Faculty Senate
UNIVERSITY of ALASKA ANCHORAGE

UAA Faculty Senate Agenda
December 2, 2016
2:30 - 4:30 p.m.
Lew Haines Conference Room (LIB 307)
Audio: 786-6755 | ID: 284572

I. **Call to Order**

II. **Roll- (P= Present; A= Absent; E= Excused; T= Telephonic Participation)**

2016-2017 Officers:

Fitzgerald, Dave – President	King, Carrie - Chair, UAB
Chamard, Sharon - 1st Vice President	Paris, Anthony - Chair, GAB
Downing, Scott - 2nd Vice President	Smith, Tara - Past President

2016-2017 Senators

Bannan, Deborah	Hicks, Nathaniel	Pence, Sandra
Bartels, Jonathan	Hinterberger, Tim	Piccard, LuAnn
Bennett, Brian	Hoanca, Bogdan	Schreiter, Mark
Bhattacharyya, Nalinaksha	Hollingsworth, Jeffrey	Shamburger, Carri
Boeckmann, Robert	Horn, Steve	Sieja, Gwen
Bowie, David	Ippolito, Mari	Smith, Cheryl
Bridges, Anne	Karahan, Gokhan	Strobach, Cynthia
Brown, Barbara	Kelley, Colleen	Stuive, Christina
Cook, Sam	Kirk, Sarah	Thiru, Sam
Dutta, Utpal	Kuden, Jodee	Trotter, Clayton
Flanders Crosby, Jill	Laube, Jeffrey	Venema, Rieken
Folias, Stefanos	McCoy, Robert	Wang, Steve
Fortson, Ryan	Metzger, Colleen	Ward, Jervette
Foster, Larry	Nabors, Forrest	Widdicombe, Toby
Garcia, Gabe	Ohle, Kathryn	
Graham, Rachel	Orley, Soren	
Harville, Barbara	Partridge, Brian	

III. **Agenda Approval (pg. 1-4)**

IV. **Meeting Summary Approval (pg. 5-9)**

V. **Officer's Reports**
    A. President's Report (pg.10)
        i. Review of Google (AAR) After Activity Report (pg. 60-227)

    B. First Vice President's Report

    C. Second Vice President's Report

    D. Past President's Report

VI. **Old Business**
    A.

VII. Consent Agenda

    A. Faculty Senate Committee Assignments

        i. CAS Fine Arts, Brian Cook to finish out Jill Flanders-Crosby's term

    B. Graduate Curriculum

        i. Courses

Add	BIOM A618	Clinical Anatomy
Chg	ECON A602	Introduction to Economics for Managers
Add	GEOL A648	Advanced Structural Geology and Geomechanics

    C. Undergraduate Curriculum

        i. Courses

Chg	ADT A227	Auto Electrical III
Add	BA A286	Entrepreneurship and Innovation
Add	BA A386	The Startup Venture
Del	ENGL A382	Writers' Workshop: Drama and Screenwriting
Del	ENGL A453	Advanced Writers' Workshop: Poetry
Del	ENGL A462	Advanced Writers' Workshop: Fiction
Del	ENGL A472	Advanced Writers' Workshop: Nonfiction
Del	ENGL A482	Advanced Writers' Workshop: Drama and Screenwriting
Chg	ENGL A450	Linguistics and English Language Teaching
Chg	GEO A246	Geomatics Computations II
Chg	JUST A201	Justice Data Analysis

        ii. Programs

Chg	Bachelor of Science, Aviation Technology
Add	Minor, Entrepreneurship

    D. GAB & UAB Max Repeat Motion

An issue was recently discovered with repeatable courses and the CIM system. The paper curriculum process allowed repeatable courses to be coded both for maximum number of repeats and maximum number of credits. The CIM system allows only one of these choices. As a result, the system will not allow faculty to revise/edit courses historically coded for both. UAB/GAB passed a motion allowing the registrar's office to contact colleges and faculty directly regarding resolution for impacted courses.

MOTION: The Registrar's office is permitted to send an email to the faculty listserv and colleges stating intent to remove max repeat rule on list of courses.

VIII. Boards and Committees Reports

    A. Graduate Academic Board

    B. Undergraduate Academic Board

    C. General Education Review Committee

    D. University-wide Faculty Evaluation Committee

    E. Academic Assessment Committee (pg. 11)

    F. Academic Computing, Distance Learning and Instructional Technology and e-Learning (pg. 12-13)

G. Budget, Planning, and Facilities Advisory Committee

H. Diversity Committee (pg. 14-20)

I. Faculty Grants and Leaves Committee (pg. 21)

J. Institutional and Unit Leadership Review Committee

K. Library Advisory Committee

L. Student Academic Support and Success Committee (pg. 22-23)

M. Community Campus Committee (pg. 24)

N. Academic Honesty and Integrity Committee

O. Research and Creative Activity Committee (pg. 25)

P. Joint Ad Hoc Committee on Mentoring Institute Proposal

Q. Joint Ad Hoc Committee on UFEC Criteria for Administrative Faculty

R. Joint Ad Hoc Committee on Student Evaluation (pg. 26-29)
    MOTION: The UAA Faculty Senate endorses the development of an interactive student
    feedback tool that will promote productive conversations among students and faculty on
    courses. We support development of a tool that will increase student response rates and
    facilitate student advising, which could eventually replace the IDEA.

S. Joint Ad Hoc Committee on Term Faculty Promotion (pg. 30-31)

T. Joint Ad Hoc Committee on Internationalization (pg. 32)

IX. **New Business**
     A.

  Additional Agenda Items:

X. **Administrative Reports**

    A. Chancellor, Tom Case

    B. Provost of Academic Affairs, Sam Gingerich

    C. Interim Vice Chancellor of Administrative Services, Pat Shier

D. Vice Chancellor of Advancement, Megan Olson (pg. 33-35)

E. Vice Chancellor of Student Affairs, Bruce Schultz (pg. 36-39)

F. Vice Provost for Academic Affairs, Susan Kalina

G. Interim CIO, Adam Paulick

H. Union Representatives
     i. UAFT
    ii. United Academics

I. Office of Institutional Effectiveness, Engagement and Academic Support (pg. 40-44)

J. Interim Associate Vice Chancellor for Alaska Natives and Diversity, Jeane Breinig
    (pg. 45)

XI. Abel Bult-Ito presentation of A New Vision for the University of Alaska (pg. 46-59)

XII. President Johnsen presentation and Q&A

XIII. Informational Items & Adjournment

UAA Faculty Senate Summary
November 4, 2016
2:30 - 4:30 p.m.
Lew Haines Conference Room (LIB 307)
Audio: 786-6755 | ID: 284572

I. **Call to Order**
II. **Roll- (P= Present; A= Absent; E= Excused; T= Telephonic Participation)**

2016-2017 Officers:

P	Fitzgerald, Dave – President	P	King, Carrie - Chair, UAB
P	Chamard, Sharon - 1st Vice President	P	Paris, Anthony - Chair, GAB
P	Downing, Scott - 2nd Vice President	P	Smith, Tara - Past President

2016-2017 Senators

T	Bannan, Deborah	P	Hicks, Nathaniel	P	Orley, Soren
P	Bartels, Jonathan	A	Hinterberger, Tim	T	Partridge, Brian
P	Bennett, Brian	P	Hoanca, Bogdan	P	Pence, Sandra
P	Bhattacharyya, Nalinaksha	A	Hollingsworth, Jeffrey	P	Piccard, LuAnn
P	Boeckmann, Robert	T	Horn, Steve	T	Schreiter, Mark
E	Bowie, David	P	Ippolito, Mari	P	Shamburger, Carri
P	Bridges, Anne	E	Karahan, Gokhan	P	Sieja, Gwen
E	Brown, Barbara	E	Kelley, Colleen	P	Smith, Cheryl
P	Cook, Sam	P	Kirk, Sarah	A	Strobach, Cynthia
P	Dutta, Utpal	A	Kopacz, Eva	T	Stuive, Christina
E	Flanders Crosby, Jill	P	Kuden, Jodee	P	Thiru, Sam
P	Folias, Stefanos	T	Laube, Jeffrey	P	Trotter, Clayton
P	Fortson, Ryan	P	McCoy, Robert	P	Venema, Rieken
P	Foster, Larry	E	Metzger, Colleen	P	Wang, Steve
P	Garcia, Gabe	E	Nabors, Forrest	P	Ward, Jervette
T	Graham, Rachel	T	Ohle, Kathryn	E	Widdicombe, Toby
P	Harville, Barbara				

III. **Agenda Approval (pg. 1-4)**
Motion to amend agenda and add President Johnsen's memo regarding UA College of Education
Unanimously Approved with Amendment

IV. **Meeting Summary Approval (pg. 5-8)**
Unanimously Approved

V. **Officer's Reports**
A. President's Report (pg.9)
    i.   Title IX Haven Training (pg. 10-11)
    ii. Mid-term grade reporting memo (pg.12)
    iii. Student non-attendance memo (pg. 13)

