

**Regular Board Meeting
Agenda Summary
Tuesday, December 09, 2014
1:00 PM**

Rock House, Prescott Campus
1100 E. Sheldon Street
Prescott , AZ 86301

Pursuant to Arizona Revised Statutes (A.R.S.) §38-431.02, notice is hereby given to the members of the Yavapai College District Governing Board and to the general public that the Board will hold a public meeting, open to the public as specified below. The Board reserves the right to change the order of items on the agenda. One or more members of the Board may participate in the meeting by telephonic communication.

Pursuant to A.R.S. §38-431.03.A.2 and A.3, the Board may vote to go into Executive Session, which will not be open to the public, for legal advice concerning any item on the agenda or to review, discuss and consider records exempt by law from public inspection, including the receipt and discussion of information or testimony that is specifically required to be maintained as confidential by state or federal law. As indicated in the agenda, the Board may also vote to go into executive session, which will not be open to the public, to discuss specific agenda items.

Persons with a disability may request a reasonable accommodation, such as a sign language interpreter, by contacting Karen Jones at (928)776-2307. Requests should be made as early as possible to allow time to arrange the accommodation.

Please note that agenda item times are for planning purposes only and do not necessarily reflect the actual time of the agenda item. When regular board meetings, public hearings (both truth in taxation and budget adoption public hearings) and budget adoption special meetings are scheduled for the same date, each hearing or meeting will begin immediately upon adjournment of the preceding hearing or meeting. Members of the public wishing to attend those subsequent hearings or meetings are advised to arrive at the time that the first hearing or meeting is scheduled to begin.

Item No.	Item	Time Req.	Start Time	Ref No.
1	CALL TO ORDER - HEADING	0	1:00 PM	542665
2	Call to Order - PROCEDURAL	0	1:00 PM	542666
3	Pledge of Allegiance - PROCEDURAL	1	1:00 PM	542667
4	Welcome to Guests and Staff - PROCEDURAL	2	1:01 PM	542668
5	Approval of Regular Board Meeting, November 18, 2014 - DISCUSSION AND/OR DECISION	2	1:03 PM	542669
6	Adoption of Agenda - DECISION	1	1:05 PM	542670
7	INFORMATION - HEADING	0	1:06 PM	549599
8	Recognition of Board Members For Their Years of Service - INFORMATION AND/OR DISCUSSION	20	1:06 PM	549561
9	CONSENT AGENDA - HEADING	0	1:26 PM	542672
10	Receipt of Report on Revenues and Expenditures - Month of November 2014 - RECEIPT, DISCUSSION, AND/OR DECISION	1	1:26 PM	542673

Item No.	Item	Time Req.	Start Time	Ref No.
11	Receipt of President's Monthly Monitoring Report - Executive Limitation 2.3.1 - Budget Deviations - November 2014 - RECEIPT, DISCUSSION, AND/OR DECISION	1	1:27 PM	542674
12	Receipt of President's Monthly Monitoring Report - Executive Limitation 2.3.2 - Reserves - November 2014 - RECEIPT, DISCUSSION, AND/OR DECISION	1	1:28 PM	542675
13	For Consideration of Approval for the Restatement of the Yavapai College Optional Defined Contribution Retirement Plan - RECEIPT, DISCUSSION, AND/OR DECISION	1	1:29 PM	549514
14	INFORMATION - HEADING (CONTINUED)	0	1:30 PM	542677
15	Information from the President Including: Buckey O'Neill Society; District Governing Board Web Site; Tennis Courts Ribbon Cutting Ceremony; Winter Institute; Campus Master Plan Semi-Annual Update; College Highlights; Yavapai College Staff Association (YCSA) Update; Facilities Management News; and Other Related Issues - INFORMATION AND/OR DISCUSSION	15	1:30 PM	542678
16	Information From Instruction and Student Services to Include: Faculty Senate Update; Student Development Update; Adjunct Advisor; Other Related Issues - INFORMATION AND/OR DISCUSSION	10	1:45 PM	542679
17	Information from Foundation and Advancement - Quarterly Report - Marketing Data Overview - INFORMATION AND/OR DISCUSSION	10	1:55 PM	542693
18	SHORT RECESS - PROCEDURAL	10	2:05 PM	542680
19	MONITORING REPORTS - HEADING	0	2:15 PM	545918
20	Board Evaluation of Governance Policy 3.2 - Board Job Description - RECEIPT, DISCUSSION, AND/OR DECISION	10	2:15 PM	542676
21	Receipt of President's Monitoring Report - Executive Limitation 2.4 - Asset Protection - MONITORING, DISCUSSION AND/OR DECISION	5	2:25 PM	545917
22	EXECUTIVE SESSION - A.R.S.§38-431.03 (A)(2) and (A)(3) - Discuss Proprietary and Confidential Records Related to the College's Technology Security Systems and Receive Legal Advice Related to Same - PROCEDURAL	20	2:30 PM	545919
23	Convene in Public Session Pursuant to A.R.S. §38-431.03 (D) - PROCEDURAL	5	2:50 PM	545921
24	OWNERSHIP LINKAGE - HEADING	0	2:55 PM	542684
25	Board Meeting Evaluation (Quarterly) - INFORMATION AND/OR DISCUSSION	5	2:55 PM	544341
26	Report on the Verde Valley Board Advisory Committee - DISCUSSION AND/OR DECISION	5	3:00 PM	542692
27	Reports from Board Liaisons - Arizona Association for District Governing Boards (AADGB); Arizona Community Colleges Trustees (ACCT); Yavapai College Foundation; and Board Spokesperson - INFORMATION	5	3:05 PM	542687
28	Identify Board Officer and Liaison Roles - DISCUSSION	10	3:10 PM	547055
29	OTHER INFORMATION - HEADING	0	3:20 PM	542688

Item No.	Item	Time Req.	Start Time	Ref No.
30	Correspondence to the Board - RECEIPT	5	3:20 PM	542689
31	Dates and Places of Future Meetings - DISCUSSION	5	3:25 PM	542690
32	ADJOURNMENT OF REGULAR MEETING - PROCEDURAL	1	3:30 PM	542691

Presenter : Ray Sigafoos

Start Time : 1:00 PM

Item No : 1

Proposed By : Ray Sigafoos

Time Req : 0

Proposed : 10/8/2014

Item Type : Heading

Policy No.	Description	Ref No
3.4	To accomplish its job products with a governance style consistent with Board policies, the Board shall follow an annual agenda which (a) completes a re-exploration of Ends policies annually and (b) continually improves Board performance through Board education and enriched input and deliberation.	26041

Description : CALL TO ORDER - HEADING

Details :

Attachments :

No Attachments

Presenter : Ray Sigafoos

Start Time : 1:00 PM

Item No : 2

Proposed By : Ray Sigafoos

Time Req : 0

Proposed : 10/8/2014

Item Type : Procedure Item

Policy No.	Description	Ref No
3.4	To accomplish its job products with a governance style consistent with Board policies, the Board shall follow an annual agenda which (a) completes a re-exploration of Ends policies annually and (b) continually improves Board performance through Board education and enriched input and deliberation.	26041

Description : Call to Order - PROCEDURAL

Details :

Attachments :

No Attachments

Presenter : Ray Sigafoos

Start Time : 1:00 PM

Item No : 3

Proposed By : Ray Sigafoos

Time Req : 1

Proposed : 10/8/2014

Item Type : Procedure Item

Policy No.	Description	Ref No
3.4	To accomplish its job products with a governance style consistent with Board policies, the Board shall follow an annual agenda which (a) completes a re-exploration of Ends policies annually and (b) continually improves Board performance through Board education and enriched input and deliberation.	26041

Description : Pledge of Allegiance - PROCEDURAL

Details :

Attachments :

No Attachments

Presenter : Ray Sigafoos

Start Time : 1:01 PM

Item No : 4

Proposed By : Ray Sigafoos

Time Req : 2

Proposed : 10/8/2014

Item Type : Procedure Item

Policy No.	Description	Ref No
3.4	To accomplish its job products with a governance style consistent with Board policies, the Board shall follow an annual agenda which (a) completes a re-exploration of Ends policies annually and (b) continually improves Board performance through Board education and enriched input and deliberation.	26041

Description : Welcome to Guests and Staff - PROCEDURAL

Details :

Attachments :

No Attachments

Presenter : Ray Sigafoos

Start Time : 1:03 PM

Item No : 5

Proposed By : Ray Sigafoos

Time Req : 2

Proposed : 10/8/2014

Item Type : Decision Item

Policy No.	Description	Ref No
3.5.4	Unless the Chair has delegated his or her authority otherwise pursuant to Policy 3.5.2.3, the Secretary fulfills the duties of the Chair in the absence of the Chair, including chairing Board meetings and signing documents on behalf of the Board and/or Yavapai College. The Secretary assures the accuracy of Board documents. The Board has its own documents so the accuracy of Board records are critical for historical purposes. The Secretary attests to the Board's adoption of policy.	429149

Description : Approval of Regular Board Meeting, November 18, 2014 - DISCUSSION AND/OR DECISION

Details : To affirm discussion and record of actions, motions made, and approved by the District Governing Board at the November 18, 2014 Regular Board Meeting. As part of the Board Agenda, the record of the proceedings of the previous meetings are presented for Board approval, reporting the kind of meeting, date, and place of the meeting, participants present, approval of consent items, and all the main motions, the hours of the meeting(s), and the adjournment. The approved minutes are used to establish a permanent record of decisions approved by the District Governing Board.

Attachments :

Title	Created	Filename
Approved Regular Meeting Minutes -11-18-14.pdf	Dec 04, 2014	Approved Regular Meeting Minutes -11-18-14.pdf



Yavapai College District Governing Board

Regular Board Meeting Approved Minutes of Regular Meeting Tuesday, November 18, 2014 1:00 PM

Prescott Valley Auditorium/Council Chambers
7401 E. Civic Circle
Prescott Valley, Arizona

District Governing Board meeting recordings may be viewed on CableOne Access 13 or the Yavapai College Website. CableOne Access 13 records all regular board meetings for subsequent broadcast and the schedule is available on the Access 13 website at <http://www.access13.org>. The District Governing Board agenda, packet materials, handouts, and minutes are on file in the District Office and posted on the College website along with regular board meeting recordings posted approximately 12 days after each meeting at <http://www.yc.edu/v5content/district-governing-board/>.

Members Present:

Mr. Ray Sigafoos, Chair
Mr. Herald Harrington, Board Spokesperson
Dr. Dale Fitzner, Board Member

Dr. Patricia McCarver, Chair/Secretary
Mr. Albert Filardo, Board Member

Administration Present:

Dr. Penelope H. Wills, President
Other staff attending are on file in the District Office

Lynne Adams, Board Attorney

1. CALL TO ORDER - HEADING

2. Call to Order – PROCEDURAL

Chair Sigafoos called the Yavapai College District Governing Board meeting to order at 1:00 p.m.

3. Pledge of Allegiance – PROCEDURAL

The Pledge of Allegiance was led by Mr. Harrington.

4. Welcome to Guests and Staff – PROCEDURAL

Chair Sigafoos welcomed all guests and staff.

5. Approval of District Governing Board October 14, 2014 Regular Meeting and Joint District Governing Board November 10, 2014 Meeting Minutes - DISCUSSION AND/OR DECISION

Dr. Fitzner moved, seconded by Mr. Harrington, to approve the District Governing Board October 14, 2014 and Joint District Governing Board November 10, 2014 Meeting Minutes. Motion carried unanimously.

6. Adoption of Agenda – DECISION

Mr. Harrington moved, seconded by Dr. McCarver to adopt the agenda as written. Motion carried unanimously.

7. Open Call - PROCEDURAL

The following requests were received to address the Board regarding:

Sedona Campus, 10 year plan - Gary LaMaster

Budget – Bob Oliphant (handout)

Verde Valley Community College - Ruth Wicks

Verde Valley Campus - Deb McCasland

8. CONSENT AGENDA – HEADING

9. Receipt of Report on Revenues and Expenditures – Month of October 2014 - RECEIPT, DISCUSSION, AND/OR DECISION (refer to Board agenda, pgs. 14-23).

10. Receipt of President's Monthly Monitoring Report - Executive Limitation 2.3.1 - Budget Deviation – October 2014 - RECEIPT, DISCUSSION, AND/OR DECISION (refer to Board agenda, pgs. 24-26).

The President reported compliance.

11. Receipt of President's Monthly Monitoring Report: Executive Limitation 2.3.2 - Reserves – October 2014 - RECEIPT, DISCUSSION, AND/OR DECISION (refer to Board agenda, pgs. 27-29).

The President reported compliance.

12. Board Self-Evaluation - Board-President Linkage Policy 4.2 - Accountability of the President - MONITORING, DISCUSSION AND/OR DECISION refer to Board agenda, pgs. 30-31).

13. For Consideration of Approval of Resolution 2014 - #02 - Supporting “Expect More Arizona” - RECEIPT, DISCUSSION, AND/OR DECISION (refer to Board agenda, pgs. 32-33).

14. For Consideration for Approval of Resolution 2014 -#03 - Capital Accumulation Fund Contribution - RECEIPT, DISCUSSION, AND/OR DECISION (refer to Board agenda, pgs. 34-35).

Dr. McCarver moved, seconded by Mr. Filardo, to approve the consent agenda with the removal of item #12, Board Self-Evaluation – Board President Linkage Policy 4.2 to be discussed under the Monitoring Report Heading. Motion carried unanimously.

15. INFORMATION - HEADING

16. Sabbatical Report From Mark Woolsey, Professor of Communications, Foundation Studies - INFORMATION AND/OR DISCUSSION (refer to Board agenda, pgs. 36-55).

Mark Woolsey, Professor of Communications, Foundation Studies, was awarded a sabbatical during Fall Semester 2013 to enhance his knowledge on narratives of oral traditions. His sabbatical presentation included:

- A study of oral narratives, their use and how they are applied in the different communication environments.
- Primary study of cultural perspective and how different cultures use narratives, with focus on Native American Narrative of the Apache, Hopi, Navajo, and Yavapai tribes.
- Research included visits to the Heard Museum, Phoenix, AZ and Autry Museum, Los Angeles, CA
- Curriculum Development - using his experience from Hyde Park, London, as well as the Thumb Butte Speech Festival, Prescott, AZ to create a Yavapai College Speakers Corner.

17. Information from the President to Include: Remembrance Day National Roll Call; Strategic Initiatives; AZ Wine Magazine Article; Sculpture Garden - Phase 4; College Highlights; Facilities Management News; Other Related Issues - INFORMATION AND/OR DISCUSSION (refer to Board agenda, pgs. 56-76).

Dr. Penny Wills reported on the following topics with discussion from the Board

- The Remembrance Day National Roll Call - Veteran's Day, November 10, 2014 on both campuses with students, faculty, and special guests reading the names of fallen soldiers.
- Strategic Initiatives – planning process begins this month with 22 staff/faculty/students and orientation meeting November 21st.
- AZ Wine Magazine Article - included in correspondence file.
- Unveiling of Sculpture Garden -Phase 4, November 12, 2014 dedicated to the Yavapai Prescott Indian Tribe.
- Facilities Management News - October 2014 - Attached, Information Only.
- College Highlights - October 2014 - Attached, Information Only.

18. Update from Instruction and Student Services to Include: Fall Enrollment Report; Faculty Senate Update; Student Leadership Council; Business, Education, & Social Sciences Update; Adjunct Advisor; Student Activities; Other Related Issues - INFORMATION AND/OR DISCUSSION (refer to Board agenda, pgs. 77-111).

- Fall Enrollment Report - Dr. Stuart Blacklaw, Vice President for Instruction and Student Services, presentation included unduplicated headcount - day 79 is down 4.1%; student credit hours down 3.3%; campus breakout of online enrollment up 4%; subject breakout with ELT, PSY, COM all 10% or better increases. Yavapai College enrollment of -4.1% is better the national average and attributed to the four-year colleges national average enrollment increase along with economy improvements, which normally affects community college enrollment to decrease.
- Faculty Senate Update - Vikki Bentz, President, provided an update on Senate and Sub-committee activities to include: Faculty Affairs proposing a workload policy and department chair; Standard Committee working on several policies including admissions; Professional Growth has provided sabbatical recommendations; Compensation will be presenting full-time and adjunct faculty salaries proposal; Learning Management Steering Committee working with IT and Purchasing for new course delivery system; Strategic Planning Committee will be represented with six (6) faculty members, GIFT Committee working on processes to award faculty scholarships; Senate working on tobacco free campus, approved course evaluation from Student Leadership Council, developing social media policy, providing charitable donations, and participated in lunch with the Executive Team.
- Student Leadership Council (SLC) - Josh Schmidt, Faculty Coordinator for Student Leadership Council, introduced Josh Eggiman, sophomore studying Forensic Psychology and Amanda Knutson, freshman studying business. They updated the Board on SLC volunteering at the NJCCA Tournament; developing course evaluation; providing feedback on course delivery system; providing feedback on uniformity of grades and course syllabi; and input for residence room contracts and judicial issues.
- Business, Education, & Social Sciences Update - Jill Fitzgerald, Dean for the newly named division Business Education Social Sciences or BESS that was re-organized Fall 2014. Ms. Fitzgerald provided information from each instructional division with highlights including: Mike Davis honored as the Administration of Justice instructor of the year; intensive curriculum revisions through the division; Raising a Reader grant assists over 500 students; FEC has provided over 10,000 hours of teaching hours for YC students; Service Learning program will donate over 300 student volunteer hours this year; and serving 2256 unduplicated headcount.
- Adjunct Faculty Update, November - Attached, Information Only

19. SHORT RECESS – PROCEDURAL

Meeting recessed at 2:04 p.m.; reconvened at 2:15 p.m.

20. MONITORING REPORTS – HEADING

12. Board Self-Evaluation - Board-President Linkage Policy 4.2 - Accountability of the President - MONITORING, DISCUSSION AND/OR DECISION refer to Board agenda, pgs. 30-31).

Dr. McCarver added her comments as they were not included in the compilation as follows:

While we do communicate with other college employees, especially at Board meetings or functions, it is important that Board Members do not try to undermine the President's authority. Or direct employees to take action that is not agreed upon by the majority of the board at an open meeting.

21. Receipt of President's Monitoring Report - Executive Limitation 2.4 - Asset Protection – MONITORING, DISCUSSION, AND/OR DECISION (refer to Board agenda, pgs. 113-117).

Executive Limitation 2.4 - Asset Protection

The President shall not cause or allow existing any condition that is unsafe, compromises an individual's privacy or limits accessibility, nor fails to provide a grievance process.

Comments included:

Although the data protection practices are outlined in the interpretation what is not apparent in the report is any evidence that the practices have been tested against failure or intrusion

Dr. McCarver moved, seconded by Mr. Filardo, that we have read the President's Monitoring Report regarding Policy 2.4 and believe that the interpretation of the policy provided is reasonable, but we do not believe that there is sufficient evidence to support the conclusion of compliance with the policy. Therefore, I move that we not accept the Monitoring Report for Policy 2.4. I move that the President provide the Board with a new Monitoring Report for Policy 2.4 at the December 9, 2014 District Governing meeting that provides sufficient evidence to support the conclusion of compliance. Motion carried unanimously.

22. OWNERSHIP LINKAGE - HEADING

23. Report on Formation of the Verde Valley Board Advisory Committee (VVBAC) - DISCUSSION AND/OR DECISION

The Board discussed the Verde Valley Board Advisory Committee and Mr. Filardo reported that the first VVBAC meeting was held on November 7, 2014, and the members received the mission along with open meeting/ethics training. The next meeting will be November 19th and will discuss bylaws, methods to gather community feedback, and future meetings.

24. Reports from Board Liaisons - Arizona Association for District Governing Boards (AADGB); Association of Community College Trustees (ACCT); Yavapai College Foundation; and Board Spokesperson – INFORMATION AND/OR DISCUSSION

- Arizona Association for District Governing Boards (AADGB) - Dr. Fitzner reported the next AADGB meeting will be December 5th at Maricopa Community College.
- Association of Community Colleges Trustees (ACCT) - No report
- Yavapai College Foundation - Dr. McCarver reported that the Foundation meeting was November 12, 2014 with emphasis on the dedication of the Sculpture Garden - Phase 4. The next meeting will be December 10, 2014.
- Verde Valley Advisory Committee - see item #23
- Board Spokesperson – No report

25. OTHER INFORMATION – HEADING

26. Correspondence to the Board – RECEIPT

Correspondence received included: Arizona Wine magazine, and Invitation to “The Remembrance Day National Roll Call.”

27. Proposed Dates and Places of Future Meetings for the Remainder of 2014 and for Upcoming 2015 - DISCUSSION AND/OR DECISION (refer to Board agenda, pgs. 122-124).

Board Members reviewed the 2014 and 2015 District Governing Board calendars to confirm meeting dates, times and locations for future Board meetings.

- Request to move the February 10, 2015 meeting to February 3, 2015. The President is attending the Rural Community College Alliance Day in Washington D.C. during this period. This event is an opportunity to advocate for community colleges.

- Consideration for a District Governing Board Retreat on February 3, 2015 (prior to regular board meeting).

Dr. McCarver moved, Mr. Filardo seconded, to change the District Governing Board Regular meeting for February 10, 2015 to February 3, 2015. Motion carried unanimously.

28. ADJOURNMENT OF REGULAR MEETING - PROCEDURAL

Dr. McCarver moved, seconded by Mr. Harrington, to adjourn the meeting. Motion carried unanimously.

Regular meeting adjourned at 2:32 p.m.

Respectfully submitted:

_____/S/_____
Ms. Karen Jones, Recording Secretary

Date: December 9, 2014

_____/S/_____
Mr. Ray Sigafos, Chair

_____/S/_____
Dr. Patricia McCarver, Secretary

Board agenda, packet materials, handouts from meeting are on file in the District Office and posted on the College website: www2.yc.edu. The mission of Yavapai College is to provide cost-effective, convenient learning opportunities for the diverse populations of Yavapai County.

Presenter : Ray Sigafoos

Start Time : 1:05 PM

Item No : 6

Proposed By : Ray Sigafoos

Time Req : 1

Proposed : 10/8/2014

Item Type : Decision Item

Policy No.	Description	Ref No
3.4	To accomplish its job products with a governance style consistent with Board policies, the Board shall follow an annual agenda which (a) completes a re-exploration of Ends policies annually and (b) continually improves Board performance through Board education and enriched input and deliberation.	26041

Description : Adoption of Agenda - DECISION

Details :

Attachments :

No Attachments

Presenter : Ray Sigafoos

Start Time : 1:06 PM

Item No : 7

Proposed By : Ray Sigafoos

Time Req : 0

Proposed : 12/4/2014

Item Type : Heading

Policy No.	Description	Ref No
3.4	To accomplish its job products with a governance style consistent with Board policies, the Board shall follow an annual agenda which (a) completes a re-exploration of Ends policies annually and (b) continually improves Board performance through Board education and enriched input and deliberation.	26041

Description : INFORMATION - HEADING

Details :

Attachments :

No Attachments

Presenter : Ray Sigafoos

Start Time : 1:06 PM

Item No : 8

Proposed By : Ray Sigafoos

Time Req : 20

Proposed : 12/4/2014

Item Type : Information Item

Policy No.	Description	Ref No
3.2.1	Ownership Linkage shall be the link between the organization and its owners, who are residents of Yavapai County and those who are affected by Yavapai College.	470151

Description : Recognition of Board Members For Their Years of Service -
INFORMATION AND/OR DISCUSSION

Details : The Board will recognize the honorable years of service by Dr. Fitzner and Mr. Harrington. Guests are also invited to share words of appreciation for Dr. Fitzner's and Mr. Harrington's many years of dedication to the College.

Dr. Dale Fitzner - 2006 to 2014

Herald Harrington - 1999 to 2014

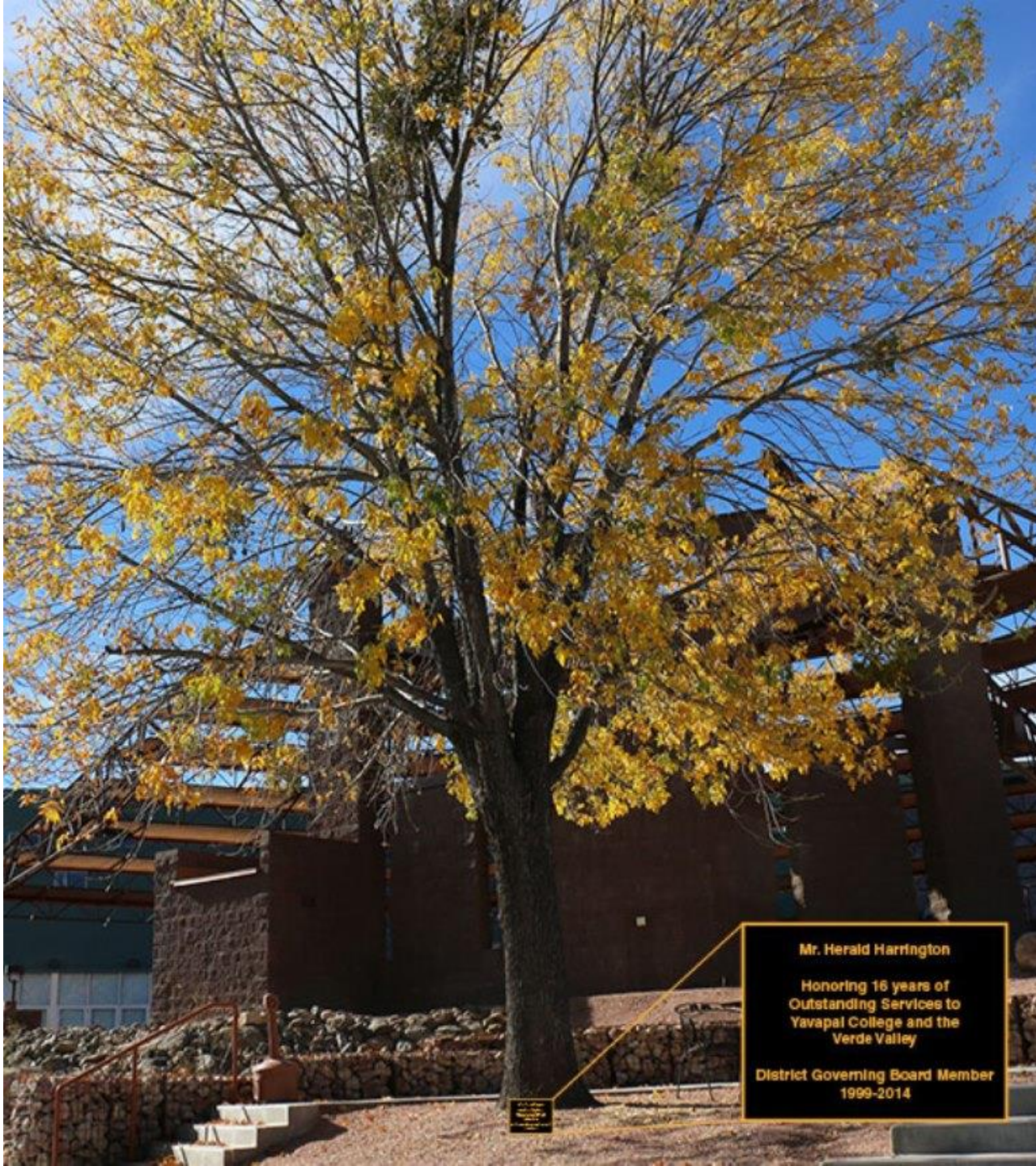
Attachments :

Title	Created	Filename
PV Tree Dedication.pdf	Dec 04, 2014	PV Tree Dedication.pdf
VV Tree Dedication.pdf	Dec 04, 2014	VV Tree Dedication.pdf



Dr. Dale Fitzner
**For Your Outstanding Services
and Contributions to the
Yavapai College Governing Board
and
The Prescott Valley Arts &
Culture Commission**





Mr. Herald Harrington
Honoring 16 years of
Outstanding Services to
Yavapai College and the
Verde Valley
District Governing Board Member
1999-2014

Presenter : Ray Sigafoos

Start Time : 1:26 PM

Item No : 9

Proposed By : Ray Sigafoos

Time Req : 0

Proposed : 10/8/2014

Item Type : Heading

Policy No.	Description	Ref No
3.4	To accomplish its job products with a governance style consistent with Board policies, the Board shall follow an annual agenda which (a) completes a re-exploration of Ends policies annually and (b) continually improves Board performance through Board education and enriched input and deliberation.	26041

Description : CONSENT AGENDA - HEADING

Details :

Attachments :

No Attachments

Presenter : Ray Sigafoos

Start Time : 1:26 PM

Item No : 10

Proposed By : Ray Sigafoos

Time Req : 1

Proposed : 10/8/2014

Item Type : Consent Item

Policy No.	Description	Ref No
3.4.3.4	<p>The Board shall use a Consent Agenda to comply with its legal and contractual obligations on matters which it has otherwise delegated to the President and to enable efficient decision making.</p> <p>Therefore, the Consent Agenda will be used to:</p> <p>a) deal with items which the Board has delegated but is required to review or receive by relevant law or contract and</p> <p>b) to speed up the processing of Board decisions which the Chair believes the Board may not need further deliberation.</p>	429146

Description : Receipt of Report on Revenues and Expenditures - Month of November 2014 - RECEIPT, DISCUSSION, AND/OR DECISION

Details : This item is on the consent agenda to comply with A.R.S. §15-1461-District Budget.

Included is the financial update report highlighting the status of several key financial indicators.

The report of Revenues and Expenditures for the fifth month of Fiscal Year 2014-2015 ending November 30, 2014 is attached. Expenditures are reported on the modified accrual basis of accounting.

Attachments :

Title	Created	Filename
Financial Update - Nov 2014 in Dec.pdf	Dec 04, 2014	Financial Update - Nov 2014 in Dec.pdf
YCFS Nov 2014 - Governing Board Budget Report.pdf	Dec 04, 2014	YCFS Nov 2014 - Governing Board Budget Report.pdf
Revenues__Expenditures_Cover_Sheet_Nov in Dec.pdf	Dec 04, 2014	Revenues__Expenditures_Cover_Sheet_Nov in Dec.pdf
YCFS Nov 2014_Summary.pdf	Dec 04, 2014	YCFS Nov 2014_Summary.pdf

YAVAPAI COLLEGE

FINANCIAL UPDATE

November 2014

FY2013-2014 Close and Audit

- The year-end close for FY2013-2014 was completed in November 2014.
- The auditors began their field work on October 20, 2014. The audit report (Comprehensive Annual Financial Report) will be issued in mid-December 2014 in time to qualify for the Certificate of Achievement for Excellence in Financial Reporting award from the Government Finance Officers Association (GFOA).
- The Comprehensive Annual Financial Report (CAFR) for FY2013-2014 will be presented to the Board in early 2015.

FY 2014-2015 Budget

General Fund

- Total property taxes collected have historically been approximately .4% less than the levy. We expect this trend to continue. In addition, for FY 2014-2015, **YC's collections will be an additional .3% less** as a result of a downward **adjustment made to Transwestern Pipeline's** centrally assessed values.
- Tuition and fees is projected to come in at budget for the fiscal year.
- Expenditures are expected to come in under budget for the fiscal year due to vacancy savings and unused contingency budgets.

Auxiliary Fund

- Auxiliary Enterprises, which are those areas meant to be self-sufficient, are projected to be on budget for the fiscal year.

Unexpended Plant Fund

- The Unexpended Plant Fund currently has a deficit due to a significant amount of Equipment, Preventative Maintenance and Capital Improvement Projects (CIP) being encumbered for the fiscal year. The supporting revenues to cover this deficit will be received over the remaining fiscal year.

**YAVAPAI COUNTY COMMUNITY COLLEGE DISTRICT
REPORT OF EXPENDITURES**

**For the Five Months Ended November 30, 2014
Fiscal Year 2014-2015**

District Governing Board

Fiscal Year 2014-15 Appropriation:

\$ 166,256

	<u>Purpose</u>	<u>Year-to-Date Expenditures</u>	<u>Encumbered Obligations</u>	<u>Total Expenditures/ Encumbrances</u>
EXPENDITURES (note 1):				
Salary Expenses	Staff Support	\$ 15,175	\$ 17,698	\$ 32,873
Assoc. of Community College Trustees	Membership Dues	5,422	-	5,422
Assoc. of Community College Trustees	Conference Fees	4,175	-	4,175
Dale Fitzner	Travel	2,249	-	2,249
Deb McCasland	Travel	20	-	20
Karen Jones	Travel	100	-	100
Larson Newspapers (Red Rock News)	Advertising	559	-	559
Osborn Maledon PA	Attorneys	8,535	36,465	45,000
Ourboardroom Technologies	Software maintenance	9,250	9,250	18,500
Out of the Woods Consulting	Consulting	6,270	-	6,270
Penelope Wills	Travel	2,035	-	2,035
Prescott Newspapers, Inc.	Advertising	2,592	-	2,592
Ray Sigafoos	Travel	1,790	-	1,790
Roswell Bookbinding	Board Minutes	194	1,306	1,500
Sodexo Inc.	Food Supplies	731	4,269	5,000
Supplies/Other	Various Vendors	312	-	312
Thee Place	Food Supplies	429	1,571	2,000
Yavapai Broadcasting	Board Meetings	750	2,250	3,000
YC Printing Services	Printing	1,702	-	1,702
				<u>135,099</u>

Remaining Budget - November 30, 2014

\$ 31,157

Note 1: Expenditures reported on the modified accrual basis of accounting.

SUBJECT

Acceptance of Reports of Revenues and Expenditures

REASON FOR CONSIDERATION BY THE BOARD

The District Governing Board reviews the College financial reports.

BACKGROUND INFORMATION

Included is the Financial Update Report, highlighting the status of several key financial indicators.

The report of Revenues and Expenditures for the five months of FY2014-2015 ending November 30, 2014, is attached. Expenditures are reported on the modified accrual basis of accounting.

The General Fund gross revenues exceed projections at 52.1% of budget. Tuition and fees revenues are 79.5% of budget reflecting a significant amount of spring 2015 semester enrollments. State aid for the second quarter of the fiscal year was received in October 2014. General Fund expenditures represent 42.8% of the budget through five months. Institutional Support is over budget due to annual payments for liability insurance, maintenance agreements and other fees. Scholarships are at 54.7% of budget due to fall 2014 financial aid awards. Currently, General Fund revenues exceed expenditures/encumbrances by \$3,929,000.

Total General Fund revenues are expected to be below budget by about \$218,100. This is due to property tax collections being less than the levy. Property taxes collected have historically been about .4% less than the levy. We expect this trend to continue. In addition, for FY 2014-2015, **YC's collections will be an additional .3% less as a result of a downward adjustment made to Transwestern Pipeline's centrally assessed values.** General Fund expenditures are projected to be under budget by approximately \$793,900. This is a result of several factors including vacancy savings, unspent contingency funds and the continuous efforts by departments to incorporate cost management practices in decision making.

The Auxiliary Fund accounts for enterprise activities and other college-related support activities. Through the fifth month, 41.4% of budget has been committed compared to 59.2% of revenues received. Residence Halls and Summer Conferences revenues are at 88.3% of budget reflecting spring 2015 semester room payments. Edventures revenues are at 148.8% of budget due to the October 2014 Spain trip exceeding projections.

Unexpended Plant Fund expenditures are above projections directly attributed to the encumbering of a significant amount of general equipment, Master Plan projects and the remaining expenses related to the Low Water Crossing project. Unexpended Plant Fund expenditures represented 50.8% of budget through five months and exceed the Unexpended Plant Fund revenues by \$1,438,000. The remaining revenues to cover these commitments will be received over the remaining fiscal year.

YAVAPAI COUNTY COMMUNITY COLLEGE DISTRICT

REPORT OF REVENUES AND EXPENDITURES

For the Month Ended November 30, 2014 - 41.7% of the Fiscal Year Complete

Fiscal Year 2014-2015

SUMMARY - ALL FUNDS

	<u>Year-to-Date Revenues</u>		<u>Year-to-Date Revenues</u>	<u>Budget</u>	<u>Percent of Budget</u>
REVENUES:					
General Fund	\$ 21,991,534		\$ 21,991,534	\$ 42,197,000	52.1%
Restricted Fund	6,568,488		6,568,488	16,526,900	39.7%
Auxiliary Fund	2,412,184		2,412,184	4,073,900	59.2%
Unexpended Plant Fund	5,571,116		5,571,116	13,789,800	40.4%
Debt Service Fund	2,870,122		2,870,122	6,907,000	41.6%
TOTALS	<u>39,413,444</u>		<u>39,413,444</u>	<u>83,494,600</u>	<u>47.2%</u>

	<u>Year-to-Date Expenditures</u>	<u>Encumbered Obligations</u>	<u>Labor Encumbrances</u>	<u>Total Expenditures and Non-Labor Encumbrances</u>	<u>Budget</u>	<u>Percent of Actual and Non- Labor Encumbrances to Budget</u>
EXPENDITURES (note 1):						
General Fund	\$ 16,416,737	\$ 14,326,621	\$ 12,681,170	\$ 18,062,188	\$ 42,197,000	42.8%
Restricted Fund	6,568,488	1,016,775	829,356	6,755,907	16,526,900	40.9%
Auxiliary Fund	1,564,816	753,630	631,461	1,686,985	4,073,900	41.4%
Unexpended Plant Fund	2,941,751	4,067,006	-	7,008,757	13,789,800	50.8%
Debt Service Fund	1,300	2,863,750	-	2,865,050	6,907,000	41.5%
TOTALS	<u>27,493,092</u>	<u>23,027,782</u>	<u>14,141,987</u>	<u>36,378,887</u>	<u>83,494,600</u>	<u>43.6%</u>
SURPLUS/(DEFICIT)				<u>3,034,557</u>	<u>-</u>	

COMMENTS:

Through the fifth month, 43.6% of budget has been committed (excluding labor encumbrances) compared to 47.2% of revenues received.

