodel
UAS Health Program Updates

- Programs
  - Development of the Health Information Management and Health Information Technology career pathways
  - Evaluating outcomes of distance science pre/co-requisite offerings
- Facility Projects
  - Creation of a clinical simulation room in Juneau
Office of Health Programs Development

- Health programs planning, coordination, advocacy, implementation
  - Health Academic Plan
- Facilitation statewide
  - Alliances
    - Allied Health Alliance (includes Nursing)
    - Nursing Education Advisory Council (industry and university partners)
    - Behavioral Health Alliance
  - Work groups – faculty, others
- Internal and external partnerships, collaborations
  - Coalition Action Plan
- Health workforce data, research and analysis
- Management of major multi-MAU projects
- Home of AHEC Program Office
MEMORANDUM

TO: Patrick Gamble
   President

THROUGH: Kit Duke
   Chief Facilities Officer

THROUGH: Tom Case
   Chancellor
   7 May 2012

THROUGH: Michael Driscoll
   Provost

THROUGH: William Spindle
   Vice Chancellor, Administrative Services
   5/7/12

THROUGH: Chris Turletes
   Associate Vice Chancellor, Facilities and Campus Services

THROUGH: John Faunce
   Director, Facilities Planning and Construction
   5/7/12

THROUGH: Robert McDonnell
   Business Services Director
   5/7/12

FROM: Kristin Reynolds
   Project Manager
   7 May 2012

DATE: May 7, 2012

SUBJECT: Formal Project Approval

Project Name: UAA MAC Housing Renewal
Project No: 6-0005-2

In accordance with Regents’ Policy 05.12, approval by the Board of regents is required for this project. Your prompt review of this project would be greatly appreciated. Requisite materials are enclosed.
### PROJECT BUDGET

**A. Professional Services**

Advance Planning, Program Development
- Consultant: Design Services: $1,550,000 $697,057
- Consultant: Construction Phase Services: $150,000 $221,391
- Consul: Extra Services (FF&E, Roof Rpt, Sp Investigation): $101,651
- Site Survey
- Soils Testing & Engineering
- Special Inspections
- Plan Review Fees / Permits: $24,000 $24,000
- Other

**Professional Services Subtotal**: $1,724,000 $1,044,099

**B. Construction**

General Construction Contract(s): $7,983,400 $8,963,301
- Other Contractors (List: ________________)
- Construction Contingency: $1,800,000 $1,500,000

**Construction Subtotal**: $9,783,400 $10,463,301

**Construction Cost per GSF**: $80 $86

**C. Building Completion Activity**

- Equipment
- Fixtures
- Furnishings
- Signage not in construction contract
- Move-Out Costs
- Move-In Costs
- Art
- Other (Interim Space Needs or Temp Reloc. Costs)
- OIT Support
- Maintenance Operation Support: $18,000 $18,000

**Building Completion Activity Subtotal**: $18,000 $18,000

**D. Owner Activities & Administrative Costs**

- Project Plng, Staff Support
- Project Management: $606,600 $606,600

**Owner Activities & Administrative Costs Subtotal**: $606,600 $606,600

**E. Total Project Cost**: $12,132,000 $12,132,000

**Total Project Cost per GSF**: $99 $99

**F. Total Appropriation(s)**: $12,132,000 $12,132,000
SCHEMATIC DESIGN APPROVAL

Name of Project: Critical Electrical Distribution Renewal Phase 2

Location of Project: UAF—Fairbanks Campus

Project Number: 2012108 UTER2

Date of Request: May 01, 2012

Total Project Cost: $26,250,000

Approval Required: Schematic Design Approval

Prior Approvals/Actions: Formal Project Approval: 02/16/2012

Reference Materials:
1. One Page Budget
### UNIVERSITY OF ALASKA

**Project Name:** Critical Electrical Distribution Renewal Phase 2  
**MAU:** UAF  
**Building:** N/A  
**Date:** May 8, 2012  
**Campus:** UAF  
**Prepared By:** M. Ruckhaus  
**Project #:** 2012108 UTER2  
**Account No.:** S14449-50216  
**Total GSF Affected by Project:** N/A

### PROJECT BUDGET

<table>
<thead>
<tr>
<th>A. Professional Services</th>
<th>FPA Budget</th>
<th>SDA Budget</th>
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<tbody>
<tr>
<td>Advance Planning, Program Development</td>
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<tr>
<td>Consultant: Design Services</td>
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<td>Consultant: Construction Phase Services</td>
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<td>Consul: Extra Services (List: )</td>
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<td>Site Survey</td>
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<td>Soils Testing &amp; Engineering</td>
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<td>Special Inspections</td>
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<td>Plan Review Fees / Permits</td>
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<tr>
<td>Other</td>
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<td>$0</td>
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**Professional Services Subtotal**  
**$2,720,000**  
**$2,675,000**

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<th>B. Construction</th>
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<tr>
<td>General Construction Contract(s)</td>
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<td>Other Contractors (List: GVEA)</td>
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<td>Construction Contingency</td>
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**Construction Subtotal**  
**$18,922,500**  
**$20,700,000**

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<th>C. Building Completion Activity</th>
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<td>Equipment</td>
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<tr>
<td>Fixtures</td>
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<tr>
<td>Furnishings</td>
<td>$0</td>
<td>$0</td>
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<td>Signage not in construction contract</td>
<td>$0</td>
<td>$0</td>
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<tr>
<td>Move-Out Cost/Temp. Reloc. Costs</td>
<td>$0</td>
<td>$0</td>
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<tr>
<td>Move-In Costs</td>
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<tr>
<td>Art</td>
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<td>Other (List: )</td>
<td>$0</td>
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<tr>
<td>OIT Support</td>
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<tr>
<td>Maintenance/Operation Support</td>
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**Building Completion Activity Subtotal**  
**$150,000**  
**$150,000**

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<td>Project Management</td>
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<tr>
<td>Misc Expenses: Advertising, Printing, Supplies</td>
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**Owner Activities & Administrative Cost Subtotal**  
**$2,453,479**  
**$2,264,875**

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<td>$24,250,000</td>
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MEMORANDUM

TO: Patrick Gamble
   President

THROUGH: Kit Duke
         Chief Facilities Officer

THROUGH: Tom Case
         Chancellor

THROUGH: Michael Driscoll
         Provost

THROUGH: William Spindle
         Vice Chancellor, Administrative Services

THROUGH: Chris Turletes
         Associate Vice Chancellor, Facilities and Campus Services

THROUGH: John Faunce
         Director, Facilities Planning and Construction

FROM: John Hanson
      Senior Project Manager

DATE: May 7, 2012

SUBJECT: Master Plan Amendment Approval
         Project Name: UAA School of Engineering Parking Garage
         Project No: 10-0066

In accordance with Regents’ Policy 05.12, approval by the Board of Regents is required for this amendment. Your prompt review of this project would be greatly appreciated.

Requisite materials are enclosed.
UAA School of Engineering Parking Garage Master Plan Amendment

1. Purpose

Since the UAA campus master plan was drafted in 2003, adopted in 2004, and amended in 2009 a number of significant changes regarding the UA Engineering program have been made. In 2007, the UA Board of Regents adopted the Engineering Expansion Initiative with the primary goal the University of Alaska will produce 200 undergraduate trained engineers annually. In 2010, UA hired Ira Fink and Associates, Inc. to provide a summary progress report on the accomplishments made to meet the objectives of the 2007 Engineering Expansion Initiative; an indicator report identifying details of the engineering enrollment, engineering education and engineering employment in the State of Alaska; a summary of projected engineering enrollments and graduates and the resultant need for facilities to meet the Board of Regents goals in engineering education; and a statement of the importance that engineers have in the economy of the State of Alaska and the role that the University of Alaska has in assisting in meeting the demand for engineering employment in the State. In September of 2011 we submitted and you approved a Master Plan amendment for the Engineering Building location. The purpose of this master plan amendment is to address the Parking Garage, which is part of the Engineering Building project, and its connection to the main campus. This amendment refers to the 2004 Plan as updated in 2009 with the Amendments for the Health Science District, the Sports and Housing District and the Engineering and Industrial Building Ph 1. Although the 2009 Campus Master Plan Update (not adopted) included the sites under consideration for future parking, a Traffic analysis was part of locating this specific garage. Increasing density for the campus core, moving parking to the periphery and connecting the campus with spine connections are themes that are carried forward from the 2009 Campus Master Plan Update and this amendment.

2. Site Consideration:

Multiple sites (10) were considered as possible sites for the new Engineering Parking Garage. See Figure 1. The project team did traffic analysis of all sites. In order to evaluate each site’s appropriateness for this project, the entire precinct around the proposed sites was studied to identify the traffic flow of the area and the appropriateness to engineering. Site selection criteria was developed and used for considering characteristics of the sites.
These criteria are:

- **Master Plan Goal Adherence** – Reflected in two criteria:
  - **Reduce Core Traffic** – Demonstrates the effectiveness of the site to lessen vehicular traffic in central campus to improve safety and the pedestrian environment.
  - **Periphery Parking** – Considers the degree to which parking is shifted to the edges of campus.
- **Consistent with Master Plan Use** – Evaluates whether a parking structure at the site is consistent with the long term land use for that location put forth in the master plan.
- **Existing Demand** – Reflects the effectiveness of serving parking needs.
- **Proximity** – Considers the walkability from the parking structure to likely destinations.
- **Boundary Access** – Evaluates the ease of access and capacity of primary campus access points from periphery roadways.
- **Campus Circulation** – Considers the distance and ease of travel on campus roadways between the parking structure and the roadway network.

Though this parking structure is being built primarily to meet the additional parking demand generated by the new School of Engineering (SoE) building, the structure will not be limited to users of the building and will add to the campus wide parking supply. The utilization of
this parking structure, as with existing parking facilities, will be determined as users select where to park based on proximity, and availability.

The Municipality of Anchorage (MOA) Title 21 Code specifies parking be supplied within 800 feet of the proposed SoE building. Since this site selection is more than the prescribed 800 foot walking distance from the front door of the new SoE building, a variance must be sought to justify the location of the parking garage. (An argument can be made that the existing engineering building is part of the engineering complex and students and staff will use this parking structure if they have business in the engineering building or the core of campus.)

3. Description

Tract B site is the location that best meets the stated criteria and Master Plan guidance. The key differentiators for the site are:

- The site will relieve existing campus deficiencies by improving access to the campus from UAA Drive and reducing traffic traveling through central campus.
- By not displacing existing parking, the Tract B site requires only 475 spaces and reduces the cost of the structure by approximately 20 percent.

Site improvements associated with the garage are (based on availability of funding):
- New driveway connection between Mallard Lane and the Engineering Building service area.
- Closure/reconfiguration of the Engineering Building maintenance driveway to UAA Drive.
- A new Spine pedestrian connection to the Engineering Building.
- Intersection improvements at the Mallard Lane/UAA Drive, Career Center Drive/Mallard Lane, and West Campus Drive/Seawolf Drive intersections.
- Any required Class C wetlands mitigations.
- Relocation of the temporary Engineering structures.
- Mallard Lane realignment and upgrade.

This plan meets the spirit, objectives, and intentions of the campus master plan.
4. Development Intent

The parking garage for the engineering building is part of Engineering Phase 1 (New Building, Parking Structure, and Renewal of old building). Funding provided in the FY13 Legislative Capital session ($58.6M) will allow for the design completion of the engineering building, the parking garage and the renewal; and the construction of the parking structure and site clearing and utilities for the new engineering building. This development scheme saves the University the cost associated with a temporary parking lot assuming the completion of the parking structure before the opening of the engineering building.

5. Policy Compliance

Does this amendment meet the requirements of 05.12.030 B.
1. Projected Enrollment and other factors affecting the need for the Facility and Infrastructure: This amendment allows for the addition of parking required by the Municipality Title 21. The selected site allows for construction of future facilities.

2. General Areas for land acquisition and disposal: No acquisitions or disposals are envisioned. The project must maintain an 85ft buffer between the adjacent property’s house and any construction to the east of the adjacent lot.
3. The general location of new or upgraded infrastructure, including roads, parking, pedestrian circulation, transit circulation and utilities.
   • Parking must conform to Municipality of Anchorage parking requirements
   • Parking demand will require 475 new parking spaces
   • To sustain the parking requirement, and master plan intent, structured parking provides the best use of space and convenient parking
   • Multiple sites were considered on west campus

4. Demolition of buildings, structures and facilities:
   • No building to be demolished
   • The temporary parking lot will not be required since no parking is being impacted with this site selection and it will be constructed ahead of the Engineering facility.

5. General location, size and purpose of new buildings, structures and facilities:
   • Planned growth for this district is shown in the 2009 UAA Campus Master Plan Update on Pages 13, 121-129
   • 2009-2018
   • Engineering Building, Phase I
   • Health Sciences Phase II
   • Health Sciences Parking Facility and Pedestrian Bridge
   • Honors college and classroom building
   • 2018-2020
   • Administration, Alumni Relations and Visitor Center Building
   • Student Recreation Center Expansion
   • Engineering Phase II
   • Health Sciences Phase III
   • After 2028
   • Health Sciences Ph IV
   • Student Life Building Expansion

6. Guidelines for landscaping:
   • Landscaping will comply with the MOA ordinance and the Landscaping and Amenities guidelines of the 2009 UAA Campus Master Plan Update on Pages 30-31, and 37.

7. General locations and intent for open spaces, plazas, etc.
   • There will be a shuttle bus stop, bicycle parking, a trail connection and a spine connection associated with this parking structure.

8. Guidelines for signage, both freestanding and on buildings and structures:
   • Signage will be accomplished in accordance with MOA approved UAA Unified Exterior Sign Plan October 2007. Signage on new facilities must comply with the plan.
9. Architectural guidelines for building, structures and facilities:
   - The parking garage will be built consistent with the 2009 UAA Campus Master Plan Update Architectural Guidelines on Pages 30-31, and 34-35.

10. Environmental and cultural issues, ADA access and Energy conservation:
    - Will comply with the 2009 UAA Campus Master Plan Update guidance on Pages 34-36.
    - Facilities will comply with the law on ADA access.
    - Facilities will incorporate energy efficient lighting

11. The relationship of the campus to its surroundings and coordination with local government land use and ordinances:
    - Will comply with 2009 UAA Campus Master Plan Update Building Siting and Orientation Guidelines on Page 34.
    - The parking garage will be a concrete building with screening on the street side. Its features include: 3 or 4 story structure with stair and elevator access. Interior ramps, low profile energy efficient lighting, metal screening panels, concrete floor and roof, and landscaping. Orientation such as to not shadow neighbors or give views into industrial space.

    - Projects in this district are discussed in Paragraph 5 above. Campus wide projects are discussed on Pages 121-129 of the 2009 UAA Campus Master Plan Update.

6. Approvals

The President recommends that:

MOTION
“The Facilities and Land Management Committee recommends that the Board of Regents approve the Campus Master Plan Amendment request for the University of Alaska Anchorage Engineering Parking Garage as presented. This amendment will be incorporated in the existing 2004 Campus Master Plan. This motion is effective June 8, 2012.”

POLICY CITATION
In accordance with Regents’ Policy 05.12.030.C.3, a campus plan may be revised or amended from time to time. An amendment to accommodate a proposed specific capital project shall be considered and approved by the board prior to consideration of the proposed capital project.
MEMORANDUM

TO: Patrick Gamble
    President

THROUGH: Kit Duke
         Chief Facilities Officer

THROUGH: Tom Case
         Chancellor

THROUGH: Michael Driscoll
         Provost

THROUGH: William Spindle
         Vice Chancellor, Administrative Services

THROUGH: Chris Turletes
         Associate Vice Chancellor, Facilities and Campus Services

THROUGH: John Faunce
         Director, Facilities Planning and Construction

FROM: John Hanson
      Senior Project Manager

DATE: May 7, 2012

SUBJECT: Schematic Design Approval
         Project Name: UAA Engineering Phase 1 – Engineering and Industry Building
         Project No: 10-0066

In accordance with Regents' Policy 05.12, approval by the Board of Regents is required for this project. Your prompt review of this project would be greatly appreciated.

Requisite materials are enclosed.
<table>
<thead>
<tr>
<th>UNIVERSITY OF ALASKA</th>
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<tbody>
<tr>
<td><strong>Project Name:</strong> UAA Engineering Industry Building</td>
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<td><strong>MAU:</strong> UAA</td>
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<td><strong>Date:</strong> 5/2/2012</td>
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<td><strong>Prepared by:</strong> J. L. Hanson</td>
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<th><strong>SDA Budget</strong></th>
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**Professional Services Subtotal** | 16,307,000.00 | $16,307,000 |

| **B. Construction** | | |
| New Building (75,000 GSF) | $54,767,283.00 | $54,767,283.00 |
| Existing Building (40,000 GSF) | $11,530,190.00 | $11,530,190.00 |
| Parking Structure (204,000 GSF) | $16,913,009.00 | $16,913,009.00 |
| Temporary Parking (125,000 GSF) | $3,031,919.00 | $3,031,919.00 |
| Construction Contingency (10%) | $8,624,240.00 | $8,624,240.00 |

**Construction Sub Total** | $94,866,641.00 | $94,866,641.00 |

| **C. Building Completion Activity** | | |
| Equipment | $1,825,000.00 | $1,825,000 |
| Furnishings | $1,850,000.00 | $1,850,000 |
| Move-Out Costs | $250,000.00 | $250,000 |
| Move-In Costs | $250,000.00 | $250,000 |
| Art | $663,000.00 | $663,000 |
| Temp. Relocation Cost | $1,250,000.00 | $1,250,000 |
| OIT Support / Equipment | $1,300,000.00 | $1,300,000 |
| Maintenance Operation Support | $300,000.00 | $300,000 |

**Building Completion Activity Subtotal** | $7,688,000.00 | $7,688,000 |

| **D. Owner Activities & Administrative Costs** | | |
| Project Planning, Staff Support | | |
| Project Management | $4,312,120.00 | $4,312,120 |
| Misc. Expenses: Advertising, Printing, Supplies, Etc. | $26,239.00 | $26,239 |

**Owner Activities & Administrative Costs Subtotal** | $4,338,359.00 | $4,338,359 |

| **E. Total Project Cost** | $123,200,000.00 | $123,200,000 |

| **Total Project Cost per GSF** | $277.48 | $277 |

| **F. Total Appropriation(s)** | $123,200,000.00 | $123,200,000 |
SCHEMATIC DESIGN APPROVAL

Name of Project: UAF Engineering Facility

Location of Project: University of Alaska Fairbanks

Project Number: 2011122 ENNF

Date of Request: April 30, 2012

| Total Project Cost: | $108,600,000 |
| Approval Required:  | Full F&LMC   |
|                       | Formal Project Approval: BOR, September 23, 2011 |

SUPPORTING DOCUMENTS

- One Page Budget
- Concept Renderings
- Site Plan
- Design Drawings
### UNIVERSITY OF ALASKA

**Project Name:** UAF Engineering Facility  
**MAU:** UAF  
**Building:** New  
**Date:** May 18, 2012  
**Campus:** UAF  
**Prepared By:** M. Schuetz  
**Project #:** 2011122 ENNF  
**Account No.:** 571304-50216  
**Total GSF Affected by Project:** 116900

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| **E. Total Project Cost** | **$108,600,002** | **$929.00** |
| **F. Total Appropriation(s)** | **$108,600,000** | **$108,600,000** |
VIEW FROM LOBBY LOOKING EAST THROUGH THE HIGH BAY
MEMORANDUM

TO: Patrick Gamble
    President

THROUGH: Kit Duke
    Chief Facilities Officer

THROUGH: Tom Case
    Chancellor

THROUGH: Michael Driscoll
    Provost

THROUGH: William Spindle
    Vice Chancellor, Administrative Services

THROUGH: Chris Turletes
    Associate Vice Chancellor, Facilities and Campus Services

THROUGH: John Faunce
    Director, Facilities Planning and Construction

FROM: Howard Morse
    Project Manager

DATE: May 7, 2012

SUBJECT: Schematic Design Approval
    Project Name: UAA Mat-Su Valley Center for Arts & Learning
    Project No: 07-0035

In accordance with Regents' Policy 05.12, approval by the Facilities & Land Management Committee is required for this project. Your prompt review of this project would be greatly appreciated.