B. First Vice President's Report

C. Second Vice President's Report

D. Past President's Report (pg. 14-23)

VI. Old Business
A. Faculty Handbook, Ch. IV: Research Travel Grants Revisions (pg. 24-35)

Motion to approve
Unanimously approved
Motion passes

VII. Consent Agenda
A. Faculty Senate Committee Assignments
   i. GERC: Toby Long, CAS Natural Sciences
   ii. UFEC: Steve Wang, Associate Professor (Tripartite)

B. Graduate Curriculum
   i. Courses

Chg	BA A617 Technology Management
Add	DN A601 Professional Practice in Dietetics and Nutrition
Add	DN A612 Advanced Nutrition Counseling
Add	DN A615 Public Health Nutrition
Add	DN A630 Applied Research in Nutrition and Dietetics
Add	DN A641 Clinical Nutrition Assessment and Intervention
Add	DN A642 Advanced Clinical Nutrition
Add	DN A650 Dietetics Organizational Leadership and Management
Add	DN A698 Dietetics Nutrition Graduate Project
Add	DN A699 Dietetics Nutrition Graduate Thesis
Chg	ESM A617 Technology Management
Add	PM A630 Systems Engineering Fundamentals

   ii. Programs

Add	Master of Science, Dietetics and Nutrition
Del	Graduate Certificate, Coastal, Ocean, and Port Engineering
Del	Graduate Certificate, Earthquake Engineering
Del	Graduate Certificate, Clinical Social Work Practice
Del	Graduate Certificate, Social Work Management

   iii. Disapproval to Delete Graduate Certificate in Marriage and Family Therapy (pg. 36-37)
   Motion: The Graduate Academic Board has reviewed the request for deletion for the Graduate Certificate in Marriage and Family Therapy and we recommend that the program be suspended rather than deleted.

C. Undergraduate Curriculum
   i. Courses (pg. 38)
   ii. Programs

Add	AAS, Surgical Technology
Chg	Bachelor of Arts, Enligh
Chg	Bachelor of Science, Electrical Engineering
Chg	Minor, Creative Writing
Del	Minor, Gerontology

    D. GAB & UAB Cross-Listed Courses Memo (pg. 39)
Motion to approve consent agenda
Unanimously approved
Motion passes

VIII. Boards and Committees Reports
    A. Graduate Academic Board

    B. Undergraduate Academic Board

    C. General Education Review Committee (pg. 40)

    D. University-wide Faculty Evaluation Committee

    E. Academic Assessment Committee (pg. 41)

    F. Academic Computing, Distance Learning and Instructional Technology and e-Learning (pg.42-45)

    G. Budget, Planning, and Facilities Advisory Committee (pg. 46)

    H. Diversity Committee

    I. Faculty Grants and Leaves Committee

    J. Institutional and Unit Leadership Review Committee (pg. 47)

    K. Library Advisory Committee

    L. Student Academic Support and Success Committee

    M. Community Campus Committee (pg. 48)

    N. Academic Honesty and Integrity Committee

    O. Research and Creative Activity Committee (pg. 49)

    P. Joint Ad Hoc Committee on Mentoring Institute Proposal

    Q. Joint Ad Hoc Committee on UFEC Criteria for Administrative Faculty

    R. Joint Ad Hoc Committee on Student Evaluation

    S. Joint Ad Hoc Committee on Term Faculty Promotion
        i. LuAnn Piccard to give verbal report [30mins ish]

    T. Joint Ad Hoc Committee on Internationalization (pg. 50)

IX. New Business

    A. UAA Faculty Senate Resolution on Strategic Pathways (pg. 51-52)

        Amendments to Strategic Pathways Motion:
        The University of Alaska Statewide Offices complete and publish <u>a financial</u> cost benefit analysis of Strategic Pathways options being considered; and

        <u>The University of Alaska Statewide Offices complete and publish, in addition to cost benefit analyses, further analyses focusing on non-financial aspects and a risk assessment of Strategic Pathways options being considered;</u>

        Motion to approve with amendments
        Unanimously approved
        Motion passes

    B. UAA Faculty Senate Response to President Johnsen's Recommendation to Consolidate College of Education

        MOTION: The UAA Faculty Senate disputes the arguments advanced by President Johnsen to the Board of Regents on the consolidation of the Colleges and School of Education to one college administered by UAF. The UAA Faculty Senate urges the Board of Regents to reject this recommendation also because of its unknown impact on accreditation, inadequate faculty involvement in the decision-making process, and failure to follow established due process procedures. Moreover, the UAA Faculty Senate has concerns about the possible negative effects on our mission resulting from implementation of the recommendation in the proposed time frame.
        Motion to approve.
        Unanimously approved
        Motion passes

    Additional Agenda Items:

X. Administrative Reports

    A. Chancellor, Tom Case

    B. Provost of Academic Affairs, Sam Gingerich

    C. Interim Vice Chancellor of Administrative Services, Pat Shier

    D. Vice Chancellor of Advancement, Megan Olson (pg. 53-55)

    E. Vice Chancellor of Student Affairs, Bruce Schultz (pg. 56-59)

    F. Vice Provost for Academic Affairs, Susan Kalina

G. Interim CIO, Adam Paulick (pg. 60-61)

H. Union Representatives
  i. UAFT
 ii. United Academics

I. Office of Institutional Effectiveness, Engagement and Academic Support (pg. 62-65)

J. Interim Associate Vice Chancellor for Alaska Natives and Diversity, Jeane Breinig (pg. 66)

XI. Informational Items & Adjournment
  A. Report from the Community Engagement Council (pg. 67-70)

Report of the President   **December 2016**

Events that have transpired since the November Faculty Senate meeting include:

- Ongoing meetings with Chancellor Case, Provost Gingerich, and Interim Vice Chancellor Pat Shier
- Attendance at Academic Council, University Assembly, PBAC, and Student Union meetings (unable to attend Deans and Directors meetings due to teaching schedule)
- Review of Google (AAR) After Activity Report (attached)
- Review of UAA ITS email survey
- Participating as member of the Student Affairs Team of Strategic Pathways Phase 2 http://www.alaska.edu/pathways/
- Continued discussions regarding Haven training.
- Title IX - to be topic of Faculty Senate Forum, scheduled for 10:00 a.m. to noon on Friday, January 20.
- Reviewing Priority registration dates

Board of Regents

See the Faculty Alliance report for his year's BOR scheduled meeting dates. Also, note the new procedures for open forums. http://www.alaska.edu/bor/

Note: Special meeting scheduled for December 14 to discussed previously tabled College of Education Strategic Pathways proposal.

Faculty Alliance

The Faculty Alliance meets on the second and fourth Fridays of each month from 2:30 to 4:30 p.m. via Google Hangouts. Visit http://www.alaska.edu/governance/faculty-alliance/ for additional information.

Faculty Senate Executive Board

Your 'Eboard' meets every Thursday from 11:30 a.m. to 1:30 p.m. to discuss issues relevant to faculty. We welcome guests to discuss matters of particular importance to them. Please contact me, or any other board member to schedule your participation.

Dave Fitzgerald
dafitzgerald.alaska.edu
RH 207; 786-4482

Academic Assessment Committee November Report to UAA Faculty Senate

Committee Membership
Scott Downing - KPC, Cynthia Falcone - KOD, Holly Bell - MSC, Deborah Mole - LIB, Bill Myers - CAS, Christina McDowell - CBPP, Jennifer McFerran Brock - CoEng, Rachel Graham - Faculty Senate, Jeffrey Hollingsworth - Faculty Senate, Thomas Harman – CTC, Kathi Trawver – COH (co-chair), Brian Bennett - Faculty Senate (co-chair), Susan Kalina (Ex-officio) - OAA

Guest(s) and Public Attendee(s)

Committee discussion(s)

The committee had no assessment plans submitted for review and did not formally meet.

Motions

Informational Items

Programs whose assessment plans were reviewed during the period

Submitted by: Brian Bennett   Date: 27 November, 2016

ACDLITe Report to the Faculty Senate

December 2016

ACDLITe Meeting:

November 11, 2016   9:00 – 11:00 a.m.

Present: Lynn Paterna, Jo Ann Bartley, Getu Hailu, Barbara Harville, Veronica Howard, Ed McLain, Lorelei Sterling, and Dave Fitzgerald

Dave Dannenburg AI&E updates
Update on SIBL Blackboard
- October 31 all shells for spring 2017 were opened for faculty
- It will be populated with student enrollment as soon as registration is over
- Configuration - current Blackboard archives will remain the same for now
- Spring 2018 the old Blackboard will be shut down
- Some problems with Atomic Learning
- Collaborative learning is being worked on to move previous files of collaborative recordings. Collaborative Ultra is turned off
- Biggest concern is when everyone hits the server in January. Not sure if the server can handle the large numbers.
- Non-academic development shells will be moved before this calendar year
- If you want to request an old Blackboard shell to build course and then export/import into the new Blackboard in case the new crashes we will not have to rebuild our shells.
- Dave Dannenburg is more optimistic and hopeful that things will go well

Faculty Senate - DFW rate (students with D, B, or withdraw) Concerns of faculty and students in the quality of the course. This may have problems with faculty evaluations from students. Barbara and Dave will mention this to Faculty Senate.

