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# San Francisco Community College District

DQG WKH

# American Federation of Teachers Local 2121

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,W LV DJUHHG WKH VSHFLILF WHUPV WKDW GOSURYLVLRQV RI WW
ZULWWHQ SROLFLHV  ZULWWHQ UHFHGXZHULWWHQ GQG SUDFWLFHV
VXFK SROLFLHV  USXOLHVHGUHJXODHWLQRQDFRQWWLWHQWWDZLWK LWV

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## $ (QWLUH $JUHHPHQW

,W LV DJUHHG WKDW WKLV WHVW WHQDQF DJUHHPHQW EH
'LVWULFW RQ DOO PDWWHUV ZLWKLQ WKH VFRSH RI WKH
IXUWKHU REOLJDWLRQV RI WKH SDUWLHV XQGHU WKLV
$JUHHPHQW

## % 2EOLJDWLRQ WR %DUJDLQ

7KH DERYH SURYLVLRQ LV QRW LQWHQGHG DV D
ZLWK WKH 8QLRQ RU DQ\ RI LWV
SURFHGXUHV RU FKDQQHOV IRU ZRUN
SUDFWLFHV DUH ZLWKLQ WKH VFRSH RI UHSUHVHQWDWL

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$ 1R 5HSULVDOV

7KH 8QLRQ DQG (PSOR\HU DJUHH WDKLDQWWQRQ\HSHUUVRQZ

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### $ *HQHUDO 3ULQFLSOHV

&RPPXQLW\ FROOHJH IDFXOW\ PHPEHUV WKURXJKRXW WKH GLJQLW\ RI WKHLU SURIHVVLRQ DQG WKH SODFHG XSRQ WKHP E\ WKHLU VWXGHQWV &RPPXQLW\ FROOHJH IDFXOW\ DUH H[SHFWHG WR PDLQWDLQ WKH KLJKHVW VWDQGDUGV RI SURIHVVLRQDO FRQGXFW DQG GHPHDQRU 7R WKLV HQG IDFXOW\ PHPEHUV VKDOO EH IDLU DQG GLVFUHHW LQ WKHLU SURSHU UHODWLRQV ZLWK VWXGHQWV DQG DGKHUH WR WKH SULQFLSOHV RI DFDGHPLF IUHHGRP DQG UHVSRQVLELOLW\ &RQVLVWHQW ZLWK WKHVH SULQFLSOHV IDFXOW\ PHPEHUV VKDOO DYRLG UHSUHVHQWLQJ WKH VXEMHFW EHLQJ VWXGLHG EH\RQG WKH HYLGHQFH RI ZHOO HVWDEOLVKHG UHVHDUFK DQG VFKRODUVKLS DFNQRZOHGJH WKH GLVWLQFWLRQ EHWZHHQ WKH SURIHVVRU¶V RSLQLRQ DQG WKH VXEMHFW RI VWXGHQW FRQWURYHUV\ DQG PDNH HYHU\ UHDVRQDEOH HIIRUW WR DYRLG PLVOHDGLQJ VWXGHQWV

7KH 'LVWULFW DQG $)7 ZLOO ZRUN WRZDUG SURYLGLQJ DQG PDLQWDLQLQJ D ZRUNLQJ HQYLURQPHQW RI IUHH LQTXLU\ DQG H[SUHVVLRQ IRU DOO PHPEHUV RI WKH FRPPXQLW\ FROOHJH FRPPXQLW\ )DFXOW\ PHPEHUV VKDOO FRQWULEXWH WR WKH JRYHUQDQFH RI LQVWLWXWLRQDO SROLFLHV SURFHGXUHV DQG FXUULFXOXP DV DSSURSULDWH WR WKHLU UHVSRQVLELOLWLHV DQG H[SHUWLVH

)DFXOW\ VKDOO EH HQWLWOHG WR SDUWLFLSDWH LQ SURIHVVLRQDO RUJDQL]DWLRQV DQG WR DFFHSW UHPXQHUDWLYH SRVLWLRQV RXWVLGH WKH FROOHJH SURYLGHG WKDW VXFK DFWLYLWLHV GR QRW LPSDLU WKH HIIHFWLYH GLVFKDUJH RI WKHLU UHVSRQVLELOLWLHV WR WKH FROOHJH &RQIOLFWV RI LQWHUHVW VKDOO EH GLVFORVHG DQG UHVROYHG LQ DFFRUGDQFH ZLWK HVWDEOLVKHG SROLFLHV

### % )DFXOW\ 5HVSRQVLELOLWLHV 8QGHU 'LVWULFW 3ROLFLHV

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,QWHUIHUHQFH ZLWKDRFDGHPLFXHPSOR\HHRIIHQFHLFLDOWRU
RXWVLGHGHLYLRGXUDOHVHFDXVHKEFXPHQWURGXFWLRQ
UHOHDVQRQWURVXHUWRVOLRYLRQHDYQSURSULDWH
HGXFDWLRQDO SURIHVVLRQDO VEHUWHLFQHDSURSULDW
DFDGHPLF IUHHGRP

7KH SDUWLHV DFNQQGRZOHGJHDOWQHHGIUHRP SFUHQWKRUHVWULFWLRQV WRFWK
RUHVWZUKLRLQJKWWUHZULWWKHIRLOLJDWRXQKHU
SHUIRUPDQFHRIHLUFRQWKHGXFWLQRQDGHPLF IUHHGRP DQG IUHHGRP HEHIRUH[SUHVVLRQWDU
FRPSXWLQJ UHVRXUFHV LQFOXGLQJ H PDLO DQG L

([FHSW LQ WKH HYHQW RI VXFK VSHFLILF &KDQJH RU
RU 9LFH&KDQFHOORU LPPLQHQW WHUPLQDWLRQ KH[HFXWH
EDQGZLGWK XVDJH LQWHUQDO RU H[WHUQDO GHQL
H[DPLQDWLRQ QR RWKHU SURYLVLRQ RI WKLV DJUHH
XQOHVV LW KDV EHHQ DSSURYHG L&QK DGGLWLRQ RU
QRWLILFDWLRQ WR WKH DIIHFWHG HOHFWURQLF \ZW
JRRG FDXVH H[LVWV WR UHIUDLQ RUR\PHQW RI
PD\ H[LVW H J LQ WKH HYHQW RI LVDEQRQGXFWLQ ZKHQ
'LVWULFW KDV D UHDVRQDEOH EG VULWVWR WE HQ LGHW
RI HYLGHQFH RU UHWDOLDWLRQ DJHDLVQ DW WHRQVKW UHS
DYDLODEOH WR UGHWHUPLQH EQUR WDLQEJSSPDWKRQ WHZQWHG JZLR
UHSUHVHQWDWLRQ RI ,W3K&H R&K DLKSHUVRHQVORJQWKHY H
UHVROXQGFHILQDLSQSJUR SVWLDQWHQGG R FHGXGHQ VSHFLDO
FLUFXPVWDQFHV´ DQG ³JRRG FDXVH W EDQGHG LRQ FXVW
DIWHUDWWH ZLWK DSSURSULDWHVRQLG EHQWKH OLW
HPSOR\HH V LQYROYHG

## 2 3XEOLF )RUXPV

,Q NHHSLQJ ZLWK WKW SKOHRWRXSKHRSHQGVRLE LDQLGW WR H W
&RPPXQLW\ &ROOHJH 'LVWULFW IRU VRHUKYPLVHWRQ WVQ
VSHDNHUV ZLWK YLHZ\LPQJ SRLQWVORHGRYWRXQ KW\ODVDU
HGXFDWLRQDO SURJUDP

## 3 ,OOHJDO 'UXJV DQG $OFRKRO

7KH FDPSXVHV RI &LW\ &ROOHJH RH6RQO)UHJHFGRHV DURH
DOORZ WKH XQODZRUOGSLVWVLRQRQXRQHGL OOHJRKRG E\
RQ LWV SURSHUWV RUF WDLY6WLWVRZPKHKW RQ RU RII

## 4 )LHOG 7ULSV

)LHOG WULSV UHTXLUHG DV D UHJXODU SDUW RI WKH L
WKH FRXUVH GHRFOLHSWLRQDQYLDQRWKZRUVWHRI VXFK WUL
EH JLYHQ WR WKH GHSDUWPHQW FKDLUSHUVRQ DQG WR
RI UHDVRQDEO\ H[DFW WLPHV DQGFKHDFHQ VRWHKRW VV
HPHUJHQF\ ,W LV DOVR LPSRUWDQWY HVKEWYWFKHHV'EUHHF
LQ DGYDQFHSVRMRLWKGWUKH 'LVWULFW¶V LQVXUDQFH F
SHUPLVVLRQ IRU VXFK ILHOG WUQRW LDXWRPRWLFDOKZHQ
LQVWUXFWRUV VFKRXGLSFULHYQLGHWDERWWRKD\WR WRRGLG\LQ J
WR DYRLG FRQIOLEXFZLWRKQDQ WKUHHQXOORQRUFDQU ERHWKGHV
,QVWUXFWRUV VKRXOGSRQRWDWLGXQHUVWWXGHQWVWVRQ
WKHLU RZQ WUDQVSRUWDWLRQ WR WKH ILHOG VLWH

$OO SDUW WLPH DQG KRXUO\ HPSOR\HHV DUH HOLJLEOH WR UHFHLYH )OH[ D

5HTXLUHG )OH[ 'D\V

3DUW WLPH HPSOR\HHV ZLWK KHPHVWHUV VLPLODU TXDUWHUV
SDUWLFLSDWH LQ DOO )OH[ GD\V WKDW DUH
DVVLJQPHQW

5HTXLUHG +RXUV

3DUW WLPH IDFXOW\ ZKRVH DVVLJQPHQWV
VFKHGXOHG [ DFWLYH GXWLHV DQG UHVHDUFK
GXULQJ WKHLU GXQHUP DZRUN\VKRUV RQ WKDW

,IWKHUH QR VFKHGXOHG GXWLHV GXULQJ )OH[
PHPEHU¶V UHJXODU RUN\ KRXUV WKH GD\ ZDFXOW\
EH FRQVLGHUHG WR KDYH PHW WKHLU )OH[
QRW EH UHGXFHG

$QFLOODU\ VWXGHQW HPSOR\HHV GURS UHJDUGLQJ WKLV
SXUSRVH

1R SDUW WLPHU ZLOO EH UHTXLUHG WR ZRU
IOH[ GD\

IRUZDUGHG WR WKH HYDOXDWRUV ZKR
WKH UHVXOWV PDULHV VKDOO EH FRPSDUHG RI

&RPSOHWHG VWXGHQW VXUYH\V PXVW EH
WKH HYDOXDWRUV ZKR DUH QRW GUDGXDWH LQ

1RQ FODVVURRP GHVLJQ VSHFLDOLVWV DQG GHYHORSPHQW
IRUPV VXEMHFW WR DSSURYDO E\ WKH 8QLRQ D

6WXGHQW VXUYH\V ZLOO EH DGPLQLVWHUHG LQ QRQ
QRQFUHGLW '6 FRXUVHV ZKHUH DQG WLPH
DUH QRW DSSURSULDWH :KHUH D GHSDUWPHQ
VKRXOG EH FRQVLGHUHG WR KDYH IHZHU
DFDGHPLF \HDU

(YDOXDWLRQ &DOHQGDU

0DQDJHUV HQVXUH WKDW WKH DSSURSULDWH GHDGOLQHV
GHDGOLQHV

$W OHDVW D'ZHHN SURYLGHV VWXGHQWV
EHIRUH WKH VHVVLRQ
GD\ RI WKH 6HPHVWHU

%\ (QG RI :HHN SDUWPHQW &KDLUV FRQILUP ZLWK WK
,QVWUXFWLRQDO
(YDOXDWLRQ

%\ (QG RI :HHN (YDOXDWLRQ QRWLFH LV VHQW WR WKH
DGGUHVV\ EWKH GHSDUWPHQW
SUHFHGLQJ VHPHVWHU

%\ (QG RI :HHN (YDOXDWHHV LQGLFDWH DQ
HYDOXDWRUV
(QG RI :HHN 1DPHV RI HYDOXDWHRUV WR WKH HYDOXD
)DFXOW\ XQGHUJRLQJ
HYDOXDWLRQ
ZRUNLQJ GD\V RI UHFHLSW RI QRWLILFD

%\ (QG RI :HHN (YDOXDWRUV DUH QRWLILHG

:HHNV 6WXGHQW VXUYH\V DUH FRQGXFWHG

%\ (QG RI :HHN 6HOI HYDOXDWLRQV
VXEPLWWHG

%\ (QG RI :HHN 3UHOLPLQDU\ FRQIHUHQFHV DUH FRPSO
REVHUYDWLRQV
%\ (QG RI :HHN 6XFFHVVIXO FRPSOHWLRQ OI QHHGHG

%\ (QG RI :HHN (YDOXDWRUV FRQILUPHG VLJQHG
LQ WR DGPLQLVWUDWLRQ

7KH HYDOXDWHH PD\VSRQVHWRRLWKHDVSHRUW
WKUHHVSRQVLEOHZLWKLQWHQGQDVHW
UHFHLYLQJ WKHUHSRQVH VKDOOSREWDW
DQG SODFHG LQ WKH HYDOXDWHH¶V SHUVRQ

&RPSOHWHG XDWEROQZQEHIRUWKH
DSSURSULDWH&KDLUSHQGRQRUHYLHZG
DSSURSULDWH IROORZ XS DFWLRQ

3RVVLEOH (YDOXDWLRQ2XWFRPHV 6DWLVIDFWRU

3HHU 0DQDJHPHQW (YDOXDWLRQ MR\U UHJXODU

3HHU 0DQDJHPHQW(YDOXDWLRQ EH WKH VDPH DV
H[FHSW WKDW WKH HYDOXDWLRQ PXVWDOVR
PHPEHUV VHOHFWHG E\ WKH 'HSDUWPHQW &
'HDQ RQH PDQDJHPHQW PHPEHU RPPHQGWKH
'HSDUWPHQW &KDLUSHUVRQ 7KHG HYSDSOUHYWHG
VKDOOWKHLJKWRDNWKHG LVTXDOLILQFKDHRQV
PDQQHU DV LQ 3HHU (YDOXDWLRQ UQFOXGL
H[FHSW XQGHU 6HFWLRQ ' EHORZ

3RVVLEOH (YDOXDWLRQ2XWFRPHV 6DWLVIDFWRU

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LPSURYHPHQW SODQ ZLOO EH SUHSDUHG LQ FRQVXOWDWLRQ ZLWK WKH
IDFXOW\ DQG VWDII DQG EH VXEMHFW WR DSSURYDO E\ WKH JRYHUQLQJ
DFFRUGDQFH ZLWK DSSOLFDEOH UHJXODWLRQV DQG SROLFLHV