Requisite materials are enclosed.
### UNIVERSITY OF ALASKA

**Project Name:** MSC Valley Center for Arts & Learning  
**MAU:** UAA  
**Building:** New  
**Campus:** Mat-Su  
**Project #:** 07-0035  
**Date:** June 2012  
**Prepared by:** FP&C  
**Acct #:** 512032

#### Total GSF Affected by Project:

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#### PROJECT BUDGET

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FORMAL PROJECT APPROVAL - AMENDED

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<th>Name of Project:</th>
<th>Campus Wide Student Housing and Dining Facility Addition</th>
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<td>Location of Project:</td>
<td>University of Alaska Fairbanks</td>
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<td>UAF New Campus Dining Facility – February 28, 2011</td>
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Supporting Documents
- One Page Budget
### UNIVERSITY OF ALASKA

**Project Name:** Campus Wide Student Housing and Dining  
**MAU:** UAF  
**Building:**  
**Campus:** UAF  
**Project #:** 201130 CWHD  
**Date:** 4/30/2011  
**Prepared by:** JLC  
**Acct #:**

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### PROJECT BUDGET

**FPA Budget** | **SDA Budget**
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#### A. Professional Services
- Advance Planning, Program Development: $2,050,000.00
- Consultant: Design Services
- Consultant: Construction Phase Services
- Consult: Extra Services (List: Stipend to ASL): $200,000.00
- Site Survey: $35,000.00
- Soils Testing & Engineering: $28,000.00
- Special Inspections
- Plan Review Fees / Permits
- Other

**Professional Services Subtotal:** $2,313,000.00

#### B. Construction
- General Construction Contract(s)
- Other Contractors (List: ____________________________)
- Construction Contingency

**Construction Subtotal:** $ -

**Construction Cost per GSF:** 0

#### C. Building Completion Activity
- Equipment
- Fixtures
- Furnishings
- Signage not in construction contract
- Move-Out Costs
- Move-In Costs
- Art
- Other (Interim Space Needs or Temp Reloc. Costs)
- OIT Support
- Maintenance Operation Support

**Building Completion Activity Subtotal:** $ -

#### D. Owner Activities & Administrative Costs
- Project Ping, Staff Support
- Project Management: $80,000.00
- DDC Recharge: $104,085.00

**Owner Activities & Administrative Costs Subtotal:** $184,085.00

#### E. Total Project Cost

**Total Project Cost:** $2,497,085.00

**Total Project Cost per GSF:** 43.503223

#### F. Total Appropriation[s]
**Report on Effectiveness of the Construction Manager at Risk Project Delivery Method**

The project management plans described below, establish several elements or criteria for university project staff to manage and project reviewers to hold university project staff accountable to.

The third-party review addresses several elements necessary to conclude whether best value is achieved. (An interim review was recently completed for the Life Sciences project. It is too early in the contract for an interim audit for the arena.) Six of those elements are summarized below:

**Qualified Team Selected:** through the vetted Request for Proposals (RFP) process, UA staff is able to evaluate and select the firm and project team members best qualified to perform in the University's cost, quality and schedule interest. Team members are selected based on experience and proven success with complex facilities such as the Life Sciences building or the Sports Arena. The qualified team is selected based on a combination scoring of bid elements and qualifications.

**High Quality Preconstruction Services:** value analysis done through the design process helped the UAF team identify the best options for various building systems to ensure best value was achieved. Constructability issues were addressed and potential scope gaps were identified and handled to ensure a complete design and avoid costly change orders during construction.

Although still relatively early in the project, the advantages of having the CMAR contractor participate in the sports arena design process are already becoming apparent. The cost estimate for the 65% design came in significantly over budget. The Design Team and the CMAR contractor worked with the rest of the Project Team to modify the design to reduce cost without loss of program support or ability to generate revenue to cover operating costs. Projected O&M Costs have actually reduced as a result of the reduction and/or deletion of some of the building system components included in the original design. The Phase 2 construction package will include several additive alternates that will be incorporated into the project as construction progresses and remaining construction contingency funds can be utilized. This collaborative effort would not have been possible without the participation of the CMAR contractor during the design process.

**Cost Certainty:** the University receives cost certainty through an open book contract with audit provisions, early and regular estimate updates and contingency and change management - the final cost of the project is always a known metric.

**Contingency Management:** the University established strict rules within the revised RFP clearly identifying the various types of contingencies and the restrictions placed upon them. The project team vigorously manages these contingencies and must approve all expenditures.

**Risk Identification and Mitigation:** with early involvement in design and planning, the University benefits from the contractor's expertise to identify and manage project risks proactively. Early identification results in planning that avoids costly mistakes.

**University Expertise and Management:** assembling a team of highly experienced University project staff, creating well thought out project management plans and executing them has been a key component to setting up and running the project delivery process to achieve best results from the CMAR.
Additional detail is summarized for three of these components considered most critical for achieving best value:

**Cost Certainty**

1. How are competitive pricing elements incorporated in the CMAR RFP?
   The competitively bid elements include the fee for Overhead and Profit, a fee for Preconstruction Services, and a fixed amount for a group of General Conditions (GC). Scoring for the competitively bid elements makes up 25% of the overall proposal score. The fees are not negotiable and the bid elements of the GC cost become the basis of final guaranteed maximum price (GMP) negotiations.

2. How is controlling total project cost achieved? How do we know the GMP is reasonable?
   A CMAR process is not a guarantee of the lowest construction cost, but neither is Design Bid Build (DBB) when the risk of change orders is factored in. The owner’s project manager must aggressively manage the owner’s expectation to achieve low project cost, keeping the construction budget in mind at all times. The owner must also be very clear with the CMAR the intent to conduct a complete audit and verification of the GMP, both before and after the construction services agreement is issued. Finally, the owner must create a team environment with the CMAR such that there is a shared trust in the end goals: the owner gets the best product at a reasonable cost ahead of schedule, and the contractor can take pride in a job well done, complete early and move on to the next project. These conditions reduce the normal tensions associated with DBB, create a more collaborative environment for the project, reduce the risk of a claim, ensure building quality goals are met, and can provide a lower final cost when compared to DBB.

   The key to cost reasonableness begins well before the CMAR is placed under contract. The owner must complete multiple iterations of a detailed project construction cost budget developed by a third party estimator. The budget must be updated and maintained throughout project development. During preconstruction services, the CMAR will also submit multiple cost estimates and the owner must stringently review each of them and require the CMAR to reconcile estimates against each other with the goal of maintaining the same construction budget throughout the design. There must be strict fiscal management by the university team, that includes detailed review of each GMP line item to include labor, materials, and equipment with open access to the contractor’s cost records. The owner and the CMAR must develop a trusting relationship and the CMAR must understand and advocate for the owner’s desire to have the lowest GMP. These factors allow the owner to openly negotiate all aspects of the GMP.

3. Can providing the designer's estimate to the CMAR affect the GMP through cost manipulation or price-setting?
   It is possible for “gaming” to occur in all procurement methods, but for a CMAR contract the designer's detailed estimate is used to keep quantities and material costs in check as the GMP is developed. Managing the cost and preventing manipulation is controlled by having a clear understanding of the total quantities of labor hours and material quantities required to do the work, applying industry standard rates for labor, incorporating the low bids for material cost, and then applying the pre-determined fixed fee. Cost manipulation by the contractor is difficult to achieve on direct labor and materials in an open book setting as long as the owner’s project manager remains diligent about performing detailed cost evaluation. Cost management also includes requiring a set portion of the project scope be lump-sum bid "in the market" to take advantage of a competitive market, and lower the risk of cost manipulation. Similar to the negotiated or self-performed work, the university must participate in the contractor’s public bid
process, evaluating the bid tabulations and signing off on the CMAR's recommended subcontractor award.

4. How does the university maintain control over the total General Conditions (GC) cost? How is the CMAR managed by the university to ensure accurate use of the GC budget?

First and foremost, the CMAR RFP must at least require the contractor’s project staff rates are bid in the response to the RFP and ensure these rates are used in setting the GMP. The owner must also negotiate the GC’s using the contractor’s actual cost records, set the duration of the cost of the GC’s to the duration of the project, only agree to those allowable and allocable GC costs needed to directly run the project, and scrutinize each line item in the GC cost for reasonableness. After the GMP is established, the owner’s project team approves the GC's on a cost-plus basis such that the CMAR can only bill for actual time, equipment, and material spent directly managing the job. Finally, monthly review of the GC cost and quarterly financial reviews of all files related to the general conditions are tools that are used consistently to lower the final cost of the general conditions. Project staff must ensure any realized savings in the GC’s is returned to the university.

**Contingency Management**

5. What are the different contingency types and amounts in the revised university contract?

1) Contractor Held Construction Contingency which is 2% of the maximum allowable construction cost (MACC),
2) Contractor Held Owner Contingency which is created from realized savings in Cost Plus line items and buy-outs of subcontracts, and
3) Owner Held Contingency which is 3% of the GMP.

6. What control does the university retain over each of these contingency funds?

The university retains total control over all contingency funds and must provide written authorization before the CMAR can bill against any contingency. The Project Manager, with oversight by the contracting officer, is authorized to approve expenditures from the contractor held contingency. The RFP provides very specific criteria for the use of the contingency: unforeseen conditions, subcontractor buy-outs, mutually agreed upon construction cost resulting from bid errors, design errors, or design omissions, and owner requested changes.

7. How are requests for information (RFIs) and potential change orders managed?

Under a CMAR contract RFIs are first addressed in a team setting and collaboratively answered to create the best solution for the problem. Under a DBB contract, RFIs and their associated cost often create an adversarial relationship between the owner and the contractor because being reimbursed for the cost of changes is the contractor’s first concern.

In a CMAR setting many of the issues that become RFIs and change orders under a more traditional low bid method are resolved instead during the design phase. The owner then manages the cost associated with RFIs on an on-going basis and sets up an auditable cost structure only paying for the actual work. Managing change order cost, which equals the final project cost, is more effective under a CMAR contract and can bring the final cost of both procurement types back in line with each other.
Project Management Plans

8. Have management plans been put into place? Are they being followed? How does the university know the CMAR contractor is being managed properly?

For the Life Sciences project UAF has implemented two management plans: the CMAR contractor Management Plan and the Project Management Plan. UAF files quarterly reports and plan updates with the Chief Facilities Officer (CFO) and holds quarterly meetings with all project participants and stakeholders to review project progress and outcomes, highlight and resolve issues, and allow the UAF Vice-chancellor and the CFO to offer input. UAF has contracted with a third party auditing firm experienced with the CMAR delivery method. Their report is delivered to the Vice Chancellor with a copy to the CFO, and provides an ongoing assessment of how UAF’s project team is managing the contractor and following the management plan. Any recommendations in the report are reviewed at the quarterly stakeholders meeting or acted upon by project staff, as appropriate.

UAA is just beginning to set up management practices for the Sports Arena. UAA will be utilizing the services of a third party auditor and will include management practices in their review. The audit reports will be forwarded to the UAA Vice Chancellor Administrative Services and the Chief Facilities Officer, who will also receive quarterly briefings regarding contract status, after construction begins.

9. How are cost plus features of the CMAR contractor audited?

Monthly, the project team reviews each line item of the pay request and compares it to activity reports submitted daily by the CMAR and/or written by the team itself. The project team also requires a detailed budget forecast from the CMAR that annotates realized savings, subcontractor buy-outs, and anomalies in the project construction budget. On a quarterly basis, the university’s fiscal team performs a financial review of the CMAR’s bookkeeping and record keeping at their home office to ensure charges are being adequately coded to the correct categories, identify and correct any billing discrepancies, and determine if any other projects are being billed against the university’s project (i.e. the project should not be used to provide cash flow for the contractor’s other projects)

10. What are the expectations for the university's project team and how do the members ensure best value is achieved under a CMAR delivery method?

The members of the university’s project team must have documented construction experience with similar projects, a thorough understanding of procurement laws and regulations, and must be proven to be fiscally responsible and willing to aggressively manage the expenditure of project funds. The project manager (perhaps the single most important staff position) must guard the fiscal resources as though they were his/her own and be financially accountable to the administration and the Board of Regents. The project manager must be able to explore the details of the project, handle the detailed cost negotiations, and thoroughly review the CMAR's accounting records. The university project team must have the experience to manage a cost-plus contract and have the knowledge to perform activities such as reviewing daily reports for equipment and man-power and relating them to monthly pay estimates. With these skills and experience, the team can effectively keep project cost within or under the GMP, police cost manipulation, and more easily reach expected project goals. UAA and UAF assign their senior CMAR-experienced project managers to administer these projects and contracts.
Summary of Performance against Objectives
The University of Alaska and its internal user groups are receiving good overall value from the Construction Manager at Risk (CMAR) delivery method. Led by UAF capital projects staff members, the project team has followed good industry practice in building solid collaborative project teams while maintaining cost competitiveness and transparency necessary for the (expenditure) of public funds.
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<th>Expenditures</th>
<th>Encumbrances</th>
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Construction In-Progress Reports

Capital Project Master Schedules:
1. UAA
2. UAF
3. UAS

UAA:
1. Allied Health, 2nd Floor Renovations  
2. Beatrice McDonald Building Renewal  
3. Seawolf Sports Arena  
4. Engineering and Industry Building  
5. Engineering Building Accreditation Upgrades  
6. Engineering Asset Integrity and Corrosion Lab  
7. Health Sciences Building  
8. ULB and ULB Annex Roof Replacements  
9. Science Building Renovation  
10. MAC Housing Fire System Upgrade, Phase VI, Building 6  
11. MAC Housing Renewal  
12. UAA Master Plan Update  
13. Kodiak College Vocational Technology & Warehouse Facility, Phase 1 (PAA)  
14. KPC Soil Remediation  
15. Kenai Campus Career and Technical Center  
16. Kenai Campus Student Housing  
17. Kenai Sprinkler Renovation  
18. KPC Ward Boiler Replacement  
19. Mat-Su College Paramedic/Nursing Lab Addition  
20. Mat-Su Valley Center for Arts & Learning  
21. PWSCC Wellness Center Renovation & Campus Renewal

UAF:
1. Life Sciences Research and Teaching Facility  
2. Critical Electrical Distribution Renewal Phase 1C  
3. Engineering Facility  
4. West Ridge Deferred Renewal Master Plan  
5. Utilities West Ridge Steam Capacity Expansion  
6. CTC Revitalization Phase 5

Procurement Method

DBB
CMAR & DBB
TERM
CMAR
DBB
CMAR
N/A
N/D
DBB
DBB
DBB
DBB
DBB
DBB
DBB
CMAR
CMAR
DBB
N/A
DBB

Reference 26
7. Arctic Health CANHR Health Clinic  
8. Adak Radar Antenna Array Installation  
9. Kuskokwim Campus CANHR Health Clinic  
10. Kuskokwim Campus Gymnasium and Second Floor Renovation  
11. Bristol Bay Science Lab and Clinical Space  
12. Chukchi Flight Simulator Room and Classroom  
13. Research Vessel Sikuliaq

**UAS:**
1. Anderson Building Remodel & Pedestrian Access  
2. Auke Lake Way Corridor Improvements and Reconstruction  
3. Sitka Career and Technical Education Center  
4. Ketchikan Life Boat Davis Construction  
5. Ketchikan Upper Campus Parking Lot Reconstruction

**Construction Procurement Method abbreviations:**
- **Design - Bid - Build**: DBB
- **Construction Manager at Risk**: CMAR
- **Design – Build**: DB
- **Design – Build w/Term Contractor**: TERM
- **Not Applicable**: N/A
- **Not Determined Yet**: N/D
**CAPITAL PROJECT MASTER SCHEDULE**

**As of May 11, 2012**

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### UAS Projects

**Project Approval Level**

- **Main Campus > $500,000**
- **Community Campus > $250,000**

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<th>FY08</th>
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Allied Health Science Building Renovation

Project Description:
Phase 1—Demolition and replacement of the 2nd floor labs (moved to Health Science Bldg.) into classrooms and mock up exam space for teaching Radiologic Technology and Diagnostic Medical Sonography (East), Medical Assisting (West) and EMT (Emergency Medical Services).
Phase 2—Upgrade and renewal of mechanical systems.
Phase 3—Renovation of 1st Floor and building common spaces.

Schedule (PHASE 1):

Total Project Cost: $4,568,258 (all phases)

Board of Regents Approval & Motions:
Prelim Administrative Approval: (initial) April 2011
Prelim Administrative Approval: (includes Phases 2 & 3) October 7th, 2011
Formal Project Approval: Sept. 7th, 2011 (Phase 1 only)
Schematic Design Approval: October 19th (Phase 1 only)

Status Update:
Project was awarded to low bidder, Lakeview Contracting, Inc., on 4/3/12.
FF&E package has been placed on order, submittal process is in progress w/ 65% of all submittals approved, and the Contractor will begin on-site mobilization by May 15th.
Phase 2 and 3 are in design and scheduled for construction in Summer 2013.
Beatrice McDonald Building Renewal

**Project Description:**
Complete renovation of 1970’s building on main campus. Will include HAZMAT abatement, replacement of boiler and mechanical systems, replacement of electrical systems and architectural interior and exterior improvements.

**Schedule:**
- Planning & Design: July 2011 – January 2013
- Advertising & Award: November – December 2012
- Construction: Jan 2013
- Occupancy: August 2014

**Board of Regents Approval & Motions:**
- Project Agreement: July 11, 2011
- Preliminary Admin Approval: July 11, 2011
- Formal Project Approval: November 8, 2011
- Schematic Design Approval: September 2012 (Pending)

**Status Update:**
Schematic Design is under review. The Schematic Cost Estimate indicates that construction costs are significantly higher than anticipated. Additional interviews have been conducted, department space requirements are being re-evaluated and modified, and selected items are being deleted. After this evaluation is completed, any resulting variances will be incorporated in the Schematic Design Approval request.

The UA request for additional Deferred Maintenance funding was not provided in the FY13 Capital Budget. As a result, this project may need to be phased for construction as funding becomes available. The resulting schedule impact will also be addressed in the Schematic Design Approval request.

June 2012 BOR Update
UAA Seawolf Sports Arena

Project Description:
196,000 sf multi-use facility that will house a 5,000 seat performance gymnasium for basketball & volleyball; a practice & performance gym for the gymnastics program; support space consisting of a fitness & training room, administration/coaching offices, laundry, A/V production, locker & team rooms for basketball, volleyball, gymnastics, skiing, track & cross country programs.