AI & E will be hiring another designer to provide additional help.
E-mail updates just started working on list of migration of old e-mails. Ask Adam for clarity of this. Faculty have been told

Keith Berggren On-Line Proctoring
- Set up testing centers or come into UAA testing center
- 9100 exams were administered in UAA this year
- They distribute tests to testing sights
- As an alternative for the growing numbers of students needing proctoring and give choice to students. Created an on-line proctoring committee that reviewed assessments. Looked for software that is secured. It is integrated into Blackboard. The Software Secure has audio, video, and screen capture together. The faculty members will pick what resources they can use. The software will not allow them to open what is

not approved. Will close down other web browsers if that is on the profile the faculty made up. Technical help from Software Secure will monitor and report any problems. It is preferred to have an external camera. There will be a room scan, picture ID, must be in an isolated room with no TVs etc. Desk not facing a window. It is recorded, and if there is a violation, it can be given to take disciplinary action. Faculty member reviews it and makes the decision of what to do.   Can report student to the Dean of Students

- The testing staff will help faculty set this up with best practices.
- Students can check out web cameras from the UAA library.
- Students may not have a lot of bandwidth students will download do test then upload back.
- Testing center is in Gordon Hartlieig Hall and Keith Berggren is in the Library with AI&E

Slack.com discussed. Questions for Adam Paulick: What do we have within our system that is similar with Slack.com?

E-learning Luncheon
- Dave has money for luncheon, but not for door prizes.
- Luncheon will be February February 17, 2017 from 11:30 to 1:00 pm at Lucy's
- The committee members signed up for activities for the luncheon
- Discussed having Adam Paulick talk about changes in IT, Keith Berggren about Software Secure, and Veronica Howard about Open Educational Resources

Next Meeting December 9, 2016 from 9-11 am in SSB 120B IT Conference Room

Faculty Senate Diversity Committee
3211 Providence Drive, Anchorage Alaska 99508
Drs. Gabe Garcia & Jervette R. Ward, Co-Chairs

Friday, November 18, 2016
3:00pm to 4:30pm
ADM 102

Minutes

P	Gabe Garcia Health Sciences, **Co-Chair**	P	Toby Widdicombe English	E	Virginia Miller Health Sciences
P	Jervette R. Ward English, **Co-Chair**	E	Maria Williams Alaska Native Studies	E	Beth Leonard Alaska Native Studies
P	Erin Hicks Astronomy, **Co-Chair Elect**	P	Nelta Edwards Sociology	E	Herminia Din Arts
P	Christie Ericson Library	P	Casey Rudkin English		
P	Wei-Ying Hsiao Education	P	Amber Christensen Fullmer Human Services		
P	Song Ho Ha History	P	Heather Adams English		
P	Robert Boeckmann Psychology	P	Emily Madsen English		

I.   Roll call and Welcome

Meeting was called to order at 3 pm.

II.   Approval of Agenda

Agenda was approved by the body with one minor change. Since Vice Provost Breinig was not present, her update was replaced by a discussion on the topic of supporting Women's Studies led by Nelta Edwards and a reminder by Jervette Ward that we would continue to support the Vice Provost's Spring plan to work on Standardized Practices for Search Committees to Create Diverse Faculty Hiring Pools.

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UAA UNIVERSITY *of* ALASKA ANCHORAGE

Faculty Senate Diversity Committee
3211 Providence Drive, Anchorage Alaska 99508
Drs. Gabe Garcia & Jervette R. Ward, Co-Chairs

III.   FSDC Co-Chairs Statement on UAA's Commitment to Diversity & Inclusion

FSDC Co-Chairs mentioned that they disseminated their letter to faculty and administration in response to the election results regarding their commitment to diversity and inclusion. The body expressed support to the letter.

Nelta Edwards made a motion to have the Faculty Senate make a similar commitment as the co-chairs expressed. Several members seconded. The issue was discussed. Motion passed unanimously. See Attached Document and Motion to the Faculty Senate.

IV.   Fall 2016 Diversity Dialogue Summary & Debrief

The body briefly discussed the Diversity Dialogue this fall semester 2016. The Dialogue was about addressing racial tensions in the classroom. The panel for the Dialogue, included Nelta Edwards (Sociology), Ian Hartman (History), Joy Mapaye (Journalism & Communication), and James Rudkin (English).

V.   Gokhan Karahan's Faculty Senate Motion on Internationalization

Gokhan Karahan, former FSDC member, made a motion in the Faculty Senate last September regarding the creation of an Ad Hoc Committee on Internationalization. The motion passed in the Senate. Gokhan was invited to FSDC meeting to discuss his plans as the chair of the ad hoc committee. Since Gokhan was not present in the meeting, FSDC co-chairs will follow-up with him at a later time.

VI.   Updates from Mentoring Faculty Senate Ad Hoc Committee

Toby Widdicombe updated the body regarding the Faculty Senate's Faculty Mentoring Ad Hoc Committee. He mentioned that the committee is currently on a holding pattern, as they await for more faculty to sign up to be part of the committee and for administrative approval.

VII.   FSDC Website/Visibility/Database

Gabe Garcia asked the body to think about what they want to see on the FSDC website and to send them their ideas. One item that will be included in the website is a list of faculty members who teach a class and/or are involved in research, creative activity, and service related to diversity.

Gabe Garcia plans to send another faculty survey to update FSDC's list of faculty who are involved in teaching classes, research, creative activity, and service related to diversity this academic year. Robert Boeckmann suggested that the survey should also ask information whether the faculty is term, adjunct, tenure-track, or tenured.

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VIII.   Recruiting new FSDC members

Email went out to the faculty email listserv last week from FSDC co-chairs, recruiting new members in FSDC (see attached document). A few new members signed up, attending this current meeting.

Heather Adams made a suggestion to create a flier/handout that lists FSDC mission, goals, and initiatives. This handout can be disseminated widely to potential members, especially during faculty orientation.

Nelta Edwards made a suggestion to send another recruitment email sometime in March when faculty are deciding their workload for the next academic year.

IX.   Planning for Spring 2017 Diversity Dialogue

The potential topics for the Spring 2017 Diversity Dialogue were discussed. Various topics were suggested, including follow-up/response to election. There is also discussion on having this Dialogue open to not just faculty, but students, staff, and community members as well.

The body decided to have the Spring Diversity Dialogue on Friday, January 20, 2017.

X.   Women's and Gender Studies

Given the importance of Title IX and Diversity and Inclusion at UAA, Nelta Edwards asked the body to support efforts to have a direct faculty line to be created for a full-time, tenure-track Director for Women, Gender, and Sexuality Studies at UAA.

Nelta Edwards made a motion for FSDC to bring up a motion to the Faculty Senate to make a recommendation to the Chancellor to create a direct faculty line to be created for a full-time, tenure-track Director for Women, Gender, and Sexuality Studies at UAA. Several members seconded the motion. The issue was discussed further. The motion passed unanimously. See attached for the motion to the Faculty Senate.

XI.   Updates from Diversity Action & Inclusion Plan (DAIP)

DAIP co-chair, Robert Boeckmann, provided updates about DAIP. He mentioned that DAIP has one more student focus group happening next Monday and an open forum happening on Tuesday. He also mentioned the various subcommittees working on the DAIP. Two of the subcommittees will be hosted by FSDC: Multicultural Postdoc Subcommittee and Diversity Curriculum Subcommittee.

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Gabe Garcia expressed the concern that DAIP is not part of the conceptual framework of the UAA 2020 Strategic Plan. Robert Boeckmann made a motion for FSDC to make a Faculty Senate motion to support the inclusion of diversity as a core value in the UAA 2020 Strategic Plan and future plans. The motion was seconded by several members. The motion was discussed. The motion passed unanimously (see attached document for the Faculty Senate motion).

XII.   Break out into DAIP Subcommittees:

Two DAIP subcommittees will be hosted by FSDC: Multicultural Postdoc Subcommittee and Diversifying Curriculum Subcommittee. There was no time to break up into groups, so the FSDC co-chairs asked the body to think about what subcommittee they would like to be a part of, and if anyone is interested in leading them.

XIII.   Announcements

Jervette Ward announced that Dr. Ibram X. Kendi, a National Book Award Winner for Nonfiction, will be speaking on campus December 2. More information coming soon.

UAA UNIVERSITY *of* ALASKA ANCHORAGE

Faculty Senate Diversity Committee
3211 Providence Drive, Anchorage Alaska 99508
Drs. Gabe Garcia & Jervette R. Ward, Co-Chairs

Faculty Senate Diversity Committee Motions:

Faculty Senate Diversity Committee Motion
Motion to Endorse FSDC Co-Chairs Election Response to Reaffirm UAA's Commitment to Diversity and Inclusion

The Faculty Senate endorses the FSDC Co-Chairs Election Response to Reaffirm UAA's Commitment to Diversity and Inclusion.