The Budget currently has a surplus of \$3,034,557 which is mainly due to Tuition and Fees revenues being above budget due to spring 2015 tuition payments and 2nd Quarter State appropriations received in October.

Note 1: Expenditures reported on the modified accrual basis of accounting.

YAVAPAI COUNTY COMMUNITY COLLEGE DISTRICT

REPORT OF REVENUES AND EXPENDITURES

For the Month Ended November 30, 2014 - 41.7% of the Fiscal Year Complete

Fiscal Year 2014-2015

GENERAL FUND

	<u>Year-to-Date Revenues</u>		<u>Total Revenues</u>	<u>FY 14/15 Budget</u>	<u>Percent of Budget</u>	<u>FY 14/15 Estimate</u>	<u>Budget to Estimate Variance</u>
REVENUES:							
Primary Property Taxes	\$ 12,883,890		\$ 12,883,890	\$ 31,155,000	41.4%	\$ 30,936,900	\$ (218,100)
Tuition and Fees	9,429,400		9,429,400	11,867,000	79.5%	11,867,000	-
State Appropriations	443,500		443,500	887,000	50.0%	887,000	-
Other Revenues	141,584		141,584	458,500	30.9%	458,500	-
Interest Income	12,118		12,118	35,000	34.6%	35,000	-
Fund Balance Applied to Budget	1,386,667		1,386,667	3,328,000	41.7%	3,328,000	-
General Fund Transfer Out	(2,305,625)		(2,305,625)	(5,533,500)	41.7%	(5,533,500)	-
TOTAL REVENUES	21,991,534		21,991,534	42,197,000	52.1%	41,978,900	(218,100)

	<u>Year-to-Date Expenditures</u>	<u>Total Encumbered Obligations</u>	<u>Labor Encumbrances</u>	<u>Total Expenditures and Non-Labor Encumbrances</u>	<u>FY 14/15 Budget</u>	<u>Percent of Actual and Non-Labor Encumbrances to Budget</u>	<u>FY 14/15 Estimate</u>	<u>Budget to Estimate Variance</u>
EXPENDITURES (note 1):								
Instruction	\$ 6,514,634	\$ 5,726,891	\$ 5,464,350	\$ 6,777,175	\$ 16,832,000	40.3%	\$ 16,731,008	\$ (100,952)
Academic Support	1,745,061	1,578,677	1,487,502	1,836,236	4,492,000	40.9%	4,465,048	(26,952)
Institutional Support	3,698,156	3,586,329	2,727,153	4,557,332	8,520,000	53.5%	8,468,880	(51,120)
Student Services	1,771,524	1,511,149	1,467,266	1,815,407	4,697,000	38.7%	4,668,818	(28,182)
Operation/Maintenance of Plant	2,210,383	1,854,719	1,496,563	2,568,539	6,123,000	41.9%	6,086,262	(36,738)
Scholarships	425,325	30,520	-	455,845	833,000	54.7%	833,000	-
Public Service	51,654	38,336	38,336	51,654	150,000	34.4%	150,000	-
Tuition Contingency	-	-	-	-	550,000	0.0%	-	(550,000)
TOTAL EXPENDITURES	16,416,737	14,326,621	12,681,170	18,062,188	42,197,000	42.8%	41,403,016	(793,944)
SURPLUS/(DEFICIT)				\$ 3,929,346	\$ -			

COMMENTS:

Second quarter State Aid was received in October 2014.
 Tuition and Fees revenues above budget due to spring 2015 tuition payments.
 Institutional Support expenditures above budget due to the encumbering and or payment of annual insurance, maintenance and other fees.
 Scholarships at 54.7% of budget due to fall 2014 financial aid awards.

The Budget currently has a surplus of \$3,929,346.

Note 1: Expenditures reported on the modified accrual basis of accounting.

YAVAPAI COUNTY COMMUNITY COLLEGE DISTRICT

REPORT OF REVENUES AND EXPENDITURES

For the Month Ended November 30, 2014 - 41.7% of the Fiscal Year Complete

Fiscal Year 2014-2015

RESTRICTED FUND

	<u>Year-to-Date Revenues</u>		<u>Total Revenues</u>	<u>Budget</u>	<u>Percent of Budget</u>
REVENUES:					
Federal Grants and Contracts	\$ 5,398,135		\$ 5,398,135	\$ 14,224,000	38.0%
State Grants and Contracts	66,322		66,322	225,000	29.5%
Private Gifts, Grants and Contracts	129,111		129,111	625,000	20.7%
Proposition 301 Funds	355,290		355,290	600,000	59.2%
State Appropriation - STEM Workforce	401,450		401,450	802,900	50.0%
Fund Balance Applied to Budget	50,000		50,000	50,000	100.0%
Reimbursement Due	168,180		168,180	N/A	N/A
TOTAL REVENUES	6,568,488		6,568,488	16,526,900	39.7%

	<u>Year-to-Date Expenditures</u>	<u>Total Encumbered Obligations</u>	<u>Labor Encumbrances</u>	<u>Total Expenditures and Non-Labor Encumbrances</u>	<u>Budget</u>	<u>Percent of Actual and Non-Labor Encumbrances to Budget</u>
EXPENDITURES (note 1):						
Instruction	\$ 1,100,231	\$ 687,597	\$ 509,064	\$ 1,278,764	\$ 3,294,900	38.8%
Academic Support	-	-	-	-	4,000	0.0%
Student Services	402,744	301,184	292,298	411,630	1,198,000	34.4%
Scholarships	5,011,675	-	-	5,011,675	11,890,000	42.2%
Public Service	53,838	27,994	27,994	53,838	140,000	38.5%
TOTAL EXPENDITURES	6,568,488	1,016,775	829,356	6,755,907	16,526,900	40.9%
SURPLUS/(DEFICIT)				\$ (187,419)		

COMMENTS:

Restricted Funds expended only to the extent that Grants and Gifts are received.

Note 1: Expenditures reported on the modified accrual basis of accounting.

YAVAPAI COUNTY COMMUNITY COLLEGE DISTRICT

REPORT OF REVENUES AND EXPENDITURES

For the Month Ended November 30, 2014 - 41.7% of the Fiscal Year Complete

Fiscal Year 2014-2015

AUXILIARY FUND

	<u>Year-to-Date Revenues</u>		<u>Total Revenues</u>	<u>FY 14/15 Budget</u>	<u>Percent of Budget</u>	<u>FY 14/15 Estimate</u>	<u>Budget to Estimate Variance</u>
REVENUES:							
Residence Halls and Summer Conferences	\$ 1,014,641		\$ 1,014,641	\$ 1,149,000	88.3%	\$ 1,149,000	\$ -
Bookstore Rental and Commissions	101,090		101,090	210,000	48.1%	210,000	-
Food Services Sales	14,177		14,177	40,000	35.4%	40,000	-
Vending	8,170		8,170	33,000	24.8%	33,000	-
Edventures	294,545		294,545	198,000	148.8%	290,000	92,000
Community Events	180,858		180,858	520,000	34.8%	520,000	-
Regional Economic Development Center - Training	7,108		7,108	136,200	5.2%	136,200	-
Family Enrichment Center	229,144		229,144	533,000	43.0%	533,000	-
Winery - Tasting Room	1,009		1,009	20,000	5.0%	20,000	-
Yavapai College Foundation	116,578		116,578	435,000	26.8%	435,000	-
Other	208,239		208,239	231,800	89.8%	231,800	-
Fund Balance Applied to Budget	83,333		83,333	200,000	41.7%	200,000	-
General Fund Transfer In	320,292		320,292	768,700	41.7%	768,700	-
Auxiliary Fund Transfer Out	(167,000)		(167,000)	(400,800)	41.7%	(400,800)	-
TOTAL REVENUES	2,412,184		2,412,184	4,073,900	59.2%	4,165,900	92,000

	<u>Year-to-Date Expenditures</u>	<u>Total Encumbered Obligations</u>	<u>Labor Encumbrances</u>	<u>Total Expenditures and Non-Labor Encumbrances</u>	<u>FY 14/15 Budget</u>	<u>Percent of Actual and Non-Labor Encumbrances to Budget</u>	<u>FY 14/15 Estimate</u>	<u>Budget to Estimate Variance</u>
EXPENDITURES (note 1):								
Instruction	\$ 11,198	\$ -	\$ -	\$ 11,198	\$ 49,100	22.8%	\$ 49,100	\$ -
Student Services	232,146	201,045	174,212	258,979	611,400	42.4%	611,400	-
Auxiliary Enterprises	610,765	294,559	250,782	654,542	1,346,000	48.6%	1,438,000	92,000
Public Service	314,332	258,026	206,467	365,891	1,016,100	36.0%	1,016,100	-
Facilities & Administrative Allocation Expense	396,375	-	-	396,375	951,300	41.7%	951,300	-
Contingency	-	-	-	-	100,000	0.0%	-	(100,000)
TOTAL EXPENDITURES	1,564,816	753,630	631,461	1,686,985	4,073,900	41.4%	4,065,900	(8,000)
SURPLUS/(DEFICIT)				\$ 725,199	\$ -			

COMMENTS:

Residence Halls and Summer Conferences revenues are above budget due to spring 2015 semester room payments.
Edventures sales and Auxiliary Expenses ahead of budget due to the October 2014 Spain trip exceeding projections.

The Budget currently has a surplus of \$725,199.

Note 1: Expenditures reported on the modified accrual basis of accounting.

YAVAPAI COUNTY COMMUNITY COLLEGE DISTRICT

REPORT OF REVENUES AND EXPENDITURES

For the Month Ended November 30, 2014 - 41.7% of the Fiscal Year Complete

Fiscal Year 2014-2015

UNEXPENDED PLANT FUND

	<u>Year-to-Date Revenues</u>		<u>Total Revenues</u>	<u>Budget</u>	<u>Percent of Budget</u>	
REVENUES:						
Primary Property Taxes	\$ 4,177,977		\$ 4,177,977	\$ 10,098,800	41.4%	
Yavapai College Foundation Donation	-		-	325,000	0.0%	
Investment Income	6,472		6,472	18,000	36.0%	
Other	-		-	20,000	0.0%	
General Fund Transfer In	1,386,667		1,386,667	3,328,000	41.7%	
TOTAL REVENUES	5,571,116		5,571,116	13,789,800	40.4%	
	<u>Year-to-Date Expenditures</u>	<u>Encumbered Obligations</u>	<u>Labor Encumbrances</u>	<u>Total Expenditures and Non-Labor Encumbrances</u>	<u>Budget</u>	<u>Percent of Actual and Non- Labor Encumbrances to Budget</u>
EXPENDITURES (note 1):						
Preventative Maintenance	\$ 1,017,636	\$ 611,668	\$ -	\$ 1,629,304	\$ 3,020,000	54.0%
Unplanned Maintenance	97,332	23,444	-	120,776	500,000	24.2%
Capital Improvement Projects	764,221	2,932,515	-	3,696,736	6,781,900	54.5%
Capital Improvements - Future Projects	16,750	-	-	16,750	40,200	41.7%
Equipment	907,344	408,207	-	1,315,551	2,309,400	57.0%
Furniture and Fixtures	68,328	32,428	-	100,756	250,000	4.4%
Library Books	25,403	58,744	-	84,147	98,700	33.7%
Principal/Interest on Capital Leases	44,737	-	-	44,737	42,300	105.8%
Operating Contingency	-	-	-	-	500,000	0.0%
Property Tax Contingency	-	-	-	-	247,300	0.0%
TOTAL EXPENDITURES	2,941,751	4,067,006	-	7,008,757	13,789,800	50.8%
SURPLUS/(DEFICIT)				(1,437,641)	-	

COMMENTS:

The Budget currently has a deficit of \$1,437,641 as a result of several significant projects being encumbered for the fiscal year. The supporting revenues/transfers will be received over the remaining fiscal year.

Note 1: Expenditures reported on the modified accrual basis of accounting.

YAVAPAI COUNTY COMMUNITY COLLEGE DISTRICT

REPORT OF REVENUES AND EXPENDITURES

For the Month Ended November 30, 2014 - 41.7% of the Fiscal Year Complete

Fiscal Year 2014-2015

DEBT SERVICE FUND

	<u>Year-to-Date Revenues</u>		<u>Total Revenues</u>	<u>Budget</u>	<u>Percent of Budget</u>
REVENUES:					
Secondary Property Taxes	\$ 2,092,275		\$ 2,092,275	\$ 5,059,400	41.4%
Investment Income	3,054		3,054	10,000	30.5%
General Fund Transfer In	598,667		598,667	1,436,800	41.7%
Auxiliary Fund Transfer In	167,000		167,000	400,800	41.7%
Other Revenues	9,126		9,126	-	100.0%
TOTAL REVENUES	2,870,122		2,870,122	6,907,000	41.6%

	<u>Year-to-Date Expenditures</u>	<u>Encumbered Obligations</u>	<u>Labor Encumbrances</u>	<u>Total Expenditures and Non-Labor Encumbrances</u>	<u>Budget</u>	<u>Percent of Actual and Non- Labor Encumbrances to Budget</u>
EXPENDITURES (note 1):						
General Obligation Bonds						
Principal Payments	\$ -	\$ 1,695,833	\$ -	\$ 1,695,833	\$ 4,070,000	41.7%
Interest Payments	-	402,250	-	402,250	965,400	41.7%
Pledged Revenue Obligations						
Principal Payments	-	393,750	-	393,750	945,000	41.7%
Interest Payments	-	204,917	-	204,917	491,800	41.7%
Revenue Bonds						
Principal Payments	-	118,750	-	118,750	285,000	41.7%
Interest Payments	-	48,250	-	48,250	115,800	41.7%
Bank Fees	1,300	-	-	1,300	4,000	32.5%
Property Tax Contingency	-	-	-	-	30,000	0.0%
TOTAL EXPENDITURES	1,300	2,863,750	-	2,865,050	6,907,000	41.5%
SURPLUS/(DEFICIT)				5,072	-	

COMMENTS:

Through the fifth month, 41.5% of budget has been committed (excluding labor encumbrances) compared to 41.6% of revenues received.

Note 1: Expenditures reported on the modified accrual basis of accounting.

Presenter : Ray Sigafoos

Start Time : 1:27 PM

Item No : 11

Proposed By : Ray Sigafoos

Time Req : 1

Proposed : 10/8/2014

Item Type : Consent Item

Policy No.	Description	Ref No
2.3.1	The President shall not fail to promptly inform the Board of Governors when there are materially significant deviations from the budget.	344132

Description : Receipt of President's Monthly Monitoring Report - Executive Limitation 2.3.1 - Budget Deviations - November 2014 - RECEIPT, DISCUSSION, AND/OR DECISION

Details : Executive Limitations 2.3.1 - Budget Deviations

The President shall not fail to promptly inform the Board of Governors when there are materially significant deviations from the budget.

Attachments :

Title	Created	Filename
Monitoring Report Executive Limitations Policy 2 3 1_Nov in Dec.pdf	Dec 04, 2014	Monitoring Report Executive Limitations Policy 2 3 1_Nov in Dec.pdf

**Monitoring Report - Monthly
Executive Limitations Policy 2.3.1 – Budget Deviations
November 2014**

The President shall not fail to promptly inform the Board of Governors when there are materially significant deviations from the budget.

President’s Interpretation:

The college budget is comprised of various categories (operating, capital, restricted, debt, and auxiliaries.) It is developed based on the information received from enrollment projections, state funding, local property tax projections, and estimated expenses based on Board Ends, Strategic Initiatives, and projected operating costs. The Board approves the budget in May/June for the upcoming year. As all of these projections are realized, the President will notify the Board of any material deviation of 5% or more variance for the individual funds. The college has established controls through Banner (e.g., approvals on requisitions, non-sufficient funds notifications, and fund security) to ensure early notification of any potential deviations. At all times, any budget transfers made between major funds may only be made within legal statutes and will require Board approval.

Supporting Evidence:

Source: Monthly Revenue and Expenditure Financial Reports

General Fund



For the five months ended November 30, 2014, the General Fund has a surplus of \$3,929,000. This is primarily the result of tuition and fee revenues reflecting a significant portion of spring 2015 semester enrollments.

For the fiscal year ended June 30, 2015, General Fund revenues are projected to be below budget by \$218,100 and expenditures are projected to be under budget by \$793,900, resulting in a net surplus of \$575,800 — a 1.4% positive variance.

Auxiliary Fund



For the fiscal year ended June 30, 2015, the Auxiliary fund is projected to be within budget.

Unexpended Plant Fund



For the five months ended November 30, 2014, the Unexpended Plant Fund has a deficit of \$1,438,000 due to a significant amount of Equipment and Capital Improvement Projects (CIP) being encumbered for the fiscal year. The supporting revenues to cover this deficit will be received over the remaining fiscal year.

For the fiscal year ended June 30, 2015, the Unexpended Plant Fund is projected to be within budget.

Restricted Fund



The Restricted Fund, which accounts for federal, state and private monies, includes expenditures that are restricted to the amount of grants or gifts received and which do not exceed the grant award or gift received. Restricted Funds are primarily driven by federal financial aid which will fluctuate depending on the financial needs of our students. As of November 30, 2014, no significant variances from budget are expected.

Debt Service Fund



The Debt Service Fund accounts for the monies used to pay the interest and principal on **the District's long-term** bonds. College debt is at fixed rates of interest—for the five months ended November 30, 2014, there were no significant variances from budget.

President's Conclusion:

I report compliance.

Presenter : Ray Sigafoos

Start Time : 1:28 PM

Item No : 12

Proposed By : Ray Sigafoos

Time Req : 1

Proposed : 10/8/2014

Item Type : Consent Item

Policy No.	Description	Ref No
3.4.3.4	<p>The Board shall use a Consent Agenda to comply with its legal and contractual obligations on matters which it has otherwise delegated to the President and to enable efficient decision making.</p> <p>Therefore, the Consent Agenda will be used to:</p> <ul style="list-style-type: none">a) deal with items which the Board has delegated but is required to review or receive by relevant law or contract andb) to speed up the processing of Board decisions which the Chair believes the Board may not need further deliberation.	429146

Description : Receipt of President's Monthly Monitoring Report - Executive Limitation 2.3.2 - Reserves - November 2014 - RECEIPT, DISCUSSION, AND/OR DECISION

Details : Executive Limitation 2.3.2 - Reserves

The President shall not allow the current Fund Reserves to drop below ten percent (10%) of the operating budgets or Plant Funds reserves below \$1 million without specific Board authorization and a realistic recovery.

Attachments :

Title	Created	Filename
Monitoring Report Executive Limitations Policy 2 3 2_Nov in Dec.pdf	Dec 04, 2014	Monitoring Report Executive Limitations Policy 2 3 2_Nov in Dec.pdf

**Monitoring Report - Monthly
Executive Limitations Policy 2.3.2 – Reserves
November 2014**

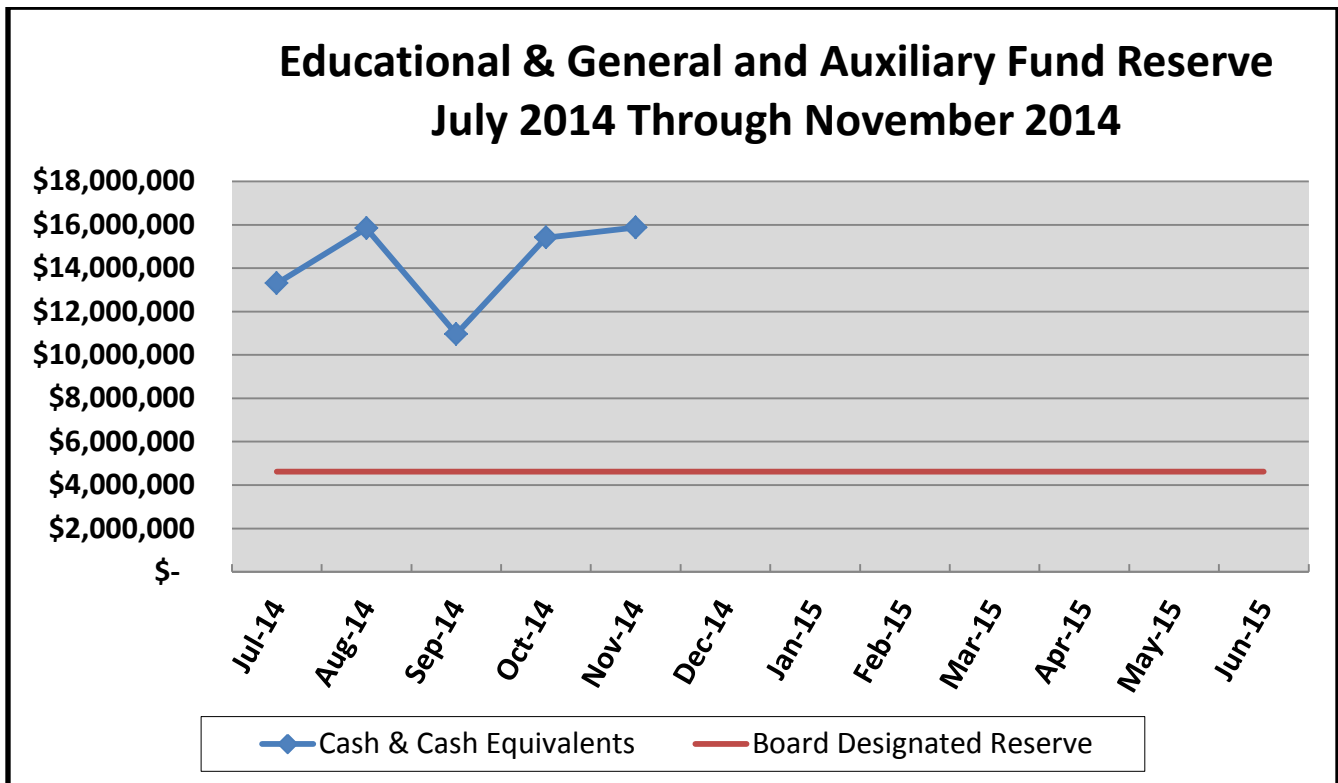
The President shall not allow the Current Fund Reserves to drop below ten percent (10%) of the operating budgets or Plant Fund Reserves below \$1 million without specific Board authorization and a realistic recovery plan.

President’s Interpretation:

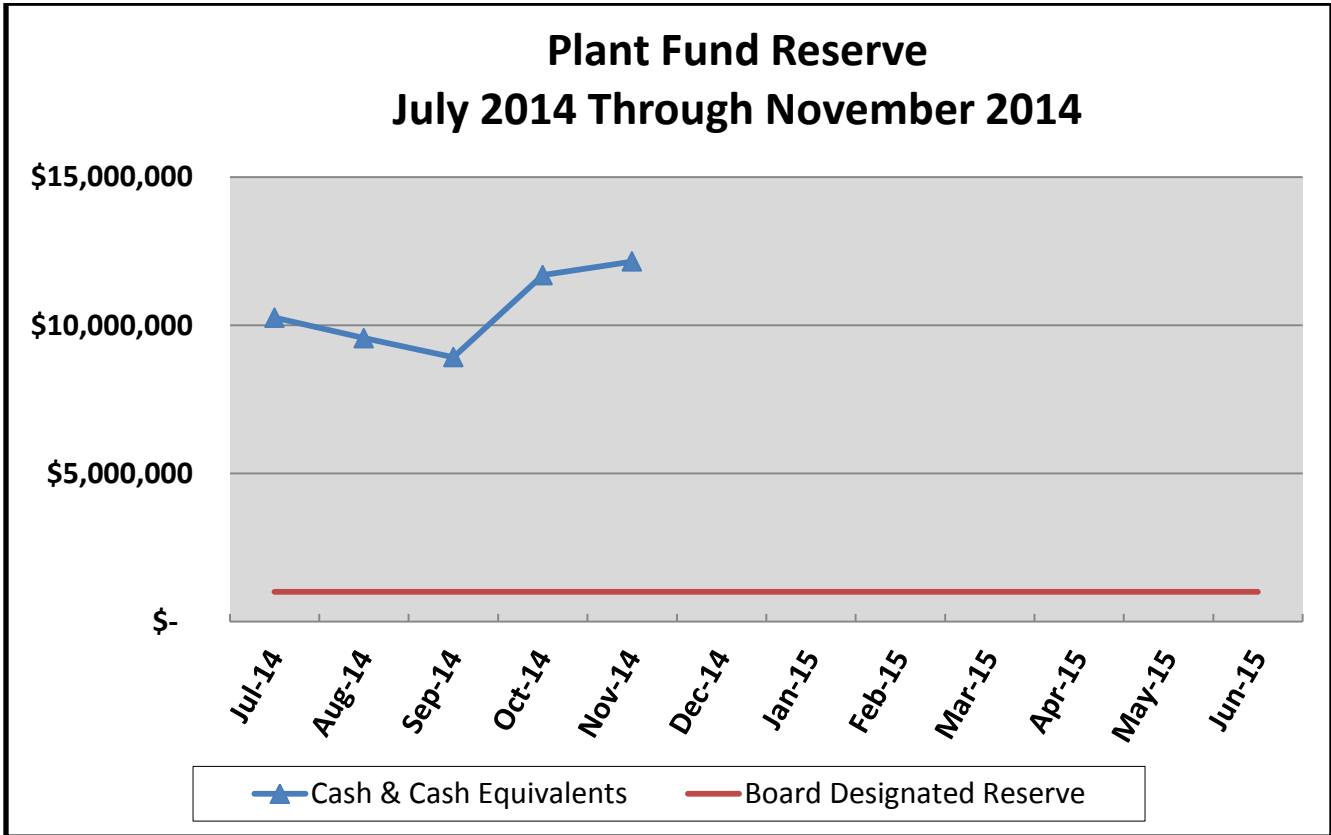
The Current Fund is a combination of the Operating Fund (Education and General) and the Auxiliary Fund. The budgets for these funds also include contingencies reserves to address unforeseen circumstances and seasonal revenues fluctuation. If the administration needs to adjust the Current Fund Reserves for more than a three-month period, below the 10% of the operating budgets and/or the Plant Fund Reserves below \$1 million, the college must seek Board approval. In the request, the administration must include in this budget adjustment request a realistic recovery plan to stabilize the reserves.

Supporting Evidence:

Source: Banner Finance



For the period July 1, 2014, through November 30, 2014, Current Fund reserves have exceeded the Governing Board’s designated reserve.



For the period July 1, 2014, through November 30, 2014, Plant Fund reserves have exceeded the Governing Board's designated reserve. As of November 30, 2014, Plant Fund reserves exceed the Governing Board's designated reserve amount by \$11,153,000.

President's Conclusion:

I report compliance.

Presenter : Ray Sigafoos

Start Time : 1:29 PM

Item No : 13

Proposed By : Ray Sigafoos

Time Req : 1

Proposed : 12/4/2014

Item Type : Consent Item

Policy No.	Description	Ref No
3.4.3.4	<p>The Board shall use a Consent Agenda to comply with its legal and contractual obligations on matters which it has otherwise delegated to the President and to enable efficient decision making.</p> <p>Therefore, the Consent Agenda will be used to:</p> <ul style="list-style-type: none">a) deal with items which the Board has delegated but is required to review or receive by relevant law or contract andb) to speed up the processing of Board decisions which the Chair believes the Board may not need further deliberation.	429146

Description : For Consideration of Approval for the Restatement of the Yavapai College Optional Defined Contribution Retirement Plan - RECEIPT, DISCUSSION, AND/OR DECISION

Details : For consideration of approval for the restatement of the Yavapai College Optional Defined Contribution Retirement Plan - Attached

Attachments :

Title	Created	Filename
ORP Plan Doc.pdf	Dec 04, 2014	ORP Plan Doc.pdf

**YAVAPAI COUNTY COMMUNITY COLLEGE DISTRICT
VOLUME SUBMITTER PROFIT SHARING PLAN
ADOPTION AGREEMENT**

By executing this Volume Submitter Profit Sharing Plan Adoption Agreement (the "Agreement"), the undersigned Employer agrees to establish or continue a Profit Sharing Plan. The Profit Sharing Plan adopted by the Employer consists of the Defined Contribution Volume Submitter Plan and Trust Basic Plan Document #04 (the "BPD") and the elections made under this Agreement (collectively referred to as the "Plan"). An Employer may jointly co-sponsor the Plan by signing a Participating Employer Adoption Page, which is attached to this Agreement. **This Plan is effective as of the Effective Date identified on the Signature Page of this Agreement.**

**SECTION 1
EMPLOYER INFORMATION**

The information contained in this Section 1 is informational only. The information set forth in this Section 1 may be modified without amending this Agreement. Any changes to this Section 1 may be accomplished by substituting a new Section 1 with the updated information. The information contained in this Section 1 is not required for qualification purposes and any changes to the provisions under this Section 1 will not affect the Employer's reliance on the IRS Favorable Letter.

1-1 EMPLOYER INFORMATION:

Name: YAVAPAI COUNTY COMMUNITY COLLEGE DISTRICT

Address:
1100 E. SHELDON STREET
PRESCOTT, AZ 86301

Telephone: 928-776-2211 Fax: _____

1-2 EMPLOYER IDENTIFICATION NUMBER (EIN): 86-0208371

1-3 FORM OF BUSINESS:

- | | |
|--|--|
| <input type="checkbox"/> C-Corporation | <input type="checkbox"/> S-Corporation |
| <input type="checkbox"/> Partnership / Limited Liability Partnership | <input type="checkbox"/> Limited Liability Company |
| <input type="checkbox"/> Sole Proprietor | <input type="checkbox"/> Tax-Exempt Entity |
| <input checked="" type="checkbox"/> Other: <u>Government exempt from ERISA</u> | |

[Note: Any entity entered under "Other" must be a legal entity recognized under federal income tax laws.]

1-4 EMPLOYER'S TAX YEAR END: The Employer's tax year ends JUNE 30

1-5 RELATED EMPLOYERS: Is the Employer part of a group of Related Employers (as defined in Section 1.120 of the Plan)?

- Yes
 No

If yes, Related Employers may be listed below. A Related Employer must complete a Participating Employer Adoption Page for Employees of that Related Employer to participate in this Plan. The failure to cover the Employees of a Related Employer may result in a violation of the minimum coverage rules under Code §410(b). (See Section 2.02(c) of the Plan.)

[Note: This AA §1-5 is for informational purposes. The failure to identify all Related Employers under this AA §1-5 will not jeopardize the qualified status of the Plan.]

**SECTION 2
PLAN INFORMATION**

2-1 PLAN NAME: YAVAPAI COLLEGE OPTIONAL DEFINED CONTRIBUTION RETIREMENT PLAN

2-2 PLAN NUMBER: 001

2-3 **TYPE OF PLAN:** This Plan is a Profit Sharing Defined Contribution Plan.

2-4 **PLAN YEAR:**

- (a) Calendar year
- (b) The 12-consecutive month period ending on JUNE 30 each year.
- (c) The Plan has a short Plan Year running from ____ to ____.

2-5 **FROZEN PLAN:** Check this AA §2-5 if the Plan is a frozen Plan to which no contributions will be made.

- This Plan is a frozen Plan effective ____ (see Section 3.02(a)(7) of the Plan).

[Note: As a frozen Plan, the Employer will not make any contributions with respect to Plan Compensation earned after such date and no Participant will be permitted to make any contributions to the Plan after such date. In addition, no Employee will become a Participant after the date the Plan is frozen.]

2-6 **MULTIPLE EMPLOYER PLAN:** Is this Plan a Multiple Employer Plan as defined in Section 1.82 of the Plan? (See Section 16.07 of the Plan for special rules applicable to Multiple Employer Plans.)

- Yes
- No

2-7 **PLAN ADMINISTRATOR:**

- (a) The Employer identified in AA §1-1.
- (b) Name: _____

Address: _____

Telephone: _____

[Note: This AA §2-7 may be used to designate an individual who is acting as Plan Administrator under ERISA §3(16). To the extent an individual is named in this AA §2-7 does not take on all responsibilities of Plan Administrator, the Employer will retain those responsibilities as Plan Administrator. See Section 1.96 of the Plan.]

SECTION 3
ELIGIBLE EMPLOYEES

3-1 **ELIGIBLE EMPLOYEES:** In addition to the Employees identified in Section 2.02 of the Plan, the following Employees are excluded from participation under the Plan. See Sections 2.02(e) and (f) of the Plan for rules regarding the effect on Plan participation if an Employee changes between an eligible and ineligible class of employment.

- (a) No exclusions
- (b) Collectively Bargained Employees
- (c) Non-resident aliens who receive no compensation from the Employer which constitutes U.S. source income
- (d) Leased Employees
- (e) Employees paid on an hourly basis
- (f) Employees paid on a salaried basis
- (g) Commissioned Employees
- (h) Highly Compensated Employees
- (i) Key Employees
- (j) Non-Key Employees who are Highly Compensated

(k) Other: EMPLOYEES WHO ARE NOT BENEFIT ELIGIBLE. A BENEFIT ELIGIBLE EMPLOYEE IS ONE WHO IS ELIGIBLE TO PARTICIPATE IN THE ARIZONA STATE RETIREMENT SYSTEM. BENEFIT ELIGIBLE EMPLOYEES WHO DO NOT EXECUTE AN IRREVOCABLE WAIVER OF COVERAGE UNDER THE ARIZONA STATE RETIREMENT SYSTEM WITHIN 30 DAYS OF EMPLOYMENT.

[Note: An exclusion of Employees under (d) - (k) above could cause the Plan to fail the minimum coverage requirements under Code §410(b). A class of Employees excluded under the Plan must be defined in such a way that it precludes Employer discretion and may not provide for an exclusion designed to cover only Nonhighly Compensated Employees with the lowest amount of compensation and/or the shortest periods of service who may represent the minimum number of Nonhighly Compensated Employees necessary to satisfy the coverage requirements under Code §410(b). See Section 2.02(b)(6) of the Plan for special rules that apply to service-based exclusions (e.g., part-time Employees). Also see Section 2.02(b) of the Plan for rules regarding the automatic exclusion/inclusion of other Employees.]

3-2 **EMPLOYEES OF AN EMPLOYER ACQUIRED AS PART OF A CODE §410(b)(6)(C) TRANSACTION.** An Employee acquired as part of a Code §410(b)(6)(C) transaction will become an Eligible Employee as of the date of the transaction (unless otherwise excluded under AA §3-1 or this AA §3-2). (See Section 2.02(d) of the Plan.)

Employees of the following Employers acquired as part of a Code §410(b)(6)(C) transaction are not eligible to participate under the Plan.

(a) Employees of an Employer acquired as part of a Code §410(b)(6)(C) transaction will not become an Eligible Employee until after the expiration of the transition period described in Code §410(b)(6)(C)(iii) (i.e., the period beginning on the date of the transaction and ending on the last day of the first Plan Year beginning after the date of the transaction). (See Section 2.02(d) of the Plan.)

(b) All Employees of any Employer acquired as part of a Code §410(b)(6)(C) transaction are excluded.

(c) The following acquired Employees are excluded/included under the Plan:

[Note: This subsection may be used to provide for the inclusion or exclusion of Employees with respect to specific Employers at a time other than provided under this AA §3-2.]

(d) Describe any special rules that apply for purposes of applying the rules under this AA §3-2: _____

[Note: If this AA §3-2 is not completed, Employees acquired under a Code §410(b)(6)(C) transaction are eligible to participate under the Plan as of the date of the transaction. However, see Section 2.02(c) of the Plan for rules regarding the coverage of Employees of a Related Employer and AA §4-5 for rules regarding the crediting of service with a Predecessor Employer. Any special rules under subsection (d) are subject to the minimum coverage requirements under Code §410(b) and the nondiscrimination rules under Code §401(a)(4).]