Schedule:       Total Project Cost: $109,000,000
Planning & Design:  Aug 2008- Summer 2012
Advertising & Award:  Fall 2011 (CMAR process)
Construction:       Spring 2012 to Fall 2014
Warranty:          1 year after construction completion

Board of Regents Approval & Motions:
Preliminary Admin Approval:  Aug 2008
Formal Project Approval(s):  Feb 2009 /June 2011
Schematic Design Approval(s): June 2009/Sept 2011
Total Project Cost Increase:  June 2011 – approved $109M

Status Update: The Urban Design Commission (UDC) approved the final landscape plan in April. University representatives continue coordinating/finalizing the shared parking agreement with Providence Hospital. Reconciliation and preliminary budget alignment for Phase I and 65% design Phase 2 is complete. A construction contract for Phase I has been awarded. Clearing and grubbing of entire site is nearly complete. Preliminary flow rates on cooling well #1 have been positive and authorization was given to begin drilling well #2 (reinjection). The project team continues to work on the final building design. Phase 2 package will include several additive alternates that will be incorporated into the project as construction progresses and remaining construction contingency funds can be utilized.
**Project Description:**
Planning, programming, design and construction of a 75,000 gsf engineering laboratory and teaching areas not currently available on campus. Teaching areas would include: communications labs, electrical engineering labs, fluids labs, heat and mass transfer labs, soils mechanics labs, photogrammetry/cartography/GIS, seismic and earthquake labs, foundation engineering, transportation and highway engineering, land surveying, machine shop, wood shop, “dirty” yard and conferencing/highway engineering, laboratory and learning areas. The project will also include renovation of the existing building and structured parking for the facility and any displaced parking.

**Schedule:**
| Planning & Design: | May 2011-Dec 2012 |
| Advertising & Award: | Jan-March 2013 |
| Warranty: | 1 year after construction completion |

**Board of Regents Approval & Motions:**
| Preliminary Admin Approval | Nov 2009 |
| Formal Project Approval | Sept 2011 |
| Schematic Design Approval | June 2012 (Pending) |

**Status Update:**
Monthly design workshops are in progress. Proposed location for the parking structure selected north of the existing Engineering Building. Coordination meetings with the Municipality of Anchorage in progress. UAA and UAF are periodically updating the joint UAA/UAF Engineering Advisory Board. Schematic Design completed in May 2012, and SDA and approval of the master plan amendment for the parking structure will be requested at the June 2012 BOR meeting. The FY13 Capital Budget forwarded to the Governor for approval includes additional funding for this project. The overall project schedule will be reviewed following the Governor’s approval.

June 2012 BOR Update
UAA Engineering Building Accreditation Upgrades

Project Description:
This project will renovate portions of the Engineering Building vacated by science and WWAMI programs and allow classrooms and labs to be reconfigured to meet existing program School of Engineering needs and comply with accreditation requirements. Phase 1 relocates Geomatics from the 2nd floor to the 3rd floor which will serve as their permanent location when the new Engineering Building is completed. Phase 2 reconfigures classroom and lab space on the 1st and 2nd floors for compliance with accreditation requirements.

Schedule:

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Board of Regents Approval & Motions:

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<tr>
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<td>Ph1 Schematic Design Approval</td>
<td>March 23, 2012</td>
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<td>Ph2 Schematic Design Approval</td>
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Status Update:
Design and construction are being accomplished in a phased manner as spaces become available to ensure the renovated spaces are completed in time for the next accreditation visit and the start of the Fall 2012 semester. The Ph1 Photogrammetry Lab has been completed and the Geomatics Offices are in progress. Ph2 Design is in progress and furnishings are on order for timely receipt and installation.
Project Description:
Planning, programming, design and construction of a 1,000gsf engineering corrosion laboratory in room 325 of the existing engineering building. This project will renovate the portion of the existing engineering building vacated by the WWAMI program and allow the room to be reconfigured to meet existing program needs of the School of Engineering and function as a corrosion lab. Work includes electrical, mechanical, plumbing and architectural work for the installation of fume hoods, portable lab casework, sinks, emergency eyewash/shower, and research components for the corrosion lab. At the completion of the new engineering facility, the fume hoods, casework and associate laboratory equipment will be relocated to the new laboratory space.

Schedule:
- Planning & Design: February-May 2012
- Advertising & Award: May-June 2012
- Construction: June-August 2012
- Warranty: 1 year after construction completion

Total Project Cost: $350,000

Board of Regents Approval & Motions:
- Preliminary Admin Approval: April 2012
- Formal Project Approval: Pending
- Schematic Design Approval: Pending

Status Update:
Scope development/concept planning complete. Design in progress. Periodic coordination meetings held with the School of Engineering. Work to be done by the UAA term construction contractor.

June 2012 BOR Update
UAA Health Sciences Building

Project Description
Design/construct approximately 65,162 gross square foot facility to accommodate the academic programs of nursing, WWAMI/MEDEX and Allied Health. Project includes offices, classrooms/seminar rooms, laboratories for patient simulators, Med Tech and gross anatomy spaces, and student activity spaces.

Schedule:
- Planning & Design: Dec 2007-Sept 2009
- Advertising & Award: Oct 2009 -Nov 2009
- Construction: Dec 2009-Aug 2011
- Warranty: 1 year after completion

Total Project Cost: $46,500,000

Board of Regents Approval & Motions:
- Preliminary Administrative Approval: June 2008
- Schematic Design Approval: Feb 2009
- Total Project Cost Increase: N/A

Status Update:
The Building was completed in August 2011 and placed into operation for the Fall semester. A “lessons learned” meeting with the user groups, consultants, and contractor will be held in June 2012. Art selection committee meetings are being conducted; artist site visits held January-February 2012; review of art proposals has started and 3 of eight pieces have been selected. Project close-out is in progress.
UAA University Lake Building and University Lake Building Annex
Roof Replacement

Project Description:
UAA has over 1,000,000 square feet of various roofing types of which many have exceeded their performance life expectancy and must be replaced. UAA intends to replace the roofs based on an age/problem basis on an annual basis. The current FY12 project is to replace the roofs on the University Lake and the University Lake Annex Buildings. These roofs are 27 years old. The exposed asphalt roofs have well over three hundred patches, extensive UV degradation/cracking and numerous areas of standing water on the flat roof. The three inch rigid insulation is well below any current building standards; new, thicker and tapered insulation will bring the building up to an R-30 level and provide excellent drainage. The new mineral cap built up asphalt roof will be durable and require less maintenance.

Schedule:
Planning & Design: July 2009-May 2010
Advertising & Award: June 2011
Construction: July 2011-June 2012
Warranty: 15 years after construction completion

Total Project Cost: $925,000

Board of Regents Approval & Motions:
Prelim Administrative Approval: Feb 2009
Formal Project Approval: April 2011
Schematic Design Approval: April 2011
Project Change Approval: July 2011

Status Update:
The ULB roof was completed in August 2011 and the ULB Annex roof was delayed until May 2012. Contractor has mobilized to the site and the reroof of the Annex building is in progress.

June 2012 BOR Update
UAA Science Building Renovation

Project Description:
Phase 3 completes the renovation of the Science Building. It includes the East half of the second floor, the main corridors on the 1st and 2nd floor, new elevator, new roof, and 2nd floor restrooms.

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<td>March 2012</td>
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<td>May 2012 – Dec 2012</td>
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Board of Regents Approvals:
- Prelim Administrative Approval: Nov 2008
- Formal Project Approval: April 2009
- Schematic Design Approval: (Ph I) Sep 2009 (Ph 2) Sep 2010 (Ph 3) June 2011

Status Update:
Phases 1 & 2 – Construction is complete.

Phase 3 – The design is complete. The project was bid in February 2012. Eight bids were received. Watterson Construction was the low bidder and has been awarded the construction contract. The Phase 3 construction work will begin in May 2012.
UAA MAC Housing Fire System Upgrade
Phase VI, Building 6

Project Description:
Provide fire alarm and fire sprinkler system in Building 6. Buildings 1-5 have previously been completed. Completion of Building 6 will complete the project.

Schedule:  
Phase VI, Building 6  
Total Project Cost:  
Planning & Design: Thru February 2012  
$655,000  
Advertising & Award: February 2012 – March 2012  
Construction: May 2012- August 2012  
Warranty: 1 year after construction completion

Board of Regents Approval & Motions:  
Formal Project Approval: January 2008  
Schematic Design Approval: November 2011

Status Update:  
Consolidated Contracting and Engineering has been awarded this project. Work began on May 14, 2012, and is scheduled to be complete for Fall Semester 2012.
UAA MAC Housing Renewal

Project Description:
This renovation of the 6 MAC Housing buildings will renew: finishes, fixtures, and equipment; mechanical, electrical, and plumbing systems; building envelope; and ADA modifications. The project will be accomplished in phases. Phase 1 will include the replacement of the boiler plant serving all six buildings, repair and replace the roofing and entrance stairwells for all six buildings, as well as other renovation work that can be accomplished within initial funding. Phase 1 is scheduled for construction in Summer 2013.

Schedule:
Planning & Design: March-December 2012
Advertising & Award, Phase 1: October 2012 – November 2012
Construction: May 2013- August 2013
Warranty: 1 year after construction completion

Total Project Cost: $12,132,000
PH1 Total Project Cost: $ 4,132,000

Board of Regents Approval & Motions:
Preliminary Administrative Approval: October 2011

Status Update:
Bezek Durst Seiser was selected as the design consultant in March 2012. Formal Project Approval will be requested at the June 2012 BOR Meeting.
Project Description
Since the UAA master plan was approved by the BoR in 2004 and the 2009 draft update was tabled, a number of significant decisions have been made, several building projects have been initiated, and a number of personnel and policy changes have occurred. These changes, along with several building renovations, land acquisitions and UMED master plan updates, have made it necessary to rewrite the university master planning efforts to address UAA’s future growth.

Schedule:
- Issue RFP: May 2012
- Consultant Selection: July 2012
- Contract Negotiation-Notice to Proceed: Aug 2012
- Fact Finding: Sept-Dec 2012
- Draft Master Plan: Jan 2013
- Status Report BoR: Feb 2013
- Campus Review: Feb-April 2013
- Community/MOA Review: April-June 2013
- Final Document: June 2013
- BoR Status Report: June 2013

Total Project Cost: $715,000

Status Update:
The Draft RFP is in preparation and will be issued in late May 2012. Consultant selection is expected in early July, followed by contract negotiations and a notice-to-proceed to be issued in August 2012.
Project Description
This project is divided into three phases to provide a cost effective approach, responsive to community needs. Phase 1 consists of renovating approximately 5,200gsf of existing space for facility maintenance and material storage and constructing approximately 11,300gsf of new building addition to provide program development support in construction trades, mechanical, electrical and other courses in workforce development. Phase 2 will provide an additional 6,860gsf of dedicated construction trades lab and supporting classroom space. Phase 3 will provide an additional 4,300gsf of dedicated mechanical/diesel/small engine lab and supporting classroom space.

Schedule (Phase 1):
| Planning & Design:       | July 2012-June 2013   |
| Advertising & Award:     | July-August 2013      |
| Construction:            | August 2013-July 2014 |
| Warranty:                | 1 year after construction completion |

Total Project Cost:
| Ph 1:                     | $9,734,000 |
| Ph 2:                     | $4,802,000 |
| Ph 3:                     | $4,214,000 |
| TPC:                      | $18,750,000 |

Board of Regents Approval & Motions:
| Preliminary Project Approval: | February 6, 2012 |
| Formal Project Approval:      | TBD            |
| Schematic Design Approval:    | TBD            |

Status
The RFP for consultant services closed March 20, 2012. Bezek Durst Seiser (BDS) Architects has been selected to provide programming and conceptual design services for this project. A Kodiak College site visit scheduled for June 2012.

June 2012 BoR Update
Project Description:
This project is cleaning up a site off campus that was used for fire training in the 1980’s and had significant amounts of diesel contamination at 14 feet below ground level.

Schedule:
Planning & Design: Through January 2010
Advertising & Award: February 2010- March 2010
Construction: April 2010- October 2012

Total Project Cost:
$481,464

Board of Regents Approval & Motions:
Prelim Administrative Approval Formal: February 9, 2010
Project Approval: February 17, 2010
Schematic Design Approval: February 17, 2010
Project Change Approval: $36,000 on 6/1/10, $7,130 on 10/21/11
Project Change Approved: $63,334 on 1/10/11

Status Update:
Two thirds of the soil tested clean this September, below ADEC thresholds. One third of the soil has diesel organics still above the thresholds. The clean soil was pushed into the excavation at the end of October and the contaminated soil has been spread out to bio-remediate this winter.

Starting in June of 2012 the contractor will continue to till the contaminated soil. The environmental engineer will test the soil at the end of summer. If the soil tests come back clean, then the contractor will be allowed to push the clean soil into the excavation and plant trees. Final outcome will be a letter from the ADEC stating no further action needed on this site.
UAA Kenai Campus Student Housing

Project Description
New student housing with 80 to 96 Student beds.

Schedule:
- Planning & Design: June 2010 – April 2012
- Advertising & Award: May - June 2012
- Construction: June 2012 – July 2013
- Warranty: 1 year after construction completion

Total Project Cost: $17,800,000

Board of Regents Approval & Motions:
- Preliminary Project Approval: Feb 2011
- Formal Project Approval: February 18, 2011
- Schematic Design Approval: September 2011
- Total Project Cost Increase: Additional $1.8 M in funding from Legislature

Status Update:
The 65% cost estimate was over the construction budget. The project documents have been modified to shift 16 beds, additional parking, and landscaping to be included as construction bid alternates. The current favorable bidding climate should allow for these alternates to be included in the contract award. The design is complete and the project is being advertised with bids due on May 22, 2012. Construction is scheduled to begin this summer.
UAA Kenai Campus Career & Technical Center

Project Description
A new, approximately 19,654 gsf building for Process Technology, electronics and instrumentation programs, including Simulation and Instrumentation Labs, classrooms, and some student collaborative space.

Schedule:

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<tr>
<th>Description</th>
<th>Time Period</th>
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<td>Warranty</td>
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</table>

Board of Regents Approval & Motions:

- Preliminary Project Approval: Feb 2011
- Formal Project Approval: February 18, 2011
- Schematic Design Approval: September 23, 2011
- Project Change Approval: February 9, 2012

Status Update:
In February additional funding was approved to add the Fabrication Shop to the project. The project schedule was also adjusted. The project is being advertised and construction is scheduled to begin this summer. Bids are due on May 11, 2012.
UAA Kenai Sprinkler Renovation

Project Description
The fire sprinkler systems in the Ward, Goodrich, McLane and Brockel buildings were designed to work with the existing water well and fire pump system which has been replaced with a new public water line with a lower operating pressure and different flow rates. The sprinkler pipes need to be resized to work with the new water pressure and flow rate.

Schedule:
Planning & Design: September – February 2012
Advertising & Award: May 2012
Construction: June 2012- August 2012
Warranty: 1 year after construction completion

Total Project Cost: $429,429

Board of Regents Approval & Motions:
Preliminary Project Approval: September 9, 2011
Formal Project Approval: September 9, 2011
Schematic Design Approval: September 12, 2011
Total Project Cost Increase: none

Status Update:
The project design is complete and the project is being advertised. Bids are due on May 16, 2012. Construction will start this summer.
UAA Kenai Ward Boiler Replacement

Project Description
Replacement of two 28 year old boilers in the KPC Ward building.

Schedule:
Planning & Design: September – November 2011
Advertising & Award: December 2011
Construction: May 2012 - August 2012
Warranty: 1 year after construction completion

Total Project Cost: $562,500

Board of Regents Approval & Motions:
Preliminary Project Approval: September 14, 2011
Formal Project Approval: September 14, 2011
Schematic Design Approval: November 16, 2011

Status Update:
The Construction Contractor, Mantech Mechanical, has completed their submittals and is ready to start work in May.
Mat-Su College Paramedic/Nursing Lab Addition

Project Description:
GO Bond funded addition to the Mat-Su campus. The Snodgrass Hall addition will include new classrooms, offices, labs, workspace and storage for the paramedic and nursing programs.

Schedule:

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<thead>
<tr>
<th>Description</th>
<th>Date Range</th>
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<td>Warranty</td>
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Board of Regents Approval & Motions:

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<thead>
<tr>
<th>Description</th>
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<tr>
<td>Prelim Administrative Approval</td>
<td>February 2009</td>
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<tr>
<td>Formal Project Approval</td>
<td>November 2010</td>
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<tr>
<td>Schematic Design Approval</td>
<td>September 2011</td>
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</table>

Status Update:
Project was advertised and bid. Fourteen bids were received. The low bidder is Neeser Construction Inc. The contract award is in progress.
Project Description:
The project will design and construct a new facility that will provide a theater for lectures, public gatherings and conferences, a classroom, drama lab, music space and instrument storage, display areas, and gathering/study spaces.

Schedule:
- Planning & Design: July 2011-November 2012
- Advertising & Award: November 2012
- Construction: May 2013-December 2014
- Warranty: 1 year after construction completion

Total Project Cost: $20,000,000

Board of Regents Approval & Motions:
- Prelim Administrative Approval: February 2009
- Formal Project Approval: November 2011
- Schematic Design Approval: Pending

Status Update:
Schematic design was received in April 2012 and the accompanying cost estimate exceeded the project budget. In order to keep the project within the budget and still meet the programmatic needs of the facility, the building was shifted to the northwest into the existing parking lot to avoid additional structural build-out. This variance has been included with the Schematic Design Approval submitted for consideration at the June 2012 Board of Regents meeting.
PWSCC Wellness Center Renovation & Campus Renewal

Project Description:

GO Bond funded general renovation of the existing Wellness Center and Campus Renewal. The work will include: ADA compliant locker/restrooms; new entrance and counter space; new flooring and finishes; new doors and hardware; lighting replacement and electrical upgrades; electronic entry system; ACM removal; replacement of galvanized water lines; IT upgrades; mechanical system upgrades; energy conservation controls; and exterior siding improvements.

Schedule:  
Planning & Design: February 2011-November 2011  
Advertising & Award: December 2011-January 2012  
Construction: April 2012 – December 2013  
Warranty: 1 year after construction completion

Total Project Cost: $5,000,000

Board of Regents Approval & Motions:

Prelim Administrative Approval: February 2009  
Formal Project Approval: December 2010  
Schematic Design Approval: September 2011

Status Update:

The Campus has moved exercise equipment to temporary facility. Eklutna Services, the Construction Contractor, is mobilizing to site. The submittal process continues and some preliminary work has begun.
Project Description
Life Sciences will provide multiuse teaching and research labs, classrooms, and office space for life science research and academic purposes. The research portion will provide nearly 60,000 gsf lab space for biology research. The teaching portion will provide 40,000 gsf of academic classroom and lab space for biology and wildlife degree programs. The Life Sciences project also includes expansion of the West Ridge utilidor steam line, and a greenhouse replacement.