(YDOXDWHHV UHFHLYLQJ DQ RYHUDOO UDWLQJ RI ³XQVDWLVIDFWRU\´
,PSURYHPHQW VKDOO EH UHTXLUHG DQG WKH HIIHFWLYHQHVV RI WKH
GRFXPHQWHG DV IROORZV

%\ WKH HQG RI ZHHN  RI HDFK VHPHVWHU L
HYDOXDWHH VKDOO VXEPLW WR WKH 'HSDUW
DUHSRUWLQJ WKDW LGHQWLILHV WKRVH HOHPHQWV WKH
LPSURYHPHQW SODQ KDYH EHHQ DFKLHYHG

,I XSRQ UHYLHZ DQG GLVFXVVLRQ ZLWK WKH U
WK'HSDUWPHQW &KDLUSHUVRQ WKH GHWHUPLQHV R
LPSURYHPHQWV KDYH QRW EHHQ DFKLHYHG WKH
'HSDUWPHQW &KDLUSHUVRQ VKDOO QRWLI
PRUH UHSRUWV DUH QHFHVVDU\ DQG ZUL
SHUVRQQHO ILOH WR GRFXPHQW FRPSOHWLR
'HDQ VKDOO UHFHLYH DGGLWLRQDO GHWDLOV

,I XSRQ UHYLHZ DQG GLVFXVVLRQ ZLWK WKH U
WK'HSDUW&KDLUSHUVRQ WKH GHWHUPLQHV WKDW
KDEVHHPDGHWRZDUGWKHLPSURYHPHQWV
HOHPHQWV

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)  WKH 'HSDUWPHQW &KDLUSHUVRQ PD
IDFXOW\ HZHDOHUWVRHLQFOXGHUVRQQHO
GRFXPHQWLQJ WKH IDLOXUHDFRXVWRPEHUV
UHEXW WKH OHWWHUSHUDEXSOLPHQWKRLUWKH
ILOHDLOXUH WR VXEPLW D UHSRUWUVKDOO E
9LFH &KDQFHOORU $VVRFLDWH 9LFHQ&KDQFH
PD\ EHGLHOORHZYXSXLQDVFLRQGDWQKHLV
ZDUUDQWKHHGDQVKDOOHFHLYFRSRIWKHRUHJRLQJ
GRFXPHQWDWLRQ

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KDV VXSHUYLVHG PRUH WKDQ  $ 'HDQ PDWWHUHY R
ZKHQ KH RU VKH LVVXHV WKUHH PRUH GZDUWHH WKH LPPH
VXSHUYLVRU LVKRXOG FRQVLGHU RWKHU RSWLRQV WKDW HDUHQ
QRW RWKHUZLVH DYDLODEOH  DV SWKHUH LVRSUODFH
ZKR KDV EHHQ GLVTXDOLILHG WR 6HFWLRQ *
LV WKH RQO\ DYDLODEOH IDFXOWL\ PHPEHU ZLW
QHHGHG IRU GLYHGUHSLDWLSXRQWHVWLQJ ID
PHPEHUV RU IHZHU PD\ FKRRVH WR XWLOLHRQO\ WZ
LPPHGLDWH VXSHUYLVRU RI WKH FWQWUDFW HP
IXQFWLRQ DV D FRPPLWWHH YRGWKHWZRWWKHH FL
ZKROH KDV DW OHDQWWZGLQHVPHEXVRPHUQVWRU
KDYLQJ D VLJQLILFDQWW\QXPEHU WHQXULHZ P
ZRUNORDG DGGLWLRQDO WR WHQXULHZ P
&RPPLWWHHV WKDWZERQVLWWKURHHDQGWKXOW\ PHP
LPPHGLDWH VXSHUYLVRU $OOWKHFXHQWWRE PW HP
WKH 7HQXUH 5HYLHZ &RPPLWWHHV PXVW EH WH

7KHLPPHGLDWHVXSHUYLVRUWKDOOWKDFXPWR EHLQV
FRQVXOZLDWKK'HQQGWKFKDLUSRIWKHQULQJ
&RPPLWWHHKQWHUYLHZHQGWHUPSFWR,HWWKH
FKDLUSHUVRQ RI WKH +LULQJ &RPPLWWHH L
ZLFHQVZXOWRKQRUPHPEHUV +RLUWQJH&RPPLWWH
6HUYLQJWKFRPPLWWKDEHORXQWDKHSHULYLVRU
XQDEOHHFUWKLWTXQXPGRIDFXPHWEHUR
YROXQZLWKWKHSDUWQHQWDHQGYRUHG\
WKVHLWXEWLRQNFQRJPDLWPHEHUUYRPDODWHG
GLVFLSOLQHSHUFYLQRLQDFXPHWEHLQDV
UHODGLVGLSVOKLQHSHDQIRUWKESSURS9LLFDWH
&KDQFHOOR $VVLVWRQWZKRFKDQYH
WR VHOHFW D YRZOXLQGHHWURVDFKGLEYXFUEWKUH UI

6XEMWHRFWLF7KH %UXYSLVRUHQVKHDYORSUWRQW
WKGHLYHURV&DQLIRQQKEDSSRLQW1RH7QHQXUH
5HYLHZPPLWKDFRQVRLSHWRSODHWKHDPHQGHU
LGHQWLDPHWKQI,FWKPHGLDXSHUFDQRRW
DFKLHYEHDWDXQF IURP YROXQWHUVKLQ
HQGHDWRUHPHGKVLWXEWLRNDFRPPLWWHH
PHPEHU V UHURPWDG GLVFLSOLQHLQGWKH VX
IDFXOW\ PHPEHUEHUVGWHGLSOLQHLQDRR
DSSURSULEKDQFHOOR $VVRFLDWH 9LFH &K
KDYH WKH WDRWKHRUHFW D YROXQWHUHY GL
WKH SURSHJUHEWKQLFGRQWLW\ EDODQFH

7KHLPPHGLDXSHUYLVRXSSWKDSSURSULEDWH
&KDQFHOOR9LFHVKRFQEHWHQDPHRVDOO

%RDUG RI 7UXVWHHV GHFLVLRQ GLVFUHWLRQDU\ EHQHILW*RQ EHORZ DQG WR WKH HPSOR\HH DQG DOO UH GHVFULEHG LQ $UWLFOH )

$IWHU WKH ILUVW \HDU &RPPLWWHH PHPEHUV VKDOO QRW DOO &RPPLWWHH PHPEHUV VKDOO EH HOHFWHG WKUHH RI WKH 7HQXUH 5HPDLQLQJ &RPPLWWHH PHPEHUV VKDOO LI WKHUH LV WR EH DQ HYDOXDWLRQ

7KH 7HQXUH 5HYLHZ &RPPLWWHH VKDOO HDFK VHPHVWHU $SULO DQG 2FWREHU DQQXDOO\ ZLOO VHPHVWHUV DQG RI WKH VHUYLFH RQ WKH &RPPLWWHH LV QRW UHTXLUHG LQ HDFK WL 00 € €&p €HP€ P

E 5HYHUVH LWV SULRU UHFRPPHQGDWLRQ DQG GHWHUPLQH WKDW WKH FRPPLWWHH KDV QR IILUPDWLYH YRWH RI D PDMRULW\ RI WKH FRPPLWWHH

F &RQILUP UHJDUGLQJ WKH FRPPHQGDWLRQ UHFRPPHQG WKDW DQ HPSOR\HH¶V FRQ DIILUPDWLYH YRWH RI D PDMRULW\ RI WKH FRPPLWWHH LV DYDLODEOH RQ WKH GHVLJQDWHG &RPP WR WKH SUHFHGLQJ VHQWHQFH

$W WKH HQG RI WKH WKLUG VHPHVWHU DOO UHFRPPHQG RQH RI WKH IROORZLQJ

D 7KDW DQ HPSOR\HH EH WHUPLQDWHG RQ WKH GDWH \HDUV RU

E 7KDW DQ HPSOR\HH¶V FRQWUDFW EH QRW UHQHZHG ZKLFK LV XQDQLPRXV RU ZLWKLQ RQH 2WKHUZLVH PDNH WKDW FRPPLWWHH RPPHQGDWLRQ WKLUG FRQWUDFW RI WZR \HDUV

,I WKH &RPPLWWHH HOHFWV WR FRQGXFW DQ H VHPHVWHU VSULQJ WKH 7HQXUH 5HYLHZ &RPP IROORZLQJ

D Á&RQILUP D SRVLWLYH UHFRPPHQ FRQWUDFW SHULRG RI * RU

E 5HYHUVH LWV SUR QRW FRPPHQG D ZLS

7HQXUH 6HUYLFH 5HTXLUHPHQW

:KHUH D IDFXOW\ PHPEHU KDV DFWXDOO\ VHUYHG
WLPH ORDG IRU WKH $FDGHPLF <HDU LQ WHQ
WRZDUG WKH DFTXLVLWLRQ RI WHQXUH

:KHUH D IDFXOW\ PHPEHU KDV DFTXLUHG
IXOO WLPH ORDG IRU WKH $FDGHPLF <HDU
D \HDU RI VHUYLFH WKURXJK VXEVWDQWLDO
SURYLGHG WKDW GHRZLKQJRFLWUHXPVWDQFHV DUH

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$3UHDPEOH E7KH V SURFHGXUH RXWOLQHV WKH SURWRFRO IR
WKH HYHQW RI D UHGXFWLRQ RI KRXUO\ EHDUHU RLOKDEXOW R5FHG
ZKHQ WKHUH DUH QR YLQUDEOH SWRVUDR RU ZKHQ WKHUH
SULRULWLHV IRU FODVV RIIHULQJV RU SURJUDPV

%HILQLWLRQV DQG $SSOLFDELOLW\

3DUW WLPH 7KH DFXSUR\FHGXUH DSSOLHDUWWRWDMKRWH W
PHPEHUV ZKR DUH RWHUGUEHQWKH\'HPSOLFW ,W GRHV

x 5HWLUHG IDFXOW\ UH HPSOR\HG DV SDUW WLPH I

x )DFXOW\ KLUHG RQ RUHDWWKHU HUJRQRQDVQLVP E DV
IDFXOW\ LQWHUQ RU F WKURXQK D SURFHVV RW

x $ WHPSRUDU\ SDUW WLPH IDFXOWHZLWLQRHHRXU RU
WKH\ KDYH DEWHQ HV DXWLVIDFWRU\

&XUUHQSWOR\HG SDUWIDFXOWPEHUF RQVLGHUHQWO\
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x +DYH ORDG IRU WKH FXUUHQW VHPHVWHU RU

x $UH RQ DSSURYHG OHDYH

x 'RQRWDYHRDQWKFXUVHQWVEXWSUHYLRXWDEODVKHG
UHHPSOR\PHQW SUHIHUHQFH DQG ZR G
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HDFKSULQJ VHPHVWHU EXW QR ORDG LQ IOO

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/RDG LQFOXGHV DOO *HQHUDO )XQG DVVLJQPHQWV
LQFOXGHV FRQWUDFWHQWHGXEDWLRQVORU VXEVWLWXWH
/RDG DOVR LQFOXGHVQFDWXQGHUGLDQVWHUHG
FDWHJRULFDOO\ JUDQW IXQGHG FORXKVHVLQQPHQW
RWKHU JUDQW IXQGHG DVRQLQWHUQVKLSV
FDOFXODWHG DV D SHUFHQWDJH RI IXOO WLPH ORD

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x 7KH VLQJOH PRVWXUUHQWXWRQG WKH ODVW IRX
DVVLJQHG RU LI WKHUH LV QRQH WKHQ

x 7KHVLQJPHWHTXRFWXUQRQGWKLKDWWHPHVWH
DVVLJQHG RU LI WKHUH LV QRQH WKHQ

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- 7KH PHGLDQ ORDWWKZULWKLQHPWHKVHWHDV DVVLJQHG
- 3DUW WLPH IDFXOWHUZLWKDOWHUQDWLQJ DVVLJQ VHPHVWHUV ZLOO KDYHRQWPLQGXHV OWRKHG DWWHUQDWLQJ DVV

6HQLRULW\ 6HQLRULW\ VKDOO EHGWHUPLQHGWRQEGDGHPLKF VHUYLFH DV D WHPSRUDU\GU\VKDFXOWEQHPRHUGPLQHGZL $UWLFOH & DQGGVHHRXO VHQLRULW\ EHWZHH IDFXOW\ PVHPEHUVWKDHEPWKHGZLQJRRV UDQGRP DVVLJQHG HDFK VHPHVWHU

6HPHVWHUSURFHGXUH DSSOLHV WR DVVLJQPHQWV DQG GRHV QRW DSSO\ WR LWHPVWXWLRQ RU

6SHF6NLO&EVWDLQLQJPHQTXLSHFVEDWHOOV 0DQDJHPHQW]HLWKHSXEHOPHQWR PDNLQJ DVVLJQ

&RXUVH (TXLYDOHQF\

- )RU WKH SXUSRVHVRIDNLQJVLQJRQWUXQHWVPDFWEHW GHHPHGTXLYDOHQWWRFXEOWFKLHHWXLYDVRKQQKFLOH VHPHVWHU LQ DGYDQFH SURFWRFRQVLJWDHQWL
- (TXLYDORHQFHKLV SXUSRVH LV LQPWHRXGHWRRXWQF LQFOXGRLXQWWHKXHVGHWRXWQ/2DQGFYWLWXLVHG &RXUZLWKSGDWXEGFHRGMQGFRXUVHEHWZHQ FRQVLGHUHXLYDOHQWKRWKHUGHWDXKGYDQWHKQSVG DWHG &RXUVH 2XWOLQH RI 5HFRUG

&(VWDEO5LWKHLPSOR3HQWHU,QRHGWRHWDODVKH HPSOR\PHQW SUHIHUHQFHUWDFXOLDQPHQWIDFXOWPEUXKWHYHW KH IROORZLQJ FRQGLWLRQV

- $Q $VVLJQPHQW 3UHIHUHQFH )RUP KKMGEHGHQGVXEPLW
- 7KH PRVW UHFHQW HYDOXDWLRQ KRG DQWRLYHDFWRU 1HHGV ,PSURYHPHQW
- 3UIRU DVVLJQPHQW
  - )RUQR QFULHGVLWUXFWWLRQLDQRKLWGY HORSPHQWDQYLWLRQ 6WXGLQPSUDRVVLJQPHQ„W"H

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* 3DUW WLPH HPSOR\HHV DUHFDQHHOL+JLEDOHLORU0HGLDFDO
+RZHYHU SDUW WLPH HPSOR\HHV ZKR WDKHLQDDVEVOLHJQWPRH
WR DQ HYHQW IRU ZKLFK OHDYH LGVHJUUSDQWWLHFGOWR HOLVJK
FRQVLGHUHG FXUUHQW HPSOR\HHV %LWKULQP WKHHPGHDWQE
EHFRPH XQDYDLODEOH IRU HPSOR\QHQWFRQSWLHWWKHHP
9HULILFDWLRQWKRQOLF\RQGLFWRQVWLRQEDWKVWLQJWPEHXQDYDLODEOH
HPSOR\PHQW VKDOO EH SURYLGHG EL\ILWHGHLHQPSOWRLHHOHL
3DUW WLPH HPSOR\HHV XQGHU WKHVHVWWLRQRVKEOYLE
DFFRUGDQFH ZLWKDSWWLFOHHPSQRA\HQRHQDXWQQR‡YDLEODE3HV