Rationale
The Statement is attached.

Faculty Senate Diversity Committee Motion
Motion to Include Diversity as a Core Value in the UAA 2020 Initiative

The Faculty Senate respectfully makes the motion that that Diversity be included among the Core Values of the UAA 2020 initiative and be thoroughly integrated into the planning for UAA's future.

Rationale
The University of Alaska Anchorage Mission Statement explicitly commits our institution to the goal of serving the diverse people of our community and creating a rich, diverse, and inclusive environment. In addition, Anchorage and outlying areas represent one of the most diverse zip codes in the United States and this diversity represents the present and future demographics of our student body and employees. Past initiatives approved by the UA Board of Regents, including Shaping Alaska's Future and the University of Alaska System Academic Master Plan, affirm the University of Alaska's commitment to diversity and inclusion.

Faculty Senate Diversity Committee Motion
Motion to Support Women's and Gender Studies

The UAA Faculty Senate respectfully makes the motion that Chancellor Case direct a faculty line to be created and a search committee to be formed by January 2017 for a full-time tenure-track Director of Women, Gender, and Sexuality Studies at UAA.

Rationale
As the largest institution of higher learning in the State of Alaska, UAA has a responsibility to engage in the educational pursuits that support the undoing of the sexism, racism and homophobia that are our historical legacy by providing an academic environment that welcomes differing views while not asking oppressed, marginalized, and abused people to support their own oppression or to band with the oppressor.

The state of Alaska regularly ranks number one in rates of sexual violence, and UAA has an unwavering commitment to Title IX. UAA has a diversity and inclusion mission that aims to create an inclusive, respectful campus community that promotes and embraces our individual differences, whether it be our ideas, religion, gender, ethnicity, race, sexual orientation, gender identity, disability, age, and socioeconomic status.

UNIVERSITY *of* ALASKA ANCHORAGE

Faculty Senate Diversity Committee
3211 Providence Drive, Anchorage Alaska 99508
Drs. Gabe Garcia & Jervette R. Ward, Co-Chairs

To: University of Alaska Anchorage Faculty

From: Faculty Senate Diversity Committee Co-Chairs

Date: Friday, November 11, 2016

Subject: Reaffirm UAA's Commitment to Diversity and Inclusion

The result of the election has changed the political landscape of our country. But, our diversity and inclusion mission remains the same—to create an inclusive, respectful campus community that promotes and embraces our individual differences, whether it be our ideas, religion, gender, ethnicity, race, sexual orientation, gender identify, disability, age, and socioeconomic status.

Now, more than ever, we have the responsibility to protect our campus community regarding the hatred that is rampant in our society that has become even more manifested in this election process. We must address the hate and state that we will not stand for racism, discrimination, or bigotry. There has been much said in the media and various other outlets about the necessity of banding together, yet we would highly caution us against making insensitive statements that ask oppressed, marginalized, and abused people to support their own oppression or to band with the oppressor. If we are going to claim to be a diverse and inclusive environment of higher learning, then we must live that claim in action. We can and will work together while rejecting injustice and inequality.

We must remind our students, fellow faculty, and staff that we aim to create safe spaces for reflection, learning, lamenting, and progression. The rhetoric that has been used during and after the election has been psychologically distressing. Thus, it is important that we remind our campus community of some of the various resources and services available to them:

· Student Health & Counseling Center
· Students in Crisis or Conflict Brochure
· Words Hurt Brochure
· Multicultural Center
· Diversity on Campus

One of the core values of our university is diversity. As co-chairs of the Faculty Senate Diversity Committee, we invite you to join our efforts to protect and to live by the values that we hold as an institution.

Sincerely,

Dr. Jervette R. Ward & Dr. Gabe Garcia
Faculty Senate Diversity Committee Co-Chairs
To: University of Alaska Anchorage Faculty

UAA UNIVERSITY of ALASKA ANCHORAGE

Faculty Senate Diversity Committee
3211 Providence Drive, Anchorage Alaska 99508
Drs. Gabe Garcia & Jervette R. Ward, Co-Chairs

From: Faculty Senate Diversity Committee Co-Chairs

Date: Tuesday, November 15, 2016

Subject: Vacancies on FSDC — Join Today

The mission of the Faculty Senate Diversity Committee (FSDC) is to support the initiatives of all faculty members across the University of Alaska Anchorage campuses in promoting diverse and inclusive educational experiences.

There are several vacancies on the FSDC, and FSDC membership is open to any faculty member. The FSDC meets on the third Friday of every month (during the academic year).

We invite any faculty member who wishes to join the FSDC to participate in our regular meeting this Friday, November 18, 2016 in ADM Room 102, 3:00pm-4:30pm.

According to Article II, subsection c (4) of the Faculty Senate Constitution, one of the the responsibilities of the FSDC is to initiate and to review all policies affecting diversity in faculty and student populations, including community outreach.

We welcome your voice, and we hope that you will join us in working to make UAA a diverse, inclusive, and welcoming academic institution.

Sincerely,

Dr. Jervette R. Ward & Dr. Gabe Garcia
Faculty Senate Diversity Committee Co-Chairs

November 23, 2016

To: UAA Faculty Senate

From: Rieken Venema

Re: Report from the Faculty Grants and Leaves Committee

The Faculty Grants and Leaves Committee met on September 23 for its initial meeting. At that meeting, the committee elected this year's chair, discussed the committee process for grants and leaves, and discussed pending revisions to Grant policies to be reviewed by the Senate.

On November 4, the committee met to review the rankings of the Faculty Development Grants and Category 2 Research Travel Grants. There were 12 Faculty Development Grant applications, and 5 Category 2 Research Travel Grant applications received. Rankings and recommendations were conveyed to the Provost by the committee chair.

Faculty Development Grant applications received for this round:

Abdihodzic	Armin	CAS
Bibler	Andrew	CBPP
Edwards	Nelta	CAS
Emmerichs	Sharon	CAS
Harvey	Hattie	COE
Hicks	Erin	CAS
Hicks	Nathaniel	CAS
Hodges Snyder	Elizabeth	COH
Machado	Mychal	CAS
Sasse/Hu	Grant/Hsing-Wen	COE
Shea	Erin	CAS
Taylor	Audrey	CAS

Category 2 Research Travel Grant applications received for this round:

Flanders Crosby	Jill	CAS
Harrod	Ryan	CAS
Hicks	Erin	CAS
Hicks	Nathaniel	CAS
Kilic	Zeynep	CAS

The committee will be meeting on December 2 to review the sabbatical applications.

STUDENT ACADEMIC SUPPORT AND SUCCESS (SASS) COMMITTEE

REPORT FOR NOVEMBER 2016 TO UAA FACULTY SENATE

<u>Membership</u>

The members of the 2016-2017 SASS Committee are Connie Fuess, Keith Hackett, Trish Jenkins, Kamal Narang, Irasema Ortega, Galina Peck, Karl Pfeiffer (Co-chair), Sara Rufner, Christina Stuive (Co-chair) and Ruth Terry. The third meeting of the 2016-2017 academic year was held 11/18/16.

<u>2016 – 2017 SASS Committee Goals</u>

1. Explore intervention strategies for at-risk students. Status: ongoing. Continue for the coming year as regular agenda item for discussion and review. Reports to Faculty Senate as requested.

2. Continue review of latest requirements for AA degrees. Status: ongoing. Continue for the coming year. Reports to Faculty Senate as requested.

3. Review latest Anchorage School District/State of Alaska standards for high school graduations in relationship to being "college ready." Status: ongoing. SASS would like to invite an ASD representative to serve on the committee. Potential ASD committee members will be invited to the SASS meeting on 1/20/17.

4. Continue promoting committee participation to include students, parents of students, and alumni. Status: ongoing. The first SASS Student Forum was hosted by SASS during the March 20, 2015 meeting. It was successful and was done again this year during the March 25, 2016 meeting. It will be tentatively scheduled again during the coming academic year for March 24, 2017.

5. Review process of supporting students enrolled in discontinued programs. Status: ongoing.

6. Advocate for transparency and predictability in course sequencing. Status: ongoing.

7. Advocate for the development of more effective, "student friendly" self-advising tools. Status: ongoing.

8. Explore system fixes for problems in student services and particularly advising: incorrect information, extensive wait times "on hold," confusing and time consuming voice mail menus, etc. Status: ongoing.

9. Review current rules and processes related to financial aid that effect advising, program sequencing, grading, etc. Status: new/ongoing.