Basic Project Info:
Designer: Bezek Durst Seiser Inc, Smith Group, PDC Inc, RFD Inc
CM@Risk: Davis Constructors
Board Approvals: FPA February 2010, SDA November 2010
TPC: $88,578,000
Construction Cost: $67,700,000
Occupancy Date: Fall 2013
Funding Source: GO Bond, UA Revenue Bond

Schedule Bar Chart:
- Design: 0% - Completion: August-2013
- Construction: 0% - Completion: August-2013

Status Update:
Interior build-out on the 3rd floor is nearing 70% completion with framing well underway and most electrical, plumbing, and HVAC systems roughed in. Fireproofing on the 2nd floor is complete and build-out activities have started on that level as well. The last of the underground conduits have been installed in the auditorium area and south lobby on the 1st level. The pedestrian link between Irving 2 and Life Sciences is being framed and glazing will be installed over the next two weeks. The project remains on track for completion in the Spring of 2013.
Formal Project Approval: $108,600,000 to fund three projects associated with the construction of the new facilities:
- Life Sciences Facility ($88,275,000) TPC Increase December 2011 for $303,000
- West Ridge Steam Capacity Expansion ($15M)
- Arctic Health Greenhouse ($5,325,000) - Refer to AHRG CIP Update
Critical Electrical Distribution Renewal Phase 1C

Project Description
Phase 1C scope will install all the major electrical equipment in the building constructed in Phase 1B, including switchgear, transformers, switches, and cable for two new electrical feeders. Additional feeders will be installed as funds are available.

Schedule Phase 1C:
<table>
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<td>January 2009 - June 2009</td>
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<tr>
<td>Advertising &amp; Award</td>
<td>May-July 2011</td>
</tr>
<tr>
<td>Construction</td>
<td>July 2011 - August 2012</td>
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</tbody>
</table>

Total Project Cost: $10,000,000

Funding Source: FY12 R&R Funding

Architect/Engineer: PDC Inc. Engineers
General Contractor: Kiewit Building Group, Inc.

Board of Regents Approval & Motions:
<table>
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<th>Approval</th>
<th>Date</th>
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<tbody>
<tr>
<td>Formal Project Approval</td>
<td>April 8, 2011</td>
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<tr>
<td>Schematic Design Approval</td>
<td>June 2, 2011</td>
</tr>
</tbody>
</table>

Status Update:
Construction began July 1, 2011. Switchgear was delivered on August 24, 2011 and a major transformer was delivered on September 15, 2011. The new switchgear is scheduled to be energized by July 1, 2012. Anticipated completion date is August 30, 2012.
UAF Engineering Facility

Project Description
This project will construct a new, multi-story facility that will house existing and new engineering programs. The facility will include office, classroom, class laboratory, and research laboratory space. Specialty spaces such as high-bay test labs, strong floors and materials testing labs will also be included.

Schedule:
- Planning & Design: May 2011-March 2013
- Advertising & Award: TBD
- Construction: TBD

Architect/Engineer: ECI/Hyer & NBBJ
General Contractor: TBD

Board of Regents Approval & Motions:
- Preliminary Project Approval: September 9, 2006
- Formal Project Approval: June 4, 2010
- Amended Formal Project Approval: September 23, 2011
- Schematic Design Approval: Anticipated June 2012

Status Update:
On September 23, 2011, the Board of Regents passed the amended Formal Project Approval for the University of Alaska Engineering Facility Projects for UAA and UAF. This approval allowed the design to proceed to Schematic level (35%). The Schematic Design Approval will be presented to the Board of Regents in June for a Total Project Cost budget of $108.6 million, and to proceed with project construction not to exceed a Total Project Cost of $50.3 million. The selected site for the facility is located between Duckering and Bunnell, and will have five floors.

Total Project Cost:
$108,600,000

Funding Source:
FY 11 Capital Appropriation for $4,000,000.
Project Description
The intent of the project is to create a master plan for the renewal of the facilities on the West Ridge and develop logical phasing, budgetary estimates, and program space allocation. The first task will update the current facilities audit and provide a true reflection of the quantity of code corrections, the amount of deferred maintenance, and the extent of space renewal pertaining to functional obsolescence. Upon completion, an analysis of logical adjacencies will occur and the plan will make suggestions for relocation of programs, including major changes to various spaces to create these adjacencies. Finally, the plan will create logical phasing plans with recommended funding levels to become the basis for future capital budget requests.

Schedule:
- Planning & Design: January 2012 to September 2012
- Design Build Award: N/A
- Construction: N/A

Board of Regents Approval & Motions:
- Formal Project Approval: December 22, 2011
- Schematic Design Approval: N/A

Status Update:
UAF and the consulting team have completed a space study of the existing buildings, uses, programs, and end-users. The study will be used to plan out the needed renewal work as well as plan for the next new facilities needed on West Ridge to handle the current and projected student and research growth. A facilities condition assessment has been completed and clearly demonstrates a high level of deferred renewal and functional obsolescence in the five older facilities on West Ridge. The assessment is currently indicating that two facilities, O’Neill and Irving 2 (including the vivarium), favor being replaced versus renewed because of their condition and cost of renewal. Further work is being completed currently to confirm the assessment. Overall the plan is suggesting that UAF must begin mitigating nearly 400,000 gross square feet of deficient space as well as add an additional 200,000 gross square feet to meet current and future needs of the programs and departments on West Ridge.
Utilities West Ridge Steam Capacity Expansion

**Project Description**
This project installs a 10-inch steam line and a 6-inch condensate line from the Atkinson Power Plant to the West Ridge in the vicinity of the Arctic Health Research Building to increase the steam capacity for West Ridge and the new Life Sciences Facility. A new utilidor will also be constructed to house the steam piping and other utilities from the utilidor near the Lola Tilly Building to the utilidor west of the Student Recreation Center.

**Schedule:**
- **Planning & Design:** February - May 2011
- **Advertising & Award:** April - July 2011
- **Construction:** August 2011 - October 2012

**Architect/Engineer:** PDC Inc. Engineers
**DB Contractor:** Kiewit Building Group
**Design Alaska**

**Board of Regents Approval & Motions:**
- **Formal Project Approval:** November 9, 2011
- **Schematic Design Approval:** April 8, 2011

**Status Update:**
A Design-Build contract was awarded to Kiewit Building Group on June 30, 2011. Construction on the east section of the utilidor was started on August 29, 2011. Piping work within the new and existing utilidors was done during the winter. Excavation for the remainder of the utilidor began near the SRC, April 15, 2012. The project is currently ahead of schedule and approximately $2.0M under budget. Completion is expected in the fall of 2012.

**Total Project Cost:** $15,000,000

**Funding Source:**
- UA Revenue Bond
- GO Bond (Life Sciences)

Utilities West Ridge Steam Capacity Expansion (UTCE)
May 2012 CIP Update
UAF CTC Revitalization Phase 4—Fourth Floor Completion

**Project Description**
This project will renew the remaining area on the fourth floor to serve the Allied Health Programs. It will provide classrooms intended primarily for the Medical Assisting Program, faculty offices, a seminar room, student area, laundry room, a janitor closet, and minor upgrades in selected building locations on the fourth floor.

**Schedule:**
- Planning & Design: September 2011
- Advertising & Award: November 2011
- Construction: December 2011

**Total Project Cost:** $1,600,000

**Funding Source:** FY11 Capital Appropriation

**Architect/Engineer:** Design Alaska, Inc.

**General Contractor:** Wolverine Supply, Inc.

**Board of Regents Approval & Motions:**
- Formal Project Approval: November 15, 2011
- Schematic Design Approval: November 15, 2011

**Status Update:**
Bids were opened November 15, 2011, and a construction contract was awarded to Wolverine Supply, Inc. Work is scheduled during the night and consists of demolition and new construction of interior walls and mechanical and electrical infrastructure. Sheetrock installation began March 26, 2012. Project completion date is on schedule for May 31, 2012.
Arctic Health CANHR Health Clinic

Project Description
This project will build about 3,200 gsf of new space and renovate another 2,800 gsf to support initiatives under the Center for Alaska Native Health Research. The facility will include a nutritional and physical assessment lab on the first floor and a shelled out space on the second floor which will be developed with future grants.

Schedule:
Planning & Design: October 2009-April 2011
Advertising & Award: June-July 2011
Construction: August 2011-March 2012
Architect/Engineer: Design Alaska, Inc.
General Contractor: GBC, Inc.

Board of Regents Approval & Motions:
Preliminary Project Approval March 31, 2010
Formal Project Approval April 16, 2010 ($7,530,000 for both the Arctic Health and Kuskokwim CANHR Health Clinics-NIH CO6 Grant)
Schematic Design Approval November 5, 2010 ($3.657M Arctic Health Clinic)
Project Change Approval February 10, 2012 ($3.657M Arctic Health Clinic)

Status Update:
The first floor work is substantially complete and commissioning will begin soon. The second floor work is 85% complete with carpeting and electrical trim left to complete. The project is on schedule for completion by mid-May.

Total Project Cost: $3,657,000
Funding Source: NIH CO6 Grant
Revised Funding Source: NIH CO6 Grant
FY08 SOA Deferred Renewal
UAF FY11, FY12 Research

Arctic Health CANHR Health Clinic (AHCHC)
May 2012 CIP Update
Antenna Installation Adak, Radar Antenna Array

Project Description
Construct a low-power radar antenna with two distinct arrays at the radar facility on Adak Island.

Schedule:
- Selection Process: November 2011
- Advertising & Award: January 2012
- Design & Construction: May 2012

Total Project Cost: $500,000

DB Architect/Engineer: PN&D Engineering
Design-Build Contractor: Northern Management Services, Inc.

Board of Regents Approval & Motions:
- Preliminary Project Approval: October 17, 2011
- Formal Project Approval: February 20, 2012
- Schematic Design Approval: February 20, 2012

Status Update:
A Notice of Intent to Award a Design-Build Contract has been issued to Northern Management Services, Inc. Construction and completion is still scheduled for 2012.
Project Description
This project will renovate and construct a new CANHR Health research facility within the existing Voc-Ed building, on the Kuskokwim Campus. The new space will be designed to accommodate Telehealth medicine (secure video conferencing) and distance education video conferencing. Additive Alternate #1, Kuskokwim Campus Gymnasium and Second Floor Renovation (KCGR), will be built above the clinic. Additive Alternate #2 is for selected mechanical work.

Schedule:
Planning & Design: June 2010 to March 2011
Advertising & Award: July-August 2011
Construction: October 2011 - August 2012

Architect/Engineer: Livingston Slone, Inc.
General Contractor: Denali General Contractors, Inc.

Board of Regents Approval & Motions:
Preliminary Project Approval March 31, 2010
Formal Project Approval April 16, 2010 ($7,530,000 for both the Arctic Health and Kuskokwim CANHR Health Clinics-NIH CO6 Grant)
Schematic Design Approval November 5, 2010 ($3.8M Kuskokwim Campus Clinic)

Status Update:
Denali General Contractors started construction in October 2011. Interior finishes on the walls are complete, doors and hardware have been installed, the suspended ceiling system is installed, and cabinetry is being installed. The contractor is on schedule, and Substantial Completion is currently scheduled for August 1, 2012.
Kuskokwim Campus Gymnasium and Second Floor Renovation

Project Description
This project will build a gymnasium in a portion of the open floor area of the Voc-Ed building, above the Kuskokwim Campus CANHR Health Clinic (KCHC). Testing and distance education modules and new faculty offices will also be built. Construction on the KCHC and KCGR projects will be done simultaneously.

Schedule:
- Planning & Design: February-June 2011
- Advertising & Award: July-August 2011
- Construction: October 2011-August 2012

Total Project Cost: $1,928,500

Funding Source: USDE Title III Grant

Architect/Engineer: Livingston Slone, Inc.
General Contractor: Denali General Contractors, Inc

Board of Regents Approval & Motions:
- Preliminary Project Approval: December 13, 2010
- Formal Project Approval: February 14, 2011
- Schematic Design Approval: June 8, 2011

Status Update:
The contract was awarded to Denali General Contractors, Inc. on August 8, 2011. The contractor started work in October. The project is progressing on schedule in conjunction with construction on KCHC. Substantial Completion is currently scheduled for August 1, 2012.
## Project Description
This project will increase science laboratory and research space by 780 square feet, increase student study and testing areas by three rooms, and increase distance education training space and classroom space by 640 square feet. This project and grant will also provide pre-planning documents for additional clinical and laboratory space for high-demand areas (i.e., Allied Health/Nursing program).

### Schedule:
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<td>USDE Title III Grant</td>
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<td>Construction</td>
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### Architect/Engineer:
- McCool Carlson Green

### General Contractor:
- Coho Contractors, LLC

### Board of Regents Approval & Motions:
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<tr>
<td>Schematic Design Approval</td>
<td>July 21, 2011</td>
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</table>

### Status Update:
Construction began the end of August 2011. Foundation concrete work is complete. Construction of the exterior walls and roof is in progress. Construction is within budget and on time. Completion is on schedule for fall 2012.
Chukchi Flight Simulator Room and Classroom

Project Description
The renovation and expansion plan will create a new flight simulator room and modify the adjacent classroom to accommodate the flight simulator computer lab. Additionally, a battery storage room will be included in this project. This renovation will reduce the size of the back classroom and create a hallway that leads to the flight simulator area.

Schedule:
- Planning & Design: February-June 2011
- Advertising & Award: July 2011
- Construction: August 2011-September 2012

Total Project Cost: $1,804,960

Funding Source: USDE Title III Grant

Architect/Engineer: NVision Architecture
General Contractor: UIC Contractors, LLC

Board of Regents Approval & Motions:
- Preliminary Project Approval: December 13, 2010
- Formal Project Approval: February 14, 2011
- Schematic Design Approval: July 21, 2011

Status Update:
Bids were received and the construction contract was awarded to UIC Contractors, LLC. Mobilization, site work and materials delivery began the end of August 2011. Construction activities are underway, and pilings are in place.
Research Vessel Sikuliaq

Project Description
The R/V Sikuliaq (formerly the Alaska Region Research Vessel) is a 261-foot oceanographic research vessel capable of performing complex science in the ice-choked waters of Alaska and the polar regions. When complete the ship will be one of the most advanced university research vessels in the world and will be able to break ice up to 2.5 feet thick.

Schedule:
Planning & Design: August 2007-October 2008
Advertising & Award: February 2009-December 2009
Construction: January 2010-July 2013

Total Project Cost: $199,500,000

Funding Source: NSF Cooperative Agreement

Architect/Engineer: Glosten Associates
General Contractor: Marinette Marine Corporation

Approvals & Motions:
Preliminary Project Approval Board of Regents: September 2008
Formal Project Approval National Science Foundation: December 2008
Schematic Design Approval National Science Foundation: December 2008

Status Update:
The Sikuliaq is currently under construction at Marinette Marine Corporation in Wisconsin. The vessel will be launched on October 13, 2012.
Research Vessel Sikuliaq

R/V Sikuliaq (ARRV)
May 2012 CIP Update
Project Description:
This project will totally remodel the Juneau campus principal science instruction space to accommodate the needs of the UAS Science program. The project is divided into two separate construction contracts. The first is the building remodel including classrooms, teaching labs, faculty offices, and research spaces. The second contract will be for the construction of a pedestrian crossing of Glacier Highway. These two elements are being designed, bid and constructed as separate contracts due to the different nature and schedules for the work.

In the remodel work major building components will be upgraded or replaced including heating and ventilating equipment and controls, the roof membrane and insulation, new toilet rooms, interior finishes, elevator replacement, classroom and laboratory casework and the emergency generator. Interior space will be reconfigured to improve effectiveness of the teaching and research areas. The number of faculty offices will be reduced. The work has required the building to be vacated during renovation. Interim space for offices and labs is being accommodated elsewhere on campus, at the UAF Fisheries facility at Lena Point and at the old NOAA lab adjacent to the Anderson Building.

The pedestrian access work will include a pedestrian bridge connecting to the third floor of the Anderson Building and a paved and lighted pathway to the main campus.

Total Project Cost: $10,700,000

Project Schedule:

<table>
<thead>
<tr>
<th></th>
<th>Building Remodel</th>
<th>Pedestrian Access</th>
</tr>
</thead>
</table>

Project Approvals:
- Formal Project Approval: September 2008
- Schematic Approval: February 2009

Status Update:
- Building Remodel: Construction contract is completed.
- Pedestrian Overpass: UAS is awaiting detailed design data on the Alaska DOT&PF’s proposed realignment of Glacier Highway. DOT&PF and UAS are re-examining the impacts of the future road and right-of-way realignment. Construction is intended for 2013 assuming DOT&PF makes a determination on road alignment soon. A public meeting held in April indicated that design of a final alignment will begin in the summer of 2012. This will allow UAS to complete design of the pedestrian overpass and path.
Auke Lake Way Corridor Improvements & Reconstruction

Project Description:
- Reconstruction of Auke Lake Way from Hendrickson to the Egan bus circle to replace pavement, signage and lighting, and add traffic control devices and provide for service and emergency access;
- Reconstruction of the Novatney parking area to a service turn-around;
- Construction of a paved and lighted pedestrian connection from the Hendrickson Building to the Auke Creek bridge path, eliminating pedestrian use of the road;
- Reconstruction, paving and drainage of the Chapel-by-the-Lake parking lot as required by the parking agreement;
- Construction of a roof structure atop the path between the main parking lots and the Whitehead entrance;
- Revised entry canopies at the intersections of the Novatney and Whitehead exterior walkways.
- Traffic and signage improvements at the Loop Road intersection.

Total Project Cost: $4,300,000

Project Schedule:

<table>
<thead>
<tr>
<th></th>
<th>Phase 1</th>
<th>Phase 2</th>
</tr>
</thead>
</table>

Project Approvals
- Formal Project Approval: December 2010
- Schematic Approval (Phase 1): April 2011
- Schematic Approval (Phase 2): April 2012

Status Update:
Phase 1 North Entry improvements are completed and the South entry improvements are underway with completion now due in mid-May 2012. Phase 2 has been awarded to Arete Construction and work is scheduled to start in late May.
Sitka Career & Technical Education Center

Project Description:

A Title III grant is providing funding over two federal fiscal years to remodel portions of the existing facility. The project will:

- Expand the existing student success center,
- Create a new instructional design center,
- Reconstruct the construction technology laboratory,
- Construct new records storage, and
- Construct a new lecture hall.

Total Project Cost: $3,755,000

Project Schedule

| Construction:     | 1/2012 - 10/2012 |

Project Approvals

| Formal Project Approval | December 2010 |
| Schematic Approval     | July 2011     |
| Total Project Cost Increase | November 2011 |

Status Update:

A construction contract has been awarded to MCC of Sitka. Work is well under way and on schedule.
Ketchikan – Life Boat Davit Construction

Project Description:
This project will construct a platform for a life boat davit at the lower campus. The project is funded with a Title III grant.

Total Project Cost: $504,000

Project Schedule
Construction: 4/2012 – 8/2012

Project Approvals
Formal Project Approval: 2/2012
Schematic Design Approval: 2/2012

Status Update:
A contract has been awarded to Western Dock & Bridge. Site work has begun.
Ketchikan Upper Campus Parking Lot Reconstruction

**Project Description:** A geotechnical report on pavement failure at the upper campus parking lot indicated the need to remove the pavement and 2.5 feet of existing soils, and install a geotextile and non-frost susceptible sub-base and new paving.