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$ $ WUDQVIHU LV D FKDVQ&RPLHQ GHXQXUWLPHQWHPWKRVHOWKDW U
IURP VWUXFWXUDOOOFKDQVHGLQSDUWKHPRQDWUWRPJHQQLVDWLRQ
GHILQHG LQ WKH HLFWWLUYLHFWD'&&RQQ $JUHHPHQW

%(PHUJHQF\ 7UDQVIHUV ± :KHUH D IXGXUWQLPEMHFWXHVW\HU
'LVWULFW PD\ WHPSRUDULO\ SODFHWKH UHPDLQLQJ IXQGV
VHPHVWHU

& 6HOI ,QLWLDWHG 7UDQVIHUV 9RQXQDWDU\SE\ 5RUXSHUPD
WUDQVIHUV YDFDQWSRVLWLRQV WKXOWRWDFRQWUDFF
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( ,Q DOO WUDQVIHUV VKDOO FOHDUO\ LGHQWLI\ WKH IXQGV WR EH GHQWLDO
DQG PLQRU ILHOGV RI VWXG\ TXDOLILFDWLRQV DVHQULR
SHUIRUPDQFH VSHFLDOOMRE QGHQWLFWGV RI WKH '

) :KHUH LQYROXQWDU\WKHDQVHRFXUGWDQLRQLRFO V
LV GHHPHG UHTXEWHGQEUHWKHUGLWWRUXOO WLPH HPSOR\H
DW 'LVWULFW HLFSQHQEVRHRDWV WDQGVXHWDWHG H[SHQVHV

,Q WKH 1RQFUHGLWO3URRXQVHQRGUXRUVLFNHOHXQL
PHPEHUV VKDOO EH JUDQWHG LQ KRXUWKHH
IROORZLQJ VFKHGXOH

,QVWUXFWRUV KRXUV SHU GD\

&RXQVHORUV KRXUV SHU GD\

,QVWUXFWLRQDOO\ UHODWHG KRXUV S
IDFXOW\

,I DXOO XQLPWPEKDQRWHQGVHUHGLFHQVH
DFDGHPLF FDOHQGDU EHFDXVH RI GHOQHVV
VHUYLFH GXULQJ D VXEVHTXHQW DFDGHPLF
LQMXUHVKDQQHFHVVDU\ VLFN\VQWKDW
VXEVHTXHQW \HDU

3DUW WLPH XQLWSHDLEHQVDQKRRXU\ EDVLV VK
VLFN OHDYH KRXUV RQLVPKHV EDVHLQXRFEVHUFKRX
SHUIRUPHG GXULQJHQWKDUWDVGLHPLFXQKDOPHPEHU
SDLG E\ ORDG VKDOO EH JUDQWHG VLFN OHDYH
WKH QXPEHUGRLQVFKHXGDHQDWLVFN OHD
VXEMHFW WR WKH IROORZLQJ OLPLWV

8VH DQG $FFUXDO RI 6LFN /HDYH W@0P/C``

1RWKLQJ FRQWDLQHG KHUHLQ VKDOO EH GHHPHG WR DQ\ IXO
XQLW PHPEHU WKH ULJKW WR RU REOLJDWLRQ RI DQ\ H[

6LFN OHDYH FUHGLW UHFHLYHG EHWUHHQ DQ HHZU I
XQLW PHPEHU VKDOOXDEHWDWRHSWKHGSDRWLRQV
RI WKH (GXFDWLRQ &RGH

7KH QXPEHU RI GD\V EHIRUH WKH RZK D GRF
FHUWLILFDWH PD\ EH UHTXLUHG X 1HPÀAHP^X

3DUW WLPH 8QLWH0HPEHUD\ FRQWULEXWH X
RIVLFN OHDYH DW WKH UHTXHVW RI WKH RDFG O
OHDYH VKDOO WHUPLQDWH DW WKH HQG RI

/LPLWDWLRQ1RQXQLIRUP PHPEHU PD\ UHFHLYH E
96/% PRUWKDQ WKH DPRXQW LQ WKH SULRU \HDU
WKDW WKH 96/% &RPPLWWHH PD\ GHWHUPLQ
EHQHILWV IURP WKH 96/% D WKLUGEWLPH LQ
FRQVLGHUDWLRQ WKLV LHWEHQHWLWKRPPLWWHH
GHWHUPLQH WKDW WKH VWRFN DGGLWLRQDO IXQ
PHPEHUVGGHPEHVWGp P P0 W

SURSHUW\ RU WKH SHUVRQ RU SUDFWLWLRQHU RI D
IDPLO\,VPPHGLDWH IDPLO\´ ZLOO EH LQWHUSUHWH
IDWKHU GDXJKWHU VRQ UHODWLRQVKLS VWHSPRWKHU
JUDQGFKLOG RI WKH HPSOR\HH RURRIWKH VSRX
HPSOR\HH SDUWQHU RI FLYLO XQLRQ GRPHVWLF
RI WKH HPSOR\HH LQFOXGLQJ VWHSPRWKHU
HPSOR\HH

3HUVRQDO 1HFHVVLWLHV 3HUVRQDO EHQHILWV IRU D FRPSH
UHOLJLRXV KROLGD\ REVHUYDQFHV DSSURSULDWH DSSURDQW
PDQDJHPHQW DSSURYDO

:KHUH VXFK OHDYH FDQ EH GHQLHG EHFDXVH WKH
OHDYH DQG VXFK XVH GRHV QRW HIIHFWLYHO\ V
DFDGHPLF \HDU SHUVRQDO HPHUJHQFLHV
SULRU QRWLFH WR PDQDJHPHQW ZLWKHUZKHUH
WKH HPSOR\HH KDV VXEVWDQWLDO FRQWURO RYHU VW
SHUVRQ LV QRW DYDLODEOH RU PLVHLDVFHUWDLQHG

$Q HPSOR\HH XWLOL]LQJ 3HUVRQDO WLPHUSHQGHQF
RI WKLV VHFWLRQ VKDOO ILOO RXW D/HGYHJSQOWRZD
IRUP3RU3HUVRQDO EHQHILWV WLFWKURXJK WKH
3HUVRQDO 1HFHVVLW\ /HDYH IRUPV \RXUEHPSV
GLUHFWRUV SURSRVHG DPHQGPHQWV RU EHQHILWV
FRQILGHQWLDOLW\ OHWWHUV RU HPDLOV \RXUHG
DSSURYDO DQG VKDOO EH SODFHG LQ WKH DSSURS

7KH QXPEHU RI FRQWLQXRXV GD\V RI SHUVRQDO HP
DFFRUGDQFH ZLWK WKH IROORZLQJ

1R RI &RQVHFXWLYH $VVLJQP
1R RI 'D\V I:HHNV LQ0RQWKV RQ PHQW'D\V RI /HDYH

* 3DUHQWDO(QJDJHPHQW 'LVDELOLW\ /HDYH 3'/

3UHJQDQF\ 'LVDELOLW\ /HDYH

$ XQLW PHPEHU ZKR GXULQJ EHJLQQLQJ RU
E\ RFFXSDWLRQDO WR E\ SUHJQDQF\ RU
WKHUHIURP UHFKDUJH WKH RXSPRQWKV RI 3'/
/HDYH 3'/ 8S WR 3'/ [LZHHNV LV DYDLODEOH
GHGXFWHG IURP WKH 7RXDLWHU\WKH
GDWH WKH HPSOR\HH EHJLQV ZHHNV ±
GHOLYHU\ WR SURYLGH WKH PRQWKV RI
GLVDELOLW\ HDUQLQJV RXFLGFXPVWDQFHV
HYDOXDWLRQ H[SHFWHG OHQJWK RI GRZQWLPH

DGGLWLRQDOHPSOR\HHVRUVHOI\HPSOR\HGLQGL
PHPEHUVRUHTXLUHDEH\RQGSURYLGHV
GRFXPHQWDWLRQ IURP KHU SK\VLFLDQ[VKDOO
OHDYH XQSDLG FROOHDYH R'UDSEURYHRUDO WKLHP
RII UHTXLUHG

3'/ LV QRW LQWHQGHG WR EH XVHGXQSDFKG
OHDYHLV3'VHSDUDWH IURP )DPLO\ 0HGLFDO /H
IXOO WLPH XQDWHPSRUDULO\HPSOR\HHGWLFH)DP\LO
0HGLFDO 3HDWWHQGDQFHPEHUV DUH QRW$HOLJLEOH
PD\ EH HOLJLEOH IRU HPSOR\HHGDQGQHLQWWSC
VHH $UWLFOH % DQG PS\UHDHYHHKQWHUHP
VHH $UWLFOH *

3DLG 3DUHQWDO /HDYH
)DFXOW\ PD\ WDNH XSRWS3DUHQWDZHQWDZHHRQWK ZLWK
SHULRG IRU WKH EWLKUHWS&OFDFHQWRGWKREU FDKLXGGZ
PHPEHU LQ FRQQHFWLRQRZLWKVWKHOEGURSWI WKH

)DFXOW\ PD\ XVH VLFN OHDYH IRUUXHSQWRO ZHH
OHDYH
2QFH WKH IDFXOW\ HVLFNOHDYHDYHHGEDWKHZLHP
EH SDLG DW D UDWH[ORW\ PHRIEWKFVI UHJXODU V
)RU SDUW WLPH DFXO\WRUWKXHSDUVRLVRQVKD
EH EDVHG RQ DWKHGLQG LQ $UWLFOH RU

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)XOO WLPH XQLW PHPEHUV SHUIRUPLQJ RU HGXFDWLQJ VWXGHQWV RI DW OHDVW ILIWHHQ KRXUV SHU ZHHN RU WHQ KRXUV SHU ZHHN FRQVHFXWLYH DQG ZKR ZHUH HPSOR\HG DW WKH VDPH VFKRRO IRU )DPLO\ 0HGLFDO /HDYH

3DUW WLPH XQLW PHPEHUV DUH LQHOLJLEOH IRU +RZHYHU WKH\ PD\ EH SURYLGHG ZLWK SURUDWHG EHQHILWV X * DQG EH HQWLWOHG WR UHDVRQDEOH DFFRPPRGDWLRQ SXUVXDQW WR $U%

### 8VH RI 6LFN /HDYH

$ IXOO WLPH XQLW PHPEHU VKDOO EH HQWLWOHG WR SDLG 0HGLFDO /HDYH WKDW KDV EHHQ SUHVFULEHG RU FHUWLILHG DV QHFHVVDU\ E\ D GLVDELOLW\ SUDFWLWLRQHU RU ZRUNHU¶V FRPSHQVDWLRQ SKVLFLDQ WR D GLVDELOLW\ SODQ RU ZRUNHU¶V FRPSHQVDWLRQ SODQ RU DQ HPSOR\HH PD\ DJUHH WR DOORZ VXFK HPSOR\HH WR XVH SDLG GLVDELOLW\ RU ZRUNHUV¶ FRPSHQVDWLRQ EHQHILWV RQO\ SURYLGHG SDUWLFLSDWLRQ EHQHILWV DUH

3XUVXDQW WR &DOLIRUQLD 1RUWKHUQ LDJ VXEVLGLDU\ &RPSDQ\ XV WR ILYH GD\V RU ILIWHHQ KRXUV SHU WR

WKDW ZRXOG OLNLRG\RUHLVQXFODVSDLQLWKSURHUPRU
FRQVHFXWLYH FDOHQGDU GD\V LQ WKH D
VXFK DV FDQFHU FKHPRWKHUDS\VLFDGLDWL
WKHUDS\ GRUVHNDYHQGLDO\VLV

5RXWLQH SK\VLFDQG[HYDOXDWLRQVDWLRQVDWR
ZKLFKUHRWHGLFQHHDVDUÀRWHULFHGLFDO
FRQGLWLRQV´ XQSODLWDOLEDSDWLHQWQWHTXRLUHG

)RU D ³TXDOLI\LQJ H[LJHQF\´ DULVLQJ RXW RI W
VSRXVH GRPHVWLSDUWQHUVRKDVEHUHDYHQGXW\
QRWLILHG RI DQ LPSHQGLQJ DFWLYOHRGXRV\ ³TXDO
OHDYH´

4XDOLI\LQJ H[LJHQF\ OHDYH LV OLPLWHG WI
DQG 5HVHUYH VHUYLFH PHPEHUV DQG RI $U
LQ IHGHUDO VHUYLFH ,W GRHVQRW DSSO\
)RUFHV RQ DFWLYH GXW\ RU 5HVHUYH FRU
ODZ GR QRW VHRUYHRXQHUWRHDFWLYH GXW\

)RUSXUSRVHVRIHQ[LJHQF\ DQG³FKLOG´ WKH
HPSOR\HH¶V ELRORJLFDO FKLOGSOXVHDFKLO
RU D FKLOG IRU ZKLFK WKH HPSOR\HH VWR
DQ\ DJH

7KH IROORZLQJ DU³HXHDPSOLQJVHRLJDQF\´ VP
WKH QHHG IRU OHDYH UHODWHV WR DFWLYH
GXW\ DGGUHVVLQJ LVVXHV DULVLQJ IURP D
GHILQHG DV VHYHQ GD\V RU QHVHG D
HYHQWV DUUDQJLQJ FKLOGFDUH SDU
PDNLQJ RU XSGDWLQJ LQIRUPDWLRQ
FRXQVHOLQJ VHQGLQJ WLPH ZRUN D VH
WHUPLQDWLQJ HFXSHUDGGHSOR\PHQ
OHDYLPLWVRIGD\V RU HDFKVWRQHG
UHFXSHUDWLRQ LQ SRVWGHSOR\PHQW DFW
DUULFHPRQHLQWHUDFWLRQV´ VSRQVHRUVKLS
WHUPLQDWLRQ RI WKH DFWLYH GXW\ RU FDO
DULVLQJ RXW RI WKH DFWLYH GXW\ RU FDO

0LOLWDU\ HJOLVODWRUHQVRDSSURYHOD[WLRYHU
PHPEHUV RI WKH $UPHG )RUFHV 1DWLRQDO
RQ WKH SHUPDQHQWLQWHGLVUDEG OLVW

)RUSXUSRVHVRIPHLVDLFDUHJLYDQHRWKLQ´HDQWKH
QHDUHVWRRGODRWLKWKHUYPLFHE HVS¶RXVH
GRPHVWLFSDUWQHUHQWLRQHG WRKHORZLQEOGR
UHODWLYHV ZKR KDYHEHFRPHQRGDQRWWKHOVHU
E\ FRXUWPLHOLQDQGSDXQGDQFOHVW
FRXVLQV XQOHVV WKH VHUYLFH PRPKEHU KD
EORRG UHODWLQYHDWKVKLSEORRGHU HODWLYH