<u>Co-chair Summary:</u> The SASS Committee met for the third time of the 2016-2017 academic year on November 18, 2016. Membership continues to be an issue. Potential ASD committee members have been invited to the next SASS meetings on January 20, 2017 (See Goal #3 above.) The Senate President, Dave F requested that SASS review the Provost's recent memos regarding midterm grades and withdrawal of non-attending students. This was done during the November meeting. (Minutes are attached.) SASS does not meet during December.

Student Academic Support and Success (SASS)
Friday, November 18, 2016
ADM 101A, 2:30-4:00 PM
Meeting Minutes

Present: Trish Jenkins, Kamal Narang, Irasema Ortega, Galina Peck, Karl Pfeiffer (Co-chair), Sara Rufner, and Ruth Terry. Excused: Connie Fuess and Christina Stuive (Co-chair).

I.   Old Business
   a.   Reviewed and approved minutes from 10/21/16 SASS meeting.

II.   New Business
   a.   Faculty Senate Report – Chris: postponed.
   b.   Review Provost's memos re: Midterm grades and withdrawing students. – Karl: The committee generally saw value in midterm grade reporting. Potential concerns were raised about communicating midterm progress through UAOnline. The concern was that particular medium might be perceived by students as a threat to withdraw from classes and that BlackBoard or personal communication from the instructor might be less discouraging. Also, the timing for midterm grades preceded some instructors' midterm exams. Committee members thought it would be valuable to know how instructors currently communicate student progress and provide feedback beyond final grades. An additional concern was raised regarding the process as it would apply to extended site programs. Connie provided written input on this issue, as well as on the following topic.

   With regard to withdrawing non-attending students or referring them to MapWorks, the committee feedback was mixed. Some support faculty-initiated withdrawals, regardless of liability issues or implications for financial aid. Some prefer referring to MapWorks. It was suggested that the MapWorks user interface could be more user friendly, and that links should be available at the UAA Faculty Portal, UAOnline, and BlackBoard

   c.   SASS member from the ASD – Trish: Martina Henke was unable to attend. She will be invited to the January 20, 2017 meeting.
   d.   Retention and Completion Committee – Karl: Karl and Chris both participated in this committee's 11/10/16 meeting.

III. Strategies for at-risk students.
   a.   Ira reported on the Nov. 3, 2016 CCEL conference regarding rural AK students. A particular emphasis was on GER courses.

IV.   Open Agenda
   a.   Sara raised the issue of students with G.I. Bill tuition support having to personally pay late registration fees due to late payments from the VA. Karl will follow-up with the Registrar.
   b.   Kamal announced a new MATH course, MATH 115 – Art of Math. The course was designed specifically for students who expect to take only one course in Mathematics, and who may not benefit from sequenced courses designed for math, science, engineering majors, and other disciplines requiring more extensive training in mathematics.

V.   Adjourn: 4:00 PM

Community Campuses Committee

Report to Faculty Senate

December 2, 2016

Community Campuses Committee members:

Scott Downing (KPC), Rachel Graham (Mat-Su), Brian Partridge (KPC), Larry Foster (UAA), Mark Schreiter (KoC), Jeff Laube (KPC)

The Community Campuses Committee (CCC) met on November 4[h] and discussed issues of common concern to extended campuses. Of particular concern is the need to improve communication among each campus' Faculty Forum via CCC, as well as with Faculty Senate. Our next meeting is scheduled for 1:30 on December 2nd.

Faculty Senate Research and Creative Activity Committee
December 2016 Report to the Faculty Senate

The Faculty Senate Research and Creative Activity Committee met on November 11. Present were: Travis Hedwig, Robert Boeckmann, Ray Ball, Jonathan Bartels, Jill Flanders-Crosby, Nate Hicks, Ajit Dayanandan, Seong Dae Kim, David Ampong, and Diane Hirshberg.

The committee discussed action to be taken on its goals for acting as the voice of the faculty for research & creative activity, as well as making research & creative activity visible at the University. The discussion was in the particular context of the recent UAA self-study open forum on research, creative activity, and scholarship, as well as the ongoing discussion of UAA's fulfillment of these core theme tasks as the university system undergoes the Strategic Pathways process. Three focal areas for committee action were identified:

Areas to focus on immediately in making UAA research and creative activity visible:
1) A survey of all UAA faculty will be conducted within the coming weeks, in order to attempt to capture as broadly and quantitatively as possible the research, creative activity, and other scholarly work product of our university. This information will be immediately used to better inform the conversation about UAA's demonstrated productivity and merit in these areas.

2) A periodic dissemination of UAA research, creative activity, and other scholarly activity will be explored, such as an electronic newsletter occurring each semester. This will allow UAA faculty to publicly present (and update) their high impact scholarship to the broader UAA community and all other interested groups.

3) The possibility of holding a UAA faculty research and creative activity symposium co-located with the UAA Arctic Research Day will be explored.

The next meeting is scheduled for Tuesday 11/29, 4:00 pm, in CPISB 105A.

Motion: The UAA Faculty Senate endorses the development of an interactive student feedback tool that will promote productive conversations among students and faculty on courses. We support development of a tool that will increase student response rates and facilitate student advising, which could eventually replace the IDEA.

The committee and administration need to know if faculty are willing to switch to this type of system before spending time developing specific questions and spending time and money on software implementation.

Major differences between IDEA or SDIS and this proposal are the following. The questions are largely commentary on syllabus information (see below). The proposed implementation is not an end of semester survey but rather a survey open all semester for students to respond and enter comments. Providing students with a more reliable source of information for choosing specific courses or sections will be a significant part of the purpose in addition to the current use by faculty to document teaching effectiveness. Access to the results would be greater.

The committee recommends the results be stored in an online, searchable database. Additionally students will be able to up vote comments. Faculty will be able to respond to comments with information about changes made in response to feedback.

a. Information desired by students

    i. Syllabus information with student perspective on each

        1. Pedagogy

            a. Lecture

            b. Laboratory work

            c. Field work

            d. Working problems

            e. Structured activity (POGIL/IBL/discovery)

            f. death by PowerPoint

            g. white boards

            h. notes provided before/after

            i. Groups (in/out of class)

            j. Online/in person/combi

        2. Course Matches Descriptions (catalog, syllabus)

            a. Balance between theory & practice

            b. Matches the level of course

            c. Labs/recitations/etc match course

3. Required materials

   a. Textbooks: cost, where to buy, required/optional, which are actually used, old editions okay, alternate editions (packs), how readable, solutions manuals (required/recommended/useful)

   b. Online homework

   c. Other (cost, which are actually used): lab fees, calculators, lab equipment

   d. Are materials provided or must students find themselves

4. Participation style

   a. lecture only

   b. occasional questions/interactions in class

   c. group work in/out of class, how is group work graded

5. Attendance expectations

   a. What is policy?

   b. Is it upheld?

   c. How are necessary absences handled?

6. Additional assistance

   a. Office hour

      i. Useful/not so much

      ii. How easily accessible (number of slots, alternate times, distance)

   b. responsiveness to email/other communication

   c. Tutoring labs

   d. What students found for themselves (online materials, free/subscription, quality), reference materials

7. How to succeed

   a. What study techniques helped you succeed?

   b. Which assignments helped you understand? (duplicated below)

   c. What was needed to be prepared?

8. Time required (class time, assignments, studying, where you have to be)

9. Frequency of retaking (fail repeat)

10. Assignments: types (online), difficulty, percent of grade, grading type (e.g., right/wrong, partial), feedback mechanism, ability to improve

11. Feedback: types, frequency, timeliness, usefulness, who grades (faculty/grader which grader, do graders respond the same)

ii. Correlation between performance in this section & performance in following courses

b. Information desired by faculty

   i. Objectives/effectiveness

      1. Did you know the objectives?

         a. Was there a difference between your expectations and what happened?

      2. Did you understand the objectives (listed in syllabus, asked for each objective)?

      3. Did you recognize the connection between assignments and objectives? (asked for each objective)

      4. Were directions for assignments clear? (duplicated above)

      5. Did you see the connection between topics (flow of course)?

      6. Do you know more now than before?

   ii. Interactions

      1. Managing discussions so all can participate and feel comfortable doing so

      2. Students feel comfortable asking questions in and outside class

      3. Students feel comfortable being wrong in class

   iii. Course specific

      1. Improved writing

      2. Improved critical thinking

      3. Which assignments/activities worked and didn't

   iv. How are faculty perceived

      1. helpful, approachable, scary, funny, rude, actively reach out/passive, culture issues, demeaning (faculty need explanation of why), interacts in class or is non-responsive

      2. Prepared, organized, flexible, knowledgeable

   v. Feedback requirements

      1. Detailed comments

      2. Sufficient responses

3. Timely

From: LuAnn Piccard   Date: 11/28/16

To: Faculty Senate   Subject: Non-tenure Track Faculty Promotion Ad Hoc
                                                        Committee

The committee respectfully submits the following status report:

1. The committee has convened two meetings (10/28, 11/11). A brief status report was provided verbally at the 11/4 UAA Faculty Senate meeting.
2. There will be another meeting on Friday 12/2 in EIB 215 from 12:00-1:00pm.
3. We have agreed to meet every two weeks and join remote members via live video.
4. The committee is composed of non-tenure track faculty members from UAA (main and community campus members from Mat-Su and KPC) and UAF. The UAA members include faculty from the College of Engineering, CBPP, CAS, Library, and community campuses. We cordially invite non-tenure track and tenured/tenure track faculty to participate in this important dialog.
5. Please contact LuAnn Piccard at 786-1917 or lpiccard2@alaska.edu if you are interested in participating.