**Total Project Cost:** $850,000

**Project Schedule:**
- Design: Fall – 2011 to Spring 2012
- Construction: May 2012 to September 2012

**Project Approvals:**
- Formal Project Approval: February 2012
- Schematic Approval: February 2012
- Project Budget Increase: March 2012

**Status Update:** Bids were above the estimates and a project budget increase was approved. A construction contract has been awarded to Ketchikan Ready Mix & Quarry. Work will begin in late May.
University of Alaska
Audit Plan
June 30, 2012

This presentation to the Audit Committee is intended solely for the information
and use of the Audit Committee and management and is not intended to be
and should not be used by anyone other than these specified parties. This
presentation is not intended for general use, circulation or publication and
should not be published, circulated, reproduced or used for any purpose
without our prior written permission in each specific instance.

June 8, 2012
Agenda

1.0 Client service team
2.0 KPMG’s audit approach and methodology
3.0 Risk assessment
4.0 Audit plan
   - Scope
   - Materiality
   - Deliverables and time line
   - Fraud risks
   - Material weakness and significant deficiency
   - Involvement of others
5.0 Independence
6.0 New pronouncements

Appendix 1 Objectives of an audit
Appendix 2 Responsibilities
Appendix 3 KPMG’s Audit Committee Institute
1.0
Client service team
Client service team

University audit team

Lead Engagement Audit Partner
Dan Rozema

Engagement Quality Control Reviewing Partner
Steve Huebner

Lead Engagement Audit Manager
James Jacobs Jr

Tax Partner
Teresa Newins

IRM Partner
Michael Isensee

Other KPMG Specialists
George Levine, Actuary
Alfred Raws III, Actuary
2.0
KPMG’s audit approach and methodology
1. Experienced team
   We have an experienced team.
   Our team includes the following specialists: Information Risk Management (IRM) and Actuaries.

2. Tailored to the University’s business strategies and activities
   In developing our audit plan for June 30, 2012, we have based our approach on our understanding of University’s objectives and strategies and the challenges facing the business in 2012.

3. Top-down, risk-based approach
   We work closely with management to understand the business challenges and changes in the business during the year with respect to the impact on our audit approach.
   Our audit plan outlines our assessment of audit risk and highlights specific areas of focus for 2012.

4. Effective and efficient audit
   Our audit approach involves interaction with all levels of management throughout the year to identify issues.
   Our audit approach is based on communication and coordination with management and Internal Audit.

5. Consistent audit methodology worldwide
   Consistent audit methodology and technology used by KPMG member firms worldwide.

6. Compliance with applicable professional standards
   KPMG has systems and processes in place to monitor compliance with professional standards.
KPMG’s audit approach and methodology (continued)

Technology enabled audit work flow

Engagement Setup
- Tailor the eAudIT work flow to your circumstances
- Access global knowledge specific to your industry

Completion
- Verify accuracy, completeness, and appropriate presentation and disclosure of financial statements
- Form and issue audit opinion on financial statements
- Issue management letter
- Debrief audit process

Risk Assessment
- Understand your business and financial processes
- Identify significant risks
- Determine audit approach
- Evaluate design and implementation of your internal controls

Testing
- Test effectiveness of your internal controls
- Perform substantive tests
3.0 Risk assessment
Risk assessment

Based on our understanding of the University’s business, industry, and environment (including internal controls), the following are risks that may result in a material misstatement (due to fraud or error) in the financial statements and our planned audit approach in response to such risks:

<table>
<thead>
<tr>
<th>Risk</th>
<th>Financial statement impact</th>
<th>Planned audit approach</th>
</tr>
</thead>
<tbody>
<tr>
<td>Revenue recognition</td>
<td>Adequacy of tuition allowance</td>
<td>Update our understanding of management’s process, assess methodology and assumptions used, and test data used</td>
</tr>
<tr>
<td>Self-insurance liabilities</td>
<td>Valuation of liability</td>
<td>Test claims data sent to University’s actuary, KPMG actuary to review actuary report</td>
</tr>
<tr>
<td>Misuse of Federal grant funds</td>
<td>Grant revenue and receivables</td>
<td>Perform control and compliance test work over major programs</td>
</tr>
<tr>
<td>Investment portfolio improperly valued</td>
<td>Valuation of non-readily marketable securities</td>
<td>Update our understanding of management’s process for determining fair value, test valuation</td>
</tr>
</tbody>
</table>

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4.0
Audit plan
## Audit plan – Scope

<table>
<thead>
<tr>
<th>Scope of work</th>
</tr>
</thead>
<tbody>
<tr>
<td>Audit of the financial statements</td>
</tr>
<tr>
<td><em>Federal Single Audit in accordance with OMB Circular A-133, Audits of States, Local Governments and Non-Profit Organizations</em></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Applicable financial reporting framework</th>
</tr>
</thead>
<tbody>
<tr>
<td><em>U.S. generally accepted accounting principles applicable for Governmental Universities</em></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Applicable auditing standards</th>
</tr>
</thead>
<tbody>
<tr>
<td><em>Standards of the AICPA</em></td>
</tr>
<tr>
<td><em>Government Auditing Standards</em></td>
</tr>
<tr>
<td><em>OMB Circular A-133, Audits of States, Local Governments and Non-Profit Organizations</em></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Other terms of engagement</th>
</tr>
</thead>
<tbody>
<tr>
<td><em>Compliance letter related to debt agreements</em></td>
</tr>
</tbody>
</table>
Audit plan – Materiality

- Professional standards require that we exercise professional judgment when we consider materiality and its relationship with audit risk when determining the nature, timing, and extent of our audit procedures, and when evaluating the effect of misstatements.

- Information is material if its omission or misstatement could influence the economic decisions of users taken on the basis of the financial statements.

- Materiality depends on the size and nature of the item or error judged in the particular circumstances of its omission or misstatement.
Audit plan – Deliverables and time line

- Review of financial statement disclosures
- Issue audit opinion on (University and Foundation) financial statements
- Review schedule of expenditures of federal awards
- Issue control and compliance reports in accordance with OMB Circular A-133
- Issue management letter
- Debrief on audit process

April 2012

- Perform risk assessment procedures and identify risks
- Determine audit strategy
- Evaluate entity-level controls
- Determine planned audit approach
- Understand accounting and reporting activities
- Evaluate design & implementation of selected controls including general IT controls
- Coordinate with Internal Audit/component auditors
- Test operating effectiveness of selected controls including general IT controls
- Present audit plan to Audit Committee

September 2012

- Perform analytical or other procedures to roll forward interim account balances to year-end
- Perform remaining audit procedures
- Discuss key issues and deficiencies identified with management
- Attend Audit Committee meeting and perform required communications

Ongoing communication with:
- Board/Audit Committee
- Senior Management
- Accounting

Planning

Preparation of strategy

Assess federal major programs

Final fieldwork

Interim fieldwork

Reporting

June – September 2012

June 2012

- Meetings with management to discuss key issues
- Perform interim substantive audit procedures
- Perform control and compliance test work over federal major programs

September 2012

- Perform analytical or other procedures to roll forward interim account balances to year-end
- Perform remaining audit procedures
- Discuss key issues and deficiencies identified with management
- Attend Audit Committee meeting and perform required communications
Audit plan – Fraud risks

Identification of fraud risks:
- Perform risk assessment procedures to identify fraud risks, both at the financial statement level and at the assertion level
- Discuss among the engagement team the susceptibility of the entity to fraud
- Perform fraud inquiries of management, the Audit Committee, and others
- Evaluate the Company’s broad programs/controls that prevent, deter, and detect fraud

Response to identified fraud risks:
- Evaluate design and implementation of antifraud controls
- Test effectiveness of antifraud controls
- Address revenue recognition and risk of management override of controls
- Perform specific substantive audit procedures (incorporate elements of unpredictability)
- Evaluate audit evidence
- Communicate to management and the Audit Committee
### Audit plan – Fraud risks (continued)

<table>
<thead>
<tr>
<th>Fraud risks identified in planning</th>
<th>Impact on financial statements</th>
<th>Planned audit approach</th>
</tr>
</thead>
<tbody>
<tr>
<td>Risk of management override of controls</td>
<td>Presumed risks for financial statements by SAS 99</td>
<td>Testing of journal entries and adjustments at period-end and throughout the fiscal year</td>
</tr>
<tr>
<td>- Journal entries and adjustments</td>
<td></td>
<td>Audit of significant accounting estimates</td>
</tr>
<tr>
<td>- Significant accounting estimates</td>
<td></td>
<td>Audit of significant unusual transactions</td>
</tr>
<tr>
<td>- Significant unusual transactions</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Audit plan – Material weakness and significant deficiency

**Material weakness**

A deficiency, or combination of deficiencies, in ICFR, such that there is a reasonable possibility that a material misstatement of the Company's annual financial statements will not be prevented or detected on a timely basis.

**Significant deficiency**

A deficiency, or combination of deficiencies, in ICFR that is less severe than a material weakness, yet important enough to merit attention by those responsible for oversight of the Company's financial reporting.
Audit plan – Material weakness and significant deficiency (continued)

Additional considerations

- Evaluation of the severity of a deficiency, individually or in combination, considers both qualitative and quantitative factors.

- The severity of a deficiency does not depend on whether a misstatement has actually occurred, but rather on whether there is a reasonable possibility that the Company’s controls will fail to prevent or detect a material misstatement on a timely basis.

- More attention is given to the evaluation of deficiencies with the most potential to be material or important enough to merit the attention by those with oversight responsibility for the Company’s financial reporting.
## Audit plan – Involvement of others

<table>
<thead>
<tr>
<th>Internal Audit</th>
<th>Assistance provided to reduce costs</th>
</tr>
</thead>
<tbody>
<tr>
<td>Significant account/disclosure</td>
<td>Cash, Accounts Payable, Inventory, Auxiliary Revenues, Year-end cutoff</td>
</tr>
<tr>
<td>Description of work/output</td>
<td><em>Internal audit will assist with procedures to be performed over the above items. These procedures will include sampling items, internal control test work, and inventory observations.</em></td>
</tr>
<tr>
<td>Timing</td>
<td>June through September</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>External expert</th>
<th>PricewaterhouseCoopers and Milliman</th>
</tr>
</thead>
<tbody>
<tr>
<td>Significant account/disclosure/issue</td>
<td>Employee benefit – insurance liabilities</td>
</tr>
<tr>
<td></td>
<td>Tuition value guarantees</td>
</tr>
<tr>
<td>Description of work/output</td>
<td>Calculation of liabilities</td>
</tr>
<tr>
<td>Timing</td>
<td>July - August</td>
</tr>
<tr>
<td>Service organization</td>
<td>Blue Cross Blue Shield and Caremark</td>
</tr>
<tr>
<td>----------------------------</td>
<td>-------------------------------------</td>
</tr>
<tr>
<td>Significant account/disclosure</td>
<td>Employee benefits - insurance liabilities</td>
</tr>
<tr>
<td>Description of services</td>
<td>The service organizations assist in processing health and pharmacy claims.</td>
</tr>
<tr>
<td>Audit procedures</td>
<td>KPMG will test the user control considerations identified by the service organizations</td>
</tr>
<tr>
<td>Timing</td>
<td>June</td>
</tr>
</tbody>
</table>
5.0 Independence
Independence

Non-audit services or other relationships that may reasonably be thought to bear on independence include:

- Routine tax advice related to unrelated business income tax issues

In our professional judgment, we are independent with respect to the University, as that term is defined by the professional standards.
6.0
New pronouncements
## New pronouncements

<table>
<thead>
<tr>
<th>Pronouncements</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Effective: Year ended June 30, 2012</strong></td>
<td></td>
</tr>
<tr>
<td>GASB Statement No. 57, OPEB Measurements by Agent Employers and Agent Multiple-Employer Plans</td>
<td>No impact on the University</td>
</tr>
<tr>
<td>GASB Statement No. 64, Derivative Instruments: Application of Hedge Accounting Termination Provisions</td>
<td>No impact on the University</td>
</tr>
</tbody>
</table>
Appendix 1
Objective of an audit
Objective of an audit

- The objective of an audit of financial statements is to enable the auditor to express an opinion about whether the financial statements that have been prepared by management with the oversight of the Audit Committee are presented fairly, in all material respects, in conformity with generally accepted accounting principles.

- We plan and perform the audit to provide reasonable, not absolute, assurance that the financial statements taken as a whole are free from material misstatement, whether from error or fraud.

- We design tests of controls to obtain sufficient evidence to support the auditors’ control risk assessments for purposes of the audit of the financial statements.
Appendix 2
Responsibilities
Responsibilities

Management is responsible for:

- Adopting sound accounting policies
- Fairly presenting the financial statements in conformity with generally accepted accounting principles
- Establishing and maintaining effective internal control over financial reporting (ICFR)
- Identifying and confirming that the Company complies with laws and regulations applicable to its activities
- Making all financial records and related information available to the auditor
- Providing the auditor with a letter confirming certain representations made during the audit that includes, but are not limited to, management’s:
  - Disclosure of all significant deficiencies, including material weaknesses, in the design or operation of ICFR that could adversely affect the Company’s ability to initiate, authorize, record, process, or report financial data
  - Acknowledgement of their responsibility for the design and implementation of programs and controls to prevent, deter, and detect fraud
Responsibilities (continued)

The Audit Committee is responsible for:
- Oversight of the financial reporting process and oversight of ICFR

Management and the Audit Committee are responsible for:
- Establishing and maintaining internal controls to prevent, deter, and detect fraud
- Setting the proper tone and creating and maintaining a culture of honesty and high ethical standards

The audit of the financial statements does not relieve management or the Audit Committee of their responsibilities.
Responsibilities (continued)

KPMG is responsible for:

- Forming and expressing an opinion about whether the financial statements that have been prepared by management with the oversight of the Audit Committee are presented fairly, in all material respects, in conformity with generally accepted accounting principles.

- Planning and performing the audit to obtain reasonable—not absolute—assurance about whether the financial statements are free of material misstatement, whether caused by fraud or error. Because of the nature of audit evidence and the characteristics of fraud, we are able to obtain reasonable, but not absolute, assurance that material misstatements will be detected. Our audit is not designed to detect error or fraud that is immaterial to the financial statements.

- Evaluating whether the Company’s controls sufficiently address:
  a) Identified risks of material misstatement due to fraud
  b) The risk of management override of other controls

- Communicating to the Audit Committee in writing all significant deficiencies and material weaknesses in internal control identified in the audit and reporting to management deficiencies that, in our professional judgment, are of sufficient importance to merit management’s attention.

- Conducting our audit in accordance with professional standards.

- Complying with the rules and regulations of the Code of Professional Conduct of the AICPA, and the ethical standards of relevant CPA societies and relevant state boards of accountancy.

- Planning and performing our audit with an attitude of professional skepticism.

- Communicating all required information, including significant matters, to management and the Audit Committee.
Other information in documents containing audited financial statements

- The auditors’ report on the financial statements does not extend to other information in documents containing audited financial statements, excluding required supplementary information.

- We are required to read the other information to identify material inconsistencies or misstatement of facts, if any, with the audited financial statements and make appropriate arrangements with management or the Audit Committee to obtain the other information prior to the date of the auditors' report.

- Any material inconsistencies or misstatement of facts that are not resolved prior to the report release date, and that require revision of the other information, may result in the auditor modifying or withholding the auditors' report or withdrawing from the engagement.
Appendix 3
KPMG’s Audit Committee Institute
Upcoming Events

- 3rd Annual Audit Committee Issues Conference
  - Anchorage – May 3, 2012
  This conference brings together Audit Committee members from various Alaska Native Corporations to discuss challenges, practices, and priorities shaping Audit Committees and Board agendas. Also included in the agenda will be KPMG’s national partner for government contracting and a transactions services partner. They will be discussing the risks audit committees and board should consider.

- Audit Committee Quarterly Webcast Series – 2012
  - Dates TBA (11:00am-12:15pm EST)
  A quarterly webcast providing updates and insights into issues affecting Audit Committee/Board oversight – from key accounting and regulatory changes to developments in risk oversight.

Recent Publications

- ACI’s Ten To-Do’s for Audit Committees in 2012 – released December 2011

Resources

- ACI Website: [www.auditcommitteeinstitute.com](http://www.auditcommitteeinstitute.com)
- ACI mailbox: auditcommittee@kpmg.com
- ACI hotline: 1-877-KPMG-ACI
ANNUAL AUDIT PLAN
Fiscal Year 2013

May 2012

Statewide Office of Internal Audit
University of Alaska
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VI. **RISK ASSESSMENT RESULTS** .........................................7

VII. **AUDIT UNIVERSE** .......................................................10
I. INTRODUCTION

The Audit Plan is developed based on risks faced by the University of Alaska. This includes risks that are known by the internal audit department and risks that are communicated by stakeholders via risk assessments and in response to our annual planning questionnaire. Risks that are not able to be addressed due to audit department resources must be communicated to senior management and the Board of Regents Audit Committee. Planned audits that are not able to be conducted during the current year are communicated to the Audit Committee and reevaluated for inclusion in the next year’s annual audit plan. This is important since factors that lead to risks are in a constant state of change. For example, a risk that existed during the audit plan development for FY12 may not be relevant during audit plan development for FY13 due to revision of policies and procedures or implementation of other internal controls during FY12.

The 2013 Audit Plan presents coverage of the three main campuses as well as system-wide functions. The objective of the plan is to provide the most comprehensive scope of audit coverage to the university using a risk-based approach and within the constraints of available audit resources.

While recognizing that Internal Audit’s primary responsibility is the conduct of a program of audits of university business activities, the plan also recognizes the importance of Internal Audit’s role in the following areas:

- Education and training of the workforce in concepts of internal control.
- Assisting management in their efforts toward improvement of operating systems and procedures.
- Providing coordination and support to various external audit agencies.
- Conducting investigations of financial or other irregularities.

The 2013 Audit Plan continues our approach to expand audit coverage into various departments of the university outside of the traditional “business offices” as well as increased effort in information systems auditing. Additionally, this audit plan includes allocation of effort toward evaluating internal controls, compliance with policy, regulations and external requirements, and conducting reviews of restricted funds, such as grant and contract management.

II. PLAN OVERVIEW

The plan is based on four full-time equivalent (FTE) auditors and one student intern for the year representing 8,320 available hours. The FTE estimate assumes full staffing levels within the department. We are currently recruiting to fill one vacant auditor position. The audit plan takes into consideration the professional training that is required for staff to enhance existing skills and prepare for new areas of auditing, as well as required university training.

The following table represents the planned use of those hours:

<table>
<thead>
<tr>
<th>Hours</th>
<th>%</th>
<th>Per FTE</th>
</tr>
</thead>
<tbody>
<tr>
<td>Direct Audit Hours</td>
<td>6,372</td>
<td>76.59%</td>
</tr>
<tr>
<td>Leave Time</td>
<td>1,264</td>
<td>15.19%</td>
</tr>
<tr>
<td>Administration &amp; Other</td>
<td>364</td>
<td>4.38%</td>
</tr>
</tbody>
</table>
Professional Development  320  3.85%  80  
Total  8,320  100.00%  2,080

**Leave Time** represents 12 holidays, 4 weeks of annual leave, and 1.25 weeks of sick leave as provided for by personnel policies of the university. (Sick leave actually accrues three weeks per year but average usage is just over one week.)

**Administration and Other** includes primarily the time of the director in the overall administration of the department although the director devotes substantial time to direct audit activities. This caption also includes time incurred in support of university-wide matters.