)RU SXUSRVHV RI PLOLWDU\ FDUHJLYQHUVÓ1HD
LV DQ LQMXU\ RU LOOQHVV LQFXUUHG GXE\D V
RQ DFWLYH GXW\VWKDWFHUPQHPEHUV WKHW WR
GXWLHV RI KLV RU KHU SRVLWLRQ

)RUSXUSRVHVMHLOLWDU\FDUHJLMEHFKLOGÍDQWKH
HPSOR\HH¶V ELRORJLFDOVWHSFKLOGRUHVWHGEHJD
RU D FKLOG IRU ZKLFKRRKGHLEPSRRHSDUHQ
DQ\ DJH

$PRXQW R± 7KHDHYHHQJWK RI OHDYH GDHPLQLVHGXSRQO
/HDYH WDNHQ

)XOO WLPH XZKLRV DPHEHULVLEOH IRH )DUHL\ 0HG
HQWLWOHG WR WDZHHXSWRROWZDYHÂ@Q pDPSWKSHQYH

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$Q HOLJLEOH HPSOR\HH LV HQWLWOHG WR

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,I PLOLWDU\ FDUHJLYHU OHDYHV WKH EDVH SURYLGH
FHUWLILFDWLRQ IURP D KHDOWKFDUH SURYLGH
ZKHWKHU WKH VHUYLFHU PEHUV WKLQFXU
RI GXW\ RQ DFWLSYHURXWDWH GXWHDRQ ZKLFK W
LQMXU\ RU LOOQHVV FRPPHQFHG GHQG VWV SURE
LQMXU\ RU LOOQHVV UHQGHUV WKH RUKHLFH PH
GXWLHV ZKHWKHU WKH VHUYLFHU LV
UHFXSHUDWLRQ RU WKHUDS\ KLQKHUPDWLRQ
PHPEHU LV LQ QHHGVRLPDWHG GXWRQ WK
DQG LI LQWHUPLWWHQW OHDYHURG IRUGXFHG
PHGLFDO DSSRLQWPHQWV WKH PHGLFDWRQHFH
KDYH VXFK SHULRGLFPDWHRQGKDUHTXHQF\ D
WKH WUHDWPHQWV

7KH PLOLWDU\ FDUHJLYHU OHDYH FHUWLILF
RIWKROOORZ8QLWHG'WDUPHQWV2
KHDOWK FDUH SURYLGHU D 8QLWHG6WDWH
KHDOWK FDUH SURYLGHU D '2' 75,&$5( QHW
KHDOWK FDUH SURYLGHU RU D '2' QRQ QHV
SULYDWH KHDOWK FDUH SURYLGHU

7KH HPSOR\HH PD\ DOVR EH UHTXLUHG WR S

SURYLGHU MRLQWO\ VHOHFWHG7 KHWWKLHG'LVWULF
RSLQLRQ VKDOO EH ILQDO DQG ELQGLQJ

)DPLO\ 0HGLFDO /HDYH UXQV FRQFXUUHQWO\ ZL
YHULILFDWLRQ UHTXLUHPHQWVWKZKLOXQSHUG VL
$UWLFOH &

1RWLFH E\ WKH )XOO±7LPH8QLWH0HQEHUSHUEWKHV V
'LVWULFW ZLWK UHDVRQDEOH DGYDQFHQRWLFHHRIY
DQG LWV HVWLPDWHGGXUDWLRQ UHTXHVWGRFXPH
QRWLFH ZKHQ WKH ODFN RI QRWLFHVHLVXQGXHUWKHE
VLWXDWLRQ

,I WKH HPSOR\HH EWKRPHVHGZDUHDWKHDYH PRUH
FDOHQGDU GD\V LQDGYDQFH WKH HPSOR\HH V
QRWLFH ZKLFK VKDOO XVXDOO\ EH WKLUW\

,I WKH HPSOR\HH EHFRPHV DZDUH WKLWKH QHHG
FDOHQGDU GD\V LQ DGYDQFH WKH HPSOR\HH V
ILYH ZRUNLQJ GD\V DIWHU EHFRPLQJ DZDUH
ZKHUH WKDW LV SRVVLEOH

,I WKH OHDYH LV QHHGHG IRU D SHGDQQHG PHGL
VXSHUYLVLRQ RI DZLWRLD\VPHUEKWKHDOWK FRQ
HPSOR\HH VKDOO JLYH UHDVRQDEOH\ DGYDQFH
UHTXHVWHG WR PHHW ZLWK WKHX'OVQJUWFRW V GL
PLQLPL]H GLVUXSWLRQ WRQWKRQXFWUHKWHGXOLQJ

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$OOORZDEOH OHDYH VKDOO EH VL[W\ GD\V GXUL
DUH UHTXLUHG WRZKHQLQWHQVLRQHUZPLVHUKZDRYHOGH
SHUIRUPLQJ ZRUN IRU WKH 'LVWULFW LQ DQ\ RQH

$OORZDEOH OHDYHFXPXODWLQJWUERP \HDU WR \HDU

,QGXVWULDO DFFLGHQW RU LOOQHVV WHVWOHGDY\HRVKDEOH

:KHQ D XQLW DPEHUJHQFLHV WKLV GXWLHV DQG FDXVXQW
DFFLGHQW RU LOOQHVV WKH\ VKDOO GXEHHWSQHLG IRUF
PRQWK LQ ZKLFK WKDHVDEZKHQHHDGFWKDV\WRL WDKEHQL
LQGHPQLW\ XQGHU 'LYLVLRQ FRPPHQFLQJ ZLWK 6
FRPPHQ

UHTXLUHG WR UHQWQDUGDWRHZRQLGXRUZHHQW
LQ ZKLFK MXU\ GXW\ ZLWQHVV VHUYLFHV DUH

,QFDVHVHUHXQLWPEHFDQFRWSODHWWHGD\V
DVVLJQPHQW EHFDXVH WKH\ KDYH EHHQ RU
VWDWXWHSORVKHOLPGLDQRWKDSSURSULDW
'HSDUWPHQW RtU"8 QRD¼%2` GLCPP ð7C004j2400512 <00

%DVLF (OLJLELOLW\ DW ZKLFK WKH VHUYLFH RFFXUV RU DVHW
WLPHVHQXQGHUVWDQGLQJ RI VHFWLRQ LQ WKLV DYHF RP SDQLHV
VHPHVWHUV RI VHFWLRQ LQ WKLV FRXQWU\ RU WKH
WKHLU KLUH GDWH DV D IXOO WLPH VWXGHQW DW
WKH HQG RI WKHLU ODVW VHPHVWHU RI
LQ WKH 6DQ )UDQFLVFR &RPPXQLW\ &ROOHJH
VDEEDWLFDO OHDYH HOLJLELOLW\

*HQHUDOO\ SDUWLFLSDQWV DUH QRW X
HOLJLEOH WR ZLWKGUDZ IURP HDUQHG F R Q V H F X
VHPHVWHUV

$ VHPHVWHU RI VHUYLFH LV GHILQHG
FRPSOHWLRQ RI WHQ RU PRUH
IXOO ORDG ZLWKLQ D

7HPSRUDU\ SDUW WLPH VHUYLFH LV QRW FUHGL

/RQJ WHUP VXEVWLWXWH HPSOR
VHUYLFH DVOHDQGDU
LPPHGLDWHO\ SUHFHGLQJ
VKDOO EH FUHGLWHG DV RQH \HDU

*UDQW RU FDWHJRULFDO VHUYLFH
VHUYLFH DV D IXOO WLPH JUDQW
DFDGHPLF \HDU LPPHGLDWHO\
DSSRLQWPHQW

/RQJ WHUP VXEVWLWXWH RU IXOO
HOLJLELOLW\ ZKHUH VXFK VHUYLFH LQ D )DOO
IXOO WLPH FRQWUDFW
DFDGHPLF \HDU VKDOO EH FUHGLWHG DV RQH

1RWZLWKVWDQGLQJ DQ\ VXFK FUHGLW
WR JUDQW FDWHJRULFDO
IRU RU EH JUDQWHG D VDEEDWLFDO
SUREDWLRQDU\

6HUYLFH LQWHUYHQLQJ
VKDOO EH FRXQWHG

,I D IDFXOW\ PHPEHU
DW ZKLFK WKH VDEEDWLFDO
FUHGLWHG VHPHVWHUV RI
VDEEDWLFDO OHDYH
EHHQ FRPSOHWHG

DZDUG D VDEEDWLFDO OHDYH WR DQRWKHU X

DSSOLFDWLRQ SHULRG LPPHGLDWHO\ IROORZLQ
VSOLW RU QR ODWHU WKDQ WKH HQG RI WKH VHFRQG DFDG
DGYDQFH RI WKH VHFRQG KDOI RI WKH VSOLW

1RWZLWKVWDQGLQJ DQ\ RWKHU SURYLVLRQ RI
GHOD\ IRU DQ DGGLWLRQDO VHPHVWHU WR WKH
HOLJLEOH ZKHUH HOLJLELOLW\ LV GHWHUPLQHG
HGXFDWLRQDO SURJUDPV DQG SQQWWK

7KH 'LVWULFW ZLOO RQO\ UHLPEXUVH FRVWV DEEDWL
UHTXLUHPHQW FRQGLWLRQV DQG OLPLWDWLRQV 6HF
DERYH RQ D FDVH\E\FDVH EDVLV WR WKH H[WHQW
ZLOO FRQVLGHU WKH QDWXUH RI WKH VHUYLFHV
LPSDFW RQ 'LVWULFW RSHUDWLRQV DQG WKH
SURYLVLRQV RI WKLV SDUDJUDSK VKDOO EH
LQ ZULWLQJ WR WKH &KLHI 2SHUDWLRQV
RI 6WXGHQW 'HYHORSPHQW DQG WKH 'L

7KH H[FKDQJH OHDYH LV IRU RQH VHVVLRQ RI WKLV HQWLWOHPHQW
IRU D QD GGLWLRQDO SHULRG RI XS WR DJUHHG PHHWLQJV DW WKH
HGXFDWLRQDO LQVWLWXWLRQV DQG WKH WZR H[FK

7KH 6DQ )UDQFLVFR &RPPXQLW\ &ROOHJH'LVWULFW
DQG IXOO VDODU\ DMXVWPHQW SURWHFWLRQ KRVW LQV

7KH 6DQ )UDQFLVFR &RPPXQLW\ &ROOHJH'LVWULFW
HPSOR\HH EHQHILWV DQG HPHUJHQF\ WHPS ORZHUHG
H[FKDQJHG

$W WKH FRPSOHWLRQ RI WKH H[FKDQJH DQG DQ
&RPPXQLW\ &ROOHJH 'LVWULFW WKH HPSOR\HH PX
\HDU-HVLGHQWLDO WHUP IXOO ORDG EHIRUH EHFRPLQJ HOLJL

7KH 6DQ )UDQFLVFR &RPPXQLW\ &RDOLWLRQ
FRVWV WUDQVSRUWDWLRQ [SHQQHOLQHFXDWLRQ
H[FKDQJH

5 /HJLVODWLYH /HDYH

$Q\ IXOO WLPH WHQXUHGXHQGLW RP WKHEHWDOH
D OHDYH RI DEVHQFH ZLWKRXW SD\ IRU WKH GXUD
UHTXHVWHG E\ WKH HPSOR\HH

7KH HPSOR\HH PXVWOHGXWLHWKZLWKLQKLPLU PRQ
RI RIILFH H[SLUHV

&RPSHQVDWLRQ IRU SDUW WLPH VHUYLFHDVHE\VRQOH
RQ D SUR UDWDSHEDVLVXOOHW WKHHVDODU\

8QOHVV RWKHUZLVHSURYLGHG XSRQ HQWHULQJ WR W
VKDOOHLQWWBFWHSDUWPHQWDUEOWRRQWKHLU
HOHFWLRQ
$ SHUVRQSORWGWKSHDFHQHPSOR\HZKRKDEHQU DQW H G
OHJLVODWLYH OHDYH\ VKDOO QRW VKDEHQHILWV WKLW
VXFK HPSOR\WKHH SVRVLWLRQ

6DO±DU7KH HPSOR\HH VKDOO UHFHLYH WKH PD[L
DOORZDWEWKRWH FRUHFXULVHQJWOHWZKHPHQW EHQH
HPSOR\HH PD\ DUUDQJH ZLWK WKH SDVWHUQW W
LV PDGH

)ULQJH %±HQHSLWV HHV ZKR UHWLUHDZLVWKI WHQ
VHUYLFH WR WKH 'LVWULFW DQGDDFWKDQJDV FR
FRQWLQXH WR UHFHLYHWULEXWLRQVSDRSUHQFRW
IDPLO\ PHPEHU FRYHUDJH LQ WKHWKDWKDQG
UXOHV DQG UHJXODWLRQZHDWKWKHQSDQW
RUJDQL]DWLRQV 3DGHWKLHGRHWSHRQWHDOO
RQH ZKR KDV UHWLUHG IRU VHUYLFHRURGLVDE
UHFHLYLQJ D UHWLUHPHQW DOORZDQFW IURP W
6\VWHP RU 6DQ )UDQFLVFR &LW\ DQGV&RXQW\ (P

1RWLILFDWLRQ 'DWHV

$Q HPSOR\HH VKQOWHDSSO\ZRLWKLQWKGD\V IR
EHJLQQLQJ RI WKH VHPHVWHU IRU WKH IROO

,I WKH 'LVWULFW DQGOHPSDJHHDXWHRUW KH
RIWKUHHWLFHRQWWKHUKEGXZRHGW
ZLWKLQRUNGQJRIDSSOLFDQWVWRSDUWLFLW
H[WHQG WKDW WLPH

# /2$' $1' &/$66 6,=(

$ 6XEMHFW WR $UWLFOH $ DQGFWKSLVDFWWLEHOYH UHXOHUVH
UHJXODWLRQV LQPEHHUVFWQIRUHJXDQLDWWPRVLRHDGKDQGO &UHPD
IRUFH XQOHVVDFW0$€

$57,&/(  ± /2$' $1' &/$66 6,=(  '  (

' /RDG )DFWRUV 7\SH RI $VVLJQPHQW

| 7\SH RI JQVPWLQW | +RXUV :HHN | SHRDG )DFWRU |
|---|---|---|
| &UHGLW /HFWXUH ,QVWUXFWLRQ | | |
| /DEV SUHYLRXVO\ GHVLJQDWHG DV ³&RQIHUHQFH´ 6HH ( | | |
| &UHGLW /DERUDWRU\ ±VSHFLDOL]HG&RQIHUHQFH´ | | |
| &UHGLW /DERUDWRU\ % | | |
| &UHGLW &RPSRVLWLRQ ,QVWUXFWLRQ | | |
| 1R &UHGLW $GXOW (GXFDWLRQ ,QVWUXFWLRQ | | |
| 1R &UHGLW &RPSRVLWLRQ ,QVWUXFWLRQ (6/ $ | | |
| | | |
| | | |

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|---|---|
| | |

$57,&/(  ± /2$' $1' &/$66 6,=(  +  +

IXOO WLPH IDFXOW\ PHPEHUV PD\ EH GHVLJQDWHG

$57,&/(  ± /2$' $1' &/$66 6,=(  , ,

, )XOO 7LPH (TXLYDOHQW 3RVLWLRQV 5HTXLUHG 7R 67

7RHQVXUHDWWDLQPHQWRPPXQLFDWHSURSULDWH

$57,&/(  ± /2$' $1' &/$66 6,=(  ,  ±  .