SECTION 4 MINIMUM AGE AND SERVICE REQUIREMENTS

4-1 **ELIGIBILITY REQUIREMENTS – MINIMUM AGE AND SERVICE:** An Eligible Employee (as defined in AA §3-1) who satisfies the minimum age and service conditions under this AA §4-1 will be eligible to participate under the Plan as of his/her Entry Date (as defined in AA §4-2 below).

(a) **Service Requirement.** An Eligible Employee must complete the following minimum service requirements to participate in the Plan. If a different minimum service requirement applies for different groups of Employees or for different contribution formulas, such differences may be described under subsection (c).

(1) There is no minimum service requirement for participation in the Plan.

(2) One Year of Service (as defined in Section 2.03(a)(1) of the Plan and AA §4-3).

(3) The completion of at least ___ [cannot exceed 1,000] Hours of Service during the first ___ [cannot exceed 12] months of employment or the completion of a Year of Service (as defined in AA §4-3), if earlier.

(i) An Employee who completes the required Hours of Service satisfies eligibility at the end of the designated period, regardless if the Employee actually works for the entire period.

(ii) An Employee who completes the required Hours of Service must also be employed continuously during the designated period of employment. See Section 2.03(a)(2) of the Plan for rules regarding the application of this subsection (ii).

- (4) The completion of ___ [cannot exceed 1,000] Hours of Service during an Eligibility Computation Period. [An Employee satisfies the service requirement immediately upon completion of the designated Hours of Service rather than at the end of the Eligibility Computation Period.]
- (5) Full-time Employees are eligible to participate as set forth in subsection (i). Employees who are “part-time” Employees must complete a Year of Service (as defined in AA §4-3). For this purpose, a full-time Employee is any Employee not defined in subsection (ii).
- (i) Full-time Employees must complete the following minimum service requirements to participate in the Plan:
- (A) There is no minimum service requirement for participation in the Plan.
- (B) The completion of at least ___ [cannot exceed 1,000] Hours of Service during the first ___ [cannot exceed 12] months of employment or the completion of a Year of Service (as defined in AA §4-3), if earlier.
- (C) Under the Elapsed Time method as defined in AA §4-3(c) below.
- (D) Describe: _____

[Note: Any conditions provided under (D) must satisfy the requirements of Code §410(a).]

- (ii) Part-time Employees must complete a Year of Service (as defined in AA §4-3). For this purpose, a part-time Employee is any Employee (including a temporary or seasonal Employee) whose normal work schedule is less than:
- (A) ___ hours per week.
- (B) ___ hours per month.
- (C) ___ hours per year.

- (6) Two (2) Years of Service. [Full and immediate vesting must be chosen under AA §8-2(a).]
- (7) Under the Elapsed Time method as defined in AA §4-3(c) below.
- (8) Describe eligibility conditions: _____

[Note: Any conditions on eligibility must satisfy the requirements of Code §410(a). An eligibility condition under this AA §4-1 may not cause an Employee to enter the Plan later than the first Entry Date following the completion of a Year of Service (as defined in AA §4-3). Also see Section 2.02(b)(5) and (6) for rules regarding the exclusion of certain “short-service” Employees and disguised service conditions.]

- (b) **Minimum Age Requirement.** An Eligible Employee (as defined in AA §3-1) must have attained the following age to participate under the Plan.

- (1) There is no minimum age for Plan eligibility.
- (2) Age 21.
- (3) Age 20½.
- (4) Age . (not later than age 21).

- (c) **Special eligibility rules.** The following special eligibility rules apply with respect to the Plan: _____

[Note: This subsection (c) may be used to apply the eligibility conditions selected under this AA §4-1 separately with respect to different Employee groups or different contribution formulas under the Plan. Any special eligibility rules must satisfy the requirements of Code §410(a).]

- 4-2 **ENTRY DATE:** An Eligible Employee (as defined in AA §3-1) who satisfies the minimum age and service requirements in AA §4-1 shall be eligible to participate in the Plan as of his/her Entry Date. For this purpose, the Entry Date is the following date.

- (a) **Immediate.** The date the minimum age and service requirements are satisfied (or date of hire, if no minimum age and service requirements apply).
- (b) **Semi-annual.** The first day of the 1st and 7th month of the Plan Year.
- (c) **Quarterly.** The first day of the 1st, 4th, 7th and 10th month of the Plan Year.
- (d) **Monthly.** The first day of each calendar month.
- (e) **Payroll period.** The first day of the payroll period.
- (f) **The first day of the Plan Year.** [See Section 2.03(b)(2) of the Plan for special rules that apply.]

An Eligible Employee's Entry Date (as defined above) is determined based on when the Employee satisfies the minimum age and service requirements in AA §4-1. For this purpose, an Employee's Entry Date is the Entry Date:

- (g) **next following** satisfaction of the minimum age and service requirements.
- (h) **coinciding with or next following** satisfaction of the minimum age and service requirements.
- (i) **nearest** the satisfaction of the minimum age and service requirements.
- (j) **preceding** the satisfaction of the minimum age and service requirements.

This section may be used to describe any special rules for determining Entry Dates under the Plan. For example, if different Entry Date provisions apply for different groups of Employees, such different Entry Date provisions may be described below.

- (k) **Describe** any special rules that apply with respect to the Entry Dates under this AA §4-2: _____
[Note: Any special rules must satisfy the requirements of Code §410(a) and may not cause an Employee to enter the Plan later than the first Entry Date following the completion of a Year of Service (as defined in AA §4-3).]

4-3 **DEFAULT ELIGIBILITY RULES.** In applying the minimum age and service requirements under AA §4-1 above, the following default rules apply:

- **Year of Service.** An Employee earns a Year of Service for eligibility purposes upon completing 1,000 Hours of Service during an Eligibility Computation Period. Hours of Service are calculated based on actual hours worked during the Eligibility Computation Period. (See Section 1.71 of the Plan for the definition of Hours of Service.)
- **Eligibility Computation Period.** If one Year of Service is required for eligibility, the Plan will determine subsequent Eligibility Computation Periods on the basis of Plan Years. (See Section 2.03(a)(3)(i) of the Plan.) If more than one Year of Service is required for eligibility, the Plan will determine subsequent Eligibility Computation Periods on the basis of Anniversary Years unless the Employee fails to earn a Year of Service in the first or second Eligibility Computation Period, the Plan will determine subsequent Eligibility Computation Periods on the basis of Plan Years beginning in the first or second Eligibility Computation Period, as applicable. (See Section 2.03(a)(3)(ii) of the Plan.)
- **Break in Service Rules.** The Nonvested Participant Break in Service rule and the One-Year Break in Service rule do NOT apply. (See Section 2.07 of the Plan.)

To override the default eligibility rules, complete the applicable sections of this AA §4-3. **If this AA §4-3 is not completed, the default eligibility rules apply.**

- (a) **Year of Service.** Instead of 1,000 Hours of Service, an Employee earns a Year of Service upon the completion of _____ *[must be less than 1,000]* Hours of Service during an Eligibility Computation Period.
- (b) **Eligibility Computation Period (ECP).** The Plan will use Anniversary Years for all Eligibility Computation Periods. (See Section 2.03(a)(3) of the Plan.)
- (c) **Elapsed Time method.** Eligibility service will be determined under the Elapsed Time method. An Eligible Employee (as defined in AA §3-1) must complete a period of service to participate in the Plan. (See Section 2.03(a)(6) of the Plan.)

[Note: Under the Elapsed Time method, service will be measured from the Employee's employment commencement date (or reemployment commencement date, if applicable) without regard to the Eligibility Computation Period designated in Section 2.03(a)(3) of the Plan. The period of service may not exceed 12 months for eligibility for After-Tax Employee Contributions. If a period greater than 12 months is entered under this subsection (c) and After-Tax Employee Contributions are authorized under AA §6-6, the period of service will be deemed to be a 12-month period. If a period greater than 12 months applies, 100% vesting must be selected under AA §8.]

- (d) **Equivalency Method.** For purposes of determining an Employee's Hours of Service for eligibility, the Plan will use the Equivalency Method (as defined in Section 2.03(a)(5) of the Plan). The Equivalency Method will apply to:
 - (1) All Employees.
 - (2) Only Employees for whom the Employer does not maintain hourly records. For Employees for whom the Employer maintains hourly records, eligibility will be determined based on actual hours worked. Hours of Service for eligibility will be determined under the following Equivalency Method.
 - (3) **Monthly.** 190 Hours of Service for each month worked.
 - (4) **Weekly.** 45 Hours of Service for each week worked.
 - (5) **Daily.** 10 Hours of Service for each day worked.
 - (6) **Semi-monthly.** 95 Hours of Service for each semi-monthly period worked.
- (e) **Nonvested Participant Break in Service rule applies.** Service earned prior to a Nonvested Participant Break in Service will be disregarded in applying the eligibility rules. (See Section 2.07(b) of the Plan.)

- The Nonvested Participant Break in Service rule applies to all Employees, including Employees who have not terminated employment.
- (f) **One-Year Break in Service rule applies.** The One-Year Break in Service rule (as defined in Section 2.07(d) of the Plan) applies to temporarily disregard an Employee’s service earned prior to a one-year Break in Service.
 - The One-Year Break in Service rule applies to all Employees, including Employees who have not terminated employment.
- (g) **Special eligibility provisions.** _____
[Note: Any conditions provided under subsection (g) must satisfy the requirements of Code §410(a) and may not cause an Employee to enter the Plan later than the first Entry Date following the completion of a Year of Service (as defined in this AA §4-3).]

4-4 EFFECTIVE DATE OF MINIMUM AGE AND SERVICE REQUIREMENTS. The minimum age and/or service requirements under AA §4-1 apply to all Employees under the Plan. An Employee will participate as of his/her Entry Date, taking into account all service with the Employer, including service earned prior to the Effective Date.

To allow Employees hired on a specified date to enter the Plan without regard to the minimum age and/or service conditions, complete this AA §4-4.

- An Eligible Employee who is employed by the Employer on the following date will become eligible to enter the Plan without regard to minimum age and/or service requirements (as designated below):
 - (a) the Effective Date of this Plan (as designated in the Employer Signature Page).
 - (b) the date the Plan is executed by the Employer (as indicated on the Employer Signature Page).
 - (c) ____ [insert date]

An Eligible Employee who is employed on the designated date will become eligible to participate in the Plan without regard to the minimum age and service requirements under AA §4-1. If both minimum age and service conditions are not waived, select (d) or (e) to designate which condition is waived under this AA §4-4.

- (d) This AA §4-4 only applies to the minimum service condition.
- (e) This AA §4-4 only applies to the minimum age condition.

The provisions of this AA §4-4 apply to all Eligible Employees employed on the designated date unless designated otherwise under subsection (f) or (g) below.

- (f) The provisions of this AA §4-4 apply to the following group of Employees employed on the designated date: _____
- (g) Describe special rules: _____

[Note: An Employee who is employed as of the date described in this AA §4-4 will be eligible to enter the Plan as of such date unless a different Entry Date is designated under subsection (g). The provisions of this AA §4-4 may not violate the minimum age or service rules under Code §410 or violate the nondiscrimination requirements under Code §401(a)(4).]

4-5 SERVICE WITH PREDECESSOR EMPLOYER. If the Employer is maintaining the Plan of a Predecessor Employer, service with such Predecessor Employer is automatically counted for eligibility, vesting and for purposes of applying any allocation conditions under AA §6-5.

In addition, this AA §4-5 may be used to identify any Predecessor Employers for whom service will be counted for purposes of determining eligibility, vesting and allocation conditions under this Plan. (See Sections 2.06, 3.09(c) and 7.08 of the Plan.) If this AA §4-5 is not completed, no service with a Predecessor Employer will be counted except as otherwise required under this AA §4-5.

- (a) **Identify Predecessor Employer(s):**
 - (1) The Plan will count service with all Employers which have been acquired as part of a transaction under Code §410(b)(6)(C).
 - (2) The Plan will count service with the following Predecessor Employers:

Name of Predecessor Employer	Eligibility	Vesting	Allocation Conditions
<input checked="" type="checkbox"/> (1) <u>ANY EDUCATIONAL ORGANIZATION OR ANY OTHER EMPLOYER COVERED UNDER THE ARIZONA STATE RETIREMENT SYSTEM.</u>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>

- (b) Describe any special provisions applicable to Predecessor Employer service: _____

[Note: Any special provisions may not violate the nondiscrimination requirements under Code §401(a)(4).]

SECTION 5
COMPENSATION DEFINITIONS

5-1 **TOTAL COMPENSATION.** Total Compensation is based on the definition set forth under this AA §5-1. See Section 1.141 of the Plan for a specific definition of the various types of Total Compensation.

- (a) W-2 Wages
 (b) Code §415 Compensation.
 (c) Wages under Code §3401(a).

[For purposes of determining Total Compensation, each definition includes Elective Deferrals as defined in Section 1.46 of the Plan, pre-tax contributions to a Code §125 cafeteria plan or a Code §457 plan, and qualified transportation fringes under Code §132(f)(4).]

5-2 **POST-SEVERANCE COMPENSATION.** Total Compensation includes post-severance compensation, to the extent provided in Section 1.141(b) of the Plan.

- (a) **Exclusion of post-severance compensation from Total Compensation.** The following amounts paid after a Participant's severance of employment are excluded from Total Compensation.
- (1) **Unused leave payments.** Payment for unused accrued bona fide sick, vacation, or other leave, but only if the Employee would have been able to use the leave if employment had continued.
 - (2) **Deferred compensation.** Payments received by an Employee pursuant to a nonqualified unfunded deferred compensation plan, but only if the payment would have been paid to the Employee at the same time if the Employee had continued in employment and only to the extent that the payment is includible in the Employee's gross income.

[Note: Plan Compensation (as defined in Section 1.97 of the Plan) includes any post-severance compensation amounts that are includible in Total Compensation. The Employer may elect to exclude all compensation paid after severance of employment from the definition of Plan Compensation under AA §5-3(j) or may elect to exclude specific types of post-severance compensation from Plan Compensation under AA §5-3(l).]

- (b) **Continuation payments for disabled Participants.** Unless designated otherwise under this subsection (b), Total Compensation does not include continuation payments for disabled Participants.
- Payments to disabled Participants.** Total Compensation shall include post-severance compensation paid to a Participant who is permanently and totally disabled, as provided in Section 1.141(c)(2) of the Plan. For this purpose, disability continuation payments will be included for:
 - (1) Nonhighly Compensated Employees only.
 - (2) All Participants who are permanently and totally disabled for a fixed or determinable period.

5-3 **PLAN COMPENSATION:** Plan Compensation is **Total Compensation** (as defined in AA §5-1 above) with the following exclusions:

- (a) Elective Deferrals (as defined in Section 1.46 of the Plan), pre-tax contributions to a cafeteria plan or a Code §457 plan, and qualified transportation fringes under Code §132(f)(4) are excluded.
- (b) All fringe benefits (cash and noncash), reimbursements or other expense allowances, moving expenses, deferred compensation, and welfare benefits are excluded.
- (c) Compensation above \$ ____ is excluded. (See Section 1.97 of the Plan.)
- (d) Amounts received as a bonus are excluded.
- (e) Amounts received as commissions are excluded.
- (f) Overtime payments are excluded.
- (g) Amounts received for services performed for a non-signatory Related Employer are excluded. (See Section 2.02(c) of the Plan.)
- (h) "Deemed §125 compensation" as defined in Section 1.141(d) of the Plan.

- (i) Amounts received after termination of employment are excluded. (See Section 1.141(b) of the Plan.)
- (j) Differential Pay (as defined in Section 1.141(e) of the Plan).
- (k) Describe adjustments to Plan Compensation: _____

[Note: Any exclusions selected under subsection (d) – (k) may cause the definition of Plan Compensation to fail to satisfy a safe harbor definition of compensation under Code §414(s). Failure to use a definition of Plan Compensation that satisfies the nondiscrimination requirements under Code §414(s) will cause the Plan to fail to qualify for any contribution safe harbors, such as the permitted disparity allocation safe harbor. Any adjustments to Plan Compensation under subsection (k) must be definitely determinable and preclude Employer discretion.]

5-4 **PERIOD FOR DETERMINING COMPENSATION.**

- (a) **Compensation Period.** Plan Compensation will be determined on the basis of the following period(s). [If a period other than Plan Year applies, any reference to the Plan Year as it refers to Plan Compensation will be deemed to be a reference to the period designated under this AA §5-4.]
 - (1) The Plan Year.
 - (2) The calendar year ending in the Plan Year.
 - (3) The Employer's fiscal tax year ending in the Plan Year.
 - (4) The 12-month period ending on ____ which ends during the Plan Year.
- (b) **Compensation while a Participant.** Unless provided otherwise under this subsection (b), in determining Plan Compensation, only compensation earned while an individual is a Participant under the Plan will be taken into account. To count compensation for the entire Plan Year, including compensation earned while an individual is not a Participant, check below. (See Section 1.97 of the Plan.)
 - All compensation earned during the Plan Year will be taken into account, including compensation earned while an individual is not a Participant.
- (c) **Few weeks rule.** The few weeks rule (as described in Section 5.03(c)(7)(ii) of the Plan) will not apply unless designated otherwise under this subsection (c).
 - Amounts earned but not paid during a Limitation Year solely because of the timing of pay periods and pay dates shall be included in Total Compensation for the Limitation Year, provided the amounts are paid during the first few weeks of the next Limitation Year, the amounts are included on a uniform and consistent basis with respect to all similarly situated Employees, and no amounts are included in more than one Limitation Year.

SECTION 6
EMPLOYER AND EMPLOYEE CONTRIBUTIONS

- 6-1 **EMPLOYER CONTRIBUTIONS:** The Employer will contribute to the Plan each Plan Year the amount determined under the Employer Contribution formula designated in AA §6-2 below. If so elected under AA §6-6, the Employer also may authorize Employees to make After-Tax Employee Contributions under the Plan.
- 6-2 **EMPLOYER CONTRIBUTION FORMULA:** For the period designated in AA §6-4(a) below, the Employer will make the following Employer Contributions on behalf of Participants who satisfy the allocation conditions designated in AA §6-5 below. Any Employer Contribution authorized under this AA §6-2 will be allocated in accordance with the allocation formula selected under AA §6-3.
 - (a) **Discretionary contribution.** The Employer will determine in its sole discretion how much, if any, it will make as an Employer Contribution.
 - (b) **Fixed contribution.**
 - (1) ____ % of each Participant's Plan Compensation.
 - (2) \$ ____ for each Participant.
 - (3) The Employer Contribution will be determined in accordance with any Collective Bargaining Agreement(s) addressing retirement benefits of Collectively Bargained Employees under the Plan.

- (c) **Service-based contribution.** The Employer will make the following contribution:
- (1) **Discretionary.** A discretionary contribution determined as a uniform percentage of Plan Compensation or a uniform dollar amount for each period of service designated below.
 - (2) **Fixed percentage.** ___% of Plan Compensation paid for each period of service designated below.
 - (3) **Fixed dollar.** \$ ___ for each period of service designated below.

The service-based contribution will be based on the following periods of service:

- (4) Each Hour of Service
- (5) Each week of employment
- (6) Describe period: _____

The service-based contribution is subject to the following rules:

- (7) Describe any special provisions that apply to service-based contribution: _____

[Note: Any period described in subsection (6) must apply uniformly to all Participants and cannot exceed a 12-month period. Any special provisions under subsection (7) must satisfy the nondiscrimination requirements under Code §401(a)(4) and the regulations thereunder.]

- (d) **Year of Service contribution.** The Employer will make an Employer Contribution based on Years of Service with the Employer.

	Years of Service	Contribution %
<input type="checkbox"/> (1)	For Years of Service between ___ and ___	___%
<input type="checkbox"/> (2)	For Years of Service between ___ and ___	___%
<input type="checkbox"/> (3)	For Years of Service between ___ and ___	___%
<input type="checkbox"/> (4)	For Years of Service ___ and above	___%

For this purpose, a Year of Service is each Plan Year during which an Employee completes at least 1,000 Hours of Service. Alternatively, a Year of Service is: _____

[Note: Any alternative definition of a Year of Service must meet the requirements of a Year of Service as defined in Section 2.03 of the Plan.]

- (e) **Prevailing Wage Formula.** The Employer will make a contribution for each Participant's Prevailing Wage Service based on the hourly contribution rate for the Participant's employment classification. (See Section 3.02(a)(5) of the Plan.)

- (1) **Amount of contribution.** The Employer will make an Employer Contribution based on the hourly contribution rate for the Participant's employment classification. The Prevailing Wage Contribution will be determined as follows:

- (i) The Employer Contribution will be determined based on the required contribution rates for the employment classifications under the applicable federal, state or municipal prevailing wage laws. For any Employee performing Prevailing Wage Service, the Employer may make the required contribution for such service without designating the exact amount of such contribution.
- (ii) The Employer will make the Prevailing Wage Contribution based on the hourly contribution rates as set forth in the Addendum attached to this Adoption Agreement. However, if the required contribution under the applicable federal, state or municipal prevailing wage law provides for a greater contribution than set forth in the Addendum, the Employer may make the greater contribution as a Prevailing Wage Contribution.

- (2) **Offset of other contributions.** The contributions under the Prevailing Wage Formula will offset other contributions under this Plan.

- (3) **Modification of default rules.** Section 3.02(a)(5) of the Plan contains default rules for administering the Prevailing Wage Formula. Complete this subsection (3) to modify the default provisions.
- (i) **Application to Highly Compensated Employees.** Instead of applying only to Nonhighly Compensated Employees, the Prevailing Wage Formula applies to all eligible Participants, including Highly Compensated Employees.
- (ii) **Minimum age and service conditions.** Instead of no minimum age or service condition, Prevailing Wage contributions are subject to a one Year of Service (as defined in AA§4-3) and age 21 minimum age and service requirement with semi-annual Entry Dates.
- (iii) **Allocation conditions.** Instead of no allocation conditions, the Prevailing Wage contributions are subject to a 1,000 Hours of Service and last day employment allocation condition, as set forth under Section 3.09 of the Plan.
- (iv) **Vesting.** Instead of 100% immediate vesting, Prevailing Wage contributions will vest under the following vesting schedule (as defined in Section 7.02 of the Plan):
- (A) Six-year graded vesting schedule
- (B) 3-year cliff vesting schedule
- (v) **Describe:** _____

[Note: Overriding the default provisions under this subsection (3) may restrict the ability of the Employer to take full credit for Prevailing Wage Contributions for purposes of satisfying its obligations under applicable federal, state or municipal prevailing wage laws. Any provision added under subsection (v) must satisfy the nondiscrimination requirements under Code §401(a)(4) and should be consistent with the applicable federal, state or municipal prevailing wage laws. See Section 3.02(a)(5) of the Plan.]

- (f) **No contributions – frozen Plan.** This Plan is a frozen Plan. No Employer Contributions will be made to the Plan as of the effective date of the freeze (as designated in AA §2-5).
- (g) **Describe special rules for determining contributions under Plan:** THE EMPLOYER SHALL CONTRIBUTE A PERCENTAGE OF PLAN COMPENSATION IN ACCORDANCE WITH THE EMPLOYER CONTRIBUTION RATE AS PRESCRIBED BY THE ARIZONA STATE RETIREMENT SYSTEM.

[Note: Any special rules under this subsection (g) must be described in a manner that precludes Employer discretion and must satisfy the nondiscrimination requirements of Code §401(a)(4) and the regulations thereunder.]

6-3 **ALLOCATION FORMULA.**

- (a) **Pro rata allocation.** The discretionary Employer Contribution under AA §6-2(a) will be allocated:
- (1) as a uniform percentage of Plan Compensation.
- (2) as a uniform dollar amount.
- (b) **Fixed contribution.** The fixed Employer Contribution under AA §6-2(b) will be allocated in accordance with the selections made under AA §6-2(b).
- (c) **Permitted disparity allocation.** The discretionary Employer Contribution under AA §6-2(a) will be allocated under the two-step method (as defined in Section 3.02(a)(1)(ii)(A) of the Plan), using the Taxable Wage Base (as defined in Section 1.136 of the Plan) as the Integration Level. However, for any Plan Year in which the Plan is Top Heavy, the four-step method (as defined in Section 3.02(a)(1)(ii)(B) of the Plan) applies, unless provided otherwise under subsection (2) below.

To modify these default rules, complete the appropriate provision(s) below.

- (1) **Integration Level.** Instead of the Taxable Wage Base, the Integration Level is:
- (i) ___% of the Taxable Wage Base, increased (but not above the Taxable Wage Base) to the next higher:
- | | |
|------------------------------------|--------------------------------------|
| <input type="checkbox"/> (A) N/A | <input type="checkbox"/> (B) \$1 |
| <input type="checkbox"/> (C) \$100 | <input type="checkbox"/> (D) \$1,000 |
- (ii) \$__ (not to exceed the Taxable Wage Base)
- (iii) 20% of the Taxable Wage Base

[Note: See Section 3.02(a)(1)(ii) of the Plan for rules regarding the Maximum Disparity Rate that may be used where an Integration Level other than the Taxable Wage Base is selected.]

- (2) **Four-step method.**
- (i) Instead of applying only when the Plan is top heavy, the four-step method will always be used.
 - (ii) The four-step method will never be used, even if the Plan is Top Heavy.
 - (iii) In applying step one and step two under the four-step method, instead of using Total Compensation, the Plan will use Plan Compensation. (See Section 3.02(a)(1)(ii)(B) of the Plan.)
- (3) **Describe** special rules for applying permitted disparity allocation formula: _____
- [*Note: Any special rules must satisfy the nondiscrimination requirements of Code §401(a)(4) and the regulations thereunder.*]
- (d) **Uniform points allocation.** The discretionary Employer Contribution designated in AA §6-2(a) will be allocated to each Participant in the ratio that each Participant's total points bears to the total points of all Participants. A Participant will receive the following points:
- (1) ___ point(s) for each ___ year(s) of age (attained as of the end of the Plan Year).
 - (2) ___ points for each \$___ (not to exceed \$200) of Plan Compensation.
 - (3) ___ point(s) for each ___ Year(s) of Service. For this purpose, Years of Service are determined:
 - (i) In the same manner as determined for eligibility.
 - (ii) In the same manner as determined for vesting.
 - (iii) Points will not be provided with respect to Years of Service in excess of ___.
- (e) **Employee group allocation.** The Employer may make a separate Employer Contribution to the Participants in the following allocation groups. The Employer must notify the Trustee in writing of the amount of the contribution to be allocated to each allocation group.
- (1) A separate discretionary Employer Contribution may be made to each Participant of the Employer (i.e., each Participant is in his/her own allocation group).
 - (2) A separate discretionary or fixed Employer Contribution may be made to the following allocation groups. If no fixed amount is designated for a particular allocation group, the contribution made for such allocation group will be allocated as a uniform percentage of Plan Compensation or as a uniform dollar amount to all Participants within that allocation group.
- [*Note: The allocation groups designated above must be clearly defined in a manner that will not violate the definite allocation formula requirement of Treas. Reg. §1.401-1(b)(1)(ii). See Section 3.02(a)(1)(iv)(B)(V) of the Plan for restrictions that apply with respect to "short-service" Employees. In the case of self-employed individuals (i.e., sole proprietorships or partnerships), the requirements of 1.401(k)-1(a)(6) continue to apply, and the allocation method should not be such that a cash or deferred election is created for a self-employed individual as a result of application of the allocation method.*]
- (3) **Special rules.** The following special rules apply to the Employee group allocation formula described in this AA §6-3(e).
- (i) **Family Members.** In determining the separate groups under (2) above, each Family Member (as defined in Section 1.65 of the Plan) of a Five Percent Owner is always in a separate allocation group. If there are more than one Family Members, each Family Member will be in a separate allocation group.
 - (ii) **Benefiting Participants who do not receive Minimum Gateway Contribution.** In determining the separate groups under (2) above, Benefiting Participants who do not receive a Minimum Gateway Contribution are always in a separate allocation group. If there are more than one Benefiting Participants who do not receive a Minimum Gateway Contribution, each will be in a separate allocation group. (See Section 3.02(a)(1)(iv)(B)(III) of the Plan.)
 - (iii) **More than one Employee group.** Unless designated otherwise under this subsection (iii), if a Participant is in more than one allocation group described in (2) above during the Plan Year, the Participant will receive an Employer Contribution based on the Participant's status on the last day of the Plan Year. (See Section 3.02(a)(1)(iv)(A) of the Plan.)
 - (A) **Determined separately for each Employee group.** If a Participant is in more than one allocation group during the Plan Year, the Participant's share of the Employer Contribution will be based on the Participant's status for the part of the year the Participant is in each allocation group.
 - (B) **Describe:** _____

[Note: Any language under this subsection (B) must be definitely determinable and may not violate the nondiscrimination requirements under Code §401(a)(4).]

- (f) **Age-based allocation.** The discretionary Employer Contribution designated in AA §6-2(a) will be allocated under the age-based allocation formula so that each Participant receives a pro rata allocation based on adjusted Plan Compensation. For this purpose, a Participant's adjusted Plan Compensation is determined by multiplying the Participant's Plan Compensation by an Actuarial Factor (as described in Section 1.04 of the Plan).

A Participant's Actuarial Factor is determined based on a specified interest rate and mortality table. Unless designated otherwise under (1) or (2) below, the Plan will use an applicable interest rate of 8.5% and a UP-1984 mortality table.

- (1) **Applicable interest rate.** Instead of 8.5%, the Plan will use an interest rate of ____% (must be between 7.5% and 8.5%) in determining a Participant's Actuarial Factor.
- (2) **Applicable mortality table.** Instead of the UP-1984 mortality table, the Plan will use the following mortality table in determining a Participant's Actuarial Factor: ____
- (3) **Describe special rules applicable to age-based allocation:** _____

[Note: See Exhibit A of the Plan for sample Actuarial Factors based on an 8.5% applicable interest rate and the UP-1984 mortality table. If an interest rate or mortality table other than 8.5% or UP-1984 is selected, appropriate Actuarial Factors must be calculated. Any alternative interest or mortality factors must meet the requirements for standard interest and mortality assumptions as defined in Treas. Reg. §1.401(a)(4)-12. Any special rules described under subsection (3) may not violate the nondiscrimination requirements under Code §401(a)(4).]

- (g) **Service-based allocation formula.** The service-based Employer Contribution selected in AA §6-2(c) will be allocated in accordance with the selections made in AA §6-2(c).
- (h) **Year of Service allocation formula.** The Year of Service Employer Contribution selected in AA §6-2(d) will be allocated in accordance with the selections made in AA §6-2(d).
- (i) **Prevailing Wage allocation formula.** The Prevailing Wage Employer Contribution selected in AA §6-2(e) will be allocated in accordance with the selections made in AA §6-2(e). The Employer may attach an Addendum to the Adoption Agreement setting forth the hourly contribution rate for the employment classifications eligible for Prevailing Wage contributions.
- (j) **Frozen Plan.** This is a frozen Plan (as designated in AA §2-5) so no Employer Contributions will be made to the Plan.
- (k) **Describe special rules for determining allocation formula: A PERCENTAGE OF PLAN COMPENSATION IN ACCORDANCE WITH THE CONTRIBUTION RATE AS PRESCRIBED BY THE ARIZONA STATE RETIREMENT SYSTEM.**

[Note: Any special rules under this subsection (k) must be described in a manner that precludes Employer discretion and must satisfy the nondiscrimination requirements of Code §401(a)(4) and the regulations thereunder.]

- 6-4 **SPECIAL RULES.** No special rules apply with respect to Employer Contributions under the Plan, except to the extent designated under this AA §6-4. Unless designated otherwise, in determining the amount of the Employer Contributions to be allocated under this AA §6, the Employer Contribution will be based on Plan Compensation earned during the Plan Year. (See Section 3.02(c) of the Plan.)

- (a) **Period for determining Employer Contributions.** Instead of the Plan Year, Employer Contributions will be determined based on Plan Compensation earned during the following period: [The Plan Year must be used if the permitted disparity allocation method is selected under AA §6-3(c) above.]
- (1) Plan Year quarter
- (2) calendar month
- (3) payroll period
- (4) Other: _____

[Note: Although Employer Contributions are determined on the basis of Plan Compensation earned during the period designated under this subsection (a), this does not require the Employer to actually make contributions or allocate contributions on the basis of such period. Employer Contributions may be contributed and allocated to Participants at any time within the contribution period permitted under Treas. Reg. §1.415(c)-1(b)(6)(B), regardless of the period selected under this subsection (a). Any alternative period designated under subsection (4) may not exceed a 12-month period and will apply uniformly to all Participants.]

- (b) **Limit on Employer Contributions.** The Employer Contribution elected in AA §6-2 may not exceed:

(1) ___% of Plan Compensation

(2) \$___

(3) Describe: _____

[Note: Any limitations under this subsection (3) must satisfy the nondiscrimination requirements of Code §401(a)(4) and the regulations thereunder.]

(c) **Offset of Employer Contribution.**

(1) A Participant's allocation of Employer Contributions under AA §6-2 of this Plan is reduced by contributions under _____ *[insert name of plan(s)]*. (See Section 3.02(d)(2) of the Plan.)

(2) In applying the offset under this subsection (c), the following rules apply: _____

[Note: Any language regarding the offset of benefits must satisfy the nondiscrimination requirements under Code §401(a)(4) and the regulations thereunder.]

(d) **Special rules: TO SHARE IN THE EMPLOYER CONTRIBUTION. EACH PARTICIPANT SHALL AGREE TO CONTRIBUTE TO THE PLAN A PERCENTAGE OF PLAN COMPENSATION IN ACCORDANCE WITH THE EMPLOYEE CONTRIBUTION RATE AS PRESCRIBED BY THE ARIZONA STATE RETIREMENT SYSTEM. THE EMPLOYER WILL "PICK UP" THESE EMPLOYEE CONTRIBUTIONS AS ALLOWED UNDER CODE SECTION 414(h)(2) AND THE PLAN WILL TREAT THESE CONTRIBUTIONS AS EMPLOYER CONTRIBUTIONS UNDER THE PLAN.**

[Note: Any special rules under this subsection (d) must satisfy the nondiscrimination requirements under Code §401(a)(4).]

6-5 **ALLOCATION CONDITIONS.** A Participant must satisfy any allocation conditions designated under this AA §6-5 to receive an allocation of Employer Contributions under the Plan.

[Note: Any allocation conditions set forth under this AA §6-5 do not apply to Prevailing Wage Contributions under AA §6-2(d), unless provided otherwise under AA §6-2(d)(3). See AA §4-5 for treatment of service with Predecessor Employers for purposes of applying the allocation conditions under this AA §6-5.]

(a) **No allocation conditions** apply with respect to Employer Contributions under the Plan.

(b) **Safe harbor allocation condition.** An Employee must be employed by the Employer on the last day of the Plan Year OR must complete more than:

(1) ___ (not to exceed 500) Hours of Service during the Plan Year.

(i) Hours of Service are determined using actual Hours of Service.

(ii) Hours of Service are determined using the following Equivalency Method (as defined under AA §4-3(d)):

(A) Monthly

(B) Weekly

(C) Daily

(D) Semi-monthly

(2) ___ (not more than 91) consecutive days of employment with the Employer during the Plan Year.

[Note: Under this safe harbor allocation condition, an Employee will satisfy the allocation conditions if the Employee completes the designated Hours of Service or period of employment, even if the Employee is not employed on the last day of the Plan Year. See Section 3.09 of the Plan for rules regarding the application of this allocation condition to the minimum coverage test.]

(c) **Employment condition.** An Employee must be employed with the Employer on the last day of the Plan Year.

(d) **Minimum service condition.** An Employee must be credited with at least:

(1) ___ (not to exceed 1,000) Hours of Service during the Plan Year.

(i) Hours of Service are determined using actual Hours of Service.

(ii) Hours of Service are determined using the following Equivalency Method (as defined under AA §4-3(d)):

(A) Monthly

(B) Weekly

(C) Daily

(D) Semi-monthly

(2) ___ (not more than 182) consecutive days of employment with the Employer during the Plan Year.