Foundational principles:

1.   Our non-tenure track faculty are a critically important part of our faculty community and deserve the opportunity to be recognized for their contributions and have promotional opportunities.
2. All designations of non-tenure track faculty should be eligible for promotion.
    - The current CBA (Article 9.2.7) describes certain non-tenure track faculty designations eligible for promotion. These classifications do not include the range of non-tenure track designations that exist at UAA, UAF and UAS. The designations currently included in article 9.2.7 are: Research or Clinical Faculty or Cooperative Extension Faculty. These represent of some faculty positons at UAF and UAA but do not broadly describe all non-tenure track faculty positions at UAA, UAF and UAS.
3. Clear, documented processes and evaluation criteria should exist at the MAU and college/department levels (as appropriate).
    - The current CBA (Article 9.2.7) indicates that a promotion process for these positions should be followed. However, currently there is no clear, documented process nor evaluation guidelines to follow at each MAU (e.g. FEPP at UAA and Blue Book at UAF) nor within each college/department as appropriate.
4. To the extent possible, we should strive for consistency between MAUs and simplicity in the implementation of the processes and guidelines by leveraging existing best practices, processes, and evaluation guidelines for tenure-track/tenured faculty promotion.
5. We believe that leadership from both faculty and administration support the development and documentation of processes that can be described broadly at the MAU level and tailored appropriately at the college/department level.

Approach/Next Steps:

Reach out to CBA negotiating team to request amendment of existing language to include "non-tenure track faculty" in section 9.2.7. This may not be possible. Regardless, we will work in parallel to accomplish the following:

- Review existing UAA FEPPs and UAF Blue Book to identify points of leverage. The UAF Blue Book revisions on this topic is under review. It is quite advanced and comprehensive. It may provide a strong basis for our collective work. We will also review best practices at other institutions to be more fully informed.
- Address issues concerning peer-evaluation committees at the department, college, university level for smaller non-tenure track population.
- Share ideas and concepts with faculty and administration to get feedback and input and identify any issues to address.
- Propose language to describe/amend existing processes, develop clearer, develop guidelines to accommodate non-tenure track faculty, and prepare documentation.

Goal: Proposed language for UAA FEPPs by end of AY 17.

Ad Hoc Committee on Internationalization

Current Members: Tara Smith, David Bowie, Gokhan Karahan

In Attendance: Tara Smith, David Bowie, Gokhan Karahan

Report to Faculty Senate

Our first meeting took place on November 21, 2016. David Bowie and Tara Smith were in attendance. We are still in the process of selecting our members.

The following were the action items that we agreed upon for the 2016-2017 academic year:

1) Start conversations about how to make the UAA web site more "international."
2) Conduct a feasibility study regarding an International Summer Business Institute for high school/students and/or professionals (GK will have some meeting in Lower 48 regarding this in December).
3) Have meetings with international faculty/department chairs to discuss any issues pertinent to international faculty
4) Identify issues concerning international students and find consensus to address them
5) Study feasibility of organizing a "Festival of Nations" on campus sometime in the spring to bring together campus community as well as external constituency (will make contact with World Affairs Council of Alaska through Professor Kalina).

Our next meeting will take place in January.

Gokhan Karahan, Chair

FACULTY SENATE REPORT
December 2016

University Advancement Office   **Vice Chancellor Megan Olson**

Chancellor's Holiday Café - Dec. 8
The chancellor's holiday café will be rolling through campus Thursday, Dec. 8, 9:30 a.m.-1:30 p.m. Enjoy Kaladi Bros. coffee, Krispy Kreme doughnuts and a photo booth. During the event, post your photos on social media for a chance to win prizes! Stay tuned for details on where and when you can expect to find the café.

Fall Graduate Degree Hooding Dec. 17 and Commencement Ceremony Dec. 18
Don't forget to RSVP for the Graduate Degree Hooding Ceremony on Dec. 17 and Commencement on Dec.18. Please RSVP by Dec. 9 to confirm your seat at these ceremonies. A link to RSVP and additional information can be found on the commencement website at www.uaa.alaska.edu/commencement.

ALUMNI RELATIONS NEWS/UPDATES

Seattle Seawolves
UAA alumni in Seattle are carrying their momentum into the New Year. After meeting nearly each month throughout the fall, they will team up with UAF and UAS alumni to host a Seattle-wide UA event on Jan. 31.

9 in the Spine - Mar. 2
FORE! On March 2, the wacky winter tradition returns for, yes, year number four. Part of Winterfest, this annual event brings alumni teams back to campus to putt through a student-designed mini-golf course via the Spine. Interested teams can contact Alumni Relations to register at 907-786-1942 or alumnirelations@alaska.edu.

Veteran Alumni Chapter Event
All area alumni with military service were invited to stop by the Alumni Center for coffee and camaraderie at a special pre-Veterans Day event on Nov. 9. The Veteran Alumni chapter hosted the event in coordination with the Student Veterans of UAA club, who held a fundraising bake sale the same day.

DEVELOPMENT NEWS/UPDATES

STUDENT PHONATHON PROGRAM
The UAA student-run Phonathon program is in its final push with nine days of calling remaining and has raised over $75,840.10 from 821 donors in support of student scholarships and college excellence funds. We have raised 99% of our goal of $76,440.00 for the fall semester and increased our donor count by 32% over last fall.

CORPORATE AND FOUNDATION GIFTS
International Foundation for Research in Experimental Economics (IFREE) donated to the CBPP Experimental Economics Laboratory General Support fund.

INDIVIDUAL DONOR GIFTS
Nancy Andes, former director of CCEL, generously donated to the Center for Community Engagement and Learning Excellence fund.

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AWARDS FROM THE CONOCOPHILLIPS ARCTIC SCIENCE AND ENGINEERING ENDOWMENT

Five faculty members at UAA are moving the needle on Arctic research, thanks to the generous support of ConocoPhillips Alaska. The faculty members are the recipients of a ConocoPhillips Arctic Science and Engineering Endowment Award. The endowment was created to bolster Arctic science and engineering programs and research at UAA and is the largest in the University of Alaska system.

The five winning projects, selected by a UAA committee through a rigorous evaluation process, will receive a total of nearly $450,000 for fiscal year 2017. Projects include:

Accelerated Corrosion Under Insulation (CUI) Test Apparatus
Reinvigorating Arctic Oil/Gas Exploration with new Shelf-edge Exploration Concepts
Vortex-Induced Vibration in Marine Pipelines with Application to AKLNG
Arctic Coastal Erosion Modeling Using Machine Learning and Process-Based Approaches
Mycellium-based Biomaterials for Sustainable Thermal Insulation in the Arctic

Congratulations to the awardees and thanks to all who submitted proposals this year.

UNIVERSITY RELATIONS NEWS/UPDATES

MEDIA

UAA was mentioned in nearly 425 news clips in November. Some coverage highlights include:
- KTVA coverage of UAA being named Military Friendly School for eighth consecutive year, interviewing staff and students in Military & Veteran Student Services
- Alaska Dispatch coverage of UAA ski and indoor track teams and plans now to keep them
- KTVA Car Car segment with Jeff Libby, Automotive Technology program
- Return of former Seawolf gymnast and Cirque du Soleil performer, Leisha Knight to lead workshops with UAA students

SOCIAL MEDIA

SOCIAL MEDIA
Facebook: 15,899 likes (+1.2%)
Twitter: 5,307 followers (+3.2%)
Instagram: 2,335 followers (+5%)
YouTube: 321 subscribers (+.5%)
LinkedIn: 29,657 members (+.4%)
Community Total: 53,519 (+1.6%)

HIGHLIGHTS & CAMPAIGNS
- Facebook Top Posts this month doubled the organic reach of last month's top posts.