7KLSVURYLDVSLSRQLQHOR U67 56V HU YFLUFHHG L W

# &$/(1'$5

## $ ,QVWUXFWLRQDO DQG 6SHFLDO &DOHQGDUV

7KH LQVWUXFWLRQDO DQG HFRQRPLF FRQGLWLRQV GHWHUPLQH GDLO\ LQ

(IIHFWLYH )DOO QHZ IXOO WLDPHG LDWFXRQWD\OKVLHHV
GD\V LQ WKHLU UHVSHFWLYH WRQHOD UIRUWWKHQSXQSRPVDHQGDWF
QHZ IDFXOW\ RULHQWDWLRQ 7KHUHZLOOÓ UHFHLXYHK ³
DWWHQGDQFH EXW QR DGGLWLRQDO SD\

,QVWUXFWLRQDO EHOVHQGDUZR VKSDUHDYULGHG WKGDYDQF
VHFRQG \HDU VKDOO UHPDLQ VXEMQHFWDWRGSSURSU
FRQVLVWHQF\ ZLWK WKH FDOHQGDLHG6FKWRG E\ W
'LVWULFW

## % 6SHFLDO &RQVLGHUDWLRQV $SSUHQWLFHVKLS 3URJUDPV

6SHFLEDOHQRGXQVHSURVQW3UFRJUKDSVKLNDECHO
QHJRWLDWHG DQQXDOUDQ RRU EWKHKRUHDOURZLQJ \HDU

1HJRWLDWHG LQVWUXFWLRQDO DQG VSHFLDO FDOHQGD
WKH H[LVWLQJ $JUHHPHQW

$YDLODEOH LQVWUXFWLRQSSHFDUEHQG(KLELW $

## & &RXQVHOLQJ &DOHQGDU

7KH ZRUN \HDU IRU 5HJXODU DQG &GRQWUDFWVVKRXOQVEH
DSSUR[LPDWHO\SWUR WWRHWKW EHPJHLQQHQJ RXEK)ZRUNV
VKDOO EH DV IROORZV

)RU&RXQVHOHUQDFRGVRJUDQG LDE6WXGHQWVD
6HUYL'F6H3V6 &RXQVHORUV

:KHUHDVLPEOQHJHPHQWPDFRQVZLWWRXQJHSLQW
UHSUHVHQWDWLYHV DW HDFK FDPSEXHVRFHRQWEUHEHR
QHHGVHG VHUYH SULQFQUQJRQWKHEGHJ6WULQJ VHPHV

)DOO 6HPHVWHUV

' &RPPHQFHPHQW ([HUFLVHV

$)7 DQG WKH 'LVWULFW RI &RORPELD WHUULWRULDO OHJLVODWXUH

# $57,&/(
## &203(16$7,21 6$/$5,(6

### $ &RPSHQVDWLRQ

(IIHFWLYH -XO\  W VKDOHDQWFUHDVH
WR  DERYH WKHLU  YDOXHV

(IIHFWLYH -XO\  FW VWKEHOLQFUHDVH
WR  DERYH WKHLU  YDOXHV

(IIHFWLYH -XO\  W VKDOH'LQFUHDVH
WR  DERYH WKHLU  YDOXHV

)DFXOW\ FRQFHVVLRQV PDGH WR
)RU SXUSRVHV RI FDOFXODWLQJ
WUHDWHG DV D 67,6 6HWWOHPHQW
'HILQHG %HQHILW SURJUDP

&RQWULEXWLRQV WR )DFXOW\
6FKHGXOHV

&RQWUDFW DQG 5HJXODU )DFXOW\
C2>0.7f ( 0030.7f ( 2700.7f ( 0030.7f ( )C 0.7f (  1 Tf 3.408 0 Td [<0

$57,&/(  ± &203(16$7,21 6$/$5,(6  $  $

7D[ IXQG EDODQFH IRU IL,VFDO\HDU )XQG %
3DUFHO 7D[ IXQG EDODQFH WKH XQUHVWULFWHG
EDODQFH DV HVWDEOLVKHG LQ WKH SUHFHGLQJ
WR WKH SDUW WLPH VDODU\ WDEOH HIIHFWLYH -

,Q 2FWREHU DQG 1RYHPEHU ZLWKKHOG IURP
8QUHVWULFWHG *HQHUDO )XQG %DODQFH´
7D[ IXQG EDODQFH IRU IL,VFDO\HDU )XQG %
3DUFHO 7D[ IXQG EDODQFH WKH XQUHVWULFWHG
EDODQFH DV HVWDEOLVKHG LQ WKH SUHFHGLQJ
WR WKH SDUW WLPH VDODU\ WDEOH HIIHFWLYH -

,Q ERWK ILVFDO \HDUV SDUW WLPH VWHSV
UHVSHFWLYHO\ ZLOO EH LQFOXGHG LQ GHYHORS

:KHUH SRVVLEOH KDEODUQFKXLGHLWWDVJUHHPHQW V
SULQWHG DQG GLVWULEXWHG :KHUHWLWRQRWKHSRV
SURYLVLRQV WR LQFOXGH VXFK ([KLELWV DW WKH W

XQOHVV DOWHUQDWH GD\V DUH DSSURYHG LQ
WKH IDFHXPEWU¶V UHTXHVWPHQW GD¶V DGYDQFH DS
PXVW EH LQ ZULWLQJ

7KH 'LVWULFW DQGHWKRQWRQZLQJXDJH WR H[
SRVVLELOLW\ RILWKRJLQJ SWKRHUEDQHWURWKHWE
³PLUURU´ VFDOHV

DQG $FDGHPLDEV

WKH 8QLRQ DQGHWKSDE\VWRUPFXOEDYLKGLHGK
WKH EDUJDLQLQJ XQLW ZDJH UDWHJZRXOG EH L
DGMXVWHQWV &2/$ FRPQHRKQDHJHV FWRKLQQDWQHG
DGRSWHG 6WDWH EXGJHW IRU HDWKWDLFWGLPDF
VKDUHG JRDO WRISDZVURYHQXHPXKSURJVWEHH L
VWDWH &2/$ WR EH XVHG IRU LPSURYHQJ IDFXC
WLPH WKH SDUWLHVGXRNQRZEHFDHDQDQJ FRV
EHQHILWV LQFOXGRLYHUDHQWLWWERRWWRK
LQFUEDVJHDLQLQJ XQLW ZDWRHWKEH\ WKH IX
V UV`&QÂQ U`G Y `•€pX U``\Ô€P€ðKD

$57,&/(  ± &203(16$7,21 6$/$5,(6  $  $

LL$L LQFUHDVH WR EDVH ZDJH UDWHV
RQJRLQJ WKURXJK -XQH DW
$FDGHPLF <HDU

$57,&/(  ± &2168(7,21 6$/(6,  $  $

(TXDOL]DWLRQ
1RQFUHGLW UDWH HQKDQFHPHQW
2WKHU ORFDO DQG 6WDWH 5HYHQXHV

,Q WKH HYHQW WKDW WKH 8QLRQ[illegible]
WKH 8QUHV V••H•H• 8Q8VQ8Vp WHH 8HQH WKH H
H Q¸LP`0W ,U"€LP

$V D UHVXOW RI WKH DSSOLFDWLRQ LQVWUXFWLRQV
OHWWHUKDQGWRWLDVFDODERVWKHDUHL VWRFSHQVDWLRQ
LPSURYHPHQWV WDUHQ SUHYLRXVWRKDEHLWR ¶V
ILVFDODU¶V UHYHQXHV ILUVW ZLOOEHDDQG
RQJRLQJ FRVWV RI WKHVH LPSURYHPHQWV

2SHUDWLRQ RI )RUPXOD ,Q HDFK PHLQFDOXVHQJU
SULRU \HDU¶V DXGLWHG HYHQXHV XQHPSOR\PHQW
LPPHGLDWHO\ SUHFHGLQJ \HDUV DQG WKH
UHYHQXH´ DVVXPSWLRQ RI VDODU\EHQHILWV
DVVRFLDWHG ZLWKRWKHU SRVWHPSOR\PHQW&2/$ VKDOO
DJDLQVW ³QHZ UHYHQXH´ DQG 8QLRQ VKDOO UHDFK DJUHHPHQW RQ

+RZPXFKRIWKHQHZUHYHQXHVWULJJHUHGE\HDFKQHJRWLDWHG
RQJRLQJFRVWLPSURYHPHQWVRQH WLPHXSJUDGHV
DOORFDWHG IRU RQH WLPH VDODU\DGMXVWPHQWV
EH DOORFDWHG WR RQJRLQJ FRPPLWPHQWV XQ
WKSHDUWLHVEHFKUHHQRKQPZWPXVWDKQHYHO
H[SHQGLWXUH DQG

$OORFDWLRQ RI QHZ UHYHQXH WR HVDOODU\ ZP
WKH HYHQW WKDWWHVTXEKHEHRERELDWDRQWKLRI S
$JUHHPHQW WKH SDUWLHV VKDOOXUHSRVHQRWK
PDNLQJ VXFK PXWXDOO\ DJUHHG XSRQ PRGLILL

$OORFDWLRQRIQRUPDQFHYEHDQGHGQWKDWVS 0

,Q HYDOXDWLQJ WKH IRUHJRLQJ DEVWUDFW WKH SDUW
IROORZLQJ

6LQFH WKH WUDQVDFWLRQ DQDO\VLV DQG FRPSDULVRQ WR
WRFWK6H(SUQFLSOHV LÅFUHDVLQJ

$57,&/(  ± &203(16$7,21 6$/$5,(6 $ $

$57,&/(  ± &203(16$7,21 6$/$5,(6  %  %

%,QLWLDWLQJ3URFHHGLQJVWKH 6DODU\ 6FKHGXOH

&RXQW 3ODFHPHQW5HTXLUHPHQWLQDVWHU¶V 'HJUHH

(IIHFWLYH  OO WLPXH IDFXOW\ VKDOO EHRISODFH
WKH &RQWUDFW DQG 5HJXODU )DFXOW\ DQG )XO
$QQXDO 6DODU\ 6FKHGXOH SDUWLFLSDWLQJ WHLHPSOR\HHV
RQ WKH DSSURSULDWH 6F3DUDWRH5DWH5DQJHV &RXU
WKURXJK * LQ DFFRUGDQFHZLWKWKH • t€ y A€

$57,&/(  ± &203(16$7,21 6$/$5,(6

7KH [PLDP QXPEHU RI SHRSOH GLVWLQFW DV
6XEVHFWLRQ

SURYLGHG WKDW RVKHV'LEPLUFWRQRI2MLFH
5HVRXUFHV RI WKH IROORZLQJ
7KDW WKH\ ZHUHGHULQHGRUHWRRUDO SURJ

7KH GRFWRUDO SURJUDP UHTXLUHPHQWV

7KH VXFFHVVIXO\ FRPSOHWHG UHTXLUHP

7KLV SURYLVLRQDVVKGEHFRPHURXQOHVVHU D
HIIHFWLYH 6SULQJ $)7 ,QUHIHUHQFHWRWKHUXRPRQ UHT
WKH 'LVWULFW WRLORQRZLQJODWSKUHEXWSRVHHW
QHJRWLDWLQJ LQ JRRG IDLWK UHJDUGLQJ PRGL
JRYHUQLQJ WKH XVH RI OHSYHFHQWHV
DQG RU PRYHPHQW

7KH IROORZLQJDVOO WDNHQHZHKEHVHI )7 37
3UDFWLWZRQUNLQJ LQ WKH 6WXGHQW +HDOWK &
VWHSV KLJKHU WKDQRXGH\KDWKEHZLQ EDVHG R
H[SHULHQFH DQGSXS VFDOWKWSDEDNE LQ FRP
SRVLWLRQV RXWVLGH WKH FROOHJH
&XUUHQWO\ HPSOWHGpÀQXVHPÀDF€°0€F
05%78512@

3OXV VXEVHTXHQWVRFLDWH
%DFKHORU¶V

%$ \HDUV RI H[SHULHQFH XQ

7KH WHUP ³XQLRQL]HG HPSOR\HHV´ LQFOXGHV DQ\ HPSOR\HH

*UDGXDWH DVVLVWDQWV DUH HPSOR\HHV RI WKH JUDQWLQJ LQVWLWXWLR

8SSHU GLYLVLRQ FRXUWV KDYH IXOO MXULVGLFWLRQ
V\VWHP RI WKH JUDQWLQJ LQVWLWXWLRQ GDWH
³SRVW EDFFDODXUHDWH´ RU ³SHU
JUDQWLQJ LQVWLWXWLRQ RQ

$57,&/(  ± &203(16$7,21 6$/$5,(6  %  %

PD\ EH UHTXLUHG 'WWWWFXWLVLIWRHWKXPDQ 5H
SURRI RI FRXUVH UHTXHVWHUHHQWHWHLQH

$57,&/(  ± &203(16$7,21 6$/$5,(6  %  &

H[SHULHQFH $Q\ DGGLWLRQDO WLPH DFFU
QRW EH FDUULHG RYHU WR D VXEVHTXHQW \HDU
)RU QRQFUHGLW LQVWUXFWLRQDO DVVLJQP
ILYH KRXUV VKDOO EH WKH PLQLPXP
H[SHULHQFH $Q\ DGGLWLRQDO WLPH DFFU
QRW EH FDUULHG RYHU WR D VXEVHTXHQW \HDU
)RU LQVWUXFWRU DSSRLQWPHQWV RQH WKRXVDQ
WZHQW\ ILYH EHKDYLRUDO VFLHQFH RI RQ
IXOO WLPH VHUYLFH LQ DGGLWLRQ WR WKRVH QRW

Eg

p‘ )RU LQVRLH Æ`p

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7`ÀTh.7`X€ÆQQCE€#X-e7(€pÌÃ

7KH IXOO WLPH IDFXOW\ HPSOR\HHV RI WKH FRPSDQ\ DFDG
$Q DFDGHPLF \HDU IRU VDODU\ SXUSRVHV LV WKH OO
KRXUV ORDG UHTXLUHG IRU D IXOO WLPH DVVLJQ