- (e) **Application to a specified period.** The allocation conditions selected under this AA §6-5 apply on the basis of the Plan Year. Alternatively, if an employment or minimum service condition applies under subsection (c) and/or (d), the Employer may elect under this subsection (e) to apply the allocation conditions on a periodic basis as set forth below. See Section 3.09(a) of the Plan for a description of the rules for applying the allocation conditions on a periodic basis.
- (1) **Period for applying allocation conditions.** Instead of the Plan Year, the allocation conditions set forth under subsection (2) below apply with respect to the following periods:
- (i) Plan Year quarter
 - (ii) calendar month
 - (iii) payroll period
 - (iv) Other: _____
- (2) **Application to allocation conditions.** If this subsection is checked to apply allocation conditions on the basis of specified periods, to the extent an employment or minimum service allocation condition applies under subsection (c) and/or (d), such allocation condition will apply based on the period selected under subsection (1) above, unless designated otherwise below:
- (i) Only the employment condition under subsection (c) will be based on the period selected in subsection (1) above.
 - (ii) Only the minimum service condition under subsection (d) will be based on the period selected in subsection (1) above.
 - (iii) Describe any special rules: _____
- [Note: Any special rules under subsection (iii) must satisfy the nondiscrimination requirements of Code §401(a)(4).]*
- (f) **Exceptions.**
- (1) The above allocation condition(s) will **not** apply if the Employee:
- (i) dies during the Plan Year.
 - (ii) terminates employment due to becoming Disabled.
 - (iii) terminates employment after attaining Normal Retirement Age.
 - (iv) terminates employment after attaining Early Retirement Age.
 - (v) is on an authorized leave of absence from the Employer.
- (2) The exceptions selected under subsection (1) will apply even if an Employee has not terminated employment at the time of the selected event(s).
- (3) The exceptions selected under subsection (1) do not apply to:
- (i) an employment condition under subsection (c) above.
 - (ii) a minimum service condition under subsection (d) above.
- (g) **Describe any special rules governing the allocation conditions under the Plan:** _____
- [Note: Any special rules under subsection (g) must satisfy the nondiscrimination requirements under Code §401(a)(4).]*

6-6 **AFTER-TAX EMPLOYEE CONTRIBUTIONS.**

- (a) **After-Tax Employee Contributions.** If this subsection (a) is checked, a Participant may contribute any amount as After-Tax Employee Contributions up to the Code §415 Limitation (as defined in Section 5.03 of the Plan), except as limited under this AA §6-6.
- (b) **Limits on After-Tax Employee Contributions.** If this subsection (b) is checked, the following limits apply to After-Tax Employee Contributions:
- (1) **Maximum limit.** A Participant may make After-Tax Employee Contributions up to
- (i) _____% of Plan Compensation
 - (ii) \$_____
- for the following period:
- (iii) the entire Plan Year.

- (iv) the portion of the Plan Year during which the Employee is eligible to participate.
- (v) each separate payroll period during which the Employee is eligible to participate.
- (2) **Minimum limit.** The amount of After-Tax Employee Contributions a Participant may make for any payroll period may not be less than:
 - (i) ____% of Plan Compensation
 - (ii) \$____
- (c) **Change or revocation of After-Tax Employee Contributions.** In addition to the Participant's Entry Date under the Plan, a Participant's election to change or resume After-Tax Employee Contributions will be effective as of the dates designated under the After-Tax Employee Contribution election form or other written procedures adopted by the Plan Administrator. Alternatively, the Employer may designate under this subsection (c) specific dates as of which a Participant may change or resume After-Tax Employee Contributions. (See Section 3.06 of the Plan.)
 - (1) The first day of each calendar quarter.
 - (2) The first day of each Plan Year.
 - (3) The first day of each calendar month.
 - (4) The beginning of each payroll period.
 - (5) Other: _____

[Note: A Participant must be permitted to change or revoke an After-Tax Employee Contribution election at least once per year. Unless designated otherwise under subsection (5), a Participant may revoke an election to make After-Tax Employee Contributions (on a prospective basis) at any time.]
- (d) **ACP Testing Method.** Any After-Tax Employee Contributions permitted under this AA §6-6 will be subject to the ACP Test, as defined in Section 6.02 of the Plan. In running the ACP Test for any Plan Year, the Current Year Testing Method (as defined in Section 6.02(a)(2)(ii) of the Plan) will apply, unless designated otherwise under this subsection (d).
 - The Plan will use the **Prior Year Testing Method** (as defined in Section 6.02(a)(2)(i) of the Plan) in running the ACP Test.
- (e) **Other limits:** _____

[Any other limits under this subsection (e) must comply with the nondiscrimination requirements under Code §401(a)(4).]

**SECTION 7
RETIREMENT AGES**

- 7-1 **NORMAL RETIREMENT AGE:** Normal Retirement Age under the Plan is:
- (a) Age 65 (not to exceed 65).
 - (b) The later of age ____ (not to exceed 65) or the ____ (not to exceed 5th) anniversary of the Employee's participation commencement date (as defined in Section 1.89 of the Plan).
 - (c) _____ (may not be later than the maximum age permitted under subsection (b)).
- [Note: Effective May 22, 2007, for Plans initially adopted on or after May 22, 2007, and effective for the first Plan Year beginning on or after July 1, 2008, for Plans initially adopted prior to May 22, 2007, if the Plan contains any assets transferred from a Money Purchase Plan (or any other pension plan described in Treas. Reg. §1.401-1(a)(2)(i)), the Normal Retirement Age selected in this AA §7-1 must be reasonably representative of the typical retirement age for the industry in which the Plan Participants work. An NRA under age 55 is presumed not to satisfy this requirement while a Normal Retirement Age of at least age 62 is deemed to be reasonable. See Section 1.89 of the Plan.]*
- 7-2 **EARLY RETIREMENT AGE:** Unless designated otherwise under this AA §7-2, there is no Early Retirement Age under the Plan.
- (a) A Participant reaches Early Retirement Age if he/she is still employed after attainment of each of the following:
 - (1) Attainment of age ____
 - (2) The ____ anniversary of the date the Employee commenced participation in the Plan, and/or

- (3) The completion of ___ Years of Service, determined as follows:
- (i) Same as for eligibility.
 - (ii) Same as for vesting.
- (b) Describe. _____

[Note: Any special rules under this subsection (b) must preclude Employer discretion and must satisfy the nondiscrimination requirements of Code §401(a)(4) and the regulations thereunder.]

SECTION 8
VESTING AND FORFEITURES

8-1 **VESTING OF EMPLOYER CONTRIBUTIONS.** The Employer Contributions authorized under AA §6 will vest in accordance with the vesting schedule designated under AA §8-2.

8-2 **VESTING SCHEDULE.** The vesting schedule under the Plan is as follows. See Section 7.02 of the Plan for a description of the various vesting schedules under this AA §8-2. [Note: Any Prevailing Wage Contributions under AA §6-2(d) are always 100% vested, regardless of any contrary selections in this AA §8-2 (unless provided otherwise under AA §6-2(d)(3)).]

- (a) **Vesting schedule:**
- (1) Full and immediate vesting
 - (2) 3-year cliff vesting schedule
 - (3) 6-year graded vesting schedule
 - (4) 5-year graded vesting schedule
 - (5) Modified vesting schedule
 - ___% after 1 Year of Service
 - ___% after 2 Years of Service
 - ___% after 3 Years of Service
 - ___% after 4 Years of Service
 - ___% after 5 Years of Service
 - 100% after 6 Years of Service

[Note: If a modified vesting schedule is selected under subsection (5), the vested percentage for every Year of Service must satisfy the vesting requirements under the 6-year graded vesting schedule, unless 100% vesting occurs after no more than 3 Years of Service.]

- (b) **Special provisions applicable to vesting schedule:** _____
- [Note: Any special provisions must satisfy the nondiscrimination requirements under Code §401(a)(4) and must satisfy the vesting requirements under Code §411.]

8-3 **VESTING SERVICE.** In applying the vesting schedules under this AA §8, all service with the Employer counts for vesting purposes, unless designated otherwise under this AA §8-3.

- (a) Service before the original Effective Date of this Plan (or a Predecessor Plan) is excluded.
- (b) Service completed before the Employee's ___ (not to exceed 18th) birthday is excluded.

[Note: See Section 7.08 of the Plan and AA §4-5 for rules regarding the crediting of service with Predecessor Employers for purposes of vesting under the Plan.]

8-4 **VESTING UPON DEATH, DISABILITY OR EARLY RETIREMENT AGE.** An Employee's vesting percentage increases to 100% if, while employed with the Employer, the Employee:

- (a) dies
- (b) becomes Disabled
- (c) reaches Early Retirement Age
- (d) Not applicable. No increase in vesting applies.

8-5 **DEFAULT VESTING RULES.** In applying the vesting requirements under this AA §8, the following default rules apply. [Note: No election should be made under this AA §8-5 if full and immediate vesting is selected under AA §8-2(a).]

- **Year of Service.** An Employee earns a Year of Service for vesting purposes upon completing 1,000 Hours of Service during a Vesting Computation Period. Hours of Service are calculated based on actual hours worked during the Vesting Computation Period. (See Section 1.71 of the Plan for the definition of Hours of Service.)
- **Vesting Computation Period.** The Vesting Computation Period is the Plan Year.
- **Break in Service Rules.** The Nonvested Participant Break in Service rule and One-Year Break in Service rules do NOT apply. (See Section 7.09 of the Plan.)

To override the default vesting rules, complete the applicable sections of this AA §8-5. If this AA §8-5 is not completed, the default vesting rules apply.

- (a) **Year of Service.** Instead of 1,000 Hours of Service, an Employee earns a Year of Service upon the completion of ____ [must be less than 1,000] Hours of Service during a Vesting Computation Period.
- (b) **Vesting Computation Period (VCP).** Instead of the Plan Year, the Vesting Computation Period is:
- (1) The 12-month period beginning with the Employee's date of hire and, for subsequent Vesting Computation Periods, the 12-month period beginning with the anniversary of the Employee's date of hire.
 - (2) Describe: _____
- [Note: Any Vesting Computation Period described in (2) must be a 12-consecutive month period and must apply uniformly to all Participants.]
- (c) **Elapsed Time Method.** Instead of determining vesting service based on actual Hours of Service, vesting service will be determined under the Elapsed Time Method. If this subsection (c) is checked, service will be measured from the Employee's employment commencement date (or reemployment commencement date, if applicable) without regard to the Vesting Computation Period designated in Section 7.06 of the Plan. (See Section 7.05(b) of the Plan.)
- (d) **Equivalency Method.** For purposes of determining an Employee's Hours of Service for vesting, the Plan will use the Equivalency Method (as defined in Section 7.05(a)(2) of the Plan). The Equivalency Method will apply to:
- (1) All Employees.
 - (2) Only to Employees for whom the Employer does not maintain hourly records. For Employees for whom the Employer maintains hourly records, vesting will be determined based on actual hours worked.
- Hours of Service for vesting will be determined under the following Equivalency Method.
- (3) **Monthly.** 190 Hours of Service for each month worked.
 - (4) **Weekly.** 45 Hours of Service for each week worked.
 - (5) **Daily.** 10 Hours of Service for each day worked.
 - (6) **Semi-monthly.** 95 Hours of Service for each semi-monthly period.
- (e) **Nonvested Participant Break in Service rule applies.** Service earned prior to a Nonvested Participant Break in Service will be disregarded in applying the vesting rules. (See Section 7.09(c) of the Plan.)
- The Nonvested Participant Break in Service rule applies to all Employees, including Employees who have not terminated employment.
- (f) **One-Year Break in Service rule applies.** The One-Year Break in Service rule (as defined in Section 7.09(b) of the Plan) applies to temporarily disregard an Employee's service earned prior to a one-year Break in Service.
- The One-Year Break in Service rule applies to all Employees, including Employees who have not terminated employment.
- (g) **Special rules.** _____
- [Note: Any special rules must satisfy the nondiscrimination requirements of Code §401(a)(4) and the regulations thereunder.]

8-6 **ALLOCATION OF FORFEITURES.**

The Employer may decide in its discretion how to treat forfeitures under the Plan . Alternatively, the Employer may designate under this AA §8-6 how forfeitures occurring during a Plan Year will be treated. (See Section 7.13 of the Plan.)

- (a) N/A. Contributions are 100% vested. [Do not complete the rest of this AA §8-6.]
- (b) Reallocated as additional Employer Contributions.

(c) Used to reduce Employer Contributions.

For purposes of subsection (b) or (c), forfeitures will be applied:

(d) for the Plan Year in which the forfeiture occurs.

(e) for the Plan Year following the Plan Year in which the forfeitures occur.

Prior to applying forfeitures under subsection (b) or (c):

(f) Forfeitures may be used to pay Plan expenses. (See Section 7.13(d) of the Plan.)

(g) Forfeitures may not be used to pay Plan expenses.

In determining the amount of forfeitures to be allocated under subsection (b), the same allocation conditions apply as under AA §6-5, unless designated otherwise below.

(h) Forfeitures are not subject to any allocation conditions.

(i) Forfeitures are subject to a last day of employment allocation condition.

(j) Forfeitures are subject to a ____ Hours of Service minimum service requirement.

In determining the treatment of forfeitures under this AA §8-6, the following special rules apply:

(k) Describe: _____

[Note: Any language added under this subsection (k) may not result in a discriminatory allocation of forfeitures in violation of the requirements of Code §401(a)(4).]

8-7 SPECIAL RULES REGARDING CASH-OUT DISTRIBUTIONS.

(a) **Additional allocations.** If a terminated Participant receives a complete distribution of his/her vested Account Balance while still entitled to an additional allocation, the Cash-Out Distribution forfeiture provisions do not apply until the Participant receives a distribution of the additional amounts to be allocated. (See Section 7.12(a)(1) of the Plan.)

To modify the default Cash-Out Distribution forfeiture rules, complete this AA §8-7(a).

The Cash-Out Distribution forfeiture provisions will apply if a terminated Participant takes a complete distribution, regardless of any additional allocations during the Plan Year.

(b) **Timing of forfeitures.** A Participant who receives a Cash-Out Distribution (as defined in Section 7.12(a) of the Plan) is treated as having an immediate forfeiture of his/her nonvested Account Balance.

To modify the forfeiture timing rules to delay the occurrence of a forfeiture upon a Cash-Out Distribution, complete this AA §8-7(b).

A forfeiture will occur upon the completion of ____ *[cannot exceed 5]* consecutive Breaks in Service (as defined in Section 7.09(a) of the Plan).

SECTION 9 DISTRIBUTION PROVISIONS – TERMINATION OF EMPLOYMENT

9-1 AVAILABLE FORMS OF DISTRIBUTION.

Lump sum distribution. A Participant may take a distribution of his/her entire vested Account Balance in a single lump sum upon termination of employment. The Plan Administrator may, in its discretion, permit Participants to take distributions of less than their entire vested Account Balance provided, if the Plan Administrator permits multiple distributions, all Participants are allowed to take multiple distributions upon termination of employment. In addition, the Plan Administrator may permit a Participant to take partial distributions or installment distributions solely to the extent necessary to satisfy the required minimum distribution rules under Section 8 of the Plan.

Additional distribution options. To provide for additional distribution options, check the applicable distribution forms under this AA §9-1.

(a) **Installment distributions.** A Participant may take a distribution over a specified period not to exceed the life or life expectancy of the Participant (and a designated beneficiary).

(b) **Annuity distributions.** A Participant may elect to have the Plan Administrator use the Participant's vested Account Balance to purchase an annuity as described in Section 8.02 of the Plan. *[This annuity distribution option is in addition to any QJSA distribution required under AA §9-2.]*

- (c) **Describe distribution options: ANY ANNUITY OR ANY OTHER WITHDRAWAL OPTIONS AS PROVIDED UNDER THE FUNDING VEHICLE CONTRACT.**

[Note: Any additional distribution options described in subsection (c) may not be subject to the discretion of the Employer or Plan Administrator.]

- 9-2 **QUALIFIED JOINT AND SURVIVOR ANNUITY RULES.** This Plan is not subject to the Qualified Joint and Survivor Annuity rules, except to the extent required under Section 9.01 of the Plan (e.g., if the Plan is a Transferee Plan). Upon termination of employment, a Participant may receive a distribution from the Plan, in accordance with the provisions of AA §9-3, in any form allowed under AA §9-1. (If any portion of this Plan is subject to the Qualified Joint and Survivor Annuity rules, the QJSA and QPSA provisions will automatically apply to such portion of the Plan.)

To override this default provision, complete the applicable sections of this AA §9-2.

- (a) **Qualified Joint and Survivor Annuity rules.** Check this subsection (a) to apply the Qualified Joint and Survivor Annuity rules to the entire Plan. If this subsection (a) is checked, all distributions from the Plan must satisfy the QJSA requirements under Section 9 of the Plan, with the following modifications:
- (1) **No modifications.**
 - (2) **Modified QJSA benefit.** Instead of a 50% survivor benefit, the Spouse's survivor benefit is:
 - (i) 100%. (ii) 75%. (iii) 66-2/3%.
- (b) **Modified QPSA benefit.** Instead of a 50% QPSA benefit, the QPSA benefit is 100% of the Participant's vested Account Balance.

9-3 **TIMING OF DISTRIBUTIONS UPON TERMINATION OF EMPLOYMENT.**

- (a) **Distribution of vested Account Balances exceeding \$5,000.** A Participant who terminates employment with a vested Account Balance exceeding \$5,000 may receive a distribution of his/her vested Account Balance in any form permitted under AA §9-1 within a reasonable period following:

- (1) the date the Participant terminates employment.
- (2) the last day of the Plan Year during which the Participant terminates employment.
- (3) the first Valuation Date following the Participant's termination of employment.
- (4) the completion of ___ Breaks in Service.
- (5) the end of the calendar quarter following the date the Participant terminates employment.
- (6) attainment of Normal Retirement Age, death or becoming Disabled.
- (7) Describe: _____

[Note: Any distribution event under subsection (7) will apply uniformly to all Participants under the Plan. and may not be subject to the discretion of the Employer or Plan Administrator. See AA §11-7 for special rules that may apply to distributions of Qualifying Employer Securities and/or Qualifying Employer Real Property.]

- (b) **Distribution of vested Account Balances not exceeding \$5,000.** A Participant who terminates employment with a vested Account Balance that does not exceed \$5,000 may receive a **lump sum** distribution of his/her vested Account Balance within a reasonable period following:

- (1) the date the Participant terminates employment.
- (2) the last day of the Plan Year during which the Participant terminates employment.
- (3) the first Valuation Date following the Participant's termination of employment.
- (4) the end of the calendar quarter following the date the Participant terminates employment.
- (5) Describe: _____

[Note: Any distribution event under subsection (5) will apply uniformly to all Participants under the Plan and may not be subject to the discretion of the Employer or Plan Administrator. See AA §11-7 for special rules that may apply to distributions of Qualifying Employer Securities and/or Qualifying Employer Real Property.]

- 9-4 **DISTRIBUTION UPON DISABILITY.** Unless designated otherwise under this AA §9-4, a Participant who terminates employment on account of becoming Disabled may receive a distribution of his/her vested Account Balance in the same manner as a regular distribution upon termination.

- (a) **Termination of Disabled Employee.**

- (1) **Immediate distribution.** Distribution will be made as soon as reasonable following the date the Participant terminates on account of becoming Disabled.

(2) **Following year.** Distribution will be made as soon as reasonable following the last day of the Plan Year during which the Participant terminates on account of becoming Disabled.

(3) **Describe:** _____
[Note: Any distribution event described in subsection (3) will apply uniformly to all Participants under the Plan and may not be subject to the discretion of the Employer or Plan Administrator.]

(b) **Definition of Disabled.** A Participant is treated as Disabled if such Participant satisfies the conditions in Section 1.38 of the Plan.

To override this default definition, check below to select an alternative definition of Disabled to be used under the Plan.

(1) The definition of Disabled is the same as defined in the Employer's Disability Insurance Plan.

(2) The definition of Disabled is the same as defined under Section 223(d) of the Social Security Act for purposes of determining eligibility for Social Security benefits.

(3) Alternative definition of Disabled: _____

[Note: Any alternative definition described above will apply uniformly to all Participants under the Plan. In addition, any alternative definition of Disabled may not discriminate in favor of Highly Compensated Employees.]

9-5 DETERMINATION OF BENEFICIARY.

(a) **Default beneficiaries.** Unless elected otherwise under this subsection (a), the default beneficiaries described under Section 8.08(c) of the Plan are the Participant's surviving Spouse, the Participant's surviving children, and the Participant's estate.

If this subsection (a) is checked, the default beneficiaries under Section 8.08(c) of the Plan are modified as follows:

(b) **One-year marriage rule.** For purposes of determining whether an individual is considered the surviving Spouse of the Participant, the determination is based on the marital status as of the date of the Participant's death, unless designated otherwise under this subsection (b).

If this subsection (b) is checked, in order to be considered the surviving Spouse, the Participant and surviving Spouse must have been married for the entire one-year period ending on the date of the Participant's death. If the Participant and surviving Spouse are not married for at least one year as of the date of the Participant's death, the Spouse will not be treated as the surviving Spouse for purposes of applying the distribution provisions of the Plan. (See Section 9.04(c)(2) of the Plan.)

(c) **Divorce of Spouse.** Unless elected otherwise under this subsection (c), if a Participant designates his/her Spouse as Beneficiary and subsequent to such Beneficiary designation, the Participant and Spouse are divorced, the designation of the Spouse as Beneficiary under the Plan is automatically rescinded as set forth under Section 8.08(c)(6) of the Plan.

If this subsection (c) is checked, a Beneficiary designation will not be rescinded upon divorce of the Participant and Spouse.

[Note: Section 8.08(c)(6) of the Plan and this subsection (c) will be subject to the provisions of a Beneficiary designation entered into by the Participant. Thus, if a Beneficiary designation specifically overrides the election under this subsection (c), the provisions of the Beneficiary designation will control. See Section 8.08(c)(6) of the Plan.]

9-6 SPECIAL RULES.

(a) **Availability of Involuntary Cash-Out Distributions.** A Participant who terminates employment with a vested Account Balance of \$5,000 or less will receive an Involuntary Cash-Out Distribution, subject to the Automatic Rollover provisions under Section 8.06 of the Plan.

Alternatively, an Involuntary Cash-Out Distribution will be made to the following terminated Participants:

(1) **No Involuntary Cash-Out Distributions.** The Plan does not provide for Involuntary Cash-Out Distributions. A terminated Participant must consent to any distribution from the Plan. (See Section 14.03(b) of the Plan for special rules upon Plan termination.)

(2) **Lower Involuntary Cash-Out Distribution threshold.** A terminated Participant will receive an Involuntary Cash-Out Distribution only if the Participant's vested Account Balance is less than or equal to:

(i) \$1,000

(ii) \$_____ (must be less than \$5,000)

- (b) **Application of Automatic Rollover rules.** The Automatic Rollover rules described in Section 8.06 of the Plan do not apply to any Involuntary Cash-Out Distribution below \$1,000 (to the extent available under the Plan).

To override this default provision, check this subsection (b).

- The Automatic Rollover provisions under Section 8.06 of the Plan apply to all Involuntary Cash-Out Distributions (including those below \$1,000).

- (c) **Treatment of Rollover Contributions.** Unless elected otherwise under this subsection (c), Rollover Contributions will be excluded in determining whether a Participant's vested Account Balance exceeds the Involuntary Cash-Out threshold for purposes of applying the distribution rules under this AA §9 and Section 8.04(a) of the Plan. To include Rollover Contributions for purposes of applying the Plan's distribution rules, check below.

- In determining whether a Participant's vested Account Balance exceeds the Involuntary Cash-Out threshold, Rollover Contributions will be included.

[Note: This subsection (c) should be checked if a lower Involuntary Cash-Out Distribution is selected in subsection (a)(2) above in order to avoid the Automatic Rollover provisions described in Section 8.06 of the Plan. Failure to check this subsection (c) could cause the Plan to be subject to the Automatic Rollover provisions if a Participant receives a distribution attributable to Rollover Contributions that exceeds \$1,000.]

- (d) **Distribution upon attainment of stated age.** The Participant consent requirements under Section 8.04 of the Plan apply for distributions occurring prior to attainment of the Participant's Required Beginning Date.

To allow for involuntary distribution upon attainment of Normal Retirement Age (or age 62, if later), check below.

- Subject to the spousal consent requirements under Section 9.04 of the Plan, a distribution from the Plan may be made to a terminated Participant without the Participant's consent, regardless of the value of such Participant's vested Account Balance, upon attainment of Normal Retirement Age (or age 62, if later).

- (e) **In-kind distributions.** Section 8.02(b) of the Plan allows the Plan Administrator to authorize an in-kind distribution of property, including Employer Securities, to the extent the Plan holds such property.

To modify this default rule, check below.

- A Participant may not receive an in-kind distribution in the form of property or securities, even if the Plan holds such property on behalf of any Participant.

SECTION 10

IN-SERVICE DISTRIBUTIONS AND REQUIRED MINIMUM DISTRIBUTIONS

- 10-1 **AVAILABILITY OF IN-SERVICE DISTRIBUTIONS.** A Participant may withdraw all or any portion of his/her vested Account Balance, to the extent designated, upon the occurrence of any of the event(s) selected under this AA §10-1. If more than one option is selected under this AA §10-1, a Participant may take an in-service distribution upon the occurrence of any of the selected events, unless designated otherwise under AA §10-1(j).

- (a) No in-service distributions are permitted.
- (b) Attainment of age ____.
- (c) A Hardship (that satisfies the safe harbor rules under Section 8.10(e)(1) of the Plan).
- (d) A non-safe harbor Hardship described in Section 8.10(e)(2) of the Plan.
- (e) Attainment of Normal Retirement Age.
- (f) Attainment of Early Retirement Age.
- (g) The Participant has participated in the Plan for at least ____ (cannot be less than 60) months.
- (h) The amounts being withdrawn have been held in the Trust for at least two years.
- (i) Upon a Participant becoming Disabled (as defined in AA §9-4(b)).
- (j) Describe: _____

[Note: Any distribution event described in subsection (j) may not discriminate in favor of Highly Compensated Employees.]

10-2 **APPLICATION TO OTHER CONTRIBUTION SOURCES.** If the Plan allows for Rollover Contributions under AA §C-2 or After-Tax Employee Contributions under AA §6-6, unless elected otherwise under this AA §10-2, a Participant may take an in-service distribution from his/her Rollover Account and After-Tax Employee Contribution Account at any time.

Alternatively, if this AA §10-2 is completed, the following in-service distribution provisions apply for Rollover Contributions, and/or After-Tax Employee Contributions:

Rollover	After-Tax	
<input type="checkbox"/>	<input type="checkbox"/>	(a) No in-service distributions are permitted.
<input type="checkbox"/>	<input type="checkbox"/>	(b) Attainment of age ____.
<input type="checkbox"/>	<input type="checkbox"/>	(c) A Hardship (that satisfies the safe harbor rules under Section 8.10(e)(1) of the Plan).
<input type="checkbox"/>	<input type="checkbox"/>	(d) A non-safe harbor Hardship described in Section 8.10(e)(2) of the Plan.
<input type="checkbox"/>	<input type="checkbox"/>	(e) Attainment of Normal Retirement Age.
<input type="checkbox"/>	<input type="checkbox"/>	(f) Attainment of Early Retirement Age.
<input type="checkbox"/>	<input type="checkbox"/>	(g) Upon a Participant becoming Disabled (as defined in AA §9-4(b)).
<input type="checkbox"/>	<input type="checkbox"/>	(h) Describe: _____

[Note: Any distribution event described in subsection (h) may not discriminate in favor of Highly Compensated Employees.]

10-3 **SPECIAL DISTRIBUTION RULES.** No special distribution rules apply, unless specifically provided under this AA §10-3.

- (a) In-service distributions will only be permitted if the Participant is 100% vested in the Account from which amounts are being withdrawn.
- (b) A Participant may take no more than ____ in-service distribution(s) in a Plan Year.
- (c) A Participant may not take an in-service distribution of less than \$____.
- (d) A Participant may not take an in-service distribution of more than \$____.
- (e) Unless elected otherwise under this subsection (e), the hardship distribution provisions of the Plan are not expanded to cover primary beneficiaries as set forth in Section 8.10(e)(5) of the Plan. If this subsection (e) is checked, the hardship provisions of the Plan will apply with respect to individuals named as primary beneficiaries under the Plan.
- (f) In determining whether a Participant has an immediate and heavy financial need for purposes of applying the non-safe harbor Hardship provisions under Section 8.10(e)(2) of the Plan, the following modifications are made to the permissible events listed under Section 8.10(e)(1)(i) of the Plan: _____

[Note: This subsection (f) may only be used to the extent a non-safe harbor Hardship distribution is authorized under AA §10-1 or AA §10-2.]

- (g) Other distribution rules: _____

[Note: Any other distribution rules described in subsection (g) may not discriminate in favor of Highly Compensated Employees. This subsection (g) may be used to apply the limitations under this AA §10-3 only to specific in-service distribution options (e.g., hardship distributions).]

10-4 **REQUIRED MINIMUM DISTRIBUTIONS.**

- (a) **Required Beginning Date – non-5% owners.** In applying the required minimum distribution rules under Section 8.12 of the Plan, the Required Beginning Date for non-5% owners is the later of attainment of age 70½ or termination of employment. To override this default provision, check this subsection (a).
 - The Required Beginning Date for a non-5% owner is the date the Employee attains age 70½, even if the Employee is still employed with the Employer.
- (b) **Required distributions after death.** If a Participant dies before distributions begin and there is a Designated Beneficiary, the Participant or Beneficiary may elect on an individual basis whether the 5-year rule (as described in Section 8.12(f)(1) of the Plan) or the life expectancy method described under Sections 8.12(b) and (d) of the Plan apply. See Section 8.12(f)(2) of the Plan for rules regarding the timing of an election authorized under this AA §10-4.

Alternatively, if selected under this subsection (b), any death distributions to a Designated Beneficiary will be made only under the 5-year rule.

- The 5-year rule under Section 8.12(f)(1) of the Plan applies (instead of the life expectancy method). Thus, the entire death benefit must be distributed by the end of the fifth year following the year of the Participant's death. Death distributions to a Designated Beneficiary may not be made under the life expectancy method.

(c) **Waiver of Required Minimum Distribution for 2009.** For purposes of applying the Required Minimum Distribution rules for the 2009 Distribution Calendar Year, as described in Section 8.12(f)(4) of the Plan, a Participant (including an Alternate Payee or beneficiary of a deceased Participant) who is eligible to receive a Required Minimum Distribution for the 2009 Distribution Calendar Year may elect whether or not to receive the 2009 Required Minimum Distribution (or any portion of such distribution). If a Participant does not specifically elect to leave the 2009 Required Minimum Distribution in the Plan, such distribution will be made for the 2009 Distribution Calendar Year as set forth in Section 8.12 of the Plan.

- (1) **No Required Minimum Distribution for 2009.** If this box is checked, 2009 Required Minimum Distributions will not be made to Participants who are otherwise required to receive a Required Minimum Distribution for the 2009 Distribution Calendar Year under Section 8.12 of the Plan, unless the Participant elects to receive such distribution.

- (2) **Describe any special rules applicable to 2009 Required Minimum Distributions:** _____

SECTION 11
MISCELLANEOUS PROVISIONS

11-1 **PLAN VALUATION.** The Plan is valued **annually**, as of the last day of the Plan Year.

- (a) **Additional valuation dates.** In addition, the Plan will be valued on the following dates:
- (a) **Daily.** The Plan is valued at the end of each business day during which the New York Stock Exchange is open.
- (b) **Monthly.** The Plan is valued at the end of each month of the Plan Year.
- (c) **Quarterly.** The Plan is valued at the end of each Plan Year quarter.
- (d) **Describe:** _____

[Note: The Employer may elect operationally to perform interim valuations, provided such valuations do not result in discrimination in favor of Highly Compensated Employees.]

- (b) **Special rules.** The following special rules apply in determining the amount of income or loss allocated to Participants' Accounts: _____

[Note: This subsection may be used to describe special rules for different investment options, such as Qualifying Employer Securities and Qualifying Employer Real Property or other specific investment options. Any special rules may not violate the nondiscrimination rules under Code §401(a)(4).]

11-2 **DEFINITION OF HIGHLY COMPENSATED EMPLOYEE.** In determining which Employees are Highly Compensated (as defined in Section 1.69 of the Plan), the Top-Paid Group Test does not apply, unless designated otherwise under this AA §11-2.

- (a) The **Top-Paid Group Test** applies.
- (b) The **Calendar Year Election** applies. *[This subsection (b) may be chosen only if the Plan Year is not the calendar year. If this subsection (b) is not selected, the determination of Highly Compensated Employees is based on the Plan Year. See Section 1.69(d) of the Plan.]*

11-3 **SPECIAL RULES FOR APPLYING THE CODE §415 LIMITATION.** The provisions under Section 5.03 of the Plan apply for purposes of determining the Code §415 Limitation.

Complete this AA §11-3 to override the default provisions that apply in determining the Code §415 Limitation under Section 5.03 of the Plan.

- (a) **Limitation Year.** Instead of the Plan Year, the Limitation Year is the 12-month period ending _____.

[Note: If the Plan has a short Plan Year for the first year of establishment, the Limitation Year is deemed to be the 12-month period ending on the last day of the short Plan Year.]

(b) **Imputed compensation.** For purposes of applying the Code §415 Limitation, Total Compensation includes imputed compensation for a Nonhighly Compensated Participant who terminates employment on account of becoming Disabled. (See Section 5.03(c)(7)(iii) of the Plan.)

(c) **Special rules:** _____
[Note: Any special rules under this subsection (c) must be consistent with the requirements of Code §415 and the regulations thereunder and must comply with the nondiscrimination requirements under Code §401(a)(4).]

11-4 SPECIAL RULES FOR TOP-HEAVY PLANS. No special rules apply with respect to Top-Heavy Plans, unless designated otherwise under this AA §11-4.

(a) **Top Heavy contribution.** If this subsection (a) is checked, any Top Heavy minimum contribution required under Section 4 of the Plan will be allocated to all Participants, including Key Employees. *[If this subsection (a) is not checked, any Top Heavy minimum contribution will be allocated only to Non-Key Employees.]*

(b) **Vesting rules applicable to Top Heavy Plans.** Generally, if a Top Heavy minimum contribution is made for a Plan Year, such contribution will be subject to the vesting schedule selected in AA §8-2 applicable to Employer Contributions. If no Employer Contributions are made to the Plan, any Top Heavy minimum contribution will be subject to a 6-year graded vesting schedule.

Alternatively, if elected under this subsection (b), the following vesting schedule will apply to any Top Heavy minimum contributions under the Plan. (See Section 4.04(h) of the Plan.)

(1) Full and immediate vesting.

(2) 3-year cliff vesting schedule

(3) Describe: _____

[Note: Any vesting schedule under subsection (3) must be a permissible vesting schedule, as described in Section 7.02 of the Plan.]

11-5 SPECIAL RULES FOR MORE THAN ONE PLAN.

(a) **Top Heavy minimum contribution – Defined Contribution Plan.** If the Employer maintains this Plan and one or more Defined Contribution Plans, any Top Heavy minimum contribution will be provided under this Plan, provided the Top Heavy minimum contribution is not otherwise provided under the other Defined Contribution Plans. (See Section 4.04(f)(1) of the Plan.)

To provide the Top Heavy minimum contribution under another Defined Contribution Plan, complete this subsection (a).

(1) The Top Heavy minimum contribution will be provided in the following Defined Contribution Plan maintained by the Employer: _____

(2) Describe the Top Heavy minimum contribution that will be provided under the other Defined Contribution Plan: _____

(3) Describe Employees who will receive the Top Heavy minimum contribution under the other Defined Contribution Plan: _____

(b) **Top Heavy minimum contribution – Defined Benefit Plan.** If the Employer maintains this Plan and one or more Defined Benefit Plans, any Top Heavy minimum contribution will be provided under this Plan, provided the Top Heavy minimum benefit is not otherwise provided under the other Defined Benefit Plans. If the Top Heavy minimum contribution is provided under this Plan, the minimum required contribution is increased from 3% to 5% of Total Compensation for the Plan Year. (See Section 4.04(f)(2) of the Plan.)

To provide the Top Heavy minimum benefit under a Defined Benefit Plan, complete this subsection (b).