PERFORMANCE
FACEBOOK - Top Posts
1. Graduation Deadline + PHOTO (7.1K organic reach)
2. PB+J For Parking Tickets Drive! (6.5K organic reach)
3. Electronic Recycling Event (6.2K organic reach)
4. Election Day Photo Coverage from Campus (4.5K organic reach)
5. Seawolf Debate - Alaska's Fiscal Future Promo (3.6K organic reach)

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TWITTER - Top Tweets

1. UAA Diesel Tech Program - KTVA Coverage (2.5K impressions, .5% engagement)
2. Deadline to Apply for Fall Graduation + PHOTO (2.4K impressions, 1.1% engagement)
3. Happy Thanksgiving, Seawolves! + PHOTO (2.1K impressions, 47.6% engagement)
4. Northern Lights Benefit Concert feat. @TayyTarantino (1.6K impressions, 1.4% engagement)
5. Election Day Photo Coverage - VOTE ON CAMPUS! (1.5K impressions, 2% engagement)

INSTAGRAM - Top Posts

1. Seasons on Campus Then/Now - Community Regram (218 likes)
2. Snow Clouds - Community Regram (143 likes)
3. Weekend Skies - Community Regram (133 likes)
4. That Study Life - Aerial Shot (120 likes)
5. Happy Thanksgiving! SPIRIT FAMILY PHOTO (118 likes)

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STUDENT AFFAIRS
REPORT for FACULTY SENATE

DECEMBER 2016

Office of Student Affairs (OSA) & SA Assessment

The search for the new Dean of Students is coming to a close. After a national search, the search committee invited candidates to campus for a day of interviews, including open forums with students and with staff and faculty. Internal candidates Dr. Ryan Henne, Director of Residence Life, and Dr. Lacy Karpilo, Interim Associate Vice Chancellor for Enrollment Services, both had their on-campus interviews the week of November 14. A decision will be announced later in December regarding the successful candidate.

SA Assessment Intranet

The SA intranet site features an archive of assessment reports and resources for UAA faculty and staff. New Reports on this site include:

- Student Employees *(intranet.uaa.alaska.edu/student-affairs/osa/assessment/reports/2016-10-24_student_employees.cshtml)*: This report provides a population analysis of student employees on the Anchorage campus of UAA. Points of review include demographic characteristics, completion success rates and retention rates.
- Conduct Violations FY10-FY16 *(intranet.uaa.alaska.edu/student-affairs/osa/assessment/reports/2016-10-13_conduct_violations.cshtml)*: This report provides an analysis of violations to the Student Code of Conduct and associated student characteristics. The majority of conduct violations occur under codes 1, 10, 14 and 15: Cheating, Plagiarism, or Other Forms of Academic Dishonesty; Disruptive or Obstructive Actions; Misuse of Alcohol; and Misuse of Drugs or Other Intoxicants.

Admissions

The Office of Admissions has launched "Gateway to UAA," the new application for admission. It is in the first phase and Admissions staff are continuing to work to fully integrate it with Banner. The team is working with Recruitment to gather information from various programs which can be used to create outreach emails that really speak to the applicant. This week the office is also launching a new system to show applicants what items they still need to complete and submit. When complete, this system will allow a variety of professionals to provide true admissions counseling. All activities for successful entry into UAA will be listed in a single location; for example, completion of tests, orientation registration, housing needs/application and comments about needs from the applicant.

Career Exploration & Services (CES)

CES hosted two Major and Career Exploration Guidance presentations on November 1.

CES hosted the 9th Annual Women in Law Enforcement on October 26, in which nine organizations participated.

Dean of Students Office: Student Conduct; Alcohol, Drug, and Wellness Education; and Care Team

This month, the Dean of Students Office will join a statewide team to prepare to implement Maxient – a new database that will house Student Conduct, Care Team, HR, and Title IX records for the entire University of Alaska system.

Alcohol, Drug, and Wellness Educator Amanda Kookesh will be on maternity leave through the beginning of March 2017. In Amanda's absence, Liana Wayman will serve as UAA's Alcohol, Drug, and Wellness Educator.

The Care Team Coordinator has compiled content to load to a new website that will be used to train super-users/referral sources who are interested in being Care Team services trainers and bystander awareness trainers to the UAA community regarding Care Team Services and the types of behaviors that should be referred to the care team. The training will be in December, the specific date yet to be announced.

Department of Residence Life (DRL)

On November 1, the Cama-i Room celebrated its 11th birthday by sharing salmon, rice, berries and cake. Inspired by the potlatch, a celebration done by some Alaska Native groups, the Cama-i Room gave away small bundles of devils club to protect visitors and compensate them for witnessing the event. In addition, information about Alaska Native/Native American Heritage Month was shared with the participants.

To support UAA Preview Day, Cama-i Room Peer Mentors, Sabrina Moses, Des Mobeck and Marieana Larsen, participated in the preview dinner on November 3. The ANROP Coordinator, Karla Booth, supported Preview Day on November 4 by helping present residential information to two groups of perspective residents. All DRL professional staff attended and participated in almost all aspects of the events.

Associate Director Ryan Hill was awarded $37,550 from the Annual Award for Excellence to fund a faculty-in-residence program for three years starting in the 2017-2018 school year.

Disability Support Services (DSS)

DSS has worked diligently to promote relationships with the Anchorage School District (ASD). One of the joint collaborative programs with ASD has been the provision of onsite visits and transition services for students with Individualized Education Plans enrolled in the King Career Center (KCC) vocational program. Recently, two groups from KCC visited DSS to learn about accommodations and academic adjustments available at UAA. A total of 44 students accompanied by a number of KCC staff members visited the campus. The students were engaged and asked a number of relevant questions. This is an ongoing program to promote UAA and to familiarize students with much needed resources for their first-year experience. The visits will happen each semester.

Military & Veteran Student Services (MVSS)

During the last month, MVSS has begun its transition to Spring 2017. To help ensure that military and veteran students are "Registration Ready," MVSS sent out the first of what will be a monthly e-newsletter. The newsletter went out to all of the continuing students in MVSS cohort. Also, with the help of Admissions and the new CRM, for the first time MVSS was able to send a message out to all new spring applicants that intend to use VA or military education benefits. This is an exciting step forward in that it allows MVSS to proactively inform new students. This newsletter is designed to keep our cohort in tune with key process information for their benefits, important dates and deadlines, upcoming events and opportunities for military and veteran students to more deeply connect with their community.

On Veterans Day, for the first time, MVSS partnered with Kenai Peninsula College and conducted a VA Benefits Workshop on the KPC campus to help better inform their students, staff and faculty on the requirements and parameters associated with Veterans education benefits.

For 8th year in a row, UAA has been recognized as Military Friendly® for 2017 by Victory Media. After the press release on November 11, UAA Advancement arranged for KTVA to sit down with a few MVSS staff to discuss how they serve students. Advancement came away singing the praises of Reba West, a MVSS VA Certifying Technician, and Barry Otwell, a VA Work Study student employee.

Multicultural Center

The Multicultural Center's Seawolf Success Academy staff and mentors achieved the highest percentage (64%) of contacts made during the Mapworks Early Intervention Process for incoming students. This represented the highest percentage of contacts among all cohort groups.

The Multicultural Center, along with Admissions, the Office of Academic Affairs, International Affairs, the Dean of Students Office, Diversity Action Council, and the Confucius Institute, held an International Student Thanksgiving Dinner on Sunday, November 20. Over 120 international students, faculty, and staff attended to create a welcoming community for UAA's international students while eating and learning about the American Thanksgiving tradition.

Students, faculty and staff enjoy the International Student Thanksgiving Dinner in the Student Union.

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Native Student Services (NSS)

NSS collaborated with the College of Business and Public Policy (CBPP) and the Office of Alaska Natives and Diversity to host the discussion "Five Years of Hell: Prelude to ANCSA" on November 11. Speakers for this public square event featured CBPP Visiting Distinguished Faculty Dr. Willie Hensley, the founding member and First President Alaska Federation of Native (AFN) Emil Notti, and NSS Director Willy Templeton. This discussion focused on the dynamic cultural, political and economic factors that played a role in the development of the Alaska Native Claims Settlement Act (ANCSA) in 1971. A follow-up discussion is planned for February 10 that will focus on the implementation of ANCSA with the development of the corporations and their role in the current Alaska economy. This Student Affairs and Academic Affairs collaboration aims to create more synergy within UAA while hosting public square discussions about contemporary Alaskan issues.

New Student Orientation (NSO)

NSO is building stronger partnerships with University of Alaska Fairbanks (UAF) New Student Orientation office to improve student experiences across the UA system. UAA NSO Coordinator Whitney Penn met with UAF Director for Orientation Ronnie Houchin while he was in Anchorage to participate in Preview Day. The two discussed programs successes, shared best practices, and strategies for program redesign and recruitment of orientation leaders.

New Student Recruitment (NSR)

NSR held the annual UA Scholars Night at the Alaska Airlines Center on November 1; 152 Scholars and 323 guests participated in this prestigious event. All UAA Colleges were represented.

NSR hosted Preview Day Social in the Residence Halls on November 3 followed by Preview Day on November 4, which was the largest ever with 700 participants.

Office of the Registrar

Spring registration is underway. As of November 15, 3,085 students have registered in 32,607 credit hours.

The Registrar has successfully implemented a load of the combined reading comprehension and sentence skills Accuplacer scores. This will dramatically streamline registration for students who qualify for PRPE and ENGL scores through combined test scores.

New data shows that for fall 2016 admitted undergraduate students at UAA who utilize Schedule Planner register for 2.24 more credits than admitted undergraduate students who do not. Schedule Planner is a tool within UAOnline that assists students with finding a suitable semester schedule of courses.