6HPHVWHUV RQ VDEEDWLFDO OHDYH RU WKDW WR ZEHU G
VWHS DGYDQFHPHQW

3DUW WLPH )DFXOW\

)RU SXUSRVHV RI GHWHUPLQLQJ SDUW WLPH VWH

$ VHPHVWHU VKDOO WKH EH QXQ WLGXW KHUH Y HV
WKH VHUYLFH GD\V UHTXLUHG LQ DQ IOO VHP
(IIHFWLYH )DOO W WKLQ HPEHUUL DHVWLJQ
WKDQ RI WKH VHUYLFH GD\V UHTXLWK LQ
DVVLJQHG ZRUNORDG LV FRPSDUDEOH RU HTX
VHPHVWHU ORQJ FRXUVH RU FRXUVHV D VHPH
SXUSRVHV RV WHUP DGYLVRQ HPEHUV
DGPLQLVWUDWLRQ RQ EHKDOI \HH HTX
H[FHSWLRQ 5HTXHVWV VKDOO RQ VXSSRUW
$Q\ H[FHSWLRQ JUDQWHG VKDOO LGXH
5HVRXUFHV 'HSDUWPRQW FHQG HW3PHQW

3DUW WLPH EHQHILWV DQG RSWLRQV SDUW WLPSOR\I

$57,&/(  ± &203(16$7,21 6$/$5,(6  &  '

$UWLFOH  % FRXQVHOV GHVLUH WR EH FRQVLGHUHG ´ RSU
³VSHFLDOLVW´ E\ WKH 3UHVLGHQW RI WKH 8QLWHG 6WDWHV RU E\ WKH
WR XSSHU GLYLVLRQ RI WKH 6XSUHPH &RXUW RI WKH
DSSURSULDWH 9&LUFXLW &RXUW RI $SSHDOV ³&LUFXLW &RXUW´ F
FRXUVHV IRU ZKLFK QR FUHGLW LV JUDQWHG RU WR
VDODU\ FROXPQ PRYHPHQW

8QGHUJUDGXDWH XQGHUJUDGXDWH DSSURSULDWH SURYLGLQJ SUH
VHUYLFH FRXUVHV RU ZRUNVKRSV

)RU PRYHPHQW IURP &OXVWHU LQ GLVFLSOLQ

+HDG &RDFKHV

D+HDG FRDFKJHQHUDOV DSSURLPDU\ LQVLWFXVWRUVVHVRU W
DVVRFLDWHG ZLWK WKH VSRUW EHIRQJ DFWRKHWGLF
FRXUVHV LV FDOFXODWHG

# $57,&/(
# %(1(),76

## $ %HQHILWV ± )XOO WLPH (PSOR\HHV

### 0HGLFDO

7KH 'LVWULFW VKDOO FRQWLQXH WR SURYLGH &RQWUDFW DQG 5HJXODU )XOO WLPH (PSOR\HHV FRYHUHG DV RI 6HSWHPEHU ZLWK &RYLVLRQ &KDUWHU

(PSOR\HH FRQWULEXWLRQV IRU FDZVHQ7KHUHH DUH PRQWKO\ SD\ SHULRGV SDUW WLPH SD\ WKH VDPH \HDUO\ WRWDO EXW

6HH % IRU HOLJLELOLW\

| | %OXH 6KLHOG 7ULR | %OXH 6KLHOG $FFHVV | .DLVHU | &DOWK1HW | %OXH 6KLHOG 332 |
|---|---|---|---|---|---|
| (PSOR\HH RQO\ | | | | | |
| (PSOR\HH | | | | | |
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(IIHFWLYH -DQXDU\ WKH IDFXOW\ PHPEHU
EH 2QH ELUWKGD\ RI WKH IDFXOW\ PHPEHU
LV UHGXFHG WR ELUWKGD\ RI WKH IDFXOW\ PHP
SD\DEOH DPRXQW LV UHGXFHG WR

7KH 'LVWULFW VKDOO GXULQJ WKH WHUP RI WKLV
IRU VXFK FRYHUDJH LI DQ\

2QO\ HPSOR\HHV DQG HPSOR\HUV LQ WKH
6HUYLFH 6\VWHP KDYH EHHQ LQFOXGHG
3ODQ (PSOR\HHV DQG WKHLU HQUROOHG
WKURXJK VXFK SODQ \HDU ZKHUH DQG
KHU HOLJLEOH GHSHQGHQWV SD\PHQW
WKH 'LVWULFW VKDOO PDNH
SD\PHQW V LQ H[FHVV RI WKH RQH
(IIHFWLYH -XO\ WKH LQLWLDO 3ODQ
WR 2FWREHU $IWHU 2FWREHU
<HDUV VKDOO UHPDLQ IURP 12FWREHU

,Q RUGHU WR UHFHLYH UHLPEXUVHPHQW XQ
PXVW KDYH SURGXFHG D PHGLFDO
TXDOLI\LQJ PLQ[LPXP GHGXFWLEOH

$€ V F $€$€ H TRRH $€$€ $€€ \@ F H V

$57,&/(  ± %(1(),76

%  %

H[SHQGLWXUH IRU W KDV EHHQ VSDUVH DQG OHO
QRW H[FHHG LJQDKH WKUHH[WHUQG SHUL
E\ WKLV $JUHHPHQW DQWRRW DOORU WKH

$57,&/(  ± %(1(),76  %  (

# $57,&/(
# *5,(9$1&( 352&('85(

## $ 3XUSRVH

7R SURYLGH DQ RIILFLDO UHFRUG RI WKH JUDQWLQJ RI WKH OHWWHUV RI DGPLQLVWUDWLRQ

## % 'HILQLWLRQV

*ULHYDQFH RUPDO ZULWWHQ DOOHJDWLRQ E\ D JULH

( 3URFHGXUDO 6WHSV

127(  *ULHYDQFHV LGQWLILRRODWLQJ LDQQOLQHUHWHQXUHV UHQGLHQZHJ
GHFLVLRQV VKDDDFFHEHUGKZLQWGKOHGFLWQLRQ  ) EHORZ

,QIRUPDO:2WBOQ IKGHDWLRH DQ HPSUHDVRQDEOHZ WKR
KDYH NQRZQ RI WKH RFFXUUHQFH RHHDQKDOOHGLFJ
WKDHO OHYJLHRGDZWWKKQHDQDJHPHQWGHPSOLQQHDQWMKGH
EDUJDLQLQJ XQLW KDYLQJ MXULVGLFWLRQ

)RUPDO /HYHO

,I VDWLVIDFWRQRUHVROXWLRQGRQLEVKWKHQ
LQIRUPDO EURYDHO WWKHHSPBUEHVHUQWKDZLWGKOLQ WHQ
WKHUHDIWHU RQ*WLKHHY'DQFHW)HRPHQRWDWDFKHG K
([KLELW ( WKH JLUQLHYDRQWHKHL&KZDHQHWHOORU RU G

$57,&/(  ± *5,(9$1&( 352&('85(  (  )

$57,&/(  ± *5,(9$1&( 352&('85(  )  )

(LWKHU WKH JULHYDQFH SURFHGXUH VKDOO EH DJUHHG XSRQ LQ WKH FRQWUDFW ZLWKLQ WHQ GD\V RI WKH GDWH RI FRPPHQFHPHQW RU DQ\ VXFK PHHWLQJ VKDOO EH E\ PXWXDO DJUHH

# $57,&/(
# )$&8/7< 6(59,&( $5($6

## $ 'HILQLWLRQV

)DFXOW\ 6HUYLFH $UHD )6$

$ )DFXOW\ 6HUYLFH $UHD )6$ LV D VHUYLFH RU LQ
VHUYLFHV RUVIXQFWLRQV DSSURSULDWHGWRWKH GHDQ RI
FRPPXQLW\ FROOHJHV (GLVWULFW &RXQFLO RQ
RI )6$V XQGHU WKH (GXFDWLRQ &RGH DQG
ZLWKLQ ZKLFK UHWUHDW ULJKWV VHQLRULW\ ULJK
E\ IDFXOW\ LQ WKH FROOHJH DQG GLVWULFW DQG
VHFWLRQV

7KH VWUXFWXUH DQG RUJDQL]DWLRQ RI WKH
'LVFLSOLQDU\ &RPPLWWHH VKDOO EH GHWHUPLQHG
LCÌ@ Ã UT D ü! 7& P X! Q W D Ì @ I À @ L &U T

$57,&/(  ± )$&8/7< 6(59,&( $5($6  %  &

IDFXPHWA\EFKHLVWVKEO PDLQWDGHQVRHU
HPSOR\PHQW GHFLVLRQV SURYLGHG WKDW LQ
DQGVVLJQWKRQ\6$IRZKLFKRVKHRVHWWDWH
PLQLPXP TXDOLILFDWLRQV IRU WKH UHOHYDQW
[illegible]

$57,&/(  ± )$&8/7< 6(59,&( $5($6  &  )

$ YDOLG &UHGHQWLDO DXWKRUL]LQJ

$57,&/(  ± )$&8/7< 6(59,&( $5($6  *  ,

FKDQJLQJ ILHOGV &DUHHU $UWV DQG[7LHFKQLFDO (GXF
FRQVHFXWLYH HLJKW \HDU SHULRG XQOHVV WKH
FRXUVH LQ WKH UHOHYDQW GLVFLSOLQH DW WKH
'LVWULFW RU WKH LQVWUXFWLRQ DW WHDFKHU
\HDU )6$ WHUP E\ GHPRQVWUDWLQJ &RPSHWHQF
WKH )6$ FRQVLVWHQW ZLWK WKH UHTXLUHPHQWV RI $U

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$FFRUGLQJ WR (GXFDWLRQ &RGH &RQVHFXWLYH FKDOO PDLQWDL
UHFRUG IRU HDFK IDFXOW\ PHPEHU P@ !ð UvKD À0 WU P'

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$ 7KH 8QLRQ DQG LWV PHPEHUV DJUHH WKDW WKH\ ZL
HQJDJH RU SDUWLFLSDWH LQ DQ\ VWULNH RU VLPLODU FRQFHUWHG DFWLRQ VWRS
RI DQ\ W\SH DJDLQVW WKH 'LVWULFW LQFOXGLQJ V
UHIXVDOV WR SHUIRUP RYHUWLPH RU DQG E\ PHPEHUV RI WKH 8QLRQ
OHDUQV RI DQ\ VHXFFWKHDFWGXDWKHUVRQQRQVRP HPSOR\L
RI WKHLU REOLJDWLRQV XQGHU WKLV $UWLFOH 6HFWLRQ
WKHP WR FRPSO\ZLWKDQGWKHREOLJDWLRQVWKDQG

% 7KLV $UWLFOH GRHV QRW DSSO\ WR EDUJDLQLQJ [WKDW VXQLRQ DI
LPSDVVH SURFHGXUHV IRU UHSHQGLQJ WKHWWHUV

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| & | 6LFN/HDYH |
| ( | 9RO X\QGWDHUD Y HI %DQ |
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| * | 3UHJQDQF\EL/HODWLRQVKLS/ QRWWR[FHHGWKH GRXUDWLRQ WKUHDQW |
| + | )DP\LOLHGL/HDOOY H |
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7KH SURYLVLRQV GHVFULEHG LQ WKLV WHPSRUDU\ HPSOR\PHQW DJUHHPHQW DUH LQWHQGHG WR DSSO\ WR DOO WHPSRUDU\ HPSOR\HHV RI WKH &RPSDQ\ H[FHSW DV RWKHUZLVH VSHFLILHG LQ DQ DSSOLFDEOH

$ )XOO 7LPH 7HPSRUDU\ 3URJUDPV 3URYLVLRQV UHODWLQJ WR IXOO WLPH WHPSRUDU\ SURJUDPV LQFOXGH EXW DUH QRW OLPLWHG WR &&6) +LULQJ 3URFHGXUHV 8QGHU WKH &&6) +LULQJ 3URFHGXUHV RQ SODQQHG OHDYH DQG RWKHU DVSHFWV RI WKH HPSOR\PHQW UHODWLRQVKLS IXOO WLPH KLULQJ SURFHGXUHV 7HPSRUDU\ 6XEVWLWXWH /76

% 7HPSRUDU\ VKRUW WHUP WKDQ 7HPSRUDU\ DGGLWLRQDO RS SRUWXQLWLHV SDUWLFLSDWH WKDW PD\ SURYLGH RSSRUWXQLWLHV

6XGGHQ LQFDSDFLW\ RU GHDWK RI WKH IDFXOW\ PH

:KHQ DYDLODEOH KRXUV FDQ QR ORQJHU EH VXVWDLQHG EHFDXVH WKH DVVLJQPHQW H[HFHHGV WLQJ SHUFHQWDJH ZRUN GD\V

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$ $OO SURYLVLRQV RU WHUPV EHWZHHQ WKH JRYHUQPHQWDO DXWKRULWLHV DQG WKH &RPPXQLW\ &RXQFLO VKDOO EH DSSOLFDEOH WR DQG EH HQIRUFHDEOH E\ 7HDFKHUV RI WKH &RPPXQLW\ &RXQFLO DQG WKH &RPPXQLW\ &RXQFLO VKDOO EH DSSOLFDEOH WR DQG EH HQIRUFHDEOH E\ WKH IROORZLQJ

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## $ 3XUSRVH DQG 6FRSH

7KH XQGHUVWDQGLQJV UHJDUGLQJ WKH DQWLFLSDWHG HFRQRPLF DQG
LQWHQGHG WR

- (QFRXUDJH IDFXOW\ WR HQJDJH LQ WHFKQRORJ\ WUDQVIHU
  SXEOLFDWLRQV DQG WHFKQRORJ\ EDVHG GPDQVWUDWLRQV
  HGXFDWLRQ
- 3URPRWH WKH ULJKWV RI LQGLYLGXDOV WR EHQHILW IURP
- $YRLG FRS\ULJKW LQIULQJHPHQW DQG SODJLDULVP
  PHPEHUV DQG WKH 'LVWULFW UHJDUGLQJ WKH RZQH

## % &RS\ULJKW 'HILQLWLRQV

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SURJUDPV DQG PHGLD H J VRIWZDUH RQ FRPSXWHUV
IRUPV VXFK DV &' 520 YLGHR GLVN FDVVHWWH
WKHLU RULJLQDO

'LVWULFW /LFHQVH IRU 8VH RI &RSHUULWKWHG FRQWHQW
PHPEHUHWRZQURVKZSRUSURGXFHUGQKEFXPHP\EHU¶V
HPSOR\PHQW ZLWK WKH H[FHSWLRQFRMLRQU%RQDW
IDFXOW\ PHPEHU DQG WKH 'LVWULFWHPSOHDPUWHW
WK'HVWUXFWLRQZWV¶XFZKRUINRULQWHUQDWLRQGO
DGPLQLVWUDWLYH SXUSRVHV 8QGHUVKDRJPDEH FQL
H[FOXVLYH DQG QRQWUDQVIHUDEOH RI VDGHFLFSLXPQH XQGH
IDFXOW\ PHPEHU DQG &KDQFHOORUDVKDOOHVPRHWW
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$SULO