(1) The Top Heavy minimum benefit will be provided in the following Defined Benefit Plan maintained by the Employer: _____

(2) Describe the Top Heavy minimum benefit that will be provided under the Defined Benefit Plan: _____

- (3) Describe Employees who will receive Top Heavy minimum benefit under the Defined Benefit Plan: _____
- 11-6 **FAIL-SAFE COVERAGE PROVISION.** If the Plan fails the minimum coverage test under Code §410(b) due to the application of an allocation condition under AA §6-6, the Employer must amend the Plan in accordance with the provisions of Section 14.02(a) of the Plan to correct the coverage violation.
- Alternatively, the Employer may elect under this AA §11-5 to apply a Fail-Safe Coverage Provision that will allow the Plan to automatically correct the minimum coverage violation.
- The Fail-Safe Coverage Provision (as described under Section 14.02(b)(1) of the Plan) applies.
- [Note: If the Fail-Safe Coverage Provision applies, the Plan may not perform the average benefit test to demonstrate compliance with the coverage requirements under Code §410(b), except as provided in Section 14.02 of the Plan.]*
- 11-7 **QUALIFYING EMPLOYER SECURITIES AND QUALIFYING REAL PROPERTY.** See Section 10.06(c) for the limits that apply with respect to investments in Qualifying Employer Securities and Qualifying Real Property.
- The following special rules apply regarding the purchase of Qualifying Employer Securities and Qualifying Real Property:
- (a) The following distribution restrictions apply to Qualifying Employer Securities and/or Qualifying Employer Real Property held by a Participant under the Plan: _____
- (b) The following special rules apply with respect to the investment in Qualifying Employer Securities and/or Qualifying Employer Real Property: _____
- [Note: Any provisions entered under this AA §11-7, must satisfy the nondiscrimination requirements under Code §401(a)(4) and the regulations thereunder.]*
- 11-8 **ELECTION NOT TO PARTICIPATE (see Section 2.08 of the Plan).** All Participants share in any allocation under this Plan and no Employee may waive out of Plan participation.
- To allow Employees to make a one-time irrevocable waiver, check below.
- An Employee may make a one-time irrevocable election not to participate under the Plan at any time prior to the time the Employee first becomes eligible to participate under the Plan. *[Note: Use of this provision could result in a violation of the minimum coverage rules under Code §410(b).]*
- 11-9 **ERISA SPENDING ACCOUNTS.** Section 11.05(d) of the Plan authorizes the Employer to establish an ERISA Spending Account to hold certain miscellaneous amounts that are remitted to the Plan.
- If the Employer maintains an ERISA Spending Account, the following special rules apply: _____
- 11-10 **HEART ACT PROVISIONS – BENEFIT ACCRUALS.** The benefit accrual provisions under Section 15.06 of the Plan do not apply. To apply the benefit accrual provisions under Section 15.06, check the box below.
- Eligibility for Plan benefits.** Check this box if the Plan will provide the benefits described in Section 15.06 of the Plan. If this box is checked, an individual who dies or becomes disabled in qualified military service will be treated as reemployed for purposes of determining entitlement to benefits under the Plan.
- 11-11 **PROTECTED BENEFITS.** There are no protected benefits (as defined in Code §411(d)(6)) other than those described in the Plan.
- To designate protected benefits other than those described in the Plan, complete this AA §11-11.
- (a) **Additional protected benefits.** In addition to the protected benefits described in this Plan, certain other protected benefits are protected from a prior plan document. See the Addendum attached to this Adoption Agreement for a description of such protected benefits.
- (b) **Money Purchase Plan assets.** This Plan contains assets that were held under a Money Purchase Plan (e.g., Money Purchase Plan assets were transferred to this Plan by merger, trust-to-trust transfer or conversion). See the Addendum attached to this Adoption Agreement for a description of any special rules that apply to the transferred benefits. See Section 14.05(c) of the Plan for rules regarding the treatment of transferred assets.
- (c) **Elimination of distribution options.** Effective ____, the distribution options described in subsection (1) below are eliminated.
- (1) **Describe eliminated distribution options:** _____
- (2) **Application to existing Account Balances.** The elimination of the distribution options described in subsection (1) applies to:

- (i) All benefits under the Plan, including existing Account Balances.
- (ii) Only benefits accrued after the effective date of the elimination (as described in subsection (c) above).

[Note: The elimination of distribution options must not violate the “anti-cutback” requirements of Code §411(d)(6) and the regulations thereunder. See Section 14.01(d) of the Plan.]

11-12 **SPECIAL RULES FOR MULTIPLE EMPLOYER PLANS.** If the Plan is a Multiple Employer Plan (as designated under AA §2-6), the rules applicable to Multiple Employer Plans under Section 16.07 of the Plan apply.

- The following special rules apply with respect to Multiple Employer Plans: _____

[Note: Any special rules must satisfy the nondiscrimination requirements under Code §401(a)(4) and must satisfy the rules applicable to Multiple Employer Plans under Code §413(c).]

11-13 **CLAIMS PROCEDURES.** Section 11.07 of the Plan provides procedures for Participants to file a claim for benefits. Unless designated otherwise under this AA §11-13, the claims procedures under Section 11.07 of the Plan apply.

- The following special rules apply with respect to claims procedures under Section 11.07 of the Plan: _____

[Note: Any special rules must satisfy the requirements under ERISA Reg. §2560.503-1 and any other applicable guidance.]

**APPENDIX A
SPECIAL EFFECTIVE DATES**

- A-1 **Eligible Employees.** The definition of Eligible Employee under AA §3 is effective as follows:

- A-2 **Minimum age and service conditions.** The minimum age and service conditions and Entry Date provisions specified in AA §4 are effective as follows:

- A-3 **Compensation definitions.** The compensation definitions under AA §5 are effective as follows:

- A-4 **Employer and Employee Contributions.** The Employer Contribution provisions under AA §6 are effective as follows:

- A-5 **Retirement ages.** The retirement age provisions under AA §7 are effective as follows:

- A-6 **Vesting and forfeiture rules.** The rules regarding vesting and forfeitures under AA §8 are effective as follows:

- A-7 **Distribution provisions.** The distribution provisions under AA §9 are effective as follows:

- A-8 **In-service distributions and Required Minimum Distributions.** The provisions regarding in-service distribution and Required Minimum Distributions under AA §10 are effective as follows:

- A-9 **Miscellaneous provisions.** The provisions under AA §11 are effective as follows:

- A-10 **Special effective date provisions for merged plans.** If any qualified retirement plans have been merged into this Plan, the provisions of Section 14.04 of the Plan apply as follows:

- A-11 **Other special effective dates:**

**APPENDIX B
LOAN POLICY**

Use this Appendix B to identify elections dealing with the administration of Participant loans. These elections may be changed without amending this Agreement by substituting an updated Appendix B with new elections. Any modifications to this Appendix B or any modifications to a separate loan policy describing the loan provisions selected under the Plan will not affect an Employer's reliance on the IRS Favorable Letter.

B-1 Are **PARTICIPANT LOANS** permitted? (See Section 13 of the Plan.)

- (a) Yes.
 (b) No.

B-2 **LOAN PROCEDURES.**

- (a) Loans will be provided under the default loan procedures set forth in Section 13 of the Plan, unless modified under this Appendix B.
 (b) Loans will be provided under a separate written loan policy. *[If this subsection (b) is checked, do not complete the remainder of this Appendix B.]*

B-3 **AVAILABILITY OF LOANS.** Participant loans are available to all Participants and Beneficiaries who are parties in interest. Participant loans are not available to a former Employee or Beneficiary (including an Alternate Payee under a QDRO) except in those limited situations where the former Employee or Beneficiary is also considered to be a "party in interest" as defined in ERISA §3(14). To override this default provision, complete this AA §B-3.

- (a) A former Employee or Beneficiary (including an Alternate Payee) who has a vested Account Balance may request a loan from the Plan.
 (b) A "limited participant" as defined in Section 3.07 of the Plan may not request a loan from the Plan.
 (c) An officer or director of the Employer, as defined for purposes of the Sarbanes-Oxley Act, may **not** request a loan from the Plan.

B-4 **LOAN LIMITS.** The default loan policy under Section 13.03 of the Plan allows Participants to take a loan provided all outstanding loans do not exceed 50% of the Participant's vested Account Balance. To override the default loan policy to allow loans up to \$10,000, even if greater than 50% of the Participant's vested Account Balance, check this AA §B-4.

- A Participant may take a loan equal to the greater of \$10,000 or 50% of the Participant's vested Account Balance. *[If this AA §B-4 is checked, the Participant may be required to provide adequate security as required under Section 13.06 of the Plan.]*

B-5 **NUMBER OF LOANS.** The default loan policy under Section 13.04 of the Plan restricts Participants to one loan outstanding at any time. To override the default loan policy and permit Participants to have more than one loan outstanding at any time, complete (a) or (b) below.

- (a) A Participant may have ___ loans outstanding at any time.
 (b) There are no restrictions on the number of loans a Participant may have outstanding at any time.

B-6 **LOAN AMOUNT.** The default loan policy under Section 13.04 of the Plan provides that a Participant may not receive a loan of less than \$1,000. To modify the minimum loan amount or to add a maximum loan amount, complete this AA §B-6.

- (a) There is no minimum loan amount.
 (b) The minimum loan amount is \$_____.
 (c) The maximum loan amount is \$_____.

B-7 **INTEREST RATE.** The default loan policy under Section 13.05 of the Plan provides for an interest rate commensurate with the interest rates charged by local commercial banks for similar loans. To override the default loan policy and provide a specific interest rate to be charged on Participant loans, complete this AA §B-7.

- (a) The prime interest rate
 (1) plus ___ percentage point(s).
 (b) Describe: _____

[Note: Any interest rate described in this AA §B-7 must be reasonable and must apply uniformly to all Participants.]

- B-8 **PURPOSE OF LOAN.** The default loan policy under Section 13.02 of the Plan provides that a Participant may receive a Participant loan for any purpose. To modify the default loan policy to restrict the availability of Participant loans to hardship events, check this AA §B-8.
- (a) A Participant may only receive a Participant loan upon the demonstration of a hardship event, as described in Section 8.10(e)(1)(i) of the Plan.
- (b) A Participant may only receive a Participant loan under the following circumstances: _____
- B-9 **APPLICATION OF LOAN LIMITS.** If Participant loans are not available from all contribution sources, the limitations under Code §72(p) and the adequate security requirements of the Department of Labor regulations will be applied by taking into account the Participant's entire Account Balance. To override this provision, complete this AA §B-9.
- The loan limits and adequate security requirements will be applied by taking into account only those contribution Accounts which are available for Participant loans.
- B-10 **CURE PERIOD.** The Plan provides that a Participant incurs a loan default if a Participant does not repay a missed payment by the end of the calendar quarter following the calendar quarter in which the missed payment was due. To override this default provision to apply a shorter cure period, complete this AA §B-10.
- The cure period for determining when a Participant loan is treated as in default will be _____ days (cannot exceed 90) following the end of the month in which the loan payment is missed.
- B-11 **PERIODIC REPAYMENT – PRINCIPAL RESIDENCE.** If a Participant loan is for the purchase of a Participant's primary residence, the loan repayment period for the purchase of a principal residence may not exceed ten (10) years.
- (a) The Plan does not permit loan payments to exceed five (5) years, even for the purchase of a principal residence.
- (b) The loan repayment period for the purchase of a principal residence may not exceed _____ years (may not exceed 30).
- (c) Loans for the purchase of a Participant's primary residence may be payable over any reasonable period commensurate with the period permitted by commercial lenders for similar loans.
- B-12 **TERMINATION OF EMPLOYMENT.** Section 13.11 of the Plan provides that a Participant loan becomes due and payable in full upon the Participant's termination of employment. To override this default provision, complete this AA §B-12.
- A Participant loan will not become due and payable in full upon the Participant's termination of employment.
- B-13 **DIRECT ROLLOVER OF A LOAN NOTE.** Section 13.11(b) of the Plan provides that upon termination of employment a Participant may request the Direct Rollover of a loan note. To override this default provision, complete this AA §B-13.
- A Participant may **not** request the Direct Rollover of the loan note upon termination of employment.
- B-14 **LOAN RENEGOTIATION.** The default loan policy provides that a Participant may renegotiate a loan, provided the renegotiated loan separately satisfies the reasonable interest rate requirement, the adequate security requirement, the periodic repayment requirement and the loan limitations under the Plan. The Employer may restrict the availability of renegotiations to prescribed purposes provided the ability to renegotiate a Participant loan is available on a non-discriminatory basis. To override the default loan policy and restrict the ability of a Participant to renegotiate a loan, complete this AA §B-14.
- (a) A Participant may **not** renegotiate the terms of a loan.
- (b) The following special provisions apply with respect to renegotiated loans: _____
- B-15 **MODIFICATIONS TO DEFAULT LOAN PROVISIONS.**
- The following special rules will apply with respect to Participant loans under the Plan: _____
- [Note: Any provision under this AA §B-15 must satisfy the requirements under Code §72(p) and the regulations thereunder and will control over any inconsistent provisions of the Plan dealing with the administration of Participant loans.]*

APPENDIX C
ADMINISTRATIVE ELECTIONS

Use this Appendix C to identify certain elections dealing with the administration of the Plan. These elections may be changed without amending this Agreement by substituting an updated Appendix C with new elections. The provisions selected under this Appendix C do not create qualification issues and any changes to the provisions under this Appendix C will not affect the Employer's reliance on the IRS Favorable Letter.

C-1 **DIRECTION OF INVESTMENTS.** Are Participants permitted to **direct investments**? (See Section 10.07 of the Plan.)

No

Yes

(a) Check this selection if the Plan is intended to comply with ERISA §404(c). (See Section 10.07(e) of the Plan.)

(b) Describe any special rules that apply for purposes of direction of investments: _____

[Note: This subsection (b) may be used to describe special investment provisions for specific types of investments, such as Qualifying Employer Securities or Qualifying Real Property, or for specific Accounts, such as the Rollover Contribution Account. Any provisions added under subsection (b) will be subject to the nondiscrimination requirements under Code §401(a)(4).]

C-2 **ROLLOVER CONTRIBUTIONS.** Does the Plan accept **Rollover Contributions**? (See Section 3.07 of the Plan.)

No

Yes

(a) If this subsection (a) is checked, an Employee may not make a Rollover Contribution to the Plan prior to becoming a Participant in the Plan. (See Section 3.07 of the Plan.)

(b) Check this subsection (b) if the Plan will not accept Rollover Contributions from former Employees.

(c) Describe any special rules for accepting Rollover Contributions: _____

[Note: The Employer may designate in subsection (c) or in separate written procedures the extent to which it will accept rollovers from designated plan types. For example, the Employer may decide not to accept rollovers from certain designated plans (e.g., 403(b) plans, §457 plans or IRAs). Any special rollover procedures will apply uniformly to all Participants under the Plan.]

C-3 **LIFE INSURANCE.** Are **life insurance** investments permitted? (See Section 10.08 of the Plan.)

(a) No

(b) Yes

C-4 **QDRO PROCEDURES.** Do the **default QDRO procedures** under Section 11.06 of the Plan apply?

(a) No

(b) Yes

The provisions of Section 11.06 are modified as follows: _____

EMPLOYER SIGNATURE PAGE

PURPOSE OF EXECUTION. This Signature Page is being executed for YAVAPAI COLLEGE OPTIONAL DEFINED CONTRIBUTION RETIREMENT PLAN to effect:

- (a) The adoption of a **new plan**, effective ___ [insert Effective Date of Plan]. [Note: Date can be no earlier than the first day of the Plan Year in which the Plan is adopted.]
- (b) The **restatement** of an existing plan, in order to comply with the requirements of PPA, pursuant to Rev. Proc. 2011-49.
 - (1) Effective date of restatement: 7-1-2014. [Note: Date can be no earlier than January 1, 2007. Section 14.01(f)(2) of Plan provides for retroactive effective dates for all PPA provisions. Thus, a current effective date may be used under this subsection (1) without jeopardizing reliance.]
 - (2) Name of Plan(s) being restated: YAVAPAI COLLEGE OPTIONAL DEFINED CONTRIBUTION RETIREMENT PLAN
 - (3) The original effective date of the plan(s) being restated: 5-1-1998
- (c) An **amendment or restatement** of the Plan (other than to comply with PPA). If this Plan is being amended, a snap-on amendment may be used to designate the modifications to the Plan or the updated pages of the Adoption Agreement may be substituted for the original pages in the Adoption Agreement. All prior Employer Signature Pages should be retained as part of this Adoption Agreement.
 - (1) Effective Date(s) of amendment/restatement: _____
 - (2) Name of plan being amended/restated: _____
 - (3) The original effective date of the plan being amended/restated: _____
 - (4) If Plan is being amended, identify the Adoption Agreement section(s) being amended: _____

VOLUME SUBMITTER SPONSOR INFORMATION. The Volume Submitter Sponsor (or authorized representative) will inform the Employer of any amendments made to the Plan and will notify the Employer if it discontinues or abandons the Plan. To be eligible to receive such notification, the Employer agrees to notify the Volume Submitter Sponsor (or authorized representative) of any change in address. The Employer may direct inquiries regarding the Plan or the effect of the Favorable IRS Letter to the Volume Submitter Sponsor (or authorized representative) at the following location:

Name of Volume Submitter Sponsor (or authorized representative): RAYMOND. REEVES & STOUT, LLP

Address: 1423 S. HIGLEY RD., #116, MESA, AZ 85206

Telephone number: 480-834-6524

IMPORTANT INFORMATION ABOUT THIS VOLUME SUBMITTER PLAN. A failure to properly complete the elections in this Adoption Agreement or to operate the Plan in accordance with applicable law may result in disqualification of the Plan. The Employer may rely on the Favorable IRS Letter issued by the National Office of the Internal Revenue Service to the Volume Submitter Sponsor as evidence that the Plan is qualified under Code §401(a), to the extent provided in Rev. Proc. 2011-49. The Employer may not rely on the Favorable IRS Letter in certain circumstances or with respect to certain qualification requirements, which are specified in the Favorable IRS Letter issued with respect to the Plan and in Rev. Proc. 2011-49. In order to obtain reliance in such circumstances or with respect to such qualification requirements, the Employer must apply to the office of Employee Plans Determinations of the Internal Revenue Service for a determination letter. See Section 1.66 of the Plan.

By executing this Adoption Agreement, the Employer intends to adopt the provisions as set forth in this Adoption Agreement and the related Plan document. By signing this Adoption Agreement, the individual below represents that he/she has the authority to execute this Plan document on behalf of the Employer. This Adoption Agreement may only be used in conjunction with Basic Plan Document #04. The Employer understands that the Volume Submitter Sponsor has no responsibility or liability regarding the suitability of the Plan for the Employer's needs or the options elected under this Adoption Agreement. It is recommended that the Employer consult with legal counsel before executing this Adoption Agreement.

YAVAPAI COUNTY COMMUNITY COLLEGE DISTRICT
(Name of Employer)

ROSE HURLEY DIRECTOR, HUMAN RESOURCES
(Name of authorized representative) (Title)

 12/3/14
(Signature) (Date)

TRUSTEE DECLARATION

This Trustee Declaration may be used to identify the Trustees under the Plan. A separate Trustee Declaration may be used to identify different Trustees with different Trustee investment powers.

Effective date of Trustee Declaration: 7-1-2014

The Trustee's investment powers are:

- (a) **Discretionary.** The Trustee has discretion to invest Plan assets, unless specifically directed otherwise by the Plan Administrator, the Employer, an Investment Manager or other Named Fiduciary or, to the extent authorized under the Plan, a Plan Participant.
- (b) **Nondiscretionary.** The Trustee may only invest Plan assets as directed by the Plan Administrator, the Employer, an Investment Manager or other Named Fiduciary or, to the extent authorized under the Plan, a Plan Participant.
- (c) **Fully funded.** There is no Trustee under the Plan because the Plan is funded exclusively with custodial accounts, annuity contracts and/or insurance contracts. (See Section 12.16 of the Plan.)
- (d) **Determined under a separate trust agreement.** The Trustee's investment powers are determined under a separate trust document which replaces (or is adopted in conjunction with) the trust provisions under the Plan.

Name of Trustee: _____

Title of Trust Agreement: _____

[Note: To qualify as a Volume Submitter Plan, any separate trust document used in conjunction with this Plan must be approved by the Internal Revenue Service. Any such approved trust agreement is incorporated as part of this Plan and must be attached hereto. The responsibilities, rights and powers of the Trustee are those specified in the separate trust agreement.]

Description of Trustee powers. This section can be used to describe any special trustee powers or any limitations on such powers. This section also may be used to impose any specific rules regarding the decision-making authority of individual trustees. In addition, this section can be used to limit the application of a trustee's responsibilities, e.g., by limiting trustee authority to only specific assets or investments.

- (e) **Describe Trustee powers:** _____

[The addition of special trustee powers under this section will not cause the Plan to lose Volume Submitter status provided such language merely modifies the administrative provisions applicable to the Trustee (such as provisions relating to investments and the duties of the Trustee). Any language added under this section may not conflict with any other provision of the Plan and may not result in a failure to qualify under Code §401(a).]

**ACTION BY UNANIMOUS CONSENT OF THE BOARD OF DIRECTORS
RESTATEMENT OF QUALIFIED RETIREMENT PLAN**

The undersigned hereby certify that they constitute all the members of the Board of Directors of YAVAPAI COUNTY COMMUNITY COLLEGE DISTRICT ("Corporation").

The undersigned consent to the following resolutions:

WHEREAS, the Corporation has maintained the YAVAPAI COLLEGE OPTIONAL DEFINED CONTRIBUTION RETIREMENT PLAN ("Plan") since 5-1-1998 for the benefit of eligible employees.

WHEREAS, the Corporation has decided to restate the above-referenced Plan to comply with the requirements of the Pension Protection Act of 2006 (PPA), the Heroes Earnings Assistance and Relief Tax Act of 2008 (HEART Act), the Worker, Retiree, and Employer Recovery Act of 2008 (WRERA) and other applicable guidance.

WHEREAS, the Corporation wishes to appoint as Trustee(s) of the Plan.

NOW, THEREFORE, BE IT RESOLVED that the Corporation hereby adopts the YAVAPAI COLLEGE OPTIONAL DEFINED CONTRIBUTION RETIREMENT PLAN as a complete restatement of the prior Plan, to be effective on 7-1-2014.

RESOLVED FURTHER that the President of the Corporation is authorized to execute the restated Plan document and perform any other actions necessary to implement the adoption of the Plan restatement. The President may designate any other authorized person to perform the actions necessary to adopt the Plan restatement. A copy of the Plan shall be retained in the business office of the Corporation.

RESOLVED FURTHER that the Corporation will act as administrator of the Plan and will be responsible for performing all actions necessary to carry out the administration of the Plan. The Corporation may designate any other person or persons to perform the actions necessary to administer the Plan.

RESOLVED FURTHER that Plan participants shall be provided with a summary of the Plan provisions within a reasonable period of time following the adoption of the Plan.

DIRECTORS:

Ray Sigafoos	[Signature]	12/9/14
Dr. Patricia McCarver	[Signature]	12/9/14
Dr. Dale Fitzner	[Signature]	12/9/14
Herald Harrington	[Signature]	12/9/14
Albert Filardo	[Signature]	12/9/14

Presenter : Ray Sigafoos

Start Time : 1:30 PM

Item No : 14

Proposed By : Ray Sigafoos

Time Req : 0

Proposed : 10/8/2014

Item Type : Heading

Policy No.	Description	Ref No
3.4	To accomplish its job products with a governance style consistent with Board policies, the Board shall follow an annual agenda which (a) completes a re-exploration of Ends policies annually and (b) continually improves Board performance through Board education and enriched input and deliberation.	26041

Description : INFORMATION - HEADING (CONTINUED)

Details :

Attachments :

No Attachments

Presenter : Ray Sigafoos

Start Time : 1:30 PM

Item No : 15

Proposed By : Ray Sigafoos

Time Req : 15

Proposed : 10/8/2014

Item Type : Information Item

Policy No.	Description	Ref No
2.5	The President shall not permit the Board to be uninformed, misinformed, or unsupported in its work.	344945

Description : Information from the President Including: Buckey O'Neill Society; District Governing Board Web Site; Tennis Courts Ribbon Cutting Ceremony; Winter Institute; Campus Master Plan Semi-Annual Update; College Highlights; Yavapai College Staff Association (YCSA) Update; Facilities Management News; and Other Related Issues - INFORMATION AND/OR DISCUSSION

Details : Dr. Penny Wills report on the following topics with possible discussion from the Board:

- Buckey O'Neill Society
- District Governing Board Web Site
- Tennis Courts Ribbon Cutting Ceremony - December 11, 2014, 10:30 a.m.
- Winter Institute, December 10 and 11, 2014
- Campus Master Plan Semi-Annual Update - Attached, Information Only
- College Highlights - November 2014 - Attached, Information Only
- YCSA Update - December 2014 - Attached, Information Only
- Facilities Management News - Attached, Information Only
- Other Related Issues

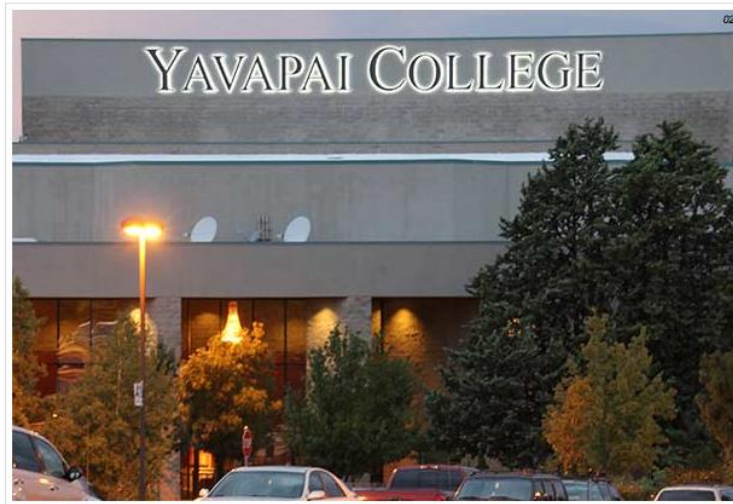
Attachments :

Title	Created	Filename
DGB Web Site.pdf	Dec 05, 2014	DGB Web Site.pdf
Winter_Institute_2014_Schedule.pdf	Dec 05, 2014	Winter_Institute_2014_Schedule.pdf
Campus Master Plan Update Dec 2014r1.pdf	Dec 05, 2014	Campus Master Plan Update Dec 2014r1.pdf
December 2014 College Highlights.pdf	Dec 05, 2014	December 2014 College Highlights.pdf
YCSA Update-December 2014 FINAL.pdf	Dec 05, 2014	YCSA Update-December 2014 FINAL.pdf
December 2014 YAVAPAI COLLEGE Facilities Management News.pdf	Dec 05, 2014	December 2014 YAVAPAI COLLEGE Facilities Management News.pdf

MAIN SCREEN ON DISTRICT GOVERNING BOARD WEB SITE PAGE

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Yavapai College *District Governing Board*



Yavapai College – Life Explored

District Governing Board Sections



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[Board Members](#)



[Verde Valley Board Advisory Committee](#)



[News and Information](#)



[Survey Results](#)



[Annual Report Available Jan 2015](#)



[Yavapai College Budget](#)



[Public Record](#)

Community Survey Question

What is the benefit you most value from Yavapai College?

Name

Contact Number

Email

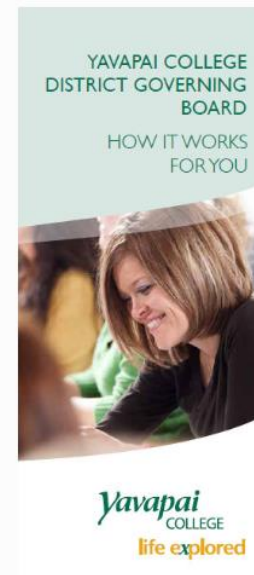
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The Brochure

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Contact Us

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Mon-Fri: 8am-5:00 pm

Tel: (928) 776-2307

Fax: (928) 776-2019

karen.jones@yc.edu

Documents & Forms

[District Governing Board's Policy Manual](#)



[Survey](#)
[Results](#)

[Yavapai College](#) > [District Governing Board](#) > [Survey Results](#)

District Governing Board Surveys

**Yavapai College
District
Governing
Board**

2014 Survey Report

Al Filardo

Dr. Dale Fitzner

Herald Harrington

Dr. Pat McCarver

**Yavapai
COLLEGE**

**District
Governing Board**

Ray Sigafos

- [2014 Survey Report](#) - flipbook
- [District Governing Board Survey](#) - Conducted Summer 2014
- [Community Survey](#) - Sept 8, 2014

AGENDA & MINUTES TAB - DISTRICT GOVERNING BOARD WEB



[Agenda
& Minutes](#)



[Students](#) [Employees](#) [Community](#) [Become a Student](#) [Search and Register for Classes](#) [Acade](#)

[Yavapai College](#) > [District Governing Board](#) > > >

October, 2014 - District Governing Board Regular Meeting

- [District Governing Board Regular Meeting Agenda Summary](#)
- [District Governing Board Special Meeting Full Agenda with Attachments](#)

Handouts, Presentations, and Reference Materials

- [Proposal for Governance Institute for Student Success-Arizona \(GISS-AS\)](#)

Meeting Videos

- [Meeting](#)

October 2014 - Approved Minutes

- [October, 2014 District Governing Board Regular Meetings](#)



WEDNESDAY, DECEMBER 10TH, 2014

Breakfast **8:30 AM – 9:00 AM**
19-147

Breakfast will be served in the Susan N. Webb Community Room beginning at 8:30 AM.

Welcome Address **9:00 AM – 9:30 AM**
19-147

Welcome to the Ninth Annual Winter Institute. Stacey Hilton will provide this year’s welcome address and introduce Dr. Stuart Blacklaw to the Yavapai College Winter Institute.

Facilitators:

Stacey L. Hilton, Dean for Computer Technologies and Instructional Support
Dr. Stuart Blacklaw, Vice President Instruction and Student Services

General Session: The First Year Experience (FYE) **9:30 AM – 10:30 AM**
19-147

This semester the College rolled out the first wave of FYE (First Year Experience) 103—Success in College, Career and Life. Ten instructors pioneered this course. A panel from this group will address what FYE is all about, their own experiences (ups and down) and the value teaching the course imparted to both them and their students.

Moderators:

Mark Shelley; Professor – Business, Education, and Social Sciences; Co-coordinator – (FYE)
Nancy Schafer; Professor – Foundations Studies; Co-coordinator – (FYE)

BREAK **10:30 AM – 10:45 AM**

General Session: Student Success **10:45 AM – 11:45 AM**
19-147

For the 2014 Fall Convocation, Yavapai College had Dr. Vincent Tinto present information on Student Success. Out of this presentation six specific topics were generated and discussed within Faculty Breakout Sessions. These are Just in Time, Learning Communities, Mentoring Program Plan, Pedagogies of Engagement, Required Orientation, and Supplemental Instruction. In this session, groups will dive deeper into the topic and how Yavapai College will implement these Student Success strategies.

Moderator:

Scott Farnsworth; Dean – Health, Physical Education, and Recreation

Lunch**11:45 AM – 1:00 PM****19-147**

Lunch will be served in the Susan N. Webb Community Room.

Threat Assessment**1:00 PM – 2:00 PM****19-206**

Have you ever encountered someone who seems off/scary in a way you just can't identify? Do you have a student who says or writes things which cause you to be concerned? Have you ever thought that you were making a big deal over nothing or wondered if you should have reported something small? If so, this session is for you. Come learn how to effectively assess the risk of harm to others or self-harm. Participants will gain confidence in knowing when and how to contact the appropriate type of help by working through a number of real-life, higher education, case-studies.

Learning outcomes:

- Participants will know how to assess various types of situations and determine level of threat
- Participants will know who to contact and next steps
- Participants will be able to use appropriate language in reports and in person regarding a threat

Facilitator:

Shar Jenniges; Director of Residence Life & Judicial Affairs

Good Golly Google Galore**1:00 PM – 2:00 PM****19-207**

Explore everything Google. In this session, users will create a Google account and take a tour of what is available to them in this account. We are talking Blog, Drive, and Play...Oh My!

Participants should have a Google Account (and know their login information) prior to attending the session.

Facilitator:

Ruth Alsobrook-Hurich; Staff – Instructional Designer, Teaching & eLearning Support (TeLS)

**Quality Matters - What To Do After
The Applying The Rubric Course****1:00 PM – 2:00 PM****19-208**

Several dozen faculty and staff members have taken the "Applying the Rubric" course through Quality Matters. Quality Matters is an organization that provides continuous improvement models for assuring the quality of online courses through peer review. We left the course energized by all of the ideas in the rubric. I wanted to use it, but how do I get started? In this session we'll look at the Self-Review System at qualitymatters.org as well as other options for improving online courses with the Quality Matters rubric.

Facilitators:

David Graser; Professor – Foundation Studies

Todd Conaway; Instructional Designer – Teaching & eLearning Support

BREAK**2:00 PM – 2:15 PM**

Understanding Windows 8.1 & Beyond!!

2:15 PM – 4:15 PM

19-206

Windows 8 technology is here to stay. Come see what all the “fuss” is about and help lessen your learning curve for the future!

Facilitator:

Joan Baum; Faculty – Computer Technology & Instructional Support, Community Education

Blackboard 9 Essentials

2:15 PM – 4:15 PM

19-207

Explore Blackboard’s basic features, and put them to use in your next online or hybrid course. If you are a Blackboard novice or would like a refresher, this workshop will provide you with the tools you need to customize your course and communicate with students. Topics will include navigation, organization, adding content, communication, and more.

Facilitator:

Iain Davidson; Staff - Academic Technology Specialist, Teaching & eLearning Support (TeLS)

Creating Badges, Awards and Other Learning Incentives in Blackboard

2:15 PM – 4:14 PM

19-208

There has been much discussion about using badges and other markers of achievement in education as a way to incentive student engagement and learning. Even Blackboard has developed an "achievements" tool to add badges and certificates to their system. Unfortunately, this is a feature in their latest version, which YC instructors do not have access to. But there is a way to add visual markers of achievement even in the Blackboard we all know and curse. In this session, I'll show you how to set up a system that lets you designate achievements or badges in your class, lets students know what those achievements are and that will automatically update every time they complete one.

Facilitator:

Suzanne Waldenberger; Professor – Arts and Humanities



THURSDAY, DECEMBER 11TH, 2014

Breakfast

8:30 AM – 9:00 AM

19-147

Breakfast will be served in the Susan N. Webb Community Room beginning at 8:30 AM.

Creating A Community of Service, One Classroom at a Time

9:00 AM – 10:30 AM

19-206

This Service Learning session will give a brief introduction to what Service Learning is and how it can benefit faculty members and students. Service Learning is a non-traditional way of meeting learning outcomes and can be done in a variety of ways, and can be integrated into any discipline. The varying models of how Service Learning can be incorporated into course curriculums will be highlighted to show that it is a flexible teaching method.

This session/workshop will present the best practices of high-quality Service Learning programs, demonstrate the methodology that these projects use, and provide individual feedback and ideas to participants.

Facilitators:

Tara O'Neill; Professor – Business, Education, and Social Sciences

Brent Roberts; Faculty – Service Liaison Community Liaison

George Jean-Babets – Service Learning Vista

Windows Live Online Documents and Storage

9:00 AM - 10:30 AM

19-207

The free Microsoft Windows Live service provides online access to Office programs and file storage space. Word, Excel, PowerPoint, and OneNote documents can be created and shared. The OneDrive storage container offers significant space to store and organize your files. Windows live is a refreshing alternative to other free cloud services. Instructors and students can enjoy the benefits of Office software anywhere, conveniently, at no cost. Please create your Windows account before the workshop if you don't already have one. <https://signup.live.com/>

Facilitator:

Iain Davidson; Staff - Academic Technology Specialist, Teaching & eLearning Support (TeLS)

The 9x9x25 Challenge and How it Can Help You

9:00 AM – 10:30 AM

19-208

This session will be a review of our second annual 9x9x25 Challenge and we will hear from participants about how it has helped them as professional educators. We will also discuss the Challenge for next year and discuss possible changes in format.

Facilitator:

Todd Conaway; Instructional Designer – Teaching & eLearning Support

Break

10:30 AM – 10:45 AM

Teaching Tools for Under Ten

10:45 AM – 11:45 AM

19-206

This session previews several tools which cost \$10 or less a month; some are even FREE to use. These tools can be used to enhance interactivity, lecture material, take surveys, and possibly bring fun into a course (or office). Bring your tools to the table as well! Ruth loves hearing of new technology to enrich the learning experience.

Facilitator:

Ruth Alsobrook-Hurich; Staff – Instructional Designer, Teaching & eLearning Support (TeLS)

YouTube Grows Up

10:45 AM – 11:45 AM

19-207

I recently attended a YouTube Educator Lab where I learned more about online video than I thought possible, and worked toward becoming a certified YouTube Expert. What does that mean? I'll explain that and much more in this session. We'll also cover using tools for captioning, editing and answer all your questions.

Facilitator:

Thatcher Bohrman; Staff – Instructional Technology Coordinator, Teaching & eLearning Support (TeLS)

Leveraging Students' Afternoons Lost on YouTube: A Constructivist Approach to Online Course Design

10:45 AM – 11:45 AM

19-208

It doesn't take Captain Obvious to know that life as a college student has changed dramatically over the last ten years. In this digital age of students Googling textbook terms they don't understand, consulting Wikis for their class assignments, and spending afternoons lost on YouTube, the ever-present challenge -- as always -- is how to engage college students in meaningful ways, so that they process, learn and retain course content long after the semester ends. This session will explore constructivist techniques that work, through a journey of the "masters" and "disasters" in online course design.

Facilitator:

Karly Way; Professor – Business, Education, and Social Sciences

Lunch

11:45 AM – 1:00 PM

Teaching & eLearning Support (TeLS) eLearning Award

19-147

Lunch will be served in the Susan N. Webb Community Room.

The Third Annual TeLS eLearning Award

For the third year we are honored to give an outstanding faculty member the eLearning Award.