**Professional Development** time is planned to meet or exceed the annual continuing professional education requirements of the various professional organizations of which internal auditors are members and that are required by the Institute of Internal Auditor (IIA) standards. This caption also includes time for enhanced training on the SCT Banner systems, data analysis tools, and required safety training.

### III. ALLOCATION OF DIRECT AUDIT RESOURCES

Direct audit effort is planned to be used as follows:

<table>
<thead>
<tr>
<th></th>
<th>Hours</th>
<th>%</th>
<th>Per FTE</th>
</tr>
</thead>
<tbody>
<tr>
<td>Planned Audits</td>
<td>4,138</td>
<td>65%</td>
<td>1,034.50</td>
</tr>
<tr>
<td>Special Requests</td>
<td>350</td>
<td>5%</td>
<td>87.50</td>
</tr>
<tr>
<td>Audit Subtotal</td>
<td>4,488</td>
<td>70%</td>
<td>1,122.00</td>
</tr>
<tr>
<td>Investigations</td>
<td>350</td>
<td>5%</td>
<td>87.50</td>
</tr>
<tr>
<td>External Audit</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Coordination &amp; Support</td>
<td>441</td>
<td>7%</td>
<td>110.25</td>
</tr>
<tr>
<td>Support Activities</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Technology</td>
<td>160</td>
<td>3%</td>
<td>40.00</td>
</tr>
<tr>
<td>Audit Planning</td>
<td>133</td>
<td>2%</td>
<td>33.25</td>
</tr>
<tr>
<td>PM and QAR Activities</td>
<td>620</td>
<td>10%</td>
<td>155.00</td>
</tr>
<tr>
<td>Other</td>
<td>180</td>
<td>3%</td>
<td>45.00</td>
</tr>
<tr>
<td>Support Subtotal</td>
<td>1,093</td>
<td>17%</td>
<td>273.25</td>
</tr>
<tr>
<td>Total</td>
<td>6,372</td>
<td>100.00%</td>
<td>1,593.00</td>
</tr>
</tbody>
</table>

**Planned Audits (65%)** Approximately 4,138 hours of the total available audit hours are planned to be expended in accordance with the approved audit schedule.

**Special Requests (5%)** An additional 350 hours are estimated to be expended in conducting audits in response to special requests that arise during the year. Special requests are evaluated in
relation to planned audits to establish the priority of projects. Not all special requests can be met. However, the underlying cause of the request often represents information that would have caused the area to be given a higher risk consideration had such information been available during the annual planning process. In those circumstances, re-prioritizing the schedule of planned audits is both reasonable and appropriate. This category also includes consultations that are lesser in scope than full audits and do not always result in the issuance of formal audit reports.

**Investigations (5%)** This is the most difficult category to predict and the one that most frequently causes disruption to the program of planned audits. It is estimated on the basis of historical experience and known open investigations at the time the plan is established. Investigations are usually conducted at the request of legal counsel and executive management and typically involve assisting in fraud and theft assessment and in administration of the procedures for reporting allegations of improper activities.

**External Audit Coordination and Support (7%)** Internal Audit is designated as the focal point for coordination of work by any third party audit agency, including regulatory bodies as well as the Board of Regents’ external audit firm. Internal Audit is contractually committed to provide a minimum of 320 hours of assistance to the external audit firm annually. Internal Audit works with the external auditing firm as well as other audit agencies as requested to facilitate their efforts.

**Support Activities (17%)** This category includes a variety of matters to which Internal Audit resources are allocated to fulfill our additional roles and support our own processes and initiatives including:

- **Technology (3%)** - Representing time incurred in the development and maintenance of electronic audit capabilities ranging from the use of local area networks to data extraction and analysis capabilities and the development of computer assisted audit techniques. This also includes the time spent monitoring the tests established for continuous controls auditing.

- **Audit Planning (2%)** - Representing the time spent in the design and modification of the audit planning tools and assisting with risk assessments. This also facilitates the preparation of annual audit plans.

- **Project Management and Quality Assurance Review (10%)** - Representing our continued efforts to improve the audit function of the university by conforming to the IIA standards for the conduct of audits, investigations, and consultations.

- **Other (3%)** - Representing such matters as reporting to the Audit Committee and administrative support to audit projects.
IV. FISCAL YEAR 2013 PROPOSED AUDIT SCHEDULE

External Audit Support

(Budgeted 441 hours; 7% of Planned Direct Audit Hours)

Year-end cutoff
Inventory observation
Cash disbursements & bank transfers
Cash depositaries

Auxiliary fund analysis
Unexpended plant fund additions
Search for unrecorded liabilities

University of Alaska Anchorage and University of Alaska Fairbanks
NCAA Agreed Upon Procedures (financial audit required every three years)

Special Requests and Investigations:

(Budgeted 700 hours; 10% of Planned Direct Audit Hours)

Special Requests*

Investigations*

Audits and Projects:

(Budgeted 4,138 hours; 65% of Planned Direct Audit Hours)

University of Alaska Anchorage:
Restricted Funds Compliance*
Departmental Cash Receipts**
Department Review** - Mat-Su College

Information Systems Reviews:
Banner Access Controls**
OnBase Access Controls
Data Integrity
IT Governance

University of Alaska Fairbanks:
Restricted Funds Compliance*
Departmental Cash Receipts**
Department Review**

Ongoing Audits:
Follow-up Auditing
Continuous Controls Auditing

University of Alaska Southeast:
Title III and Title IV Compliance
Sitka Campus

*Specific departments/areas to be determined later

Statewide:
Restricted Funds Compliance

**Carried forward from FY12

Function and System Reviews:
Fixed Cost Contracts Analysis**
Fraud and Ethics Incident Management
V. RISK ASSESSMENT AND PLAN DEVELOPMENT

The Audit Plan is developed each year based on results from the audit universe risk assessment. The risk assessment takes into consideration the following internal and external factors.

Internal: Institutional Factors

a. Risks and concerns communicated by management in response to the annual stakeholder survey.
b. Risk assessment results from the the Statewide Office of Risk Services Annual Risk Register. This report is communicated to the Board of Regents in September, so the stakeholder survey includes questions that permit the updating of the risks reported in the Risk Register.
c. Internal concerns communicated by management and staff throughout the year.

Internal: Audit Department Factors

d. Risks that were discovered while conducting audits but not included in the review because they were outside the audit scope.
e. Audits that were planned for the current year but will not be completed due to time or staffing.
f. Functions and processes of which the university benefits from routine review, such as cash receipts and procurement card usage.
g. The last date the unit, function or process was audited.
h. Auditor knowledge of risks based on maintaining relationships with professional organizations and peers and attending audit topic seminars.
i. Current trends that have an expected impact on higher education organizations (i.e.: opportunities for cost reduction/saving, areas of concern with recent Office of Inspector General audits at other higher education institutions, information from NACUBO, ACUA, AIPCA, IIA, ISACA and other professional organizations).

External factors -

j. Concerns communicated by annual financial auditors, federal agency auditors, and legislative auditors during the course of external audit activities.
k. Functions and processes that are required to be audited per the Institute of Internal Auditors International Professional Practices Framework standards, for example:

Standard 2110.A2 - The internal audit activity must assess whether the information technology governance of the organization supports the organization's strategies and objectives.
VI. RISK ASSESSMENT RESULTS

The chart below displays the results of the risk assessment, taking into consideration the internal audit staffing and experience. It also demonstrates the disposition of audits that were on the FY12 Audit Plan but not completed.

Yellow Highlighted Rows = Audit topics that were considered for FY13 because of the reasons shown by the column headers, but omitted due to one or more: inclusion in a planned external audit, internal audit staffing level, skill set or experience.

<table>
<thead>
<tr>
<th>Planned Audits</th>
<th>Should be Audited Routinely</th>
<th>May Result in Savings (efficiency, cost)</th>
<th>Based on Last Date Audited</th>
<th>Originally Planned for FY12</th>
<th>IA = Internal Audit Concerns; EA = External Auditor Concerns; MC = Management Concerns from FY12; Audit Standard#</th>
<th>Based on Management Concerns from FY13 Planning Questionnaire</th>
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### Planned Audits

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Note: x indicates a consideration for audit.
### VII. AUDIT UNIVERSE including year of last audit

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<th>Statewide Administration</th>
<th>Last Audited</th>
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<td>Controller</td>
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<td>Financial Systems</td>
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Statewide Administration

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## University of Alaska Southeast

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## Information Systems Audits

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### Information Systems Audits

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### Functions and Systems

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Internal Audit Status Report
As of May 11, 2012

FY2012 Annual Audit Plan
Italic Items - have been completed or are in progress

External Financial Audit Support:

- Year-end cutoff
- Inventory observation
- Cash disbursements & bank transfers
- Cash depositories
- Auxiliary fund analysis
- Unexpended plant fund additions
- Search for Unrecorded Liabilities

Audits and Projects:

University of Alaska Anchorage:
- Department Review*
- Restricted Funds
- Athletics**
- Representational Expenditures*
- Student Fees

University of Alaska Fairbanks:
- Department Review*
- Restricted Funds**
- Athletics
- Procurement**
- Student Fees

University of Alaska Southeast:
- Department Review – 2*
- Restricted Funds
- Restricted Funds (FY11)

Statewide:
- Facilities
- Procurement**
- Follow-up Audit** - next in queue

*Specific departments/areas to be determined later
**Carried forward from FY11
1. **FY2012 Audit Plan Progress**
   
a. At the February meeting we communicated a list of audits that are not expected to be conducted. These have been evaluated for inclusion on the FY13 audit plan.

   i. Included on the FY13 plan:
      1. UAA Restricted Funds – included on FY13 plan
      2. UAA Department Review
      3. UAF Department Review
      4. Contracts
      5. Banner Access
      6. Statewide Follow-up – will be included in FY13 audit follow-up activities

   ii. Removed from the audit plan:
      1. UAA Student Fees
      2. UAA Representational Expenditures
      3. UAF Procurement
      4. UAF Student Fees
      5. UAF Athletics
      6. Statewide Facilities
      7. Statewide Procurement

b. We had three occurrences of requests for assistance by the Office of General Counsel and Statewide Labor Relations immediately following February Board of Regents meeting. Two resulted in an investigation and the third is scheduled for review.

2. **Audit Department Staffing**
   
a. Currently we have two full-time auditors, one student intern and the director. Recruitment for a vacant auditor position is in progress at this time.

3. **Audit Reports:**
   
a. UAA Facilities – final report issued

   b. UAS School of Education Restricted Funds – final report issued
4. **Other Department Activities**

   a. **Quality Assessment Review (QAR) Remediation** - Recommendations from the report are being implemented at this time.

   b. **Effort Reporting Work Group**

   c. **Participation on the Payment Card Industry Data Security Standards (PCI DSS) Compliance Committee**

   d. **External Audit Request for Proposal (early FY13)**

   e. **Continuous Controls Monitoring** – This is an ongoing project that involves analytical tests which run automatically on a prescheduled basis. An auditor has been assigned to the follow-up of results from tests, refinement of tests, and development of new tests.

      - Potential Duplicate Payments by Accounts Payable
      - Potential Scheduled Payments (unauthorized)
      - Representational expenditures with inappropriate funding sources
      - Gifts Exceeding $25 Threshold
      - Potential Duplicate Payroll Checks
      - Terminated Employees on the Payroll
      - Phantom Employees
      - Excessive Overtime
      - Potentially Prohibited Credit Card Transactions
      - Potentially Miscoded Credit Card Transactions
      - Transactions Associated with Excluded Merchant Types
      - Purchases that Exceed a Credit Card Holder’s Single Purchase Limit
      - Credit Card Holders with High Dollar Volumes of Purchase Activity
      - Credit Card Transactions on Holidays
External Audit Status Report
As of May 11, 2012

State Legislative Audit Activities

Final Reports Issued:

**Potato Disease Control Program**

- The final report, including the university’s response, was released by the state on April 25, 2012.
- There were no findings or recommendations.
- Audit scope and objectives – see attached memo that describes the questions initiating the audit, and that became the scope and objectives for the legislative auditors throughout the audit.

- Report conclusions:
  - The seed potato project has resulted in minimal monetary returns to the State and private enterprises.
  - A total of $3.4 million have been spent on the seed potato project from FY05 through December 2011.
  - A total of $5.5 million in state and federal funds have been appropriated for the seed potato project.
  - Export certification funding provides a subsidy to farmers that is not expected to change over the long-term.
  - Neutral conclusions:
    - UA charges an indirect rate for overhead costs associated with RSAs and grants.
    - The Plant Pathology and Biotechnology Laboratory is the primary UA facility used for the seed project.

Work in Progress:

None

External Audit Reports & Activities

Work in Progress:

1. PERS/TRS 2010 Payroll and Personnel Systems (State Dept of Administration)
   - Draft report has been received by the university and a response is under development.
2. Sikuliaq Research Vessel (National Science Foundation OIG)
   - Entrance meeting held on April 25, 2012 with NSF
     - Two reports will be issued:
       - Report on project expenditures, overall project management, and review of contingency dollars - final report expected January 2013
Representative Mike Chenault
Speaker of the House
District 34
February 9, 2011

Representative Mike Hawker, Chair
Legislative Budget and Audit Committee
Room 502, State Capitol
Juneau, AK 99801

Dear Chair Hawker and Member of Legislative Budget and Audit:

This year more funding is being requested for the Virus Free Seed Potato project. State funding for this project started in approximately 1994 with various requests and appropriations moving from Department to Department to continue the project. To date, no obvious return to Alaska has been demonstrated by this project.

I respectfully request an audit of this project which would include answers to the following questions.

1. Provide a schedule of all funding provided by the State of Alaska for the virus free seed potato project specifically or as part of another appropriation. The schedule should identify the amount, the agency receiving the appropriation and the source of funds.
2. Identify if any funding in the Northern Plants Materials Center, the Ag Development Allocation, the Agricultural Revolving Loan Fund and the University Mat-Su Experimental Farm relates to the virus free seed potato project.
3. Identify if expenditures for this program over the last seven years were reasonable and necessary.
4. Identify if resources (i.e. facilities) of the University of Alaska were provided for this project—what and how much.
5. If other funding (grants, etc.) was obtained for this project and University of Alaska facilities were used, was there return to the University through an indirect charge or other mechanism at the approved indirect cost allocation rate.
6. Has there been any return (monetary or otherwise) to the State of Alaska from this project? Has there been any return (monetary or otherwise) to private entities benefiting from this project?
7. What is the intended outcome of this project for the State? Will there be any monetary outcome realized by State government for assisting this project or is this funding a subsidy to farmers who may wish to grow seed potatoes?
8. Are the appropriations for this project being used for essential state services? Is there a longer term cost/benefit of continued state involvement in the business of virus free seed potatoes?
9. Identify any areas that come to light during the course of the audit that would be of interest to the Legislature.

Sincerely yours,

Representative Mike Chenault
Speaker of the House
Q&A / Information Requests

1. PITAAS Data.
2. Tuition Charts.
3. UA Crisis Communication Framework.
Question: How has UAS’s Preparing Indigenous Teachers for Alaska Schools (PITAAS) program impacted teacher education outcomes?

Answer: A total of 49 people who received support from the PITAAS program graduated between FY02 and FY11. The total number of people who received support and did not graduate is not available at this time.

As of today, just over half of graduates (26 people) have completed initial teacher preparation programs, e.g. BA Elementary Education, MAT Elementary Education, MAT Secondary Education, and BA Early Childhood Education. Of these, 18 are classroom teachers and one is a school administrator. Another seven are not teaching, of whom two are known to be working in a different occupation.

Another 12 graduates completed masters programs for current certificated teachers. Of these, 11 are working as teachers or administrators in schools, and one is teaching at UAS.

Ten graduates completed a bachelor’s degree not specific to teaching, and one completed an AA degree in early childhood education. Two of the baccalaureate graduates are progressing toward a Master of Arts in Teaching.

### UA Outcomes for Participants in Preparing Indigenous Teachers for Alaska Schools (PITAAS)

- **Teacher Prep:** 26 (53.1%)
  - Teachers and Administrators: 11 (22.4%)
  - Masters: 12 (24.5%)
  - Non-Teaching Bachelors: 10 (20.4%)
  - AA: Early Childhood Education: 1 (2.0%)
  - Now in MA Teaching Program: 2 (4.1%)
  - Not Teaching: 8 (16.3%)

- **Not Teaching:** 7 (14.3%)
  - Administrator: 1 (2.0%)
  - Teacher: 18 (36.7%)
  - Teaching at UAS: 1 (2.0%)
Proportion of UA Graduates Having Loan Debt by Degree Level and Average Debt for Those With Loans
FY99 - FY11

US Avg, Public, 60% have debt

UA, 4-Year Degree, 49% have debt

UA, All Degree Levels, 38% have debt

UA, 2-Year Degree, 30% have debt

UA, Graduate Degree, 25% have debt

US Avg Loan Debt for FY10 Graduates w/Loans, $25,597

UA, FY10, $25,597

UA Avg Loan Debt for FY99 Graduates w/Loans, $9,490

US Avg, $10,000
Real-Time Emergency Management Information Sharing
Efficient; via mobile devices; enable IMT personnel to share critical information to decrease response times.

Multimedia Communications
Utilize communication capabilities

Real-Time Reporting and Tracking of Critical Resources
Improve communication to the field while increasing safety and accountability.

Unified Communications Solutions – Plan, Prepare, Recover
Facilitate and enhance critical inter/intra agency collaboration during disaster response, training continuity of operations (COOP) and preparedness exercises, while reducing travel, downtime and resource and logistical challenges.