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3DUW 7LPH )DFXOW\ $FFHVV WR 5HWLUHH 0HG

%DFNJURXQG ,QWHUHVW

$ SDUW WLPH IDFXVWQUPRHEHG ZKRDKQHDWRXEKQWKLW+HDO
6\VWHP +66 LPHVGRLDKWWRUSKUHWWUHPRQWLPDXHFRHYHU
+66 LQ DFFRUGDQFH ZLWK

7KH IDFXOW\ PHPEHU PXVW DSSO\ MRLQWLQXDWLRQ
PHPEHU¶V UHWLUHPHQW GDWH

7KH SDUW WLPH UHWLUHH PXVW PRQW WRUHT'XLUHG
GD\V LQ DGYDQRZLQRUPKHT¶VDJHDO,VXDUHHQW
DUH DYDLODEOHWLWKHSDUWHTXHVWSDUWPOFQWXLE
WKH +66 EH SDLG WKURXJK WKH UHWLUHH¶V SHQVLRQ

,I D SDUW WLPH UHWLUHH KDV QRW PDGH WKH UHTXLU

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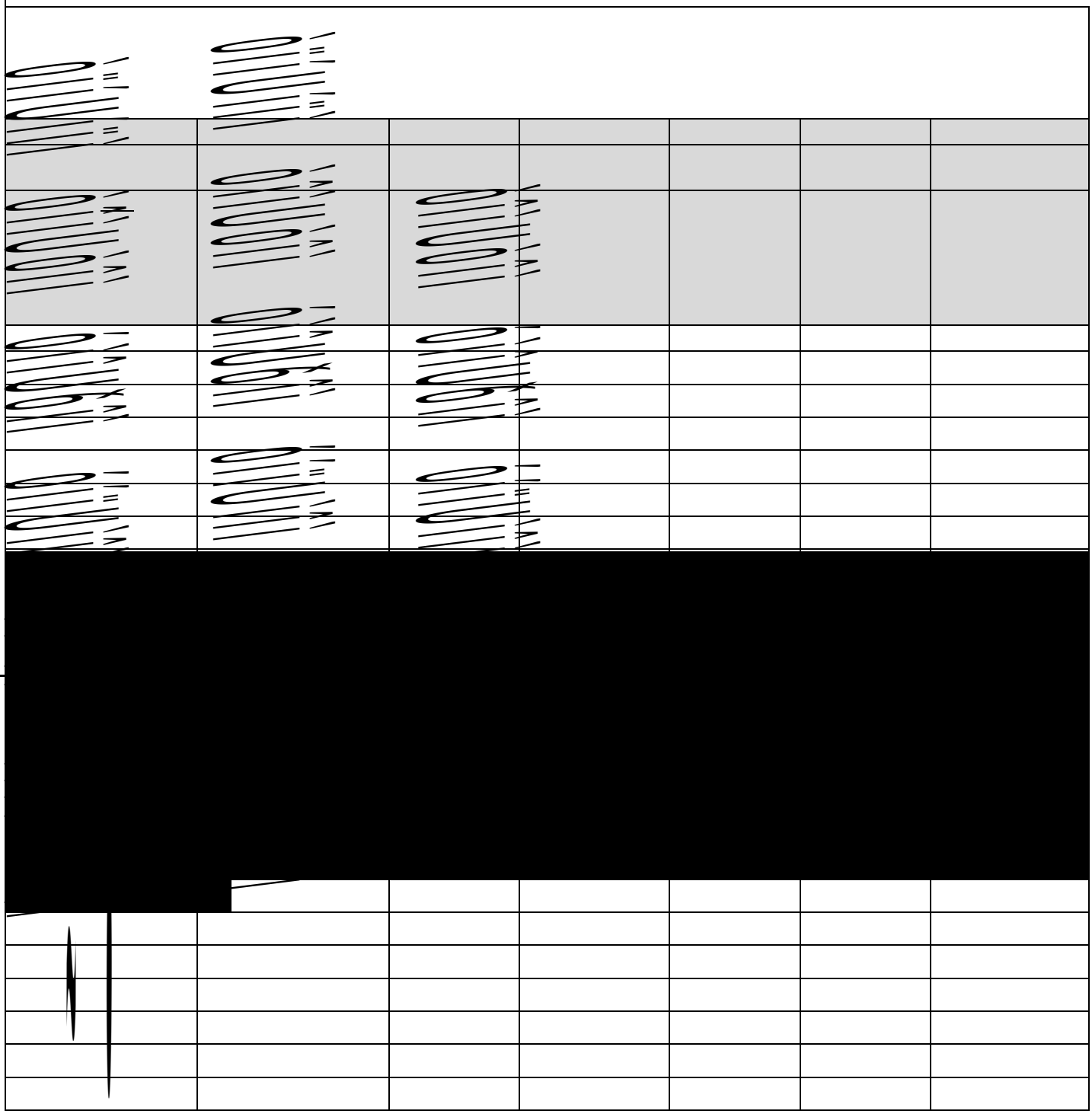

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6DQ )UDQFLVFR &RPPXQLW\ &ROOHJH 'LVWULFW
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3((5 RU 3((5 0$1$*(0(17 (9$/8$7,21 )25 $&$'(0,& (03/2<((6
3DJH

& 121 &/$66220 )$&8/7< /LEUDULDQV 5HVRXUFH &HQWUH

| This section to be answered only for LIBRARIANS. | 6DWLVIDFWRU\ %HWWHU | 6DWLVIDFWRU\ %XW 1HHGV ,PSURY | 6DWLVIDFWRU\ IDFWRU 2EVHUYHG | 1RW $SSOLFDEO |
|---|---|---|---|---|
| D 3URYLGHV VWXGHQWV ZLWK LQVWUXFWLRQ DQG PDWHULDOV DW UHIHUHQFH GHVN WKDW DUH DSSURSULDWH IRU WKHLU QHHGV WR UHIHU VWXGHQWV ZKHQ QHFHVVDU\ | | | | |
| E 0DLQWDLQV HIIHFWLYH FRPPXQLFDWLRQ DQG RXWUHDFK WR GHSDUWPHQW DQG SURJUDP IDFXOW\ DV DVVLJQHG | | | | |
| F &RQWULEXWHV WR EXLOGLQJ RUJDQL]LQJ DQG PDLQWDLQLQJ OLEUDU\ FROOHFWLRQV DQG UHVRXUFHV | | | | |
| G &RPPXQLFDWHV LGHDV FOHDUO\ FRQFLVHO\ DQG HIIHFWLYHO\ GXULQJ ZRUNVKRSV DQG LQVWUXFWLRQDO VHVVLRQV DW WKH UHIHUHQFH GHVN | | | | |
| H 3UHVHQWV PDWHULDO LQ ZD\V WKDW DFWLYHO\ HQJDJHV VWXGHQWV OHDUQLQJ LQ ZRUNVKRSV DQG DW WKH UHIHUHQFH GHVN | | | | |
| I 6WULYHV WR PDLQWDLQ DQ HQYLURQPHQW FRQGXFLYH WR VWXGHQW UHVHDUFK UHDGLQJ DQG OHDUQLQJ | | | | |

&RPPHQW RQ WKH SHUIRUPDQFH RI WKLV YDFXOW\ PHPEHU LQ UHODWLRQ

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(;+,%,7 ' ± 6HOI 3HHU DQG 6WXGHQW (YDOXDW

6,*1$785( 3$*(

(;+,%,7 ' ± 6HOI 3HHU 0DQDJHPHQW DQG 6WXGHQV

6DQ )UDQFLVFR &RPPXQLW\ &ROOHJH 'LVWULFW
/RZHU OHYHO (QWU\ 3RVLWLRQ 4XHVWLRQQDLUH

,16758&725 678'(17 (9$/8$7,21
4XHVWLRQV

,QVWUXFWRU _____ 'DWH _____

&RXUVH _____ 'HSDUWPHQW _____

/RZHU /HYHO &UHGLW (6/ &ODVVHV

7KH WHDFKHU (QJDJHV

7KH WHDFKHU UHVSHFWV WKH VWXGHQWV

7KH OHVVRQV DUH RUJDQL]HG

7KH LQVWUXFWLRQDO PDWHULDOV KHOS PH OHDUQ (QJOLVK

7KH WHDFKHU KHOSV PH XQGHUVWDQG P\ PLVWDNHV

7KH WHDFKHU [illegible] TXHVWLRQV

7KH WHDFKHU JLYHV WLPH IRU TXHVWLRQV

7KH WHDFKHU DQVZHUV TXHVWLRQV ZHOO

7KH WHDFKHU JLYHV FOHDU LQVWUXFWLRQV

7KH WHDFKHU UHWXUQV P\ ZRUN TXLFNO\

7KH JUDGLQJ V\V a•° TF•° T!•0p°V"•FQFQ ›V •Rp@@p RU0WXUV ÉT‰K QG V"

7@ RSWHDFKHU @LNHV WG

7KH WHDFKHU ST00 FÌIENOHD0p°HOSITXO

FK W ð`€0 P 5P \` ”Tà €t€0pgH WT FKHVr'`5`DT VH

(;+,%,7 ' ± 6HOI 3HHU 0DQDJHPHQW DQG 6WXGHQW

6DQ )UDQFLVFR &RPPXQLW\ &ROOHJH 'LVWULFW
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,16758&725 678'(17 (9$/8$7,21
4XHVWLRQV

,QVWUXFWRU 'DWH

&RXUVH 'HSDUWPHQW

1RQFUHGLW&RXUVHV

7KH WHDFKHU(QJOLVK ZHOO

7KH WHDFKHU UHVSHFWV WKH VWXGHQWV

7KH OHVVRQV DUH RUJDQL]HG

7KH WHDFKLQJ PDWHULDOV KHOS PH OHDUQ (QJOLVK

7KH WHDFKHU KHOSV PH XQGHUVWDQG P\ PLVWDNHV

7KH WHDFKHU JLYHV WLPH IRU TXHVWLRQV

7KH WHDFKHU DQVZHUV TXHVWLRQV ZHOO

7KH WHDFKHU FKHFNV P\ ZRUN

7KH WHDFKHU VWDUWV DQG HQGV WKH FODVV RQ WLPH

7KH WHDFKHU OLNHV WR WHDFK

7KH WHDFKHU KHOSV PH OHDUQ (QJOLVK

<RX FDQ ZULWH\RXU WHDFKHU KHUH

4XHVWLRQV DUH RQ D ³$OZD\V 6RPHWLPHV 1HYHU´ VFDOH RU RSHQ

# (;+,%,7 ' ± 6HOI 3HHU 0DQDJHPHQW DQG 6WXGHQV

6DQ )UDQFLVFR &RPPXQLW\ &ROOHJH 'LVWULFW
121&5(',7 '63 QVWUXFWRU (YDOXDWLRQ
4XHVWLRQQDLUH

## ,16758&725 678'(17 (9$/8$7,21 4XHVWLRQV

,QVWUXFWRU _____ 'DWH _____

&RXUVH _____ 'HSDUWPHQW _____

1RQFUHGLW '636 &ODVVHV

7KH WHDFKHU H[SODLQV WKH SXUSRVH RI WKH FODVV ZHOO

7KH WHDFKHU UHVSHFWV WKH VWXGHQWV

7KH OHVVRQV DUH RUJDQL]HG

7KH WHDFKHU JLYHV PH FOHDU LQVWUXFWLRQV

7KH WHDFKHU KHOSV PH XQGHUVWDQG P\ PLVWDNHV

7KH WHDFKHU JLYHV WLPH IRU TXHVWLRQV

7KH WHDFKHU DQVZHUV TXHVWLRQV ZHOO

7KH WHDFKHU KHOSV PH WR LPSURYH

7KH WHDFKHU VWDUWV DQG HQGV WKH FODVV RQ WLPH

7KH WHDFKHU OLNHV WR WHDFK

<RX FDQ ZULWH \RXU WHDFKHU KHUH

4XHVWLRQV DUH RQ D ³$OZD\V 6RPHWLPHV 1HYHU´ RU RSHQ HQGHG VFDOH RU RSHQ

(;+,%,7 ' ± 6HOI 3HHU DQG 6WXGHQW (YDOX

6DQ )UDQFLVFR &RPPXQLW\ &ROOHJH 'LVWULFW

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,16758&725 '(6,*1 (9$/8$7,21
4XHVWLRQV

,QVWUXFWRU _____ _____

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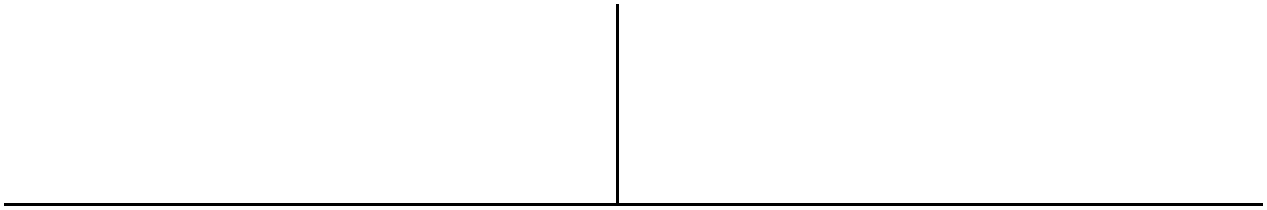

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(;+,%,7 (

7KLV IRUP LV WR EH XVHG RQO\ [illegible] $UWLFOH 6XEVHFWLRQV ) DQG )

NOTE: There is no informal grievance step for this type of grievance.