The TeLS team selected a faculty based on the following criteria:

- Innovation using digital content with successful results in courses taught
- Sharing of best practices within the college community
- Continued effort toward learning new skills in practice of teaching & learning

**Rubrics: Improving Student Success
by Communicating Expectations**

1:00 PM – 2:00 PM
19-206

Student performance can improve on assignments when clear expectations are communicated. One way to describe different levels of attainment of outcomes is through the use of a rubric. There are many types of rubrics that can be developed depending upon the purpose. Come learn about the different types of rubrics and how they can be used to help students be successful.

Facilitator:

Molly Beauchman; Professor – Foundations Studies

**The CARE Team-
a resource for the Yavapai College Community**

1:00 PM – 2:00 PM
19-207

The CARE (Campus, Assessment, Response, and Evaluation) Team at Yavapai College investigates, communicates, evaluates, and responds to reports of risk related to individual student(s) behavior and possible threats to campus safety. By doing this, we facilitate prevention of harm to the individual student(s), others, and the campus community and provide a link to college and community resources to assist the student(s) in distress. The CARE Team provides this service in response to the threat of increased violence and student mental health issues on college campuses across the nation.

“As a result of emerging campus violence and the increasing frequency and intensity of mental illness-related issues on campus, colleges and universities have responded by implementing a variety of campus safety initiatives, including the creation of internal behavioral intervention teams. A core function of these teams is threat assessment and early intervention, with the hope of prevention of violence.”

“What is a behavioral intervention team? A multi-disciplinary group of staff representation, whose purpose is meeting regularly to support its target audience (students, employees, faculty, staff) via established processes. The team tracks "red flags" over time, detecting patterns, trends, and disturbances in individual or group behavior.”

Facilitator:

Judy Brennen; Academic Advisor, Personal Counselor

Them Bells and Whistles

1:00 PM – 2:00 PM
19-208

Remember when there were all those unnecessary bells and whistles on the internet? You know, like that silly YouTube and Facebook! Just a bunch of cat videos and whiny people. Well, those "unnecessary things" have become powerful and normal parts of learning today. This session looks at things that did not come with your boxed LMS and how they can be used in academic settings.

Facilitator:

Todd Conaway; Instructional Designer – Teaching & eLearning Support

Break

2:00 PM – 2:15 PM

20 WORD Timesaver Tips

2:15 PM – 4:15 PM
19-206

Word can be very useful even if you only use it occasionally. Come see how to find the “easy” way to do things and how “fun” working in MS WORD can be!

Facilitator:

Joan Baum; Faculty – Computer Technology & Instructional Support, Community Education

Stressed Out?**2:15 PM – 4:15 PM****19-207**

University of Arizona Professor Dr. Andrew Weil estimates that 90 percent of all doctor visits are caused by stress. This is a staggering number and is directly related to the sedentary lifestyles most of us now lead. Come learn about many of the new brain-based techniques that can drastically and easily reduce the impact of stress in your life. I will share a variety of self-help strategies, including dietary approaches, my favorite guided meditation (clinically proven to work in only 12 minutes!), energy medicine tools and simple exercises that I promise you have ever heard of before. Quit stressing about all of this! Dr. Michael Davis is Program Director for Administration of Justice, but in another life is the Director of Energy Healing Foundation and operates a wellness center with his wife in downtown Prescott.

Facilitator:

Dr. Michael Davis; Professor – Program Director, Administration of Justice Program

**Communications Outside Thinking:
Outside the bubble thinking and doing****2:15 PM – 4:15 PM****OUTSIDE**

During this session the participants will discuss some of the challenges of communication the old fashioned way, "face to face".

It's a new experience for many of today's students!

The participants will take part in exercises that challenge communications skills, and push their minds just a little. The age of digital, online learning, virtual reality is here but that should mean we are all great communicators?

"How do our students go out into the world and change it if they cannot talk to it?"

<http://www.speech-topics-help.com/fear-of-public-speaking-statistics.html>

Face to face in-person communications are now the challenge for many students and faculty. This session will reintroduce communications, problem solving through interactive exercises. A new classroom filled with students maybe one of the most challenging social groups for students and faculty. The students come in sit down and stay in their personal bubbles of technology missing the interactive experience. Burst that bubble new experiences happen, challenge and learning hand in hand.

PLEASE MEET AT 19-147

Facilitator:

Bob Matthews; Instructor – Health, Physical Education, & Recreation

The Last Faculty Standing**4:15 PM – 4:30 PM****19-147**

For those who complete the tasks for the Final Faculty Standing, this is the final task you need to complete. We will be playing a version of "Final Jeopardy" with a serious educational twist. We will play until there is only a final faculty left standing. Good luck!

Moderator:

Todd Conaway; Staff – Instructional Designer, Teaching & eLearning Support (TeLS)

Campus Master Plan Update December, 2014

July

- Solicited and received Resolution of support from City of Sedona to accept completed Arts Village Drive and Cultural Park Road within 12 months of closing. Approved by Sedona City Council.
- Updated lighting and restriped CTEC lot, creating 72 extra parking spaces and eliminating the need to expand the lot.

August

- Executed IGA/ Development Agreement with Sathcupa, City of Sedona, and YC, legally obligating City of Sedona to accept completed roads (see above).
- Closed on land exchange with Sathcupa. **College traded 5 acres of Sedona Cultural Park property for 4 acres contiguous to the Yavapai College Sedona Center**, thus providing legal access to 89A and enough room to build parking lot.
- Celebrated **Grand Opening of Marapai Residence Hall**.

September

- Selected McCarthy Building Cos. as General Contractor to build Phase 1 of CMP.
- Celebrated **Grand Opening of Yavapai College Teaching Winery** on Verde Valley Campus.

October

- Held Open House, celebrating the Yavapai College Sedona Center's newly expanded footprint.
- Finalized design & development documents with final scope and updated budgets for first 3 CMP Projects: University Transfer Center, Student Activity Center, and CTEC Renovation. Determined CTEC expansion not needed after these renovations.

November

- Began construction on Sedona Center parking lot.

December

- Celebrated completion of **Tennis Courts and repair of Washington Avenue**.
- Placed construction contract with guaranteed maximum price for first 3 CMP projects (see October) with expected completion by Fall Semester.

December 2014 College Highlights

On Monday, November 20, 2014, the Prescott and Verde Valley Campuses celebrated the contributions of our Veterans and honored the fallen from the Iraq and Afghanistan conflicts by reading the individual names of each soldier lost. This was the 5th Annual Remembrance Day National Roll Call event that Yavapai College has participated in. It was a very moving and very touching program as we remembered and honored the lives of 6,829 valiant men and women who paid the ultimate sacrifice serving our country. A total of sixty nine participants read the names in fifteen minute increments. Program highlights included the Presentation of Colors, the Playing of our National Anthem, a Moment of Silence, Gun Salute, Taps and a lone Bag Piper playing Amazing Grace. A slide show of the fallen soldiers also accompanied the reading. In addition to numerous local and state dignitaries participating this year, several young veterans read the names of their "battle buddies," and parents of our fallen soldiers were in attendance. It is our sincere hope that this event was able to provide some healing to those participants as we remember their selfless contributions to our great nation. Special thanks to Bob Hoskovec, Karen Leja, and Patti Shelton for coordinating these events; and thanks to all the faculty and staff that helped make this a wonderful tribute.

Arts and Humanities

- The [Yavapai College Prescott Campus Art Gallery's](#) presentation of the Fall Juried Student Exhibition, comes to a close Wednesday, December 13th. All works are by art students currently enrolled at Yavapai College. Juried works in the exhibition include printmaking, painting, watercolor, jewelry, sculpture, ceramics and digital representations.

Tania Radda from Phoenix juried the show. Her wood sculptures are shown nationally and internationally and are shown in many galleries, invitationals, as well as museum and private collections. She is a faculty member at Grand Canyon University, and was a former YC Adjunct Faculty in the woodworking program.

- **Ken Ottinger**, YC Adjunct Art instructor, will feature his Art 190,191, and Art 292 students at the second annual "Students and One Teacher Art Show" at the El Gato Azul World Bistro Restaurant in downtown Prescott. The show is running from the second week of December until Christmas. The theme for this show is *The Cat*, in all of its forms, including the blue ones. Also, Ken's students have been tasked with creating art from a packet of art materials gifted from the "Student Outreach Program" created by the "Professional Artist Magazine."

Business, Education and Social Sciences

- **Tara O'Neill**, Professor of Education reports another successful hike to the Havasupai Reservation School in Grand Canyon. Seven students from Professor O'Neill's EDU 210: Diversity in Education class hiked in to the remote location on November 20th and out again on November 22nd. Students were given a school tour, and according to Professor O'Neill, "learned a lot and definitely got the chance, most for the first time,

to experience a totally different school culture. Only one student claims that she's 'never hiking again.' "



Career and Technical Education

- **Justin Brereton**, Agribusiness and Horticulture Professor, reports his students installed a small research plot of grafted apples, apricots, table grapes, hops, blackberries and raspberries, ready to grow and use in experiments. Unmanned Aircraft System (UAS) flights are mapping the students' efforts, and will provide data for analysis. Another special project underway is to re-establish native grass stands which will aid in fighting growth of the invasive kochia and tumbleweed. Some treatments have shown promise, and the students will publish their results later this year to share with the community at large.
- The production horticulture class, AGS 250, continues to grow plentiful produce for the Community Supported AG 157 who markets those products. Field production has ended and all efforts are now in the greenhouse. The class created a farm stand sale at the YC Prescott campus, and is now involved with the Saturday Prescott Farmers Winter Market located at Prescott College, on the corner of Grove and Western Avenues. This continues to be an excellent opportunity for students to connect to the business and marketing side of horticulture.

Computer Technologies & Instructional Support

- Yavapai College will be hosting the *Ninth Annual Winter Institute* on Wednesday, December 10th, 2014, and Thursday, December 11th, 2014.

Over the past 9 years, *Teaching & eLearning Support* (TeLS), in collaboration with our *Great Ideas for Teaching* (GIFT) Center has organized the Summer and Winter Institutes on the Prescott Campus.

This year's focus for the Winter Institute will continue with *Student Success*. Bring your ideas for success to this two-day event to share with your colleagues. We encourage *both faculty and staff* to *propose a workshop* that will enhance the relevancy of this topic.



- The YC Prescott Campus Library is currently featuring a number of new student art works.
 - **Chris Contos**, YC Adjunct Jewelry Faculty, has an incredible selection of student pieces on display demonstrating a variety of techniques. This display is located near the outdoor reading patio.
 - **Dana Cohn**, YC Adjunct Oil/Acrylic Faculty, is proudly displaying his students' new works in oil and acrylic painting in their revolving show.
 - **Ken Ottinger**, YC Adjunct Art Faculty's students are exhibiting works in a variety of media including oil, acrylic, pencil and charcoal.
 - Art Professor, **Cindy De Cecco's** students are presenting an astounding assortment of sculptures in metal, wire, clay and paper mache.
 - **Jim Ward**, YC Adjunct Art Faculty's drawing students have brought pencil/charcoal landscape drawings for their assignment in marks-making.
 - November is also National Native American Month, and the Prescott Library is displaying Native American art and artifacts, and a sample of their large collection of books, DVDs and CDs on various tribes and their arts. Look for this display located on the stacks near the outdoor reading patio.
 - **Shelly Gilliam**, YC Librarian, received the Library Support Staff Award for the state of Arizona at the November 14th AzLA (Arizona Library Association) Conference. Shelly received a plaque and \$500 scholarship. Shelly credits the support and encouragement from Director Mike Byrnes for making this possible. Congratulations Shelly!



► **POLICY REVIEW**

HOURS OF WORK
TUITION WAIVERS

► **WELLNESS PROGRAM**

PAULA TOMITZ HAS HOLIDAY FITNESS
TIPS FOR YOU

► **PRODUCTIVITY**

DAINTRY DONOVAN HAS FOUND SOME
INCREDIBLE TOOLS FOR PRODUCTIVITY

► **LET'S GET COOKIN'!**

LESLIE SPARKMAN TEACHES US HOW
DECADENCE CAN STILL BE HEALTHY

► **A SPECIAL DEDICATION**

VERDE HONORS A YC GRAD AND HIS
ULTIMATE SACRIFICE

YCSA *update*

SUPPORT • COLLABORATION • COMMUNICATION • INFLUENCE

Well, we did it! Fall 2014 is coming to a close and we're headed toward another year. New beginnings with endless possibilities. It all seems so hopeful, doesn't it? If only we could survive the holiday season *first*.

This time of year has the potential to wreak havoc on our sanity. Between the holidays (traveling, coordinating family events), helping students wrap up the semester, graduations, seasonal work cycles, and personal responsibilities, it all just happens so fast. Sometimes the season of perpetual joy leaves us feeling cranky and tired. If that's where you find yourself more often than not, here are a few little pick-me-ups to help keep your mood moving in the right direction:

- **Meditate.** Spending just a few moments in absolute silence, focusing on your breath can bring immediate feelings of calm and contentment while heightening awareness and empathy.
- **Find Something to Look Forward to.** An afternoon at the movies, 2 weeks off, family coming (family going). Anything to bring you a few steps closer to the next best thing.
- **Commit Conscious Acts of Kindness.** This is the best one to practice on the worst of days. Nothing is as satisfying as doing something nice for someone else *just because*.
- **Infuse Positivity Into Your Surroundings.** Happy music, pictures of loved ones...whatever makes you smile.
- **Exercise.** Are you tired of hearing this one yet? Exercise is so ridiculously good for you that one study found it to be even *more effective* in combatting long-term depression than medication and exercise combined! Take a walk around the campus, around the courthouse, or around your neighborhood! Stretch, ride your bike, sight-see...whatever. Just move!
- **Spend Money on Experiences, Not Stuff.** Money can't buy happiness, but it can help create great memories when it's spent on enjoying time together.
- **Exercise a Signature Strength.** Know what you're good at and use it this holiday season! Not sure what your strengths are? Visit www.viasurvey.org to find out.

(Tips excerpted from Shawn Achor's *The Happiness Advantage: The Seven Principles of Positive Psychology*)

As you test out these mood boosters for the holiday season, think about how they may be useful throughout the year. YCSA will be looking at ways to infuse your workday with bits of happiness throughout 2015. Let's get a head start!

Wishing you a happy & healthy holiday season!
Andrea

Policy Review

Hours of Work (2.02)

This policy looks at the workweek, breaks, shift differential, flextime, overtime.

<http://www.yc.edu/v5content/policies/docs/2-hr/2014%202.02n.pdf>

Tuition Waivers (2.15)

Refresh your skills in 2015! Check out how the tuition waiver applies to your and your dependents.

<https://www.yc.edu/v5content/policies/docs/2-hr/2.3.2%208-15-11.pdf>

Calendar Reminders

NARTA Graduation: December 4

Fall Ends: Saturday, December 6th

Nursing Commitment & Pinning: December 12th

Winter Break:
December 22—January 2



Health & Wellness

December is here, and we all know what that means. Yes, it means holidays and parties and food and goodies and presents and MORE goodies and food! But it also means that we feel we have less time to work on our wellness. This is the time of year when we are all tempted – tempted to eat more and, unfortunately, exercise less. It would be so easy to say “Well, January is just around the corner – I’ll start working out again then (and THIS time I’ll meet those fitness goals!)” We all know that the holidays can create more stress in our lives, right? And what is the best way to relieve stress? Exercise! So this year I want you all to try a different approach. Instead of giving up on your workout routine for the rest of the year, I suggest that you give yourself the gift of wellness by allowing yourself the “me-time” you need to get on the treadmill, take that Zumba class, or walk your dog. Take a moment to thank yourself by treating yourself right – eating right, getting enough sleep, and exercising. Don’t forget to enjoy yourself along the way, and indulge in the occasional treat – after all, you deserve it!

-Paula Tomitz

Freezin’ for a Reason

Last month our own Bob Hoskovec accepted the Ice Bucket Challenge in honor of a personal acquaintance who has been diagnosed with Lou Gehrig’s Disease. With a little help from his friend, Scott Nardo, he was successful. Challenge completed!



Tools to Increase Your Productivity

by Daintry Donovan

A good chunk of all success comes from having the right tools.

Here are some tools to check out on that new electronic device that you're going to spend way too much time with over the Winter Break that might even give you a new way to organize your life in the New Year!

Doodle – a free scheduling/calendar tool that lots of people are raving about because of its simplicity in use. The free version also includes a “group poll” function that allows you to schedule meetings easily. In addition there is a mobile version for use on your phone or tablet. The paid version (\$39 or \$69 per year) even lets you manage and track your calendars across multiple platforms including Outlook, Gmail, or Yahoo; allow custom branding; and send meeting reminders and more.

Remember the Milk – a free task management app that integrates with Gmail, Google Calendar, Outlook, Twitter and Evernote. There are versions for all your devices so you can manage your tasks on the fly or even offline. There's also a reminder feature to use for email, text message or instant message reminders. Plus, if you have Siri on your phone, she speaks the language, too!

WEEK Plan – a free weekly planning tool inspired by the book, *The 7 Habits of Highly Effective People*, written by Steven Covey. This serious productivity tool will assist you to clarify your end goals, prioritize your tasks by importance and keep things in perspective by assigning tasks according to the different roles that you have in your life. The paid version (starting at \$7 per month) adds additional features and connection of your data with a huge number of other services.

Wunderlist – a free tool that allows you to create and share all kinds of lists with friends, family or colleagues. From your To-Do list to your grocery list, you may find great uses for this service. Think of this as lists on steroids – you can add due dates or notes, generate reminders, and assign tasks to certain people. It can be used from any device or computer. The real-time sync feature also makes joint work projects much simpler for work teams. There is even a list library from all over the world if you want to see other peoples' “lists of lists”!

Workflowy – is a free app that allows you to customize your task lists based on the way that you think. The company says it “mimics the way your brain works”. The app creates zoomable documents that have “unprecedented flexibility” from the infinitely nested and customized lists. In addition, the tag, filter and note features allow you to make notes on any item and retrieve it later with full text search. The tool allows you to share lists with others, work online or off, and auto-syncs your data between devices.

Easily Do – is a virtual assistant and organizational app rolled into one. It's for your smart phone only – no computer or offline versions yet. The wide array of features includes email sorting and notifications, contact management, scheduling and calendar sync and sending automated text messages. It allows you to monitor traffic, get directions and do many travel related tasks. If you're freelancing, you can set up package tracking, bill payment reminders, monitor your own or your friends social sharing and will even sync with Evernote.

New Faces on Campus

Connie Reordan
FEC to HR 11/12

Soren Franklin
Campus Safety 10/20

Gina Hutchison
ITS 10/13

Frank Cardamone
Learning Center PT to FT 10/27

Sheri Denny
Purchasing 11/17

Noel Bossen
Facilities 10/31

Lorrie Vodika
Arts & Hum 10/20

Mandy Worth
PAC 10/2

Harlee Welch
12/1

WELCOME

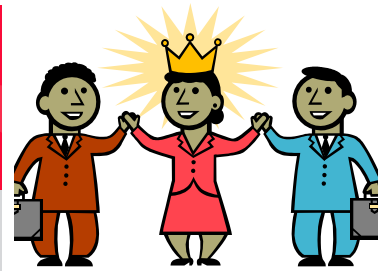
Welcome, Angela Fabela! YCSA Secretary

Angela started working in the Business Office at Yavapai College in 2010 and eventually moved to the Learning Center. She has her AA from Yavapai College and her BA from Northern Arizona University. She has been married to her husband, Tom, for 11 years and is incredibly proud of her two children, Collin and Audrey.



In her spare time she enjoys hiking the area's trails, reading about history, and loves to travel with her family.

YCSA Board



A Recipe from Leslie

No-Bake Cheesecake

Coconut Pecan Crust

- 1 cup flaked unsweetened coconut
- ½ cup pecans
- ½ cup flour
- ¼ cup brown sugar
- ½ tsp salt
- 2 Tbsp coconut oil

Cheesecake Filling

- 1 container of whipped topping
- 2 packages 8oz Fat-Free cream cheese (or 1/3 less fat)
- 1/2 cup sugar
- 1 tsp lemon juice

For crust: Preheat oven to 350 degrees. Place dry ingredients into food processor and pulse until mixture looks like coarse sand. Add coconut oil, and pulse again until incorporated. Place mixture in a greased spring form pan or pie plate, and press along bottom and up the sides. Bake in oven for about 7 minutes to set.

For filling: In a large bowl, whip cream cheese, lemon, and sugar for a few minutes until fluffy. Add whipped topping and fold in until smooth. Spoon mixture into pie crust and chill for a few hours, until firm. Top with fresh berries. (Serves 8 – about 320 calories per slice)

Even though a slice of this cheesecake yields 320 calories, I still consider it a healthier alternative to a traditional cheesecake. Most of the fat content is derived from the coconut flakes, coconut oil, and pecans – all of which contain medium chained triglycerides and unsaturated fat, which are easily broken down by the body and used for energy. This recipe is also low in sugar, which won't spike your insulin levels.



SERVICE EXCELLENCE

If your co-worker is just amazing, let them know! Visit our website and fill out the Service Excellence form!

www.yc.edu/ycsa



In Memory of...

On November 10th the Verde campus dedicated a Memorial Tree in honor of Yavapai College graduate 1st Lt. Jonam Russell, who died in the line of duty in Afghanistan in July 2013. Although the tree was dedicated in Jonam's memory, this will serve as a landmark to honor the service and sacrifice of all our military students, who we value so dearly.



YAVAPAI COLLEGE FACILITIES MANAGEMENT NEWS

December 2014

Greetings from Facilities!

The December issue of this newsletter contains the latest information related to Facilities Management programs and projects along with general information concerning the 10 year campus master plan and subsequent capital improvements. If you have questions about any of the items listed, please e-mail me at david.laurence@yc.edu. The newsletter will also be posted on the Facilities web site.

College Wide Campus Master Plan

Phase 1A of the Campus Master Plan is now in the Construction Documents (CDs) stage. CDs are used to procure materials, obtain bids and schedule work and are generally the road map from start to finish for construction projects. CD's will enable the contractor to provide the college a price for construction services for Phase 1A and once an agreement is executed, the construction process will move forward.

Construction of CTEC is scheduled to begin December 19 and conclude July 31, 2015. The bulk of the construction for Buildings 1 and 3 is scheduled from March 6 through July 31, 2015 with the exception of Building 3 room 119 which will begin the week of December 8 for the new Allied Health administrative office suite.

In preparation for the Buildings 1 and 3 renovations, the first step of the moving process is complete with the renovation of the first floor of Building 32 for the Institutional Effectiveness and Research (IER) department. The bulk of the Business Office functions will move to Building 30 on December 8 followed by the Dean of Computer Technologies and Instructional Support office suite moving to the first floor of Building 1 December 15.

Moving for these spaces will be complete by December 19, 2014.



Entry to New IER Office Suite Building 32



Office Addition at Business Office New Location - Building 30

The moving committee for CTEC and Prescott campus meets weekly so feel free to contact Chris Larson or James Crockett for more information about scheduling and preparations for moving.

If you would like more information about the campus master plan or implementation schedule, please go to <http://masterplan.yc.edu/> . This site is updated on a regular basis as new information concerning project progress becomes available.

CONSTRUCTION UPDATES

Sedona Center Parking Lot

Construction is well underway after a soggy start on December 3. The new lot will include lighting, landscaping and will add approximately 90 new parking slots.

Construction on the new lot is scheduled to conclude by the end of February 2015.

Construction is also underway for the new Arts Village drive which is a joint venture between the College and Sathcupa, LLC the owner of the Cultural Center. The new road will connect the Sedona Center with the parking lot and property further to the west and is also scheduled to be complete in late February 2015.



Site Clearing of New Sedona Center Lot



Road Base Being Installed on a Very Wet Day

Parking Lot Project

Michael Taylor and Associates

McCarthy Building Companies

Project Manager: David Laurence

Residence Hall Landscaping

The Facilities Grounds Team continues to install landscape and hardscape features around the perimeters of Kachina and Marapai through the end of January 2015.



New Landscape South of Kachina



New Landscaping Along Marapai



Pavilion at Main Entry to Kachina

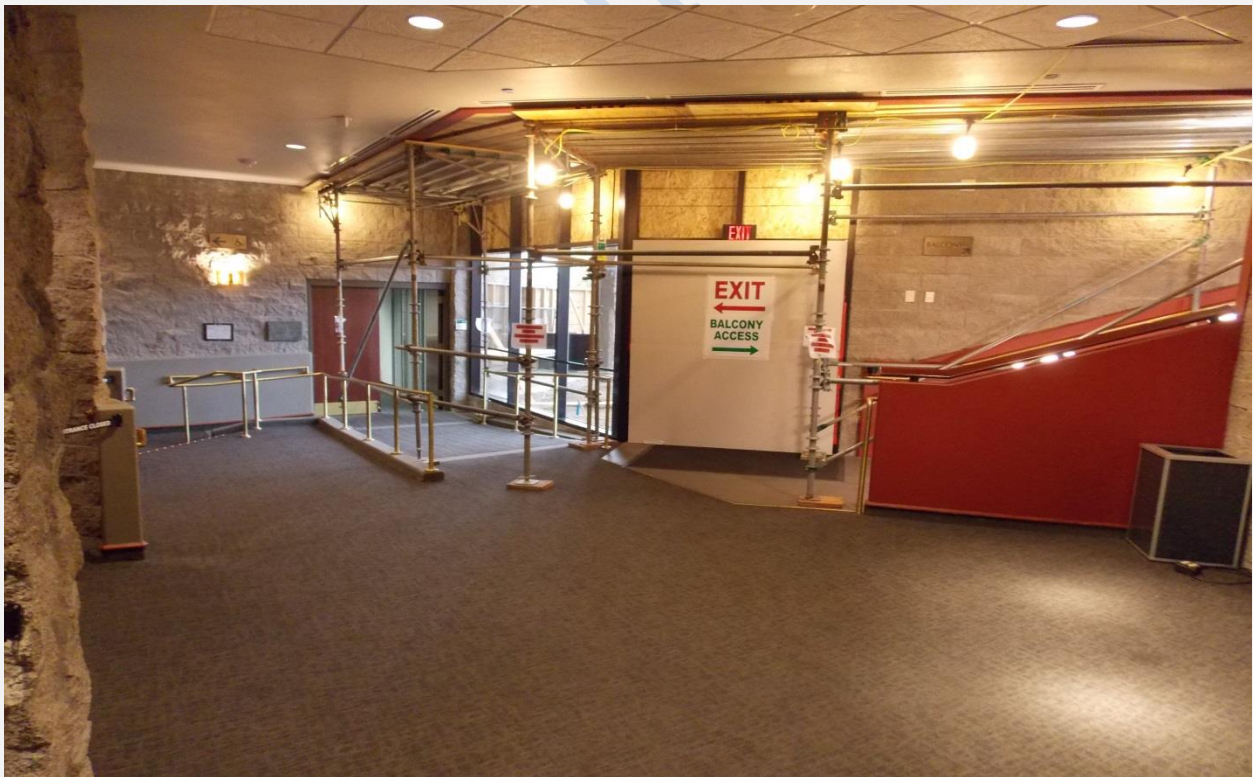
Project Manager: Mike Kervin

Performing Arts Center Elevator

Construction is underway for an elevator at the Performing Arts Center to aid patrons with limited mobility needing access to balcony seating and provide a safe method to move heavy equipment from floor to floor. The elevator will be located near the junctions of Buildings 15 and 16 and should be complete in July 2015.



Location of New Elevator Shaft



Location of Elevator Cab Access Point and Temporary Exit Route

GLHN Architects and Engineers

Haley Construction, Inc.

Project Manager: David Laurence

Building 2 Gym Floor Storm Damage Update

The gym is closed to all personel as construction has started and the area is unsafe. The replacement of the floor is scheduled to take 3 more months so stay tuned for Newsflash annoucements and future editions of this newsletter as the project progresses.



Ongoing Preparation for Replacement Gym Floor

Project Manager: James Crockett

PREVENTIVE MAINTENANCE PROJECTS

In the September issue of this newsletter, it was discussed that major maintenance projects would be addressed as information concerning implementation becomes available. The College has selected Haley Construction to provide the services of a construction manager to schedule major maintenance work over the next three fiscal years. Some of the major projects identified during this fiscal year include:

Roof Replacement/ Stucco Repair/Painting of the Sedona Site – Starting Design
Roof Replacement Verde Campus Building L – In process
ADA Parking Lot Modifications at the Verde Valley Campus – In design
Roof Replacement of Building 2, Prescott Campus – Researching design options
Pavement Rehabilitation, Sheldon to Low Water Crossing – Summer 2015
Major HVAC Replacement Building 3 – May/June 2015

EMERGENCY MANAGEMENT/SAFETY and HEALTH – Kenny Krebbs

During the last month, Andrew Gilstrap and I have been working to enhance the AED program. I have also been working with Denise Mueller to establish CERT training and CPR/AED training for employees. We are establishing a program for OSHA mandated training that is required for all employees including Hazardous Materials/Employee Right to Know along with updating the Hazardous Materials Data Sheets. We have also set up a training timeline for Emergency Operations Center members.

FACILITIES MANAGEMENT NEW TEAM MEMBERS

There are no new team members for the month of December, however there is a replacement opening for a Coordinator, Loss Control and Risk Management.

Well that's all for this edition of Yavapai College Facilities Management News. Please stay tuned for the next edition containing the latest information related to projects and programs around the college.

Presenter : Ray Sigafoos

Start Time : 1:45 PM

Item No : 16

Proposed By : Ray Sigafoos

Time Req : 10

Proposed : 10/8/2014

Item Type : Information Item

Policy No.	Description	Ref No
2.5	The President shall not permit the Board to be uninformed, misinformed, or unsupported in its work.	344945

Description : Information From Instruction and Student Services to Include: Faculty Senate Update; Student Development Update; Adjunct Advisor; Other Related Issues - INFORMATION AND/OR DISCUSSION

Details : Dr. Stuart Blacklaw, Vice President for Instruction and Student Services will report on the following:

- Faculty Senate Update, Vikki Bentz
- Student Development Update, Tania Sheldahl, Interim Dean
- Adjunct Advisor December 2014 - Attached, Information Only
- Other Related Issues

Attachments :

Title	Created	Filename
Faculty Assoc DF.pdf	Dec 04, 2014	Faculty Assoc DF.pdf
Faculty Assoc HH.pdf	Dec 04, 2014	Faculty Assoc HH.pdf
Governing Board Presentation - Student Services.pdf	Dec 04, 2014	Governing Board Presentation - Student Services.pdf
AA_Vol_4_Issue_5_December_2014.pdf	Dec 04, 2014	AA_Vol_4_Issue_5_December_2014.pdf

Dr. Dale Fitzner

In appreciation of your thoughtful
and effective Governing Board
service on behalf of your
community and the students and
staff of Yavapai College

Sincerely,

The Yavapai College
Faculty Association



Mr. Herald Harrington

In appreciation of your tireless efforts and many years of service on behalf of your community and the students and staff of Yavapai College

Sincerely,

The Yavapai College
Faculty Association



Student Services at Yavapai College

Departments **life explored**

- Academic and Career Advising/Counseling/Testing Services
- Disability Resources
- Enrollment Services – Answer Center
- Financial Aid
- High School Programs
- Learning Centers
- Recruitment
- Registrar
- Residence Life
- Student Activities/Engagement
- TRIO Programs
- Veteran Services

New and Exciting Projects

- Academic Advising available in person at all campuses
- Classroom visits in all CTE classes
- Academic Advising at area high schools –
Always booked with appointments
 - Mayer-Chino-Sedona-Mingus-Camp Verde
 - Group advising format at Prescott High School

New and Exciting Projects

- Sheila Jarrell, Registrar, selected as AACRAO faculty for new registrar training.
- Student Records Management Project
- Activities and Engagement ramped up for Prescott and Verde Campuses
- Introduction of Themed Housing working towards Living Learning Communities
- Sexual Misconduct Policy and training implemented as part of federal regulations

New and Exciting Projects

- Revamped New Student Orientation
- Restructure of Veteran's Services
- Successful Audit by AZ State Auditor General's Office
- Successful coordination of:
 - Remembrance Day
 - Transfer Day
 - 10th annual Sister to Sister Luncheon in collaboration with AAUW

New and Exciting News

- TRIO Programs end of year reports
- Working on Summer Bridge, LEAD Program
- Learning Centers presented 24 Student Success Workshops

Student Development and Retention

- First Year Experience Concept
- CRM – Communication System
- Recruitment in lower grades
- Getting Students on our campuses
- Heavy recruitment within Dual Enrollment and JTED concurrent programs

Future = Success

- Transfer Center
- Residence Life and Student Life combined
- Bigger Learning Center Space
- Testing Center Space
- Better communication and tracking of our students



Upcoming Adjunct Faculty Events:

- December 10 - TeLS Winter Institute
- December 11 - TeLS Winter Institute
- January 7, 2015 - New Adjunct Faculty Orientation; 5:15 - 8:30 pm; Bldg. 19.



UPCOMING ACADEMIC CALENDAR ITEMS:

- 12/1 - Grading Window opened
- 12/4 - NARTA Graduation
- 12/6 - Fall Regular Semester Ends
- 12/12 - Nursing Commitment & Pinning

Dec 14 - Final Grades Due at Noon

12/22/14 thru 1/2/15 - **Winter Break**; all campuses closed

Spring 2015 Calendar Items:

Jan 5 thru 10 - Faculty Activities Week - Division Meetings; Planning; Get courses ready!

Jan 12 - Spring Semester Begins!

- Jan 18 - All regular (15 week) semester classes:
- Last day to add / or drop
 - Last day for 100% refund

Short Classes (5-8 weeks) - 6th day after displayed start date:

- Last day to add / or drop

Classes less than 5 weeks - Last day to add or drop with refund :

- Day before first class meeting

[Link to Academic Calendar](#)



The two-day, Student Success themed, Winter Institute 2014 will be **Wednesday, December 10th & Thursday, December 11th**.

Staff are always welcome to attend sessions, too!
Please register by **December 5th, 2014**.

To view the schedule, please navigate to: https://courseweb.yc.edu/tels-fs/WinterInstitute/Winter_Institute_2014_Schedule.pdf.

To register for sessions, navigate to <http://training.yc.edu>.

Colleagues,

It's the Holiday Season!!! So soon! I think of this season of one of thankfulness and celebration. Personally, I want to thank each of you for what you bring to our College and our students...Your expertise in your fields and your commitment to our students. Thank you for making such a positive difference in the lives of many.



Celebration?? Just think of all of your students' successes and accomplishments. They may have not told you, but so many began this term not believing they could ever pass a college course. Others had so many personal challenges and have overcome numerous barriers to their success. Please celebrate that because of you, they believe in themselves.

Please enjoy this holiday season. I wish you a very peaceful, restful, and happy holiday.



~ Penny

From the Registrar ... Sheila Jarrell, M.Ed., 928-776- 2107

Dear Faculty,

It seems as if the semester is ending very quickly, so the Registrar's focus in this issue is on final grades for Fall.

Grading schedule for all full-semester classes, plus POT 53 and POT72:

Final grading available	December 1
Final grades due	December 14 (by noon)

Accessing final grade rosters

Login at www.yc.edu
Go to **My Services > Faculty > Submit Final Grades**

If you have any questions about final grading, posting grades, accessing rosters, assigning incomplete grades or resolving grading issues, please contact me as soon as possible for assistance at sheila.jarrell@yc.edu. Feel free to call 928.776.2107, or to stop by my office - Prescott Campus I-129D

Thank you for a very good semester – I hope each of you has a wonderful holiday season and winter break. Talk to you in January! Sheila

Grading schedule:

Term	Withdraw Deadline	Final Grade Opens	Final Grade Deadline
POT 1	Tues, Nov 25	Mon, Dec 1	Sun, Dec 14 - noon
POT 3	Tues, Nov 25	Mon, Dec 1	Sun, Dec 14 - noon
POT 53	Tues, Nov 25	Mon, Dec 1	Sun, Dec 14 - noon
POT 72	Tues, Nov 25	Mon, Dec 1	Sun, Dec 14 - noon

(Dual Enrollment Faculty -your schedule is a bit delayed and you will receive a separate email from me.)



The Adjunct Advisor

Published for Yavapai College Adjunct Faculty
Yavapai College
1100 E. Sheldon Street— Prescott, AZ 86301
Chris Heyer, AF Coordinator, Editor
Phone: 928-649-4568 (Verde)
928-776-2018 (Prescott)

YC Bookstore

Prescott area Buy Back & Rental Returns

* December 1 - December 12
Prescott Campus Bldg. 1 (Bookstore)
Hours: 8am to 5pm

Verde Campus Buyback & Rental Returns; Bldg. F - December 1 - 12. Hours:

* December 1 - December 4; 10 am - 3 pm
December 8 & 9; 10 am - 3 pm
December 10 & 11; Noon - 6:30 pm
December 12; 10a m to 3 pm

Phone: 928-776-2213
Toll Free: 855-303-5600
Fax: 928-776-2215
Email: yc@bkstr.com

A special Christmas Wish to all our Academic Advisors, Financial Aid, Registration, and Answer Center Staff - You Rock!