Continuity of Operations (COOP)
Communication framework provides a range of reliable remote access methods; gives IMT the ability for virtual EOC operations to provide essential services for PAR.
University of Alaska (System)

Actions:
SW EM used exercise to leverage training resources to deliver campus community with IMT Framework for regional response and recovery collaboration. IMT at all three MAU’s participated as well as Kodiak, PWSCC, Bethel, and Ketchikan

- **Incident Management Team**
  - Identified and filled Command/General Staff positions for System IMT
  - Development of Campus IMT methodology (FEMA All-Hazards Type-3 Team)
    - Training (Field Mentoring)
  - Broker Authority Having Jurisdiction (AHJ) for State of Alaska-UA/EM will offer expertise and co-project management support-national trend is to use comprehensive exercise opportunity (planned event ICS-C/G Staff involvement) **State of AK standardization of Incident Management, C/G staff manpower pool**
  - Cultivated sheltering alliance with UAS Student Recreation Center occupants (Guard, UAS, Juneau, and Red Cross)
  - **Field Medical Station** (UAA) options (AK Public Health Preparedness Partnership)
    - Ability to care for injured PAR-alternate care sites/options

- **Communications:** Evaluate the ability to establish and maintain connectivity to support a continuous flow of critical information amongst PAR and multi-jurisdictional, command centers/agencies *(ref. UA Crisis Comm Framework)*
  - Evaluate the ability to provide and receive interoperable voice, data, and video communications
  - Alert Notification *(Blackboard Connect Implementation Strategy On-Going)*
  - Evaluate IT Network Capabilities

- **Emergency Public Information and Warning:** Activate plans, procedures, and policies for coordinating, managing, and disseminating public information and warnings.
  - Establish joint information center (JIC)
  - Activate emergency public information
  - Public information is disseminated according to Incident Action Plan
  - Assess Amateur Radio Capability

Outcomes:
SW IMT Framework needs the ability to provide Essential Service

- Need power generation (alternate) for Arctic Region Super Computer
  - UA System, Alaska Volcano Observatory, Earthquake Information Center, and KUAC (emergency Broadcast System) **IMPACT**

  - IT Support
  - Student Housing (temporary Shelter) (PAR)
  - Alternate Care Site (PAR)
    - Provide COOP training, standardized software, implementation strategy, evaluate

Strengths:
- MAU leadership willingness to participate
University of Alaska-Emergency Management (EM)  
Quarterly Readiness Committee Meeting Agenda  
June 14, 2012 (2pm Sherman Carter)

<table>
<thead>
<tr>
<th>UA</th>
<th>UAF</th>
<th>UAA</th>
<th>UAS</th>
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<tbody>
<tr>
<td>President Gamble</td>
<td>Chancellor Rogers</td>
<td>Chancellor Case</td>
<td>Chancellor Pugh</td>
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<tr>
<td>Rick Forkel-UA/EM Director</td>
<td>Randy Pomennville-EM Coordinator</td>
<td>Ron Swartz-EM Coordinator</td>
<td>Dan Garcia-Acting EM Coordinator</td>
</tr>
<tr>
<td>Julie Baecher-UA/Chief Risk Officer</td>
<td>Doug Schrage-Fire Chief</td>
<td>Rick Shell-Police Chief</td>
<td>Keith Gerken-Facilities Director</td>
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<tr>
<td>Russ Steiger-EHS Director</td>
<td>Pat Pitney-VCA</td>
<td>Bill Spindle-VCA</td>
<td>James Danielson-AVCA</td>
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<tr>
<td>Functional Area Advisory representation as needed</td>
<td>EM rep from each extended campus</td>
<td>EM rep from each extended campus</td>
<td>EM rep from each extended campus</td>
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</table>

Next Meeting Sept (date/time TBD)

Conference call in number will be used.

1-800-893-8850/PIN: 9465540

Extended Campus Representatives: TBD Agenda Items will be briefed and/or discussed with President Gamble prior to each meeting. President Gamble may Chair the meeting pending his availability. MAU Coordinators need to ensure Chancellors, VCAs, and other IMT members are briefed on relevant readiness items. Chancellors and VCA’s are always welcomed to participate in the meetings. Our goal is to have consistent representation from the three MAU’s and extended campuses to participate at least every other quarter. UA/IMT members are encouraged to attend. Agenda Items will be briefed and/or discussed from SW through MAU to included extended campus

**Agenda**

- Impact of April State Preparedness Conf (Forkel)
  - Largest attended conference in State of Alaska history since 2004; 233 attendees
  - UA/EM had representation from 13 of its 15 campuses
  - IMT, Campus Sheltering, and HEOA subject matter expertise delivered presentations
- FY13 UA Campus Preparedness Workshops (Forkel/Swartz)
  - Format and Function
  - Locations, funding, and Timeline
- Implementation of Alert-Notification Capability
  - Update on implementation strategy (Forkel/Mullins/Kowalski/MAU)
  - Ref. memo-8May
- Implementation of Continuity of Operations (COOP) practices (critical for identification and evaluation of UA essential-services during any disruption)
  - Alternate Power Source for ARSC/Butro (Forkel)
  - Kuali Ready Project (Forkel/Mullins)
  - COOP template for MAU with Student Housing (Swartz)
- Facility Services
- IT Network
- Research Priorities
  - MAU POC’s
- UAS EM position update (Forkel/Danielson)
  - Announced on AK Jobs 11May
- Forecast Alaska Shield 2014 (projected for March 2014) (Forkel/Swartz)
  - Earthquake
- EM UA Standards (Pres G/Forkel)
- Around the System...
As a result of the AS2012 Power Disruption FSE conducted in February 2012; this IP has been developed specifically for the University of Alaska Emergency Management Stakeholders. These recommendations draw on the After Action Report and the feedback received from participants.

<table>
<thead>
<tr>
<th>Core Capability</th>
<th>Recommendation</th>
<th>Responsible Stakeholder</th>
<th>Start Date</th>
<th>Completion Date</th>
</tr>
</thead>
</table>
| Communication IAW HEOA, NIMS, ICS | • Structured implementation of a System Alert-Notification System  
• Crisis Communication Plans: ICS 205/A (training, workshop, 205/A, exercise)  
• Notification Planning and Capability  
• Initial Response Protocols (ICS 201) | UA/EM                   | Apr 12      | Oct 12          |
|                           |                                                                                  | MAU/EM                  | Apr 12      | Apr 13          |
| IMT Training IAW FEMA Core Capability (TCL) | • Continue quarterly training sessions and use past AAR's for improvement  
  o Periodic training with local first responders  
  o Identify ICS command element members and design protocols (CCERT-CIMT-SWIMT) | UA/EM                   | Sustain     | Maintain        |
|                           |                                                                                  | MAU/EM                  |             |                 |
| COOP Essential Services   | • Promote COOP Culture  
• Implementation strategy for Kuali Ready  
• Alternate Power for ARSC and SW IMT  
• Develop Research Priority Lists | UA/EM                   | Apr 12      | Oct 13          |
|                           |                                                                                  | MAU/EM                  |             |                 |
| Pre-IAP and Response Policy Development BOR/UA Pres Office | • Develop Incident Action Plans for providing Essential Services  
  o Student Housing Campuses  
  o Research Facilities  
  o Enhance Temporary Sheltering capability  
  o Evaluate Alternate Medical Care and Field Medical Sites  
• System IMT Policy  
  o Response Authority  
  o Training/Exercise Requirements | MAU/EM - Housing Sites - Research | Apr 12      | Oct 13          |
|                           |                                                                                  | UA/EM                   | Apr 12      | Oct 13          |
Dear Board of Regents,

More than 400 staff attended UAA Development Day—geared toward personal and professional development and team building. Jim Clemmer, nationally recognized expert on growing and leading through change, provided timely advice in his keynote.

This summer, College of Business and Public Policy Dean Elisha “Bear” Baker IV will begin service as interim provost as we continue the national search for a new provost. We are in the final stages of hiring a new dean of the College of Arts and Sciences and searches are underway for College of Education, School of Engineering and College of Health.

UAA is one of 11 universities nationwide selected to participate in VetSuccess on Campus, which will help us better serve our growing military and veteran student population.

Our campus is changing with clearing and site development for the Seawolf Sports Arena and the Legislature’s appropriation of $58M to begin construction of a new engineering building.

Finally, through Board of Regent approval and President Gamble’s support, the Northwest Commission on Colleges and Universities expanded UAA’s accreditation to include doctoral programs. Our sole doctoral program, the UAA/UAF joint Ph.D. program in clinical-community psychology, also received accreditation from the Commission on Accreditation of the American Psychological Association. This year, for the first time, UAA, jointly with UAF, bestowed the doctoral degree to two students in the UAA/UAF joint Ph.D. program in clinical-community psychology. The University of Alaska now has two doctoral institutions.

Best Regards,

Tom Case, Chancellor

UAA celebrated the graduation of 2,172 students who earned 2,223 degrees or certificates in the Class of 2012. Honorary degree candidates included Tony Knowles, Barry Lopez, Al Parrish and Rosita Worl. Meritorious Service awardees included Dot Helm, Pam Miller, Mary Louise Rasmuson and George Skladal.

Biology student Michelle Shero has been awarded an NSF Graduate Fellowship, with a stipend rate of $30,000 per 12-month fellowship year, funded for a maximum of three years, plus tuition and fees. Michelle is UAA’s first recipient of this fellowship.

UAA Quarterly Review’s 30th Anniversary book launch highlighting “Liberty & Justice for All,” a photo mosaic featuring 68 of the world’s most acclaimed photojournalists. “Liberty & Justice for All” is receiving national attention and will be the subject of a major exhibit in New York City in May and June.

Seawolf debaters are now ranked 9th in the world. This is the first time they have been among the top 10 in the world.

More than 250 people attended Alaska Quarterly Review’s 30th Anniversary book launch highlighting “Liberty & Justice for All,” a photo mosaic featuring 68 of the world’s most acclaimed photojournalists. “Liberty & Justice for All” is receiving national attention and will be the subject of a major exhibit in New York City in May and June.
Faculty, staff and students take leading roles:
Erick Romig, mentored by Dr. Patricia Fagan, was selected for a U.S. Student Fulbright award to Spain. Alan Massey (B.A. Languages ’11) received a U.S. Student Fulbright award for 2012-2013 for a teaching assistantship in Germany. Arctic Engineering graduate student Ben Still received the URS Arctic Engineering Graduate Fellowship for the 2010–2011 and 2011–2012 academic years ($50,000 total award).
Susan Mircovich, Kenai River Campus assistant professor of chemistry, has had her CHEM 103 online course selected as an exemplary course for the 2012 Blackboard Exemplary Course Program. Mircovich is the first UA faculty member to have a course selected for this international recognition.
Dr. Lil Alessa, professor biological sciences and director of the Resilience and Adaptive Management Group, is invited by the U.S. National Academies to participate in a National Science Foundation (NSF) symposium examining federal agency investments, outcomes and opportunities for funding sustainability research.
Kenai Peninsula College’s (KPC) Anchorage Extension Site process technology team, led by Assistant Professor Rick Adams took first place in the NSF’s “Developing Students’ Troubleshooting Skills in Energy Programs” national competition. Students members of the team included Daniel Christianson, Alex Kight and Neil Richardson.
Dr. Anthony Paris, associate professor of engineering, won the Faculty Exemplar Award for his work mentoring undergraduate research students. One group he mentored developed a spinal rod bender for which a patent application was filed.

Grants and research in the public interest:
The Justice Center was awarded a contract by the Alaska Department of Corrections to design an evaluation strategy for Fairbanks’ domestic violence probationer pilot project. Kodiak College microbiology students worked with the Marine Advisory Program in a pilot study to develop a Community Monitoring Program for Paralytic Shellfish Poisoning in Kodiak.

Public square and collaborations:
350 people attended KPC’s Kachemak Bay Campus College, Career and Job Fair in Homer.
UAA and Verizon partnered for the showing of “Telling Amy’s Story” for Domestic Violence Awareness Month.
Senator Mark Begich met with students at USUAA’s “Sundaes with the Senator.”
Kenai River Campus and neighboring Alaska Christian College co-hosted the 4th annual regional Alaska Native Oratory Society. The two colleges have collaborated in many ways for the last 10 years.
KPC’s Anchorage Extension Site-based Occupational Safety & Health and Process Technology programs hosted their first Professional and Internship Event Day at the University Center.

Program successes:
UAA’s associate and baccalaureate construction management programs received initial accreditation from the American Council for Construction Education. UAA Human Services Department and Job Corps have established an agreement allowing students enrolled in the Job Corps Human Service Career Path Program to concurrently earn selected human service credits.

Development:
Northrim Bank contributed $50,000 to UAA’s Small Business Development Center and $125,000 to ISER.
The Atwood Foundation made a $200,000 pledge payment to the Robert B. Atwood Chair of Journalism.
Alaska Kidney Foundation Inc. gave a gift of $30,303 to support the Alaska Kidney Foundation Scholarship.
ConocoPhillips Alaska Inc. made a $2.2M pledge payment in support of the ConocoPhillips Arctic Science and Engineering Endowment Fund.
International Foundation for Research in Experimental Economy contributed two gifts totaling $26,595 to CBPP Experimental Economics Laboratory General Support.

University Relations awards:
2012 Hermes Creative Awards (Association of Marketing and Communication Professionals):
• Platinum: I AM UAA Campaign (Integrated Marketing Campaign)
• Gold: UAA Website Redesign (Website Overall/Educational Institution)
• Honorable Mention: Simulation in Action at UAA Video (Video/Public Relations)
Mat-Su College is the recipient of the 27th Annual Merit Educational Advertising Award, the largest educational advertising awards competition in the country, for its “Spring Registration” newspaper ad.
In Progress

The Arctic Region Supercomputing Center will soon be home to Fish, a new Cray XK6 supercomputer named for Alaska's fisheries and ocean and water resources. Fish will be a valuable tool for researchers working to understand and predict changes in arctic systems, including weather and climate, oceans and ice, permafrost and other materials.

The School of Natural Resources and Agricultural Sciences and the Cooperative Extension Service, along with the Mat-Su Valley Arts Alliance, are seeking artists to participate in the OneTree project. The project began in April with the harvesting and drying of a single birch tree. Wood from the tree will be distributed to local artists, who will use the wood to create objects from furniture to art.

A new $1.8 million National Science Foundation grant will help the Geophysical Institute expand a program that encourages Alaska Native middle school students to pursue science and technology careers. The grant will fund the PREPARES project, short for Preparing Responsive Educators Using Place-based Authentic Research in Earth Systems.

Work is in full swing with the build-out of the interior spaces of the new Life Sciences Facility. Interior rough-in, framing and preparation for drywall is on schedule, and the pedestrian link between Irving II and Life Sciences is installed. Overall the project remains on schedule for a spring 2013 completion.

What's Next

The R/V Sikulâq, under construction in Marinette, Wis., is scheduled for launch Oct. 13. After its launch the Sikulâq will undergo a series of trials, then it will be transported through the Great Lakes-St. Lawrence Seaway transit system, south to the Panama Canal and then north to Alaska. The ship will be ready for unrestricted science operations from its base in Seward in 2014.
UAF's Society of Automotive Engineers team took top honors in the zero emissions category of the 2012 SAE Clean Snowmobile Challenge held at Michigan Technical University in Houghton, Mich. This electric model was modified by Adjunct Professor Mike Golub, back left, and engineering students Isaac Thompson, back right, Karlin Swearngin, front right, and Ben Neubauer, front left.

Photos, clockwise from left
Sooyun Chi works with children in the Bunnell House on campus to complete her internship in early childhood education.
Associate Professor Mat Wooller, left, and PhD candidate Jim Shobe test a new vibra-coring system through a hole in lake ice to sample long cores of sediment deep below the lake's bottom.
UAF students Ian Wilkinson and Raphaela Sieber enjoy a morning loop around the Fairbanks campus ski trails.
Art major Joel Isaak fills a mold in the UAF Fine Arts Complex with molten bronze as part of the process of creating a life-size sculpture for his senior thesis.
Commencement 2012

UAS honored graduates from Summer and Fall 2011 and Spring 2012 at commencement ceremonies in Ketchikan, Sitka and Juneau May 4-6, 2012. A total of 620 candidates received Masters, Bachelors and Associates degrees as well as certificates and occupational endorsements from the Juneau, Ketchikan and Sitka UAS campuses. Five-hundred-twenty-nine degrees, certificates and endorsement went to Juneau graduates. Twenty-four states are represented in this year’s group of graduates, 87 percent are from Alaska.

UAS Faculty Organizes Bioblitz

Education faculty Chip McMillan and math faculty Megan Buzby, helped Auke Bay Elementary school students identify flora such as small plants in the rainforest understory during a BioBlitz for fourth-graders on Friday, May 4, 2012. McMillan was a key organizer of the event, a collaboration the Alaska Department of Fish & Game, the U.S. Forest Service, the University of Alaska Southeast, NOAA, the Juneau School District and the Alaska Coastal Rainforest Center. “Our goals included raising our Juneau kids’ awareness of our local flora and fauna; help them understand the concept of biodiversity, appreciate our local environment, and generally just get them outside observing nature,” said McMillan. A BioBlitz is a short term (24 hours or less) survey of all species found in a given area.

Egan Library Holds Poetry Contest

UAS English major Kate Laster won the Free Verse category in a contest held by the Egan Library in honor of April’s National Poetry month.

Rainforest Symposium is a Success

The Alaska Coastal Rainforest Center brought together scientists from throughout the United States and Canada at a symposium to synthesize best practices, foster collaboration for future projects, and improve community engagement in science and resource management.

Coastal Temperate Rainforests: Integrating Science, Resource Management, and Communities took place April 17-19 in Juneau. The three day event included impressive keynote speakers such as Dr. Peter Kareiva, Chief Scientist and Director of Science, The Nature Conservancy; Dr. Kirk R. Johnson, Member of the Committee on the Importance of Deep-Time Geologic Records for Understanding Climate Change Impacts and Dr. Dolores Garza, Professor Emerita of the University of Alaska, presenting on Traditional Ecological Knowledge.

There were more than 35 speakers, academics at leading universities, researchers and directors from state and federal agencies, resource managers, policymakers, traditional knowledge bearers, and educators. The presentations and discussions linked with projects in ecosystem management, land planning, forest management, recreation and wilderness resources, fisheries management, trans-boundary data integration and policy decision making, conservation, climate change, and education.

Symposium sponsors were the University of Alaska Southeast, U.S. Forest Service Alaska Region, Tongass National Forest, Pacific Northwest Research Station, U.S. Fish and Wildlife Service Alaska.
UAS Outdoor Studies Completes Icefield Trek

by Abbie Lowell, Juneau Empire

For University of Alaska Southeast student Bradford Chadsey, the outdoors is the ultimate classroom.

After completing a human-powered trek across the Juneau Icefield last week, he said there are few words that act as proper descriptors for the expedition. Instead, he settled on one simple conclusion. “For me,” he said. “It was a life-changing experience.”

Chadsey said it was on the second day that he realized the scope of what faced the group: besides the climb up Exploration, there were still approximately 30 miles left to travel back to civilization.

On April 14, the group began the trek toward Juneau. “I’m particularly proud of this trek,” Wagner said. “It was an accomplishment. People are not dropped off on the icefield to ski home all that often.”

Wagner said for the students, this trip was a culmination of all the different climbing skills that he teaches, starting in the fall with rock climbing, then backcountry navigation and travel, and then, in the spring, ice climbing and glacier rescue.

“This (mountaineering course) represents the weaving of a bunch of different skill sets, from navigation to glacier travel to technical climbing, along with the hardiness factor and the ability to endure multiple days,” Wagner said.

While this wasn’t Wagner’s first trip across the icefield, he said one day in particular stands out above the rest.

“It was our longest travel day, about 10 miles, and it was just gorgeous,” he said.

On this day, like so many over the course of the week, the group enjoyed great weather. They also relished in easy travel and breathtaking scenery as they moved past the hulking Mendenhall Towers.

“It’s nice to watch these students really see these mountains up close,” he said. “The scale is recognized as being significant and on the backside of the Mendenhall Towers, there are walls the size of El Cap.”

“El Cap,” officially known as El Capitan, is a vertical, granite rock formation in Yosemite National Park, located on the north side of Yosemite Valley, near its western end.

Becker said she remembers that particularly “awesome” experience well.

“These are mountains I see every day from campus or from the road, but to be up close to them and ski next to them was amazing,” she said.

Becker, who acted as a teaching assistant on the trip, said it was a treat to experience the icefield first-hand and at a human-powered pace.

“I study the icefield on a scientific level and I hear of tourists touring the area,” she said.

But for Becker, it was rewarding to experience the icefield on such a personal and intimate level.

In the past, Wagner said the mountaineering groups have done various “mountain objectives” around town. From the end of the road to ski traverses on Douglas, and even climbs via Blackerby Ridge. But he said he thinks the premier destination for teaching mountaineering in the Juneau area is the icefield.

Because, he said, “you’re more likely to get high mountain conditions; it’s drier, it’s colder and it’s just, kind of, better.”