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(;+,%,7 )± 3D\ 5HVWLWXWLRQ 3ROLF\

## '(3$570(17$/ *8,'(/,1(6 )25 7(185( (9$/8$7,21

,W LV WKH LQWHQWLRQ RI WKH 'HSDUWPHQW WKDW WKH SURFHGXUHV HVWDEOLVKHG E\ WKLV GRFXPHQW EH IROORZHG E\ DOO SHUVRQV LQYROYHG LQ WKH HYDOXDWLRQ SURFHVV ZKLFK LV DQ LPSRUWDQW SDUW RI WKH SURFHVV RI HQVXULQJ WKDW WKH GLYHUVLW\ WKDW KDV SUHYLRXVO\ EHHQ WKH FDVH DW &DOL HDFK GLVWULFW VKDOO GHYHORS JXLGHOLQHV RQ WHQXUH DQG SURPRWLRQ &RPPXQLW\ &ROOHJH 'LVWULFW )UDQFLVFR &RPPXQLW\ &ROOHJH 'LVWULFW KDYH EHHQ SUHSDUHG WR DVVLVW GHSDUWPHQWV LQ GHYHORSLQJ WKHLU RZQ JXLGHOLQHV DQG LQ HYDOXDWLQJ WKH HIIHFWLYHQHVV RI WKHLU SURFHGXUHV DUH LQ PDQ\ ZD\V GLVWLQFWLYH IURP RWKHU )DFXOW\ HYDOXDWLRQV DQG UHVHDUFK KDV EHHQ GRQH RQ WKLV JURXS

(;+,%,7 * ± *XLGHOLQHV IRU 7HQXU

$ ,W LV WKH UHVSRQVLELOLW\ RI HPSOR\HUV WR PDLQWDLQ D W

)DPLOLDUL]H KLPVHOI ZLWK WKH HPSOR\HU¶V DWWHQGDQFH
WKH $JUHHPHQW

$WWHQG HPSOR\HU DXWKRUL]HG WUDLQLQJ VHVVLRQV DQG
DQQXDOO\

6FKHGXOH DQG WDNH DOO UHTXLUHG YDFDWLRQ DQG
DFFRUGDQFH ZLWK WKH $JUHHPHQW

$WWHQG DQG GHGLFDWH DGHTXDWH WLPH WR WKH &RPSDQ\
WKH\ VHUYH

% $ WHQXUH UHYLHZ FRPPLWWHH VKDOO EH HVWDEOLVKHG
($&+ QHZ FXPEHUODQG \EEHU JDUGHQ 2UGLQDQFH
VKRXOG VHUYH DV WKH FKDLU IRU UHYLHZLQJ WKH DQQXDO
EH WKH UHVSRQVLELOLW\ RI D FRPPLWWHH FKDLU WR

0HHW DOO UHTXLUHPHQWV RI 3DUDJUDSK $ DERYH

6FKHGXOH DQG FKDLU PHHWLQJV RI WKH 7HQXUH

6XSHUYLVH WKH SURFHVV RI HYDOXDWLQJ DQQXDO
WKH SURYLVLRQV RI WKH $JUHHPHQW

$GYLVH WKH LPPHGLDWH VXSHUYLVRU RI LQGLYLGXDO
PHPEHU RI WKH WHQXUH UHYLHZ FRPPLWWHH ZKR
WHPSRUDU\ RU SHUPDQHQW GLVDELOLW\ DQG

:ULWH DQG VXEPLW DQQXDO UHSRUWV WR WKH &RPSDQ\
DV D EDVLV IRU WKH DQQXDO ERUPHHQGDWLRQV

0DLQWDLQ D ORZ RU NHHS QR DOXGHV FLVLRQ
UHJDUGLQJ WHQXUH KDV EHHQ UHDFKHG E\ WKH
OHJDO FKDOOHQJH WR VXFK D GHFLVLRQ KDV SD

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$ WHQXUH UHYLHZ FRPPLWWHH KDV EHHQ HVWDEOLVKHG
LWV UHFRPPHQGDWLRQV WR WKH &RXQFLO RQ
RI FRQWUDFWV RU WKH JUDQWLQJ RI WHQXUH

$ 'LUHFW REVHUYDWLRQ

$ UHJXODU VFKHGXOHG REVHUYDWLRQ RI WKH

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6DQ )UDQFLVFR &RPPXQLW\ &ROOHJH 'LVWULFW
6(/) (9$/8$7,21 *8,'(/,1(6
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1DPH _____ 'HSDUWPHQW _____

...,QVWUXFWRUV RQO\ ,QVWUXFWRU ,QVWUXFWLRQV VSHFLI\

Please answer these questions as fully as you can, using the topics as guidelines. Attach your answers to this cover sheet and number them accordingly.

$ 352)(66,21$/ 48$/,7,(6

HOW DO YOU EVALUATE YOUR PROFESSIONALISM?

D .HHSV FXUUHQW LQ GLVFLSOLQH
E +DV JRRG UDSSRUW ZLWK FROOHDJXHV
F $FFHSWV FULWLFLVP
G 6XEPLWV UHTXLUHG GHSDUWPHQW GDWD SURPSWO\ DQG DFFXUDWHO\ ...
VKHHWV RQ WLPH
H 0DLQWDLQV DGHTXDWH DQG DSSURSULDWH UHFRUGV
I 2EVHUYHV KHDOWK DQG VDIHW\ UHJXODWLRQV
J 'HPRQVWUDWHV VHQVLWLYLW\ LQ ZRUNLQJ ZLWK VWXGHQWV ...
FXOWXUDO VH[XDO RULHQWDWLRQ GLVDELOLWLHV DQG HWKQLF
L $WWHQGV UHTXLUHG PHHWLQJV ...

HOW DO YOU EVALUATE YOUR PROFESSIONAL CONTRIBUTIONS?

D 0DNHV FRQWULEXWLRQV WR WKH GLVFLSOLQH GHSDUWPHQW GLVW...
E 6HUYHV HIIHFWLYHO\ RQ VSHFLDO ...
DQG GHYHORSPHQW DUHDV DV QHHGHG E\ GHSDUWPHQW GLVWULFW
F %HDUV DQ DSSURSULDWH VKDUH RI IDFXOW\ UHVSRQVLELOLWLHV

% -2% 3(5)250$1&( (To be answered by ALL CLASSROOM FACULTY)

HOW DO YOU EVALUATE YOUR COURSE CONTENT AND SUBJECT KNOWLEDGE?

D 7KH FRXUVH FRQWHQW LV XS WR GDWH DQG DSSURSULDWH
E 7KH FRXUVH FRQWHQW LV WDXJKW RQ DQ DSSURSULDWH OHYHO
F 7KH PDWHULDOV XVHG DUH SHUWLQHQW WR WKH FRXUVH RXWOLQH
G 7KH FODVV LV WDXJKW DW DQ DSSURSULDWH OHYHO
H 7KH SDFLQJ RI WKH FODVV LV DSSURSULDWH WR WKH OHYHO DQG W

HOW DO YOU EVALUATE YOUR COURSE PRESENTATION?

D (VWDEOLVKHV D VWXGHQW LQVWUXFWRU UHODWLRQVKLS FRQGXFL...
E &RPPXQLFDWHV LGHDV FOHDUO\ FRQFLVHO\ DQG HIIHFWLYHO\
F 'HPRQVWUDWHV VHQVLWLYLW\ WR WKH OHDUQLQJ GLIILFXOWLHV R...
G 6WLPXODWHV LQWHUHVW DQG HQWKXVLDVP IRU WKH OHDUQLQJ DQG WKHLU GHVLUH WR
H 7HVWV VWXGHQWV¶ SURJUHVV LQ YDOLG DQG DSSURSULDWH ZD\V
I 8VHV FODVV WLPH HIILFLHQWO\
J 6WXGHQW LQVWUXFWRU FRQWDFW ...
K &RXUVH VWUXFWXUH LV FRQVLVWHQW ...

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6HH $UWLFOH * IRU GHWDLOV

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| )LUVW 6HPHVWHU<br>‰&RQWUDFW VKRXOG EH UHQHZHG IRU RQH<br>IDOO VHPHVWHU RI WKH QH[W DFDGHPLF<br>‰&RQWUDFW VKRXOG QRW EH UHQHZHG | 6HFRQG 6HPHVWHU<br>‰&RQWUDFW VKRXOG EH UHQHZHG IRU RQ<br>WKH IDOO VHPHVWHU RI WKH QH[W DFDGHPLF<br>‰&RQWUDFW VKRXOG QRW EH UHQHZHG IRU WKH QH[W DFDGHPLF<br>)RXUWK 6HPHVWHU<br>‰&RQWUDFW VKRXOG EH UHQHZHG IRU WZ<br>WKH IDOO VHPHVWHU RI WKH QH[W DFDGH<br>‰&RQWUDFW VKRXOG QRW EH UHQHZHG IRU WKH QH[W DFDGHPLF<br>WKDW WKH FRQWUDFW VKRXOG QRW EH U |
| 7KLUG 6HPHVWHU<br>‰&RQWUDFW VKRXOG EH UHQHZHG IRU RQ<br>WKH IDOO VHPHVWHU RI WKH QH[W DFDGHPLF<br>‰&RQWUDFW VKRXOG QRW EH UHQHZHG | )RXUWK 6HPHVWHU<br>‰&RQWUDFW VKRXOG EH UHQHZHG IRU WZ<br>WKH IDOO VHPHVWHU RI WKH QH[W DFDGH<br>‰&RQWUDFW VKRXOG QRW EH UHQHZHG IRU WKH QH[W DFDGHPLF<br>WKDW WKH FRQWUDFW VKRXOG QRW EH U |
| )LIWK 6HPHVWHU<br>No recommendation required | 6L[WK 6HPHVWHU<br>No recommendation required |
| 6HYHQWK 6HPHVWHU<br>‰7HQXUH VKRXOG EH JUDQWHG<br>RI WKH QH[W DFDGHPLF \HDU<br>‰7HQXUH VKRXOG EH GHQLHG | HIIHFWLYH WKH IDOO VHPHVWHU |

127( ,Q WKH HYDOXDWLRQ RI FRQWUDFW VHPHVWHU\HHV 8QGHU 7HQXUH 3ROLF\ EH QRWLILHG WKDW WKH\ DUH QRW FRQVLGHUHG W
VHPHVWHU RI HPSOR\PHQW

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| Please Print Names: | Signatures: | Date: |
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127( $Q HYDOXDWRU ZKR GRHV QRW FRQFXU PXVW DWWDFK D GLVVHQWLQJ UHS

, KDYH KDG DQ RSSRUWXQLW\ WR UHDG WKLV HYDOXDWLRQ

(YDOXDWHH &RPPHQWV LI DQ\

6LJQDWXUH RI (YDOXDWHH 'DWH

7KH LJQDWXUH RI WKH HYDOXDWHH JLYHV WKH HYDOXDWRU WKH RSSRUWXQLW\ WR GLVFXVV WKH HYDOXDWLRQ ZLWK WKH HYDOXDWHH
VKH KH KDV KDG DQ RSSRUWXQLW\ WR UHDG WKLV UHSRUW

, KDYH KDG DQ RSSRUWXQLW\ WR GLVFXVV WKLV HYDOXDWLRQ DQG , GR
&KHFN RQH, KDYH DWWDFKHG D UHEXWWDO
, ZLOO IRUZDUG D UHEXWWDO ZLWKLQ RQH ZH

6LJQDWXUH RI (YDOXDWHH 'DWH

7KH HYDOXDWHH KDV UHIXVHG WR VLJQ WKLV HYDOXDWLRQ

&RPPLWWHH &KDLU 6LJQDWXUH 'DWH

$ 7HQXUH 5HYLHZ DQG WKH &ULWHULD QHHGHG WR (VWDEOLVK 7HQXUH
&RQVLGHUDWLRQ

7HQXUH 5HYLHZ LV D IRUP \HDU SURFHVV WKDW GXULQJ WKH
UHLQIRUFHPHQW WKDW XSIURQW WKH DFWLYLWLHV DQG SURFHVVHV RI
SHHUV KDYH WKH RSSRUWXQLW\ WR VXSSRUW DQG FKDOOHQJH
RWKHUV VR WKDW DOO FDQ JURZ DQG GHYHORS
+HQFH WKHUH \HDUO\ UHYLHZV RI GLDOLGDWLQJ DQG G D V
H[SHULHQFH ZKLFK VHWV WKH WRQH IXOO WKH PHSULRG
'LVWULFW

(;+,%,7 . (DUO\ 7HQXUH 5HYLHZ &ULWHULD DQG

E &RQVLGHUDWLRQ RI WKH H[WHQWDWRRQZKLFK WZR
DERYH RU

F /RQJ WHUP &RQVLVWHQW SDUWLFLSDWLRQ \HDUV &RPHJH DQG

G $W OHDVW \HDUV RI FRQWLQXRXV HOLJLELOLW\ VKRXOG EH DW WKH OHYHO RI DQ HDUYHLFDJHWRKLV
PHDQV FRQVHFXWLYH LPPHGLDWHO\ SUHFHGLQJ WKH DSSURYHG DEVHQFH%XQGHU WKLV $UWLFOH EH YLHZ
VHUYLFH DQG PD\ QRW EH WDNHQ LQ FRQMXQFWLRQ ZLWK DQ\ RWKHU YDFD
XQGHU WKLV VHFWLRQ DQG

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(;+,%,7 . (DUO\ 7HQXUH 5HYLHZ &ULWHULD DQG

(;+,%,7 . (DUO\ 7HQXUH 5HYLHZ &ULWHULD DQG

WKH &RPPLWWHH GHFLGH WR UHFRPPHQG SHHU UHYLHZ
* XQDQLPRXV RU ZLWKLQ RQH YRWH RI EHLQJ X
)250 DQG VKDOO WUDQVPLW WKHLU UHFRPPHQGDWL
FRQVLGHUDWLRQ DW WKH QH[W 0HHWLQJ RI WKH ZU XFWLRQ

,I WKH &RPPLWWHH UHFRPPHQGV HDUO\ WHQXUH
WR WKH &KDQFHOORU IRU UHYLHZ SURFHHGLQJV
&KDQFHOORU DJUHHV WKDW SHUIRUPDQFH KDV
WKH %RDUG &KDQFHOORU LV QRW REOLJHG WR
HDUO\ WHQXUH WKH &KDQFHOORU ZLOO PHHW ZLW

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6DQ )UDQFLVFR &RPPXQLW\ &ROOHJH 'LVWULFW

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SRVLWLYH UHLQIRUFHPHQW WR SUREDWLRQDU\ LQV

:KHUHDV2QO\ LQ UDUH DQG H[FHSWLRQDOHEQLHUGF XRPVGWDQQFWhV@
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6DQ )UDQFLVFR &RPPXQLW\ &ROOHJH 'LVWULFW
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| This section to be answered only for LIBRARIANS. | 2XWVWDQGLQJ | QDW LVIDFW RU %HWWHU,PSURY | WDWLVIDFW %XW 1HHGV | QVDWLV IDFWRU\ | 1RW 2EVHUYHG | 1RW $SSOLFDE |
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To be completed when this form is used as the working document for a visitation:

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HUMAN RESOURCES

**FACULTY TRANSFER APPLICATION**

**Eligibility Requirements:**

1. **Must be tenured faculty.**
2. **Form must be received by HR within 10 days of job posting.**

**Name**_____

**Phone**_____

**Current Dept.** _____

**Please acc**_____

Job

Job Announce

**References:** *Provide three current*

1. Name:_____ Title:_____
   Telep
2. Name:_____ Title:_____
   Telephone: Email:
3. Name:_____ Title:
   Telephone: Email:

**Diversity Statement:** *Separate from your letter of interest, submit a concise response using*
*only one page to discuss how your course content, teaching and/or counseling*
*and/or librarian services meet the needs of culturally academically diverse learn*
*clas*
*working with diverse st not "diversity statement" with a*
*"teaching philoso not will be automatically disqualifi*

Attached is my letter of interest

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**Signature** Date

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