Financial Aid Update

Satisfactory Academic Progress

Financial aid will be running SAP (Satisfactory Academic Progress) to determine student eligibility for the Spring 15 semester on December 17th. We will then contact students via email if they are suspended. Students do have an opportunity to appeal, and these appeals are due on Wednesday, January 7, 2015, before classes begin.

Bookstore Charges

Students will be allowed to begin charging books at our bookstore on Friday, December 19th both online and in person. Students can continue to charge books online and have their books shipped to them during our holiday break.

We in the Financial Aid office and Answer Center want to take a moment to thank you. We appreciate all you do!

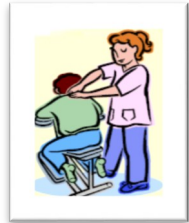
Diana Dowling,
Assistant Director of Financial Aid



Learning Centers **CRAM JAM**

~ December 1 - 3 ~

No need to stress about finals! Your Learning Center is here to help. Content review sessions and stress reduction activities to help you get into the right frame of mind for peak performance and aim for higher grades.



Let your Yavapai College Learning Center help you review, refresh and de-stress! Content review sessions and stress reduction activities to help you get into the right frame of mind for peak performance.

**Prescott Campus Activities:
Located in Building 1, Room 207**

**Verde Campus Activities:
Located in Building M, Room 122**

Yavapai College Library **Library Displays**

BE SURE TO STOP BY FOR A LOOK AT WHAT OUR TALENTED STUDENTS AND INSTRUCTORS ARE DOING!



Included in the exhibit are the following: In the standing case near the outdoor reading patio is an incredible selection of jewelry using a variety of techniques. Students are from the classes of Instructor, **Chris Contos**. **Dana Cohn's** students are showing new works in oil and acrylic painting in their revolving show, and **Ken Ottinger's** students are exhibiting works in a variety of media including oil, acrylic, pencil and charcoal. **Cindy DeCecco's** students are presenting an astounding assortment of sculptures in metal, wire, clay and paper mache. Jim Ward's drawing students have brought pencil/charcoal landscape drawings for their assignment in marks-making.

In addition to the student art work, we have featured the work of **Mr. William Barker**, a graphic artist, who has put together a show of some of his graphics entitled "The Schwa Art Project" in the standing case by the library entrance.

We also have a **National Native American** display of some art and artifacts by Native Americans and a sample of our large collection of books, DVDs and CDs on various tribes and their arts. This display is also on the stacks near the outdoor reading patio.

For a small sample in pictures of the above work, go to the library's blog: <http://beyondthewall.yc.edu>.

Holiday Spirit

The Holidays are a time of reflection, celebration, happiness and spreading love with your family and loved ones. I await this day round the year, but not for parties and fun. I believe Christmas is a time of peace, love and hope around the world, and that we should celebrate Christmas every day.

Try something new this year – be a Secret Santa. If you like animals, please give to your local shelter. Consider serving Christmas dinner in a mission or giving of your time in the local food pantry.

Thanks for ALL you do. Have a Warm, Wonderful Holiday and a Great New Year!



Chris



Presenter : Ray Sigafoos

Start Time : 1:55 PM

Item No : 17

Proposed By : Ray Sigafoos

Time Req : 10

Proposed : 10/8/2014

Item Type : Information Item

Policy No.	Description	Ref No
2.5	The President shall not permit the Board to be uninformed, misinformed, or unsupported in its work.	344945

Description : Information from Foundation and Advancement - Quarterly Report - Marketing Data Overview - INFORMATION AND/OR DISCUSSION

Details : Steve Walker, Vice President for College Development and Foundation, will provide reports on the following:

- Mike Lange, Director of Marketing and Communications will present a Marketing Data Overview.

Attachments :

Title	Created	Filename
MarketingDataReport4DGB.pdf	Dec 01, 2014	MarketingDataReport4DGB.pdf

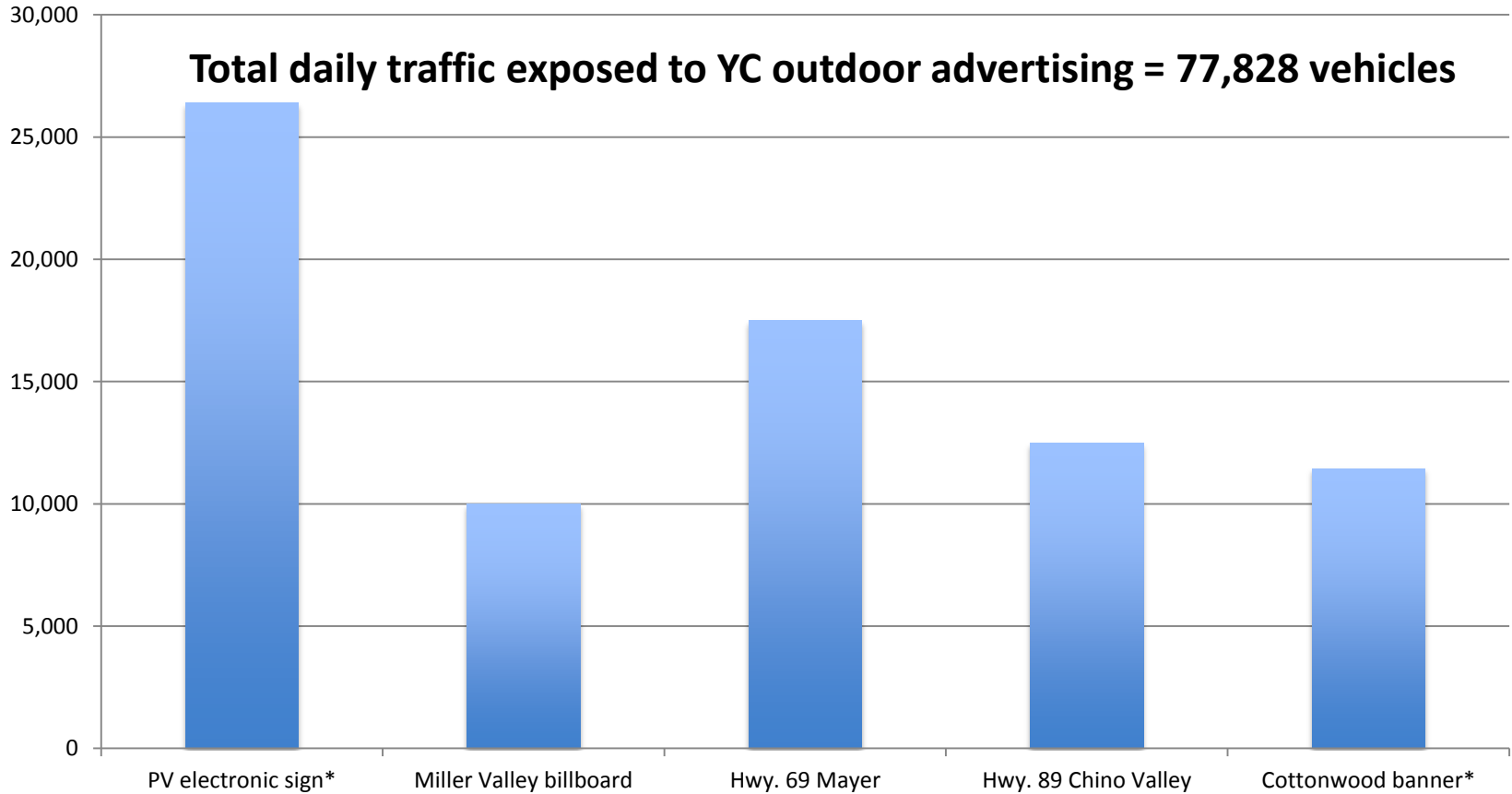


Marketing Data Overview

December 2014

Daily traffic exposed to YC outdoor signage

Number of vehicles

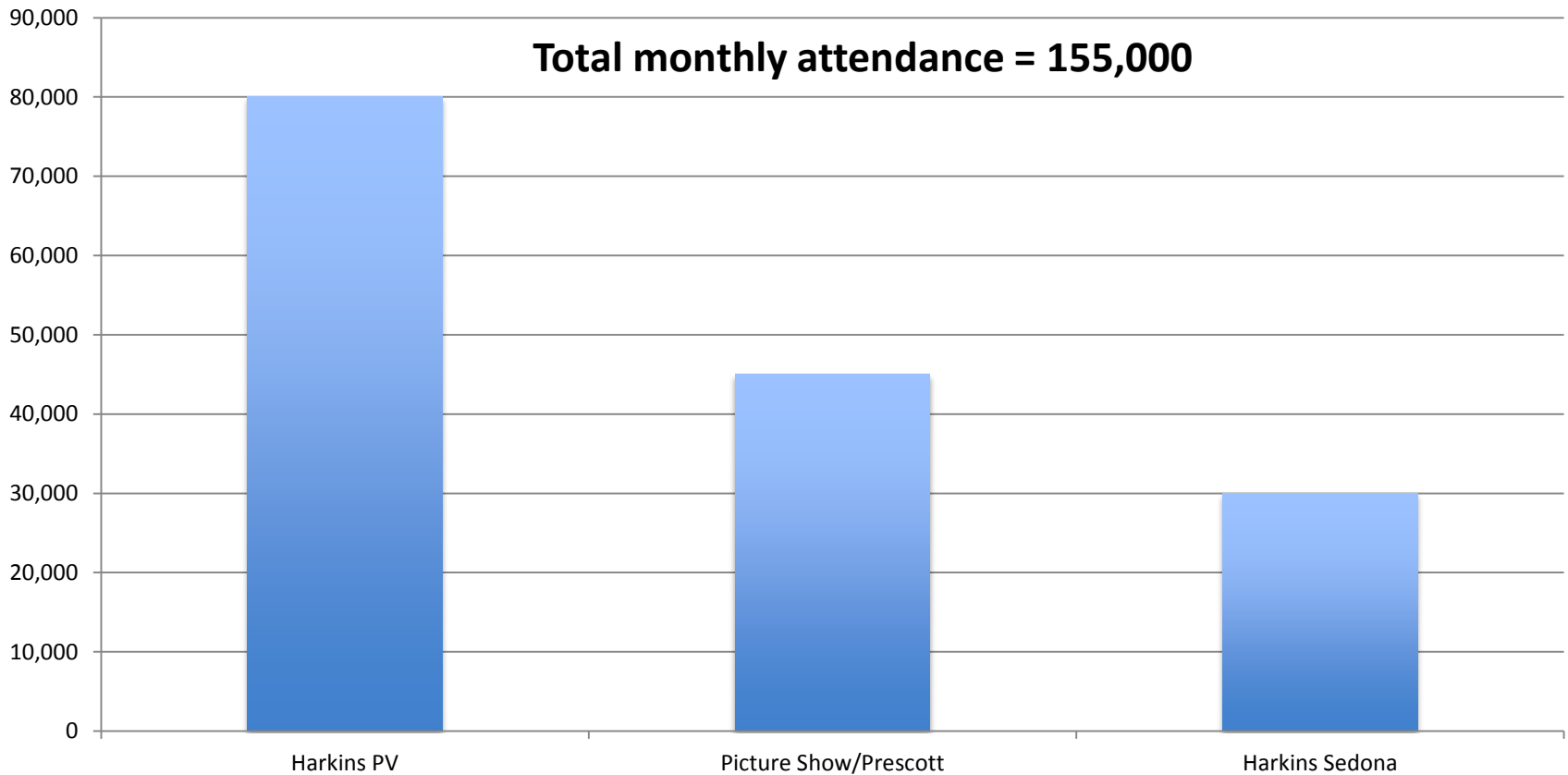


*Visible to traffic in two directions

Data provided by cities' engineering depts.

Movie theater ad reach

Monthly Attendance

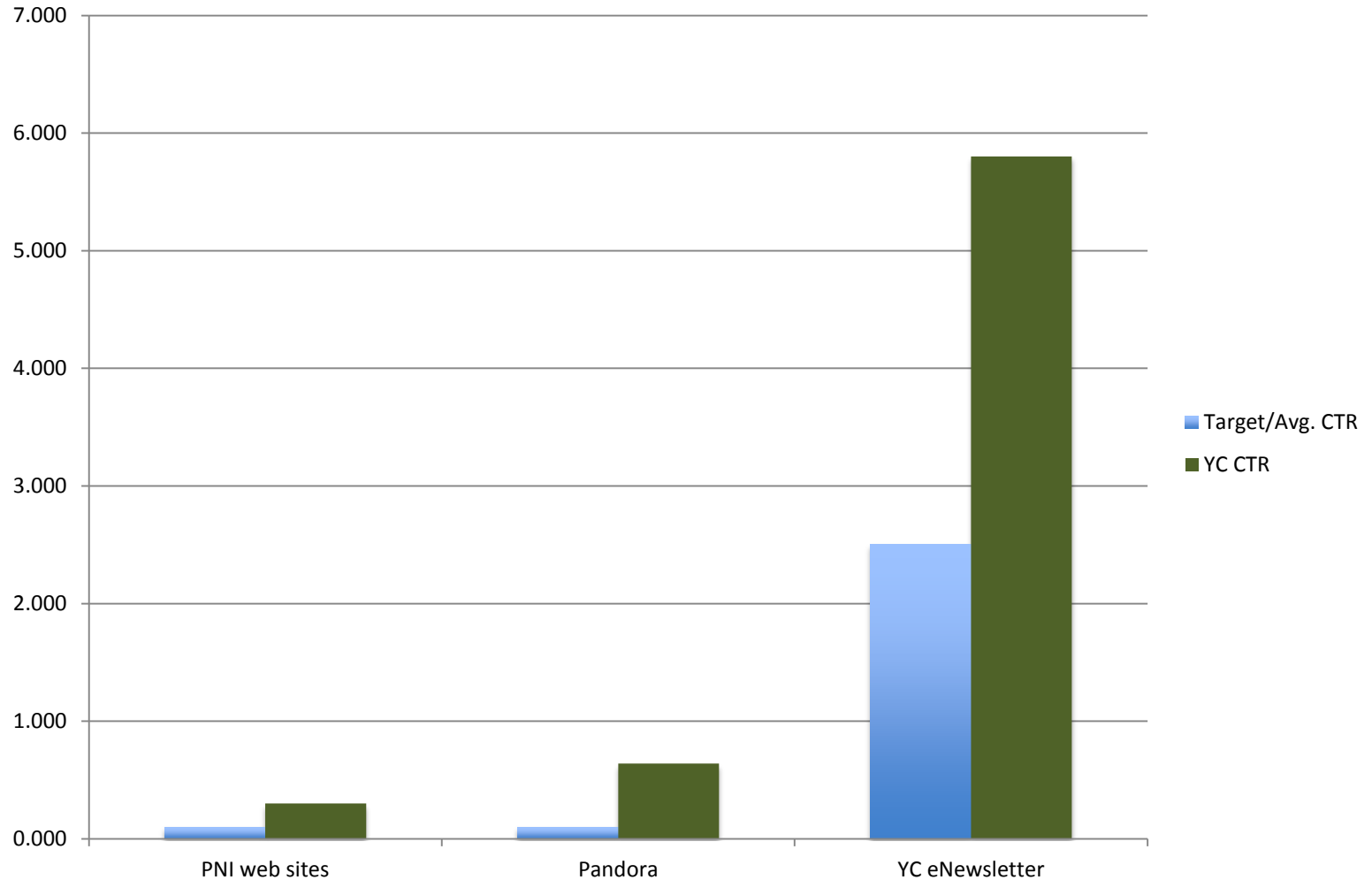


Sample new YC ad in theaters and on cable TV



YC online ads/eNewsletter

Click-through rates per thousand



YC Facebook Page “Likes”

Sept. 2013-Nov. 2014



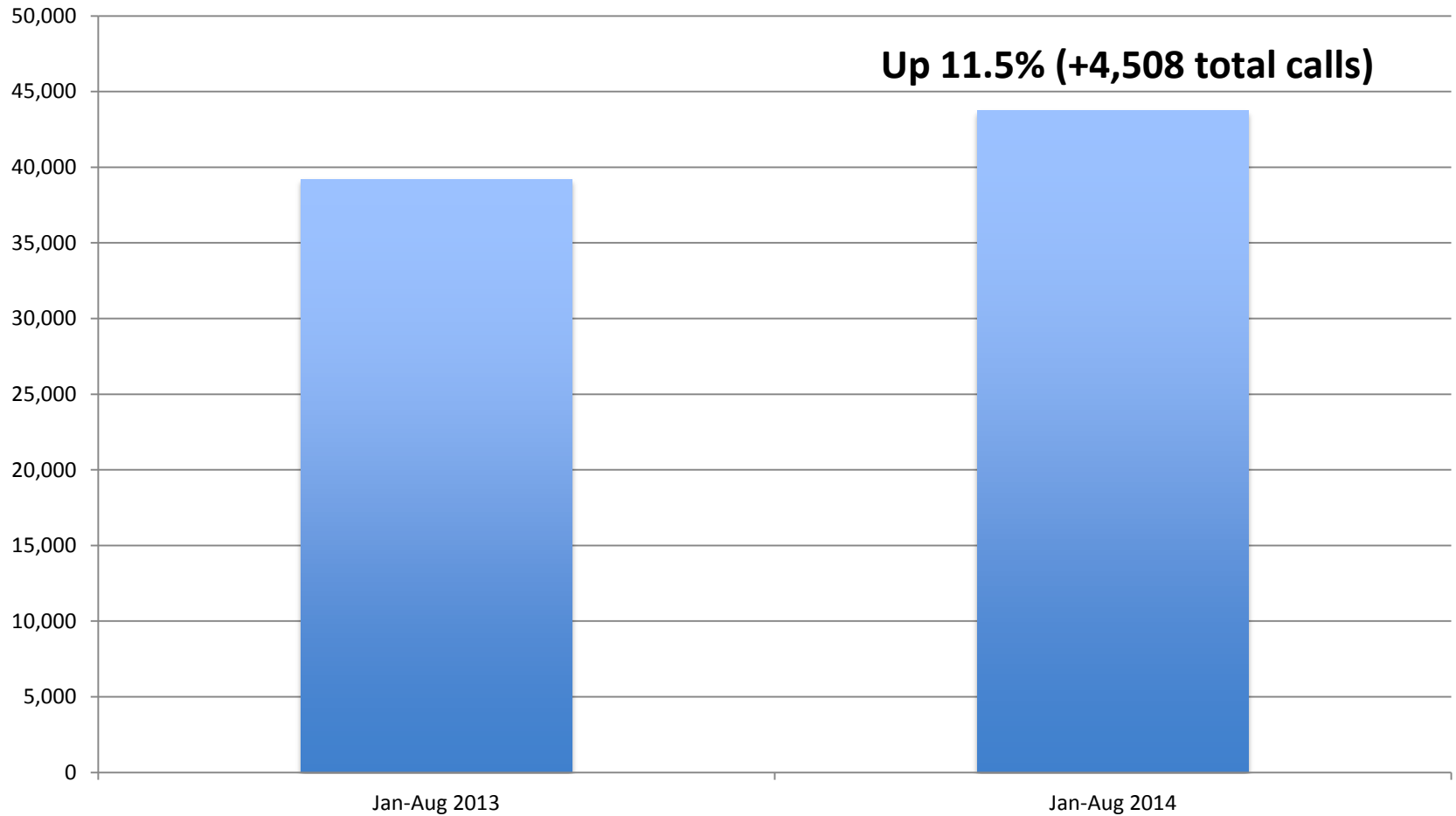
Page likes on 9/1/13: 1,852
Page likes on 11/30/14: 3,264

+76%

Facebook 'Conversion' Campaign

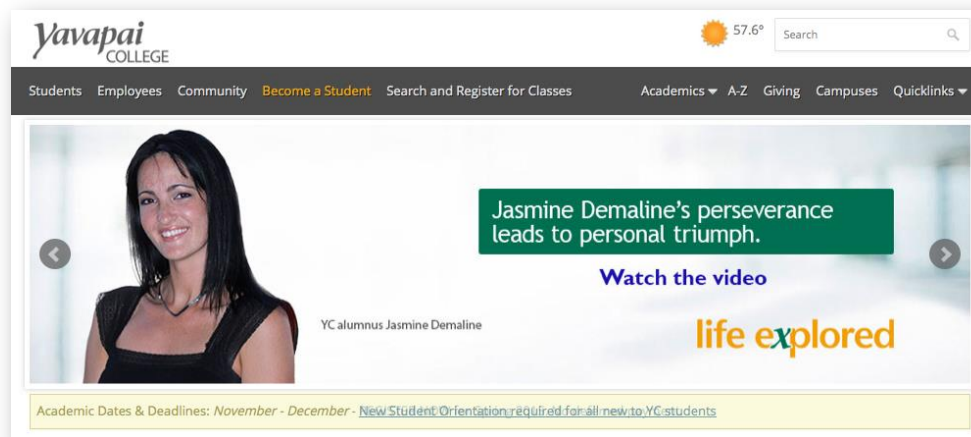
- Ability to track actions from viewing YC ad through taking action on the YC registration page (conversions)
- Campaign running through Dec. 9, 2014
- Oct. 29-Nov. 30 results:
 - Unique clicks: 1,679 people
 - **Conversions: 1,068**

YC Call Center Management calls received



Key fall enrollment period

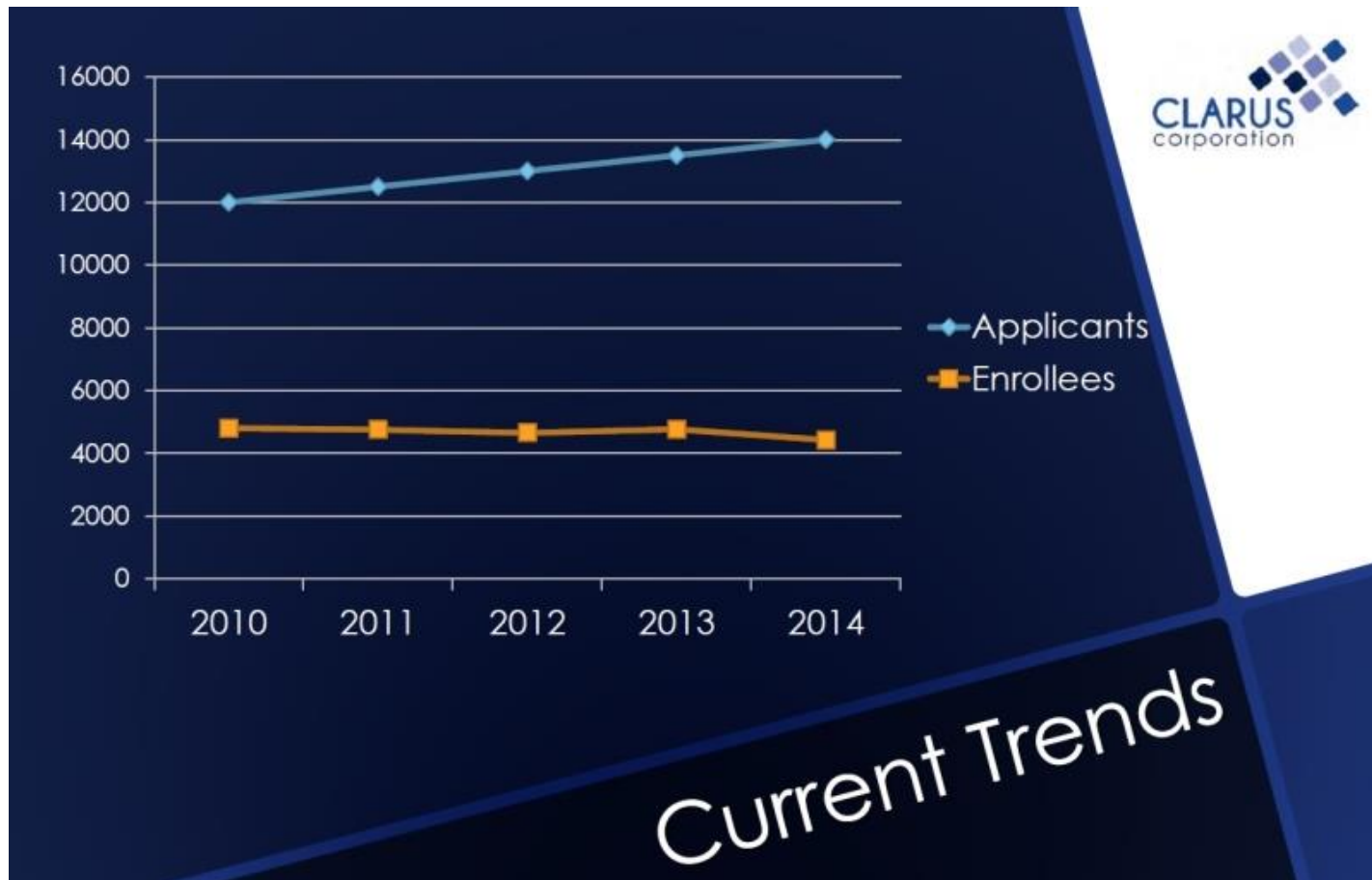
YC web site traffic



- Nov. 2013-Sept. 2014: 755,447 users visited the YC web site
- Average of 68,677/month
 - High month: Jan. 2014 (82,932)
 - Low month: June 2014 (55,330)

National trends mirror YC experience

Applications up, enrollment down nationally



Presenter : Ray Sigafoos

Start Time : 2:05 PM

Item No : 18

Proposed By : Ray Sigafoos

Time Req : 10

Proposed : 10/8/2014

Item Type : Procedure Item

Policy No.	Description	Ref No
3.4	To accomplish its job products with a governance style consistent with Board policies, the Board shall follow an annual agenda which (a) completes a re-exploration of Ends policies annually and (b) continually improves Board performance through Board education and enriched input and deliberation.	26041

Description : SHORT RECESS - PROCEDURAL

Details :

Attachments :

No Attachments

Presenter : Ray Sigafoos

Start Time : 2:15 PM

Item No : 19

Proposed By : Ray Sigafoos

Time Req : 0

Proposed : 11/14/2014

Item Type : Heading

Policy No.	Description	Ref No
3.4	To accomplish its job products with a governance style consistent with Board policies, the Board shall follow an annual agenda which (a) completes a re-exploration of Ends policies annually and (b) continually improves Board performance through Board education and enriched input and deliberation.	26041

Description : MONITORING REPORTS - HEADING

Details :

Attachments :

No Attachments

Presenter : Ray Sigafoos

Start Time : 2:15 PM

Item No : 20

Proposed By : Ray Sigafoos

Time Req : 10

Proposed : 10/8/2014

Item Type : Monitoring & Decision

Policy No.	Description	Ref No
3.2	As an informed agent of the ownership, the Board's specific job outputs are those that are unique to its trusteeship role and necessary to ensure appropriate organizational performance. Accordingly, the Board:	429130

Description : Board Evaluation of Governance Policy 3.2 - Board Job Description - RECEIPT, DISCUSSION, AND/OR DECISION

Details :

Governance Policy 3.2 - Board Job Description

As an informed agent of the ownership, the Board's specific job outputs are those that are unique to its trusteeship role and necessary to ensure appropriate organizational performance.

- 3.2.1 - Ownership Linkage

Shall be the link between the organization and its owners, who are residents of Yavapai County and those who are affected by Yavapai College.

- 3.2.1.1 - Commitment to Arizona Community College

Shall strive to appropriately balance the importance of local responsiveness and control within the context of statewide needs and issues and commits to cooperating with all other Arizona community colleges through meaningful dialogue and open sharing of information in order to:

- a) Align the Ends of Yavapai College with efforts to meet the learning needs of all Arizona's communities efficiently and effectively.
- b) Assist one another in meeting high standards of public accountability.
- c) Build the capacities of all our institutions.

- 3.2.1.2 - Governing Policies

Shall produce written governing policies which address the broadest levels of all organizational decisions and situations.

- a) Ends: Defining which organizational products/impacts/benefits/outcomes, Yavapai College should be producing for which recipients/beneficiaries, and their relative worth in cost or priority.
- b) Executive Limitations: Constraining executive authority within boundaries of ethics and prudence.
- c) Governance Process: Specifying how the Board conceives, carries out and monitors its own tasks.
- d) Board-President Linkage: Determining how the Board delegates power to the President and monitors its proper use.

- 3.2.1.3 - Assurance

Shall monitor the President's performance in order to ensure successful fulfillment of Ends.

- 3.2.1.4 - Other Activities

Shall also approve names for District real property as recommended by the President.

Attachments :

Title	Created	Filename
3.2 Compilation.pdf	Dec 04, 2014	3.2 Compilation.pdf

Policy Number	District Governing Board Policy Review Evaluation of Board Policies Compilation - December 2014 Policies: 3.2 Board Job Description 3.2.1 Ownership Linkage 3.2.1.1 Commitment to Arizona Community Colleges 3.2.1.2 Governing Policies 3.2.1.3 Assurance 3.2.1.4 Other Activities <u>Call if you need any help finding data in OurBoardroom™</u> <i>(Barbara, 928.776.2023)</i>	In Compliance	Out of Compliance	* Need More Data	N/A - Not Relevant at this time
3.2 Board Job Description	As an informed agent of the ownership, the Board's specific job outputs are those that are unique to its trusteeship role and necessary to ensure appropriate organizational performance. Accordingly, the Board:	5	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3.2.1 Ownership Linkage	Shall be the link between the organization and its owners, who are residents of Yavapai County and those who are affected by Yavapai College.	4	<input type="checkbox"/>	1	<input type="checkbox"/>
3.2.1.1 Commitment to Arizona Community Colleges	Shall strive to appropriately balance the importance of local responsiveness and control within the context of statewide needs and issues and commits to cooperating with all other Arizona community colleges through meaningful dialogue and open sharing of information in order to: a) Align the Ends of Yavapai College with efforts to meet the learning needs of all Arizona's communities efficiently and effectively. b) Assist one another in meeting high standards of public accountability. c) Build the capacities of all our institutions.	5	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3.2.1.2 Governing Policies	Shall produce written governing policies which address the broadest levels of all organizational decisions and situations. a) Ends: Defining which organizational products/impacts/benefits/outcomes, Yavapai College should be producing for which recipients/beneficiaries, and their relative worth in cost or priority. b) Executive Limitations: Constraining executive authority within boundaries of ethics and prudence. c) Governance Process: Specifying how the Board conceives, carries out and monitors its own tasks. d) Board-President Linkage: Determining how the Board delegates power to the President and monitors its proper use.	5	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3.2.1.3 Assurance	Shall monitor the President's performance in order to ensure successful fulfillment of Ends.	5	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3.2.1.4 Other Activities	Shall also approve names for District real property as recommended by the President.	5	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

If you indicated that the Board was out-of-compliance with one of its above-listed policies, please state the reason why:

I would like to discuss "ownership linkage" during the DGB meeting.

Is this policy still relevant or useful to the Board? Yes **4** No

If not, should it be deleted, updated, changed? Please comment for discussion during Board meeting.

Comments/Remarks:

Presenter : Ray Sigafos

Start Time : 2:25 PM

Item No : 21

Proposed By : Ray Sigafos

Time Req : 5

Proposed : 11/14/2014

Item Type : Monitoring & Decision

Policy No.	Description	Ref No
2.4	The President shall not allow College assets, including intellectual property and operating capital to be unprotected, inadequately maintained, or inadequately insured.	344138

Description : Receipt of President's Monitoring Report - Executive Limitation 2.4 - Asset Protection - MONITORING, DISCUSSION AND/OR DECISION

Details : Executive Limitation 2.4 - Asset Protection

The President shall not cause or allow existing any condition that is unsafe, compromises an individual's privacy or limits accessibility, nor fails to provide a grievance process.

MOTION OPTIONS:

1. If Board intends to accept Monitoring Report:

We have read the President's Monitoring Report regarding Policy 2.4, we believe that the interpretation of the policy provided is reasonable, and we believe that there is sufficient evidence to support the conclusion of compliance with the policy. Therefore, I move that we accept the Monitoring Report for Policy 2.4.

2. If Board intends to not accept Monitoring Report:

If for unreasonable Interpretation:

We have read the President's Monitoring Report regarding Policy 2.4 and we believe that the interpretation of the policy provided is not reasonable. Therefore, I move that we not accept the Monitoring Report for Policy 2.4. I move that the President provide the Board with a new Monitoring Report for Policy 2.4 [at the X board meeting] [within X amount of months] that includes a new interpretation.

If for Insufficient Evidence:

We have read the President's Monitoring Report regarding Policy 2.4 and we believe that the interpretation of the policy provided is reasonable, but we do not believe that there is sufficient evidence to support the conclusion of compliance with the policy. Therefore, I move that we not accept the Monitoring Report for Policy 2.4 I move that the President provide the Board with a new Monitoring Report for Policy 2.4 [at the X board meeting] [within X amount of months] that provides sufficient evidence to support the conclusion of compliance.

Attachments :

Title	Created	Filename
2014 Executive Limitations Policy 2 4 Asset Protection 112114.pdf	Dec 02, 2014	2014 Executive Limitations Policy 2 4 Asset Protection 112114.pdf
2.4 Compilation.pdf	Dec 04, 2014	2.4 Compilation.pdf

**President's Monitoring Report
Executive Limitations 2.4 – Asset Protection
November 2014**

Executive Limitations 2.4 – Asset Protection

The President shall not allow College assets, including intellectual property and operating capital to be unprotected, inadequately maintained, or inadequately insured.

President's Interpretation:

As stewards of public funds, it is imperative that the college maintains and strengthens **the public's trust. One of the key avenues to do that is to ensure that our assets are** legally and effectively expended, wisely invested, and sufficiently insured. These assets are not limited to structural facilities, but rather include such matters as **intellectual property, copyrights and trademarks, operating capital, and the college's reputation.** Examples of such safeguards include but are not limited to: 1) Adequate insurance against fire, theft, and casualty losses to the full extent of replacement value and against liability losses incurred by the college itself, its Board members, and its employees, consultants, and agents in an amount usually carried by comparable organizations. 2) Protecting intellectual property, information, and files from loss, significant damage, or willfully violating the individual rights of others. 3) Deposit and/or invest operating funds in only secured instruments or bonds through high- quality, low-risk mechanisms (approved by AZ statutes). 4) **All college employees, through their actions, will respect the college's public image and credibility by not acting in any way to hinder the progress of the Board's Ends or Strategic Initiatives.**

Sources of Data to Support President's Interpretation:

1. Insurance:

The District is a member of the Arizona School Risk Retention Trust, Inc., (the Trust). The Trust provides high quality, professionally managed, affordable property and casualty indemnity protection services to over 250 school districts and community colleges in the state. The District has various other supplemental insurance policies including cyber liability insurance to further minimize its financial risk.

Summary of Current Coverage:

General Liability including Governing Board and Professional Liability - \$10M/
occurrence

Excess Liability coverage - \$50M aggregate limit

Property Insurance – Aggregate limit - \$142,084,000, replacement value/like kind.

2. Information Asset Protection:

The District has a multifaceted strategy in place to protect information from lost or potential misuse. The Information Technology Services department is tasked with developing this strategy and the corresponding tasks associated. The college has developed Policy 2.07 Intellectual Property Rights that defines and protects employee and college interests. The college follows FERPA requirements and supports employees with training on handling of confidential information. Yavapai College

Policy 2.28 Copyright Use states that the college will follow US Copyright Law, respect the fair use doctrine, and designate staff as liaisons. The copyright committee and the liaisons have created an educational program to assure that faculty and staff members have a working knowledge of copyright law and how it impacts the field of education. All materials copied by the college print contractor (Ricoh) are copyright checked.

[Policy 2.07 Intellectual Property Rights](#)

[Policy 2.28 Copyright Use Policy](#)

Summary of Data Protection Practices:

- The College has a comprehensive disaster recovery plan for its information assets. This plan is tested quarterly.
- Critical systems are replicated to our secondary data center on the Verde Campus on a continuous basis. These systems and the data which resides on these systems can be quickly recovered in the event of a disaster.
- Important databases and files are backed up on a routine schedule. Back-up snapshots are taken frequently for quick recovery of data. Long-term storage of information is completed via a backup solution and stored on physical disk arrays at our secondary data center site on the Verde Campus.
- Redundant disk arrays are utilized to reduce the risk of data loss associated with hardware failures.
- Server rooms are protected by UPS systems. The primary and secondary data centers have backup generators and redundant cooling. Generators are tested on a weekly basis.
- File-level, database, and physical security are managed by the ITS Department according to best practices.
- Multi-tiered virus scanning and security vulnerability testing are employed to protect data. Vulnerability tests on critical systems are performed on a monthly basis. Additionally, many network security devices and practices are in place to mitigate risks to College-owned data.
- The ITS Department manages and maintains all district wide software licensing agreements. All employees and students must adhere to our Technology Resource Standards policy that prohibits individuals from installing and using unlicensed software on college computers. All employees and students must agree to abide by the terms of the policy. These acknowledgments are digitally recorded.
- **The ITS Department has established an "IT Information Security and Privacy Incident Management Procedure" for assessing, responding to, and managing information security and privacy incidents.** In addition, the College has purchased additional cyber liability insurance should any of our systems be compromised.
- Security equipment is in place that automatically blocks any connections from known cyber attackers and organized crime syndicates throughout the world. Presently, over three million known hosts are blocked before they can attempt to access the YC network. In addition, well over fifty thousand attacks

targeted at the YC network are blocked on a daily basis. These attacks include brute force attacks, SQL injection attacks, and remote scanning attacks.