“Plus, I think it’s empowering for someone to go on the icefield, get out there and climb a legitimate mountain, ski home and put all these skills together,” Wagner said.

With more than 70 pounds of gear on their backs and after skiing across and up the Taku Glacier, then descending the South Branch of the Mendenhall Glacier, the group walked out on the West Glacier Trail on Tuesday, April 17.

Besides Wagner, Becker, Haskin and Chadsey, the participants included Chelsea Bomba, Miles Gayton, Kaytlin Roberson, Tom Schwartz, Julia Stouber, Nicole Tarsay and Michaela Twarog.
Coalition of Student Leaders
Nicholas S. Pennington, Speaker

This has been a very exciting year for the Coalition. As the student governance group, we advocated the importance of the advising component in the Board of Regents’ budget request to the legislature, Governor and Lieutenant Governor. We also pushed for needs-based financial aid. We are more than pleased with the outcome! The Coalition is very excited to see the relationship grow between the governance groups, the President, and the Board of Regents.

Our input this year on the Strategic Direction Initiative portrays that we are one university working together for the benefit of Alaska’s future. The Coalition is very grateful for the opportunity to work with President Gamble and Saichi Oba on the tuition taskforce for FY13-14. This year, the University has been very supportive of student needs, and we are very pleased to see such understanding and unity within the university. We will be having our annual June Summit in Fairbanks, where the new Coalition Speaker will be chosen and we will set out our goals and objectives for the next year. The Coalition would like to thank the President, Board of Regents, and UA Administration for listening to student needs, and we look forward to the years to come!

Nicholas Shane Pennington served two terms as president of the Kodiak College Student Government Association. He received an Associate of Arts through the Kodiak College and is pursuing a degree in Business Management.

Staff Alliance
Juella Sparks, Chair

With the recent announcement of Vice President Dan Julius’ resignation I am reminded again of all the changes in our university system. I have said to you before that I believe with change comes opportunity; opportunities to improve and grow. If this time of change is more than simply the stamp of a new administration, and is a time of opportunity then I have a question for you.

What are we going to do with this opportunity?
President Gamble recently shared with me his “Practical Person’s Guide to Everyday Leadership.” I was struck by the 5 P’s model and “the idea that it all begins and ends with people.” I am again encouraging you to recognize staff as an asset and essential to successfully implementing not only change but a vision for our university’s future. The proposed code of conduct accelerated existing conversations all across the system about our current work environment.

Fundamental to our environment are things like integrity, respect, recognition and compensation. The existing compensation package and process is inherently a challenge and more a challenge every year. We have been blessed with flat or increased funding for a few years but we all have a wary eye on the future. I have been told by the administration that continuously giving increases is not sustainable in part because only half of the costs are funded by the legislature. And of course we all recognize that the cost of our health care benefit isn’t going down anytime soon. The recent decision by President Gamble to create a Health Care Task Force to “think outside the box” looking for solutions is much appreciated.

Let’s make the task force a first step toward real change and a sustainable, quality university. Let’s apply “outside the box” to the strategic directions initiative, compensation, benefits, and Regents’ Policy 04.01.

Juella was born and raised in Alaska and graduated from UAF with a B.B.A. in Management. After several years working for the state and starting a family, she came back to the university to work for Cooperative Extension Service in December, 2002. She was active in student government and moved quickly to being active in staff governance at UAF. Juella has served as Staff Alliance vice chair 2007-2009, chair of the System Governance Council 2008-2009 and president of the UAF Staff Council 2008-2009.

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**Faculty Alliance**

**Daniel B. Monteith, Chair**

Natural Science GER/Core Labs

Since the January meeting of the E Lab task force the faculty developed a draft of recommendations that have been forwarded to the Alliance. The draft document was discussed at the Alliance meeting January 27, 2012. Alliance members have submitted comments and edits. On February 16th the Alliance comments were forwarded to the Task force for final review. Alliance has reviewed and approved the E Lab Task Force Recommendations at the February 24th meeting.

Since then the Senates have reviewed the recommendations and are working on how to implement the taskforce recommendations within their respective MAU. Each MAU will have final comments
to the Alliance by their May 18th meeting. At the BOR meeting in June, Alliance will report on the progress of each MAU.

This process has provided a model for further faculty review of GERs and Core classes in other areas like the social sciences and humanities. Alliance will work with the President’s office to initiate task forces in the other areas. These efforts will work toward more transferability between MAUs and specific courses on the GER/Core level.

Board of Regents’ Policy and Regulations

Each Faculty Senate has assigned committees to review the policies and regulations. The purpose and intent of the review is fourfold: to delete sections that are redundant, to edit sections with minor changes, to flag sections with major required changes, and to maintain sections that do not need any edits or changes. Work is ongoing!

Listening Sessions and Transferability

Faculty Alliance members have been attending many of the listening sessions. We are waiting for the final results and summaries for the listening sessions from Paula Donson’s office. Three Alliance members who serve on the Statewide Academic Council will participate in the Strategic Direction Planning session on July 23, 2012, in Fairbanks.

Complete College America

The Faculty Alliance members are engaged in a dialogue with the President regarding how we can make the national programs better suit our demographics and student body. Alliance feels strongly that the University of Alaska student body is unique and that the students encounter some different challenges in completing college quicker. Alliance wants to meet the needs of our students. At the time of this report (May 7, 2012) each Senate has recommended that the University of Alaska does not participate in the Complete College America program. Alliance will discuss this matter at the May 18th meeting.

Daniel Monteith

Chair, Faculty Alliance

Dr. Dan Monteith is Assistant Professor of Anthropology and Chair of Social Sciences at the University of Alaska Southeast in Juneau. While in Chicago he worked at the Field Natural History Museum and Oriental Institute Museum. As a student his summers were spent working in the fishing industry in Bristol Bay. This experience led him to his current research, which is an anthropological study of the Bristol Bay fishery. He holds a B.A. and M.A. from the University of Chicago, and Ph.D. from Michigan State University. He served as Faculty Alliance member and UAS Faculty Senate president-elect 2010-2011 and is currently senate president as well as Faculty Alliance chair.
Acronyms commonly used in reporting Labor Relations activities:

<table>
<thead>
<tr>
<th>Acronym</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>UAFT</td>
<td>University of Alaska Federation of Teachers</td>
</tr>
<tr>
<td>CBA</td>
<td>Collective Bargaining Agreement</td>
</tr>
<tr>
<td>LMC</td>
<td>Labor-Management Committee</td>
</tr>
<tr>
<td>Local 6070</td>
<td>Alaska Higher Education Crafts and Trades Employees  – Local 6070</td>
</tr>
<tr>
<td>MAU</td>
<td>Major Academic Unit (UAA, UAF, UAS)</td>
</tr>
<tr>
<td>JHCC</td>
<td>Joint Health Care Committee</td>
</tr>
<tr>
<td>UNAC</td>
<td>United Academics</td>
</tr>
<tr>
<td>ALRA</td>
<td>Alaska Labor Relations Agency</td>
</tr>
<tr>
<td>ULP</td>
<td>Unfair Labor Practice Charge</td>
</tr>
</tbody>
</table>

LABOR - MANAGEMENT COMMITTEES/EVENTS

- The university, Local 6070 and campus representatives have been meeting on an as-needed basis to address issues of interest to the MAUs and identify processes to resolve any concerns.

- The Joint Health Care Committee (JHCC), comprised of union, management, and non-represented employees, meets monthly to discuss system-wide health care issues. Committee meeting was held on April 25, 2012.

- The university, UAFT and campus representatives convened the first Joint Labor Management Committee (LMC) for Market Salary Adjustments on January 11-12, 2012 in Anchorage. The Committee developed procedures for distribution of the FY13 UAFT Market Salary Increases.

- The university, UNAC and campus representatives convened the first Joint Labor Management Committee (LMC) for Market Increases on February 27-28, 2012. The Committee developed the guidelines and procedures for distribution of the FY13 UNAC Market Increases. A Memorandum of Agreement (MOA) outlining the FY13 market salary distribution process is being drafted.
UNIVERSITY OF ALASKA
LABOR and EMPLOYEE RELATIONS REPORT

GRIEVANCE and ARBITRATION HIGHLIGHTS

University of Alaska Federation of Teachers (UAFT)

- **UAF College of Rural and Community Development**: The union filed a Step 2 grievance alleging that the university violated Article 9.1 of the CBA by placing two new faculty members at an extended site into the United Academics bargaining unit rather than into the UAFT unit. The university responded to the union on November 11, 2009, recommending that the substance of the grievance be reviewed and determined by the ALRA as part of the unit clarification proceeding. The grievance is being held in abeyance pending the outcome of the ALRA proceeding.

- **UAA School of Nursing**: The union filed a Step 2 grievance alleging that the university violated Article 5.1.A of the CBA by unilaterally changing the assignment of several nursing faculty members from Bipartite Vocational to Bipartite Academic. The university provided its position statement to the union on December 15, 2010. The parties held a Step 2 meeting on May 06, 2011. The Chancellor denied the grievance on June 16, 2011. The union appealed the decision to Step 3. The university notified the union on September 15, 2011 and moved the grievance to arbitration. The parties met on October 25, 2011 to strike arbitrators. The arbitration was scheduled for May 08-09, 2012 in Anchorage. On May 05, 2012 the parties jointly requested indefinite postponement of the grievance. The parties notified the arbitrator that we had reached an agreement on the disposition of the grievance and are working on a memorandum of understanding to resolve the matter.

United Academics (UNAC)

- **UAF International Arctic Research Center**: The union filed a Step 2 grievance on January 6, 2012 alleging that the university violated just cause, due process, and disciplinary investigation, (Article 11.1 and Article 11.2) when it issued a notice of inquiry to a faculty member without notifying the union. The Step 2 grievance meeting was scheduled for January 31, 2012. The university provided a Step 2 response on February 15, 2012. The union met with their grievance committee, and subsequently called a meeting with their executive board to discuss the university’s Step 2 response. The union filed a Step 3 grievance with the Chancellor on March 08, 2012. The Chancellor’s resolution meeting occurred on March 28, 2012. The parties were unable to come to a resolution. The Chancellor provided his Step 3 response to the union on April 25, 2012. The union notified the University on May 09, 2012 they are considering advancing this grievance to the President at Step 4. However, the parties have agreed to hold a meeting with the UAF grievance committee, the union, and the university to attempt resolution and avoid advancing the grievance to Step 4.
**UAA College of Arts and Sciences:** The union filed a Step 1 grievance on February 17, 2012 alleging a violation of the evaluation process. The Step 1 hearing was held on March 09, 2012. The union has requested an extension as we work toward resolution.

**Local 6070**

**UAF Power Plant:** On September 20, 2011 the union filed a Step 2 class action grievance alleging all maintenance employees in the Power Plant should receive a .50 an hour premium pay. The grievance alleged the university violated Article 4.10A & Article 6.3. UAF HR requested six extensions, and did not resolve the grievance at Step 2. The grievance was advanced to Step 3 on January 04, 2012. The union made an extensive information request on January 06, 2012. A Step 3 resolution meeting was held on January 17, 2012. The parties were unable to reach a resolution. The university’s written response is due January 31, 2012. The university denied the grievance at Step 3 on January 31, 2012. The union requested arbitration on February 06, 2012. The parties met and struck for arbitrators on February 24, 2012. The arbitration is tentatively scheduled for the week of August 27, 2012.

**United Academic – Adjuncts**

- No grievances are pending.

**ISSUES BEFORE THE ALASKA LABOR RELATIONS AGENCY**

**Unit Clarification Petition:** On October 17, 2007, UAFT filed an unfair labor practice charge (ULP) with the Alaska Labor Relations Agency (ALRA) alleging that the university violated the CBA by its placement of new faculty with upper-division teaching assignments into the UNAC bargaining unit. In response, the university filed a unit clarification petition. On August 25, 2009, the ALRA accepted the university’s Petition for Unit Clarification and placed the unfair labor practice complaints in abeyance pending the determination of that petition. The ALRA hearing began on April 05, 2010 and lasted until April 22, 2010. Post hearing briefs and response briefs were filed and the issue is before the Agency for a decision. On October 04, 2011, the ALRA notified the parties that they wanted briefing on the appropriateness of one unit of non-adjunct faculty at the university. File briefs were submitted to ALRA on December 21, 2011. A decision is pending.

**ASEA Unfair Labor Practice:** On April 19, 2011 the Alaska State Employees Association (ASEA) filed an unfair labor practice charge (ULP) with the Alaska Labor Relations Agency (ALRA) alleging that the university violated the Public Employment Relations Act (PERA) by interference, coercion, and restraining exercise of employee organizing rights. On April 20, 2011 the ALRA stated it would conduct an investigation. The university sent its response to ASEA’s allegations on May 04, 2011. ASEA filed a
response to UA’s response on June 27, 2011. On November 09, 2011 ASEA filed a motion to amend the ULP. The amendment alleges defamation, refusal to provide a response to information in Excel format and alleges Staff Alliance as a company union. On December 09, 2011 ASEA filed a second motion to amend the ULP. The second motion alleges UA obstructed delivery of mail to UAF employees. The university responded to ASEA’s motions on January 27, 2012. ASEA then filed an additional reply to UA’s response on February 24, 2012. UA filed a reply to ASEA’s reply on March 07, 2012. On April 12, 2012 the ALRA provided their preliminary findings and a partial dismissal. ASEA had filed 33 allegations. ALRA found that six of the allegations have probable cause. Those allegations in which probable cause were found include: two allegations relating to an e-mail to employees and ASEA regarding a 24-hour notice requirement before conducting organizing activities and surveillance of union activities; maintaining a no contact list; advising employees that ASEA is failing to comply with the law; and two allegations relating to Staff Alliance as a company union.

EMPLOYEE RELATIONS HIGHLIGHTS

- **UAF Community and Technical College (formerly Tanana Valley Campus):** A non-exempt employee at Tanana Valley Campus was non-retained pursuant to Regents’ Policy and University Regulation. The employee grieved the issue and requested a hearing. After motion practice, the hearing officer issued a dispositive order on September 21, 2008, canceling the hearing and recommending that the UAF Chancellor uphold the non-retention decision. The employee filed suit in Superior Court challenging the university’s right to non-retain non-probationary employees. The judge issued a preliminary order adverse to the university. The university’s request for reconsideration was denied and the university subsequently filed a petition for review with the Alaska Supreme Court on November 12, 2010. The Court accepted the petition and consolidated this case with an Anchorage case raising similar issues but with a different result. Oral argument was held March 28, 2012; a decision is pending.

- **UAA Police Department:** An employee was terminated for cause and simultaneously issued a non-retention notice after writing himself parking tickets which he later destroyed to avoid paying parking fees. The employee filed a grievance, and a hearing was held in March. The hearing officer recommended upholding the termination and the chancellor agreed. The employee filed an administrative appeal on July 21, 2009. The judge reversed the cause termination but upheld the non-retention. The employee submitted a request for rehearing which was denied by the judge. The employee has appealed the matter to the Alaska Supreme Court, and the university cross appealed on the termination for cause. This case has been consolidated for hearing with the Fairbanks case discussed above. Oral argument was held March 28, 2012; a decision is pending.
UA performance historical trends, FY12 projections, and future year goals for each of the main system wide performance metrics are presented on the left below, in context of associated performance on key strategy metrics to the right. FY12 estimates are based on year-to-date activity (as of April 30, 2012) and derived using historical ratios, trends, and patterns. Initial findings include:

- Student Credit Hours are expected to exceed the target levels set by 1.6 percent, representing a 2.4 percent increase from FY11.
- The six-year graduation rate for baccalaureate degree-seeking first-time freshmen is estimated at 26.2 percent, a 2.5 percentage point below the target.
- UA received an estimated $22.3 million in charitable gifts, which surpasses the target level set by $8 million.
- High Demand Job Area program completions fall 2 percent below the target levels set for FY12.
- University Generated Revenue is also expected to fall short of its target by 1 percent.
- Research Expenditures are historically difficult to predict precisely at this time of the year; however, they are projected to decrease.

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**Student Success: First-Time, Full-Time Degree-seeking Freshmen**

**Six Year Baccalaureate Graduation Rate**

<table>
<thead>
<tr>
<th>Year</th>
<th>FY08</th>
<th>FY09</th>
<th>FY10</th>
<th>FY11</th>
<th>FY12</th>
<th>FY17 Goal</th>
</tr>
</thead>
<tbody>
<tr>
<td>Estimate</td>
<td>28.6%</td>
<td>27.0%</td>
<td>30.2%</td>
<td>28.6%</td>
<td>26.2%</td>
<td></td>
</tr>
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**UA Baccalaureate Retention**

<table>
<thead>
<tr>
<th>Year</th>
<th>FY09</th>
<th>FY10</th>
<th>FY11</th>
<th>FY12</th>
<th>FY17 Goal</th>
</tr>
</thead>
<tbody>
<tr>
<td>Actual</td>
<td>73.4%</td>
<td>76.1%</td>
<td>75.3%</td>
<td>YTD 73.5%</td>
<td>79.4%</td>
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</tbody>
</table>

**High Demand Job Area Completion**

**Health-Related**

<table>
<thead>
<tr>
<th>Year</th>
<th>FY09</th>
<th>FY10</th>
<th>FY11</th>
<th>FY12</th>
<th>FY17 Goal</th>
</tr>
</thead>
<tbody>
<tr>
<td>Estimate</td>
<td>816</td>
<td>780</td>
<td>780</td>
<td>844</td>
<td>926</td>
</tr>
</tbody>
</table>

**Baccalaureate Engineering**

<table>
<thead>
<tr>
<th>Year</th>
<th>FY09</th>
<th>FY10</th>
<th>FY11</th>
<th>FY12</th>
<th>FY17 Goal</th>
</tr>
</thead>
<tbody>
<tr>
<td>Estimate</td>
<td>148</td>
<td>137</td>
<td>137</td>
<td>172</td>
<td>186*</td>
</tr>
</tbody>
</table>

*Note: FY17 Goal has been updated and may differ from prior publication.*
UA Performance Metrics
June 2012

**Enrollment**
- **Student Credit Hours (Thousands)**: FY08 559, FY09 626, FY10 674, FY11 626
- **Recent Alaska High School Graduates**: Target: 2,400
  - FY09: 2,165, FY10: 2,355, FY11: 2,392, FY12: 2,371, FY17 Goal: 2,715

**Restricted Research Expenditures**
- **Target**: $135.3
- **FY08**: $122.9, FY09: $138.0, FY10: $127.2, FY11: $141.8, FY12: YTD $110.8, FY17 Goal: $141.8

**Alaska Related Research Expenditures**
- **Target**: $105.4
- **FY08**: $91.4, FY09: $96.8, FY10: $101.3, FY11: Estimate $111.1, FY12: Estimate $95.1, FY17 Goal: $111.1

**Ph.D. Enrollment**
- **Target**: 430

**University Generated Revenue**
- **Target**: $450.6
- **FY08**: $379.3, FY09: $455.5, FY10: $447.4, FY11: Estimate $474, FY12: YTD $388.0, FY17 Goal: $332.6

**Gross Student Tuition & Fee Revenue**
- **Target**: $141.1
  - FY08: $108.1, FY09: $120.6, FY10: $131.3, FY11: Estimate $190.6, FY12: Estimate $140.3, FY17 Goal: $190.6

**Charitable Gifts**
- **Target**: $14.0