- An external network penetration test was conducted by a 3rd party firm in February, 2014. The report was very favorable, with an overall rating of Moderately Secure. Some issues were identified and were remediated. In addition, **a comprehensive IT audit was recently performed by the State Attorney General's Office** as part of our annual financial audit process. That audit yielded several areas for improvement and work has begun to implement the suggestions received. Both of these exercises will be scheduled on an annual basis.

3. Deposits and Investments:

The District's primary objective in investing available cash is the preservation of capital and the protection of investment principal while earning the best reasonable relative rate of return.

The District's operating funds are invested in insured or collateralized interest bearing deposit accounts and the County Treasurer's Investment pool.

The District's deposits at September 30, 2014, were as follows:

<u>Investment Type</u>	<u>Amount</u>
Wells Fargo operating account	\$4,990,800
Wells Fargo capital accumulation savings account	4,929,000
County Treasurer's investment pool	13,513,300

4. Public Image:

The College maintains several policies and procedures that require employees to **respect the College's image and credibility by not acting in any way to hinder the progress of the Board's Ends or Strategic Initiatives:**

- [Policy 2.19: Code of Ethics](#)
- [Policy 2.20: Conflict of Interest](#)
- [Policy 2.25: Reporting Dishonest or Fraudulent Conduct](#)
- [Policy 2.26: Zero Tolerance for Threats or Disruptive Behavior](#)
- [Oath of Office required from all employees – as per Arizona Statue 38.231](#)

5. Physical Assets

The college believes in the philosophy that well-maintained assets lead to the lowest Total Cost of Ownership. In our FY2013-14 financial statements, the college had \$139M of depreciable assets. Using standard depreciation assumptions of 40 years for buildings and 15 years for site improvements, the college should be reinvesting \$3.6M per year in maintenance activities. In actuality, the college budgets \$3M for preventative maintenance and .5M for unplanned maintenance. This methodology is working. In FY12, the college retained architectural firm GLHN to conduct a Facility Condition Assessment, and the college facilities were rated 95% as good as new.

Similarly, using the standard depreciation assumption of 5 years for equipment, the college should be investing \$2.3M per year. Our equipment replacement plan budget for FY2015 is \$2.3M.

President's Conclusion:
I report compliance

Presidential Monitoring Worksheet for Executive Limitations Policies
Policy 2.4 – Asset Protection
Compilation - December 2014

This worksheet is intended to assist you in assessing the monitoring report, and expediting RELEVANT discussion at the Board meeting. For EACH ITEM and sub-item in the attached monitoring report, please note your responses to the following questions:

Executive Limitation 2.4	Real Property The President shall not allow College assets, including intellectual property and operating capital to be unprotected, inadequately maintained, or inadequately insured.		
Is the interpretation reasonable?		5	NO
Does the data demonstrate compliance with the interpretation?		5	NO
Is there sufficient evidence to convince me that a reasonable interpretation of the Executive Limitation has been achieved?		5	NO
Having reviewed the monitoring report, does anything you have learned make you consider whether this section of the policy itself should be amended?		YES	5
Comments:			

The following questions will apply to the WHOLE policy:			
Is there sufficient evidence to indicate compliance with the WHOLE policy, not just portions of it?		5	NO
Is there reason to doubt the integrity of the information presented?		YES	5
Comments:			

SHADED ITEMS should be raised for discussion at the meeting.

Presenter : Ray Sigafoos

Start Time : 2:30 PM

Item No : 22

Proposed By : Ray Sigafoos

Time Req : 20

Proposed : 11/14/2014

Item Type : Procedure Item

Policy No.	Description	Ref No
2.4	The President shall not allow College assets, including intellectual property and operating capital to be unprotected, inadequately maintained, or inadequately insured.	344138

Description : EXECUTIVE SESSION - A.R.S.§38-431.03 (A)(2) and (A)(3) - Discuss Proprietary and Confidential Records Related to the College's Technology Security Systems and Receive Legal Advice Related to Same - PROCEDURAL

Details : Pursuant to A.R.S. §38-431.03 (A)(2) and (A)(3) - Discuss Proprietary and Confidential Records Related to the College's Technology Security Systems and Receive Legal Advice Related to Same.

Attachments :

No Attachments

Presenter : Ray Sigafoos

Start Time : 2:50 PM

Item No : 23

Proposed By : Ray Sigafoos

Time Req : 5

Proposed : 11/14/2014

Item Type : Procedure Item

Policy No.	Description	Ref No
2.4	The President shall not allow College assets, including intellectual property and operating capital to be unprotected, inadequately maintained, or inadequately insured.	344138

Description : Convene in Public Session Pursuant to A.R.S. §38-431.03 (D) - PROCEDURAL

Details : Pursuant to A.R.S. §38-431.03 (D), convene in public session.

Attachments :

No Attachments

Presenter : Ray Sigafoos

Start Time : 2:55 PM

Item No : 24

Proposed By : Ray Sigafoos

Time Req : 0

Proposed : 10/8/2014

Item Type : Heading

Policy No.	Description	Ref No
3.4	To accomplish its job products with a governance style consistent with Board policies, the Board shall follow an annual agenda which (a) completes a re-exploration of Ends policies annually and (b) continually improves Board performance through Board education and enriched input and deliberation.	26041

Description : OWNERSHIP LINKAGE - HEADING

Details :

Attachments :

No Attachments

Presenter : Ray Sigafoos

Start Time : 2:55 PM

Item No : 25

Proposed By : Ray Sigafoos

Time Req : 5

Proposed : 10/31/2014

Item Type : Procedure Item

Policy No.	Description	Ref No
3.1.4	Shall monitor and regularly discuss the Boards own process and performance through a) regular monitoring by the full Board of its Governance Process and Board-President Linkage policies. b) review of the Boards overall performance as a governing body. Shall delegate to the Chair the responsibility to develop and conduct this evaluation process in accordance with Policy 3.5.3.	413190

Description : Board Meeting Evaluation (Quarterly) - INFORMATION AND/OR DISCUSSION

Details : The Board assesses how meetings are conducted on a quarterly basis. Dr.McCarver acted as the Board Evaluator and completed the review for September 2014 through November 2014. The Board Evaluator will evaluate the Board's commitment and consistency to act with Policy Governance:

1. The Board provided strategic leadership by focusing on Ends.
2. The Board obtained and/or considered ownership input.
3. The Board encouraged diversity of viewpoints
4. The Board was proactive and future-focused.
5. The Board limited their decisions to items that related to the Board's governance job.
6. Decisions were made collectively.

The Board Evaluator will determine if any of the following areas need improvement:

1. Internal preoccupation, focus on administrative means.
2. Decisions without ownership input, or self-selected input only.
3. Board "led" by a few vocal members.
4. Board involved in making decisions in areas delegated to CEO.
5. Board "rubber-stamping" decisions of individuals or committees.
6. More focus on present and/or past than on future.
7. Reacting to CEO recommendations rather than making governance decisions.

Attachments :

Title	Created	Filename
Board meeting Self Eval -McCarver.pdf	Dec 05, 2014	Board meeting Self Eval -McCarver.pdf

Yavapai College District Governing Board

Meeting Self-Evaluation (Quarterly)

December 9, 2014

During this evaluation, have we acted consistently with Policy Governance to which we have committed ourselves?

	Brief comment of specific examples to support your response
The Board provided strategic leadership by focusing on Ends <input type="checkbox"/> Always <input type="checkbox"/> Rarely <input checked="" type="checkbox"/> Most of the time <input type="checkbox"/> Never <input type="checkbox"/> Some of the time	Monitoring Reports for all Ends policies reviewed/approved in October
The Board obtained and/or considered ownership input <input type="checkbox"/> Always <input type="checkbox"/> Rarely <input checked="" type="checkbox"/> Most of the time <input type="checkbox"/> Never <input type="checkbox"/> Some of the time	Discussed VVAC formation and selection process. Attended first meeting in November. Focus of September day and a half retreat was on Ownership Linkage and creation of plan. Approved IGA with Mountain Institute JTED and YC. Open call at each meeting.
The Board encouraged diversity of viewpoints <input type="checkbox"/> Always <input type="checkbox"/> Rarely <input checked="" type="checkbox"/> Most of the time <input type="checkbox"/> Never <input type="checkbox"/> Some of the time	
The Board was proactive and future-focused <input type="checkbox"/> Always <input type="checkbox"/> Rarely <input checked="" type="checkbox"/> Most of the time <input type="checkbox"/> Never <input type="checkbox"/> Some of the time	Selected voting representative for ACCT Congress and sent 2 representatives to the annual meeting. Approved proposals for new curriculum in Computed Tomography and MRI certificates.
The Board limited their decisions to items that related to the board's governance job <input type="checkbox"/> Always <input type="checkbox"/> Rarely <input checked="" type="checkbox"/> Most of the time <input type="checkbox"/> Never <input type="checkbox"/> Some of the time	Board approvals were policy based—monitoring reports, approving resolution to support Expect More Arizona; Capital Accumulation Fund.
Decisions were made collectively <input checked="" type="checkbox"/> Always <input type="checkbox"/> Rarely <input type="checkbox"/> Most of the time <input type="checkbox"/> Never <input type="checkbox"/> Some of the time	

During this evaluation, did we fall into any of the following behaviors that need to be improved?

Yes	No	BEHAVIORS NEEDING IMPROVEMENT	
<input type="checkbox"/>	<input checked="" type="checkbox"/>	1	Internal preoccupation, focus on administrative means
<input type="checkbox"/>	<input checked="" type="checkbox"/>	2	Decisions without ownership input, or self-selected input only
<input type="checkbox"/>	<input checked="" type="checkbox"/>	3	Board "led" by a few vocal members
<input type="checkbox"/>	<input checked="" type="checkbox"/>	4	Board involved in making decisions in areas already delegated to CEO
<input type="checkbox"/>	<input checked="" type="checkbox"/>	5	Board "rubber-stamping" decisions of individuals or committees*
<input type="checkbox"/>	<input checked="" type="checkbox"/>	6	More focus on present and/or past than on future
<input type="checkbox"/>	<input checked="" type="checkbox"/>	7	Reacting to CEO recommendations rather than making governance decisions

*except for items deliberately handled on the Required Approvals Agenda

If answered "Yes" for any number above, give a brief example.

What is the most important thing the board could do to improve our function as a board?

More active participation in Ownership Linkage. Presence in the community. Taking feedback and bringing it forward at Board Meetings, to relate it to Ends and future plans.

Presenter : Ray Sigafoos

Start Time : 3:00 PM

Item No : 26

Proposed By : Ray Sigafoos

Time Req : 5

Proposed : 10/8/2014

Item Type : Discussion

Policy No.	Description	Ref No
3.1	<p>The Board shall govern Yavapai College proactively rather than reactively. The Board shall stay adequately informed by incorporating within the Board meeting reports from the President on strategic issues and engaging the Board in strategic thinking on relevant issues and approach its task with a style which emphasizes:</p> <ul style="list-style-type: none">- outward vision rather than an internal preoccupation- diversity in viewpoints;- strategic leadership derived from future rather than past or present thinking;- clear distinction of Board and staff roles;- collective rather than individual decisions; and- emphasis on intended long-term impacts on the communities, not on the administrative or programmatic means of attaining those effects. <p>More specifically, the Board shall:</p>	396360

Description : Report on the Verde Valley Board Advisory Committee - DISCUSSION AND/OR DECISION

Details : The Board will discuss the Verde Valley Board Advisory Committee, including:

- Review of the approved minutes from the November 7, 2014 meeting and the November 19, 2014 meeting - Attached
- Review of the Draft Operating Guidelines - Attached
- Meeting schedule - January 7, 2015 and January 21, 2015.

Attachments :

Title	Created	Filename
Approved Minutes_DGB VVAC_2014 Nov 7.pdf	Dec 03, 2014	Approved Minutes_DGB VVAC_2014 Nov 7.pdf
Approved Minutes_DGB VVAC_2104 Nov 19.pdf	Dec 03, 2014	Approved Minutes_DGB VVAC_2104 Nov 19.pdf
Operating Guidelines_VVAC 2014 Dec 3_Draft.pdf	Dec 04, 2014	Operating Guidelines_VVAC 2014 Dec 3_Draft.pdf

Verde Valley Advisory Committee

Approved Minutes

Yavapai College - Verde Valley Campus

601 Black Hills Drive, Clarkdale, AZ 86324

November 7, 2014 – 10 AM - 1 PM

DGB Members present: Ray Sigafos, Chair; Dr. Patricia McCarver, Secretary; Al Filardo, D3

College employees: Dr. Penny Wills, President; Linda Buchanan, Verde Valley Community Education coordinator

Guests: Lynne Adams, Legal Counsel for YC; Tim Carter; Yavapai County Superintendent of Schools

10:00 – 10:05 AM Welcome, Dr. Penny Wills provided welcome to college guests

10:05 – 10:10 AM Opening Statement Chairman Ray Sigafos directed committee to DGB working protocol (ends statements) and purpose of group in providing ownership and linkage feedback, e.g. *are there particular community needs and interests for the Board to consider?*

10:10 – 10:40 AM Introduction of VVAC members, present: Paul Chevalier (Sedona), Carolyn Fisher (Village of Oak Creek), Randy Garrison (Cottonwood), Amber Marchant-Lee (Camp Verde), Leona Wathagoma (Yavapai-Apache Nation), Janet Aniol (Beaver Creek), Bill Regner (Clarkdale)

10:40 – 11:10 AM History and Framework of VVAC Formation, Filardo presented History and Framework of VVAC Formation (see PowerPoint attached/on file); Request for college presentation at next meeting regarding YC Verde Valley educational opportunities

11:10 – Noon Open Meeting Law VVAC Rules and Responsibilities, Lynne C. Adams, DGB attorney presented Open Meeting Law and its rules and responsibilities pertaining to VVAC (see PowerPoint attached/on file); Chair Sigafos stated his desire for VVAC to succeed and serve at the will of the DGB

Noon – 12:45 PM Working Lunch, Election of officers, Calendar, discussion led by Al Filardo

Meeting Schedule: 1st and 3rd Wednesdays, 8 - 10 a.m. typically at Verde Valley Campus or Sedona Center; through 2014: November 19 9 – 11 a.m. (exception), December 3 & 17

Chair: Paul Chevalier; Vice Chair: Bill Regner; approved by acclamation

Bylaw Subcommittee: Paul Chevalier, Carolyn Fisher

Nov 19 Agenda: Report from DGB Liaison (or DGB alternate); Presentation by Verde Valley Campus Executive Dean (or designee); Bylaw formation

12:45 PM – 1:00 PM Discussion of Next Steps and Close, Chair Sigafos thanked County Superintendent of Schools, Tim Carter, for service to community throughout committee selection process; Motion by Regner, Fisher 2nd to adjourn; motion carries unanimously 1:00 PM adjournment

Verde Valley Board Advisory Committee

Yavapai College
Verde Valley Campus - Building G, Room 102
601 Black Hills Drive, Clarkdale, AZ 86324

Approved Minutes November 19, 2014

VVBAC Members present: Paul Chevalier, Chair; Bill Regner, Vice Chair; Janet Aniol; Carolyn Fisher; Randy Garrison;
Amber Marchant-Lee; Leona Wathogoma

DGB Members present: Al Filardo, D3

College employees: Linda Buchanan, Verde Valley Community Education Coordinator;

Karen Jones, Executive Assistant for the District Governing Board and President; James Perey,
Executive Dean for Verde Valley Campus; Robin Weeks, OLLI Sedona/Verde Coordinator

I. Call to Order

The meeting was called to order at 9:00 a.m. by Chair Chevalier, and welcomed guests, press, and members.

II. Approval of Meeting Minutes - November 7, 2014

Carolyn Fisher moved, Leona Wathogoma seconded, to approve the Verde Valley Board Advisory Committee Meeting Minutes for November 7, 2014 as written. Motion carried unanimously.

III. Ownership Linkage: Methods and procedures to gather feedback from community members regarding higher education, economic, and cultural needs.

Chair Chevalier reminded the VVBAC meetings are open to all.

The Committee requested press releases be issued to announce VVBAC meeting dates/times.

Chair Chevalier informed the committee that the college has a curriculum committee and the charge of VVBAC will be much broader such as recommendations for economic development, Sedona Center, and Verde Valley Campus. He requested the Committee develop procedures to gather community feedback and recommended groups to include:

- Produce an email listing for feedback (acknowledge all participation)
- Each committee member connect with respective constituents
- Lisa Sandoval, Director of Higher Education, Yavapai-Apache Nation
- Barbara Dember, CEO of the Verde Valley Medical Center - January 2015 - Randy will coordinate
- High School Superintendent panel - January 2015 - Amber will coordinate
- Alexandria Wright, Director of YC Regional Economic Development Center
- Kurt Haskell, Director of YC Small Business Development Center
- Lois Lamer, CEO Valley Academic for Career and Technology Education
- John Morgan, YC Dean of Career Technology Education Center
- Bob Oliphant and Ruth Wicks, Verde Valley Community College Advocates
- Tim Carter, Yavapai County Superintendent of Schools
- Verde Valley Chamber of Commerce leaders
- Economic Development Councils & Organizations serving the Verde Valley
- Doug Tolleson, University of Arizona V Bar V Research Station
- Major employers in the greater Verde Valley
- Steve Walker, YC Vice President of Advancement and Foundation
- Adult education needs; Future workforce needs; Current workforce continuing education needs

Al Filardo agrees that workforce training needs (current and future) should be addressed and a focus of the committee. He also encouraged all Verde communities to work as a unit.

IV. Information from Yavapai College:

Verde Valley Campus Information to Include: Curriculum; Capital Improvements; Regional & Local Assessments/Studies; and Other Related Items. James Perey presented information regarding Verde Valley Campus and Sedona Center (PowerPoint on file), followed by Q&A regarding facilities, technology, program development, and the college's strategic planning process. The Committee invited Executive Dean Perey to attend VVBAC meetings, and/or present periodic updates. VVBAC agendas to include an item to review issues from prior meetings.

Committee requested the following:

- Electronic copy of today's presentation by James Perey
- Spring 2015 Enrollment Guide
- Data regarding VV students attending classes at YC sites other than VV or Sedona
- Culinary and Hospitality Program Demand (Hanover)
- Culinary and Hospitality site visits (Perey 2013-2014)

V. **Preparation of the Bylaws**

Committee requests that all members provide input for the content for bylaws, and email items to Linda Buchanan by Wednesday, November 26. Suggestions include member terms, member replacement procedures, and code of conduct, and may be described as operating procedures in support of the Vision and Mission.

Preparation of Bylaws will be included in the December 3, 2014 VVBAC meeting.

VI. **Future Meeting Schedule**

- Next meeting scheduled December 3, 2014 8:00 – 10:00 a.m. Verde Valley Campus Building G Room 102 (VC.G-102 w/ Chair Sigafos attending on behalf of the District Governing Board.
- December 17, 2014 meeting is cancelled.
- January 7 & 21 meetings will include presentations from Verde Valley Medical Center and Superintendents from the Verde Valley High Schools, if so arranged by Committee members.
- January 11, 2015 will be a VVBAC social for members of the committee given by Chair Chevalier at 5:30 p.m. with no business to be conducted.

Paul will provide social invitations for Linda to distribute to members.

- Al Filardo reminded the members that this committee is a unique community outreach model, and thanked the members for their time and innovation.

VII. **Adjourn**

Randy Garrison moved, Bill Regner seconded, to adjourn the Verde Valley Board Advisory Committee Meeting for November 19, 2014. Motion carried unanimously.

Meeting adjourned at 10:41 a.m.

Verde Valley Board Advisory Committee

Operating Guidelines

Drafted Dec 3, 2014 with intent to circulate to Committee and Yavapai College District Governing Board for further review and possible approval at the January 7, 2015 Committee meeting.

1. Mission Statement & Vision Statement

Mission: To provide advice to the Yavapai College District Governing Board based on objective analysis and feedback from Verde Valley communities. Vision: Recognized as the Verde Valley's voice for constructive and collaborative dialog between residents and the Yavapai College District Governing Board to promote improved access to quality higher education.

2. Committee Structure

The committee shall initially consist of one representative from each of the following communities in the Verde Valley: Camp Verde, Clarkdale, Cottonwood, Sedona, Yavapai-Apache Nation, and two representatives from the unincorporated areas of the Verde Valley. New representatives may be added by the Yavapai College District Governing Board, in consultation with the Committee, and representative communities.

3. Committee Meetings

- a. Frequency and location of meetings will be determined by a quorum of the committee members in accordance with the Arizona Open Meeting Laws.
- b. Meeting shall be public except when discussion matters pertain to legal advice, which will be in executive session.
- c. All regular meetings, special meetings, and executive sessions of the committee may be held, at any time and place, as determined by the chair or a majority of the committee, upon proper notice to the public per A.R.S §38-431.02 Notice of meetings.
- d. Minutes of each meeting will be taken, and approved for posting at the next regular meeting.

4. Quorum

Quorum is defined as more than half the membership.

5. Roles of the Committee are to:

- a. Represent the Verde Valley as a whole and the member's community.
- b. Determine the issues to resolve and prioritize.
- c. Seek out accurate data and input from stakeholders.
- d. Perform careful analysis as a basis for advice.
- e. Provide information to the Verde Valley Community as appropriate.
- f. Make recommendations to the Yavapai College Governing Board through the liaison appointed by the District Governing Board Chair.

6. Member Expectations

- a. To attend committee meetings and participate. Failure to attend meetings may result in removal by District Governing Board.
- b. To excuse themselves from discussions and votes where they have a conflict of interest.
- c. To take active part in fulfilling the goals listed in item #5 - Roles of the Committee.

Verde Valley Board Advisory Committee

7. Officers

The officers' roles and responsibilities are:

- a. The Committee Chair shall lead the Advisory Committee, including presiding at all meetings; designating subcommittees and subcommittee membership; and serving as an ex-officio member of all subcommittees.
- b. The Vice-Chair shall assist the Chair and assume the duties of the Chair when necessary.
- c. The Chair and Vice-Chair shall set the agenda for the meetings, with consideration of member requests, provided that any two members may have a subject placed on the next available agenda by so requesting it in writing to the Chair in a timely manner.
- d. The term of office for the Chair and Vice-Chair shall be one year.
- e. Officers shall be elected annually at the December Advisory Committee meeting and take office at the close of that meeting.
- f. Any elected officer may be removed by a two-thirds vote at any regular meeting or at a special meeting called for that purpose, when in its sole judgment, the best interests of the Committee would be served by such a Committee action.

8. Subcommittees

Subcommittees shall be selected and have their duties and responsibilities defined by a quorum of the Advisory Committee or by the Chair.

9. Open Meeting Law

All committee members shall act in accordance with the Arizona Open Meeting Law - A.R.S. §38-431.

10. Revision of Operating Guidelines

These operating procedures and any changes thereto must be approved by a majority vote, defined as three-quarters of the entire advisory committee.

Presenter : Ray Sigafoos

Start Time : 3:05 PM

Item No : 27

Proposed By : Ray Sigafoos

Time Req : 5

Proposed : 10/8/2014

Item Type : Information Item

Policy No.	Description	Ref No
3.5.5	<p>All Board liaisons are appointed by the Board Chair annually. The role of a Board liaison is to serve as a communication representative between the Board and committee. The Board liaison serves as the point of contact for information review, input and approval prior to Board receipt. Board liaisons attend and participate in all meetings and conference calls of their assigned committee. Board liaisons should provide advice and input to their assigned committee, especially in terms of Board policies. Upon request, Board liaisons provide written or oral reports on the progress of their assigned committee. The positions are:</p> <ol style="list-style-type: none">1) Foundation Liaison2) AADGB Representative3) Board Spokesperson	436609

Description : Reports from Board Liaisons - Arizona Association for District Governing Boards (AADGB); Arizona Community Colleges Trustees (ACCT); Yavapai College Foundation; and Board Spokesperson - INFORMATION

Details : Arizona Association for District Governing Boards (AADGB) - Dr. Dale Fitzner
Association of Community Colleges Trustees (ACCT) - Dr. Dale Fitzner
Yavapai College Foundation - Dr. Patricia McCarver
Board Spokesperson - Herald Harrington

Attachments :

No Attachments

Presenter : Ray Sigafoos

Start Time : 3:10 PM

Item No : 28

Proposed By : Ray Sigafoos

Time Req : 10

Proposed : 11/21/2014

Item Type : Discussion

Policy No.	Description	Ref No
3.4.5	As required by A.R.S. 15-1443(B), the Board will elect a Chair and a Secretary every January. The expectation will be that the newly-elected Chair and Secretary will serve a two-year term, but the Board may decide otherwise and elect a new Chair and Secretary every January. The Chair and Secretary shall serve from the date of election until the date on which their replacements are elected. The newly-elected Board Chair will appoint Board Liaisons for one-year terms at the January or February meeting.	413188
3.5	The Chair's role is to ensure the integrity of the Board's process and to represent the Board to outside parties.	396950

Description : Identify Board Officer and Liaison Roles - DISCUSSION

Details : According to the District Governing Board Annual Calendar, the Board will discuss and review Board Officers and Liaison Roles in the month of December. District Governing Board Policy 3.5 covers the broad scope of responsibility that each role entails.

As required by A.R.S. §15-1443(B), the Board will elect a Chair and Secretary annually during the month of January.

Current Officers were elected in 2013, with expectation to serve a two-year term; however, the Board may decide otherwise and elect a new Chair and Secretary every January.

- Mr. Ray Sigafoos, Chair and served two years
- Dr. Pat McCarver, Secretary and served two years

The Board Chair will appoint Board Liaisons for one-year terms at the January or February meeting.

Current liaisons are:

- Foundation Liaison - Dr. Pat McCarver
- AZ Association for District Governing Boards (AADGB) Representative - Dr. Dale Fitzner
- Board Spokesperson - Mr. Herald Harrington
- Association of Community Colleges Trustees (ACCT) - Dr. Dale Fitzner
- Verde Valley Board Advisory Committee - Mr. Al Filardo

Attachments :

No Attachments

Presenter : Ray Sigafoos

Start Time : 3:20 PM

Item No : 29

Proposed By : Ray Sigafoos

Time Req : 0

Proposed : 10/8/2014

Item Type : Heading

Policy No.	Description	Ref No
3.4	To accomplish its job products with a governance style consistent with Board policies, the Board shall follow an annual agenda which (a) completes a re-exploration of Ends policies annually and (b) continually improves Board performance through Board education and enriched input and deliberation.	26041

Description : OTHER INFORMATION - HEADING

Details :

Attachments :

No Attachments

Presenter : Ray Sigafoos

Start Time : 3:20 PM

Item No : 30

Proposed By : Ray Sigafoos

Time Req : 5

Proposed : 10/8/2014

Item Type : Information Item

Policy No.	Description	Ref No
3.2.1	Ownership Linkage shall be the link between the organization and its owners, who are residents of Yavapai County and those who are affected by Yavapai College.	470151

Description : Correspondence to the Board - RECEIPT

Details :

Attachments :

No Attachments

Presenter : Ray Sigafoos

Start Time : 3:25 PM

Item No : 31

Proposed By : Ray Sigafoos

Time Req : 5

Proposed : 10/8/2014

Item Type : Decision Item

Policy No.	Description	Ref No
3.4	To accomplish its job products with a governance style consistent with Board policies, the Board shall follow an annual agenda which (a) completes a re-exploration of Ends policies annually and (b) continually improves Board performance through Board education and enriched input and deliberation.	26041

Description : Dates and Places of Future Meetings - DISCUSSION

Details : Board Members will review and confirm meeting dates, times, and locations for the District Governing Board calendar - attached.

Board Members are invited to:

- Tennis Courts Ribbon Cutting Ceremony on Thursday, December 11, 2014 at 10:30 a.m. at the Tennis Courts
- The Nursing Pinning Ceremony on Friday, December 12, 2014 at 3:00 p.m. in the Performing Arts Center.

2015 Calendar reviews District Governing Board meeting dates and locations.

Attachments :

Title	Created	Filename
2014 Proposed Dates and Places of Future Meetings.pdf	Dec 02, 2014	2014 Proposed Dates and Places of Future Meetings.pdf
2015- Proposed Dates and Places of Future Meetings.pdf	Dec 05, 2014	2015- Proposed Dates and Places of Future Meetings.pdf

**PROPOSED DATES AND PLACES OF FUTURE MEETINGS
2014**

TYPE OF MEETING	DATE/DAY/TIME/LOCATION
Regular Board Meeting	January 14, 2014, Tuesday, 1:00 p.m. Location: Prescott Campus–Rock House
Regular Board Meeting	February 4, 2014, Tuesday, 1:00 p.m. Location: Prescott Campus-Rock House
Regular Board Meeting	March 4, 2014, Tuesday, 1:00 p.m. * Location: Sedona Center
Work Session	March 5, 2014, Wednesday, 9:00 a.m. Location: Prescott Campus – Rock House
Roughrider Community Tennis Center Ground Breaking	March 6, 2014, Thursday, 11:00 a.m. Location: Prescott Campus – Roughrider Community Tennis Center
Regular Board Meeting	April 15, 2014, Tuesday, 11:30 a.m. * Location: Prescott Campus-Rock House
Nursing Pinning Ceremony	May 7, 2014, Wednesday, 3:00 p.m. Location: Prescott Campus – Performing Arts Center
Northern Arizona Regional Training Academy (NARTA) Commencement	May 8, 2014, Thursday, 11:00 a.m. Location: Prescott Campus – Performing Arts Center
Verde Valley Commencement	May 9, 2014, Friday, 6:00 p.m. Location: Verde Valley Campus
Prescott Commencement	May 10, 2014, Saturday, 6:00 p.m. Location: Prescott Campus – Performing Arts Center
Regular Board Meeting	May 13, 2014, Tuesday, 1:00 p.m. Location: Career & Technical Education Center (CTEC) Rm 105
Regular Board Meeting	June 10, 2014, Tuesday, 1:00 p.m. Location: Prescott Campus-Rock House
JULY 2014 – NO BOARD MEETING	
Regular Board Meeting	August 12, 2014, Tuesday, 1:00 p.m. Location: Prescott Campus-Rock House
Grand Opening – Kachina & Marapai Residence Halls	August 21, 2014, Thursday, 4:30 p.m. Location: Prescott Campus – Kachina & Marapai
Board Retreat - Strategic Planning	September 8, 2014, Monday – 9:00 a.m. Location: Prescott Campus-Rock House
Board Retreat Continued - Strategic Planning	September 9, 2014, Tuesday – 10:30 a.m. Location: Prescott Campus-Bldg.32-119
Regular Board Meeting	September 9, 2014, Tuesday, 1:00 p.m. Location: Prescott Campus-Rock House
Southwest Wine Center Grand Opening	September 12, 2014, Friday, 4:30 p.m. Location: Verde Campus SW Wine Center
Regular Board Meeting	October 14, 2014, Tuesday, 1:00 p.m. Location: Verde Campus Room M-137
Sedona Campus Open House	October 14, 2014, Tuesday, 4:30 p.m. Location: Sedona Center Room 34
Association of Community College Trustees (ACCT) Leadership Congress	October 22 – October 25, 2014 Location: Chicago, IL
Verde Valley Board Advisory Committee Meeting	November 7, 2014, Friday, 10:00 a.m. Location: Verde Campus Rooms G-105 and G-106
Tentative Joint District Governing Board Meeting With Valley Academy Career and Technology Education	November 10, 2014, Monday, 1:00 p.m. Location: Valley Academy for Career & Technical Educ., 830 S. Main St., Cottonwood
Regular Board Meeting	November 18, 2014, Tuesday, 1:00 p.m. * Location: Town of Prescott Valley Auditorium
Northern Arizona Regional Training Academy (NARTA) Commencement	December 4, 2014, Thursday, 10:00 a.m. Location: Prescott Campus – Performing Arts Center
Regular Board Meeting	December 9, 2014, Tuesday, 1:00 p.m. Location: Prescott Campus – Rock House
Board Holiday Social	December 9, 2014, After regular meeting, no business to be conducted.
Nursing Pinning Ceremony	December 12, 2014, Friday, 3:00 p.m. Location: Prescott Campus – Performing Arts Center

* February 4, 2014 (First Tuesday of the Month) changed due to out of state conferences

* March 4, 2014 (First Tuesday of the Month) changed due to Spring Break scheduled for March 10th – 14th

* **November 18, 2014 (Third Tuesday of the Month) changed due to Veteran's Day November 11**

* April 15, 2014 (Third Tuesday of the Month) - Mr. Sigafos is requesting third Tuesday of the month, due to his tax season workload.

PROPOSED DATES AND PLACES OF FUTURE MEETINGS 2015

TYPE OF MEETING	DATE/DAY/TIME/LOCATION
Regular Board Meeting	January 13, 2015, Tuesday, 1:00 p.m. Location: Prescott Campus-Rock House
Board Retreat	February TBD, 2015, XXXday, - 9:00 a.m. Location: TBD
Regular Board Meeting	February 3, 2015, Tuesday, 1:00 p.m. Location: Prescott Campus-Rock House
Regular Board Meeting	March 3, 2015, Tuesday, 1:00 p.m. Location: Sedona Center
Regular Board Meeting	April 14, 2015, Tuesday, 1:00 p.m. Location: Prescott Campus-Rock House
Nursing Pinning Ceremony	May 9, 2015, Saturday, 3:00 p.m. Location: Prescott Campus – Performing Arts Center
Verde Valley Commencement	May 8, 2015, Friday, 6:00 p.m. Location: Verde Valley Campus
Prescott Commencement	May 9, 2015, Saturday, 6:00 p.m. Location: Prescott Campus – Performing Arts Center
Regular Board Meeting	May 12, 2015, Tuesday, 1:00 p.m. Location: Verde Campus Room M-137
Northern Arizona Regional Training Academy (NARTA) Commencement	May 14, 2015, Thursday, 11:00 a.m. Location: Prescott Campus – Performing Arts Center
Regular Board Meeting	June 9, 2015, Tuesday, 1:00 p.m. Location: Prescott Campus-Rock House
JULY 2015 – NO BOARD MEETING	
Regular Board Meeting	August 11, 2015, Tuesday, 1:00 p.m. Location: Prescott Campus-Rock House
Board Retreat - Strategic Planning	September TBD, 2015, XXXday – 9:00 a.m. Location: Prescott Campus-Rock House
Regular Board Meeting	September 8, 2015, Tuesday, 1:00 p.m. Location: Career & Technical Education Center (CTEC) Rm 105
Regular Board Meeting	October 13, 2015, Tuesday, 1:00 p.m. Location: Chino Valley Agribusiness Center Rm 120/121
Association of Community College Trustees (ACCT) Leadership Congress	October 14 – October 17, 2015 Location: San Diego, CA
Regular Board Meeting	November 10, 2015, Tuesday, 1:00 p.m. Location: Town of Prescott Valley Auditorium
Northern Arizona Regional Training Academy (NARTA) Commencement	December 2015 - TBD Location: Prescott Campus – Performing Arts Center
Nursing Pinning Ceremony	December 2015 - TBD Location: Prescott Campus – Performing Arts Center
Annual Board Retreat	December 2015 - TBD Location: Prescott Campus – Rock House
Regular Board Meeting	December 8, 2015, Tuesday, 1:00 p.m. Location: Prescott Campus – Rock House

* March 3, 2015 (First Tuesday of the Month) changed due to Spring Break scheduled for March 9th – 13th

Presenter : Ray Sigafoos

Start Time : 3:30 PM

Item No : 32

Proposed By : Ray Sigafoos

Time Req : 1

Proposed : 10/8/2014

Item Type : Procedure Item

Policy No.	Description	Ref No
3.4	To accomplish its job products with a governance style consistent with Board policies, the Board shall follow an annual agenda which (a) completes a re-exploration of Ends policies annually and (b) continually improves Board performance through Board education and enriched input and deliberation.	26041

Description : ADJOURNMENT OF REGULAR MEETING - PROCEDURAL

Details :

Attachments :

No Attachments