Fall graduation is just around the corner. Currently just over 700 students have applied for graduation. Applications may still be submitted.

Office of Student Financial Assistance (OSFA)

OSFA is busy working on the 2017/18 application and awarding process. Every new award year brings a new Banner release that staff must test, implement, and program in order to process the new year's applications. The 2017/18 FAFSA was made available to students as of October 1, three months earlier than in previous years. As of November 10, OSFA has received 2,500 FAFSAs. OSFA is busy making the necessary modifications in Banner needed to process these applications and generate federal financial aid awards in accordance with changed rules and regulations for the new year.

Since the 2016/17 FAFSA and the 2017/18 FAFSA require the same 2015 tax and income information, OFSA is required to ensure that the financial data on both years FAFSA applications match. As staff identify and resolve conflicts to students' 2016/17 FAFSAs, it could result in changes to their current Federal Pell grant amounts. To minimize the likelihood of conflicting information, OFSA is implementing an email campaign to 2016/17 FAFSA applicants to encourage them to go back in to their 2016/17 application and use the IRS Data Retrieval Tool (DRT) when they did not originally.

Student Health & Counseling Center (SHCC)

As of November 11, nearly 100% of students living on campus are now compliant with the UA Board of Regent immunization

requirements. This protection for students and the UAA community against communicable diseases was made possible through the strong collaborative work between UAA Housing, Residence Life, and the SHCC.

The SHCC Health Promotion Team received a two-year grant extension, securing financial support through January 31, 2019. This grant from the Centers for Disease Control and Prevention and the State of Alaska Department of Health and Social Services supports the sexual assault prevention training program, Bringing in the Bystander. This program has provided 47 unique trainings to 848 UAA campus members over the past 15 months. Please call the Health Promotion Team at 786-4042, if you would like to schedule a training for your group or you would like to take part in a training.

Student Life & Leadership (SL&L)

Student Clubs and Greek Life supported the Club Council annual Haunted Halloween Fun Night on October 29. The Student Union was transformed into a Halloween carnival with over 25 different clubs and organizations providing activities for children aged 2 – 12. Almost $12,000 was raised (30% increase from last year) to support the clubs and this year's charity, Big Brothers Big Sisters.

The Student Union worked with the Alaska Division of Elections to ensure an efficient voting site for the state and national elections on November 7 and 8. Over 2,100 people were able to vote. The UAA absentee voting site provided ballots for all 40 of the Alaska districts.

USUAA student government fall elections went smoothly and 17 students were voted into office. One constitutional amendment also passed, it clarifies student representatives ability to hold campus jobs outside of the USUAA organization.

The UAA student-run radio station KRUA, 88.1 FM is now broadcasting 13 hours of new programming. You can listen to UAA students and faculty through live streaming at kruaradio.org.

Student Activities and Commuter Programs sent four students to the National Association of Campus Activities regional conference. Students attended diversity,

programming, marketing and organizational workshops. They also watched 60 showcases of speakers, poets, musicians and comedians in order to select performers for the coming year.

Upcoming Events:

- December 3: UAA Crafts Fair, 10 am – 5 pm, Student Union
- December 5 - 8 and 11 - 14: Late Nights @ Student Union, open until midnight with food, tutors, stress- relievers for finals
- December 6: Student Activities Spoken Word Night, 7 pm, Student Union Den
- December 8: Chat with the Chancellor, 2 – 3 pm, Student Union upper lounge

Student Outreach & Transition @ the University Hub

Student Outreach and Transition moved into the new University Hub in late October and New Student Recruitment began moving into the space on November 18. The Open House is scheduled for January 2017.

Mapworks forwarded the Fall Survey College Reports to each College Dean which indicates the responses for students in their specific colleges. The second survey for fall 2016 ran through November 27.

Exploratory/Transition Advising

Andrea Alexander, Scholars at UAA Transition Advisor, represented UAA at UA Scholars Night in Juneau at the University of Alaska Southeast on November 3.

TRIO

TRIO will submit three proposals to the U.S. Department of Education for the Upward Bound Grant on November 17. Staff from TRIO, Student Support Services, Educational Talent Search, and Educational Opportunity Center, along with Executive Director Theresa Lyons, attended the Alaska Association of TRIO Programs (AATP) at the University of Alaska Fairbanks on November 7. The conference included a reorganization of the AATP, grant writing workshops, and developed strategies and next steps for TRIO Programs in the state of Alaska.

INFORMATION UPDATE

CENTER FOR ADVANCING FACULTY EXCELLENCE

- On November 28, CAFE hosted its periodic open Q and A forum for faculty and interested members of the staff regarding Legal Issues in the Classroom. Andy Harrington, Mike O'Brien, and Matt Cooper with the UA General Counsel's office answered legal questions as they pertain to classroom teaching and faculty responsibilities.

  Faculty Learning Communities offered Spring 2017:

  o CAFE's second "**12 Weeks to Your Journal Article**" faculty learning community will be offered over several sessions from January through March. Led by Professor Ray Ball, this faculty writing group is organized around a workbook of the same name. The group supports each other to do a series of exercises from the workbook while faculty work on a particular writing project of their choosing. Last year's faculty participants reported significant progress in their scholarly writing efforts, including multiple articles submitted for publication and the presentation of two papers at conferences.

  o CAFE continues to accept applications for participation in Spring 2017 faculty learning community focusing on **applying Universal Design Principles** in courses and to course materials. This community, co-sponsored with Disability Support Services and led by DSS Director Karen Andrews, will focus on course design for improving accessibility. Academic Innovations and eLearning will provide support with items that involve academic technologies.

  o The cooperative cohort of Tech Fellows (Academic Innovations) and Making Learning Visible (CAFE) continues to move forward. Faculty represent a wide range of departments and are developing interesting Scholarship of Teaching and Learning inquiry projects. Several faculty who participated in last year's MLV faculty learning community will share their projects at the upcoming Teaching Academy in January (see below).

- CAFE's Lunch and Learn on November 18 on the topic of "Plagiarism, Academic Dishonesty and Academic Integrity at UAA" was well-attended and involved much lively discussion. The session was led by Michael Votava and Lara Madden, with Clare Dannenberg and David Bowie (both of English) in a supporting role. Dannenberg and Bowie have both been active as faculty members on the Academic Honesty and Integrity Committee. **The PowerPoint from the presentation is available on the CAFE website**, and an edited video will be available soon.

CENTER FOR ADVANCING FACULTY EXCELLENCE (continued)

- CAFE's faculty networking mixer for November was held on the 11th in the atrium of the Wendy Williamson auditorium. The locations change was due to an event at the Alaska Airlines Arena. **The next CAFE faculty networking mixer will be Friday, February 2, 2017, from 4:00-6:00 pm at the Anchorage Museum.** For this event CAFE is partnering with CCEL and the Anchorage Museum to host an opportunity for faculty and community partners to meet one another and discuss possible community engagement projects. Additional information will be available when we're closer to the date.

- CAFE's Associate Director Libby Roderick offered a four-hour workshop showcasing UAA's *Toxic Friday* book and video supporting faculty discussions to address colleague-to-colleague bullying at the national Professional and Organizational Development conference November 10 in Louisville, Kentucky. Presenting at the conference also allowed her to promote UAA's other two UAA Difficult Dialogues books (*Start Talking* and *Stop Talking*) to faculty and faculty developers at institutions throughout the U.S. and help UAA maintain and strengthen its reputation as the national leader in the Difficult Dialogues arena. Several other institutions in the country are using our Difficult Dialogues books as the basis for faculty learning communities.

- At the request of the Provost, CAFE continues to coordinate Conversations with the Provost. On November 3rd, he met with 23 Chairs and Associate Deans and heard substantive observations on everything from TEMS to challenges with facilities concerns to the need for succession planning for leadership. He has taken immediate action on two fronts: increasing support for research and improving administrative processes. He will be looking at opportunities for action in several other areas over the coming months. **The rescheduled conversation with faculty who have been at UAA for 3-4 years will occur on December 3rd**.

- CAFE continues to support the General Education Assessment effort with Shawnalee Whitney, Director of CAFE, serving on the GER Assessment Advisory Council. A GER Assessment session will be included as part of a two-day Teaching Academy being offered in January 2017.

- Faculty should mark their calendars for **faculty development opportunities on January 11 and 12**. This two-day Teaching Academy will include sessions of varying lengths (75 mins to 3 hrs, depending on the topic area) designed to improve teaching and learning in a range of ways. The event is co-sponsored by CAFE, Academic Innovations, CCEL, the ROLL Grant team, and the General Education Program and assessment effort. Watch for a detailed calendar with workshops available soon.

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CENTER FOR COMMUNITY ENGAGEMENT AND LEARNING

- We received 13 proposals for faculty mini-grants, and 5 have been awarded with 3 more to be decided with possible grant funds forthcoming. Receiving grants:

  o Rebecca Robinson, Psychology, Toward Trauma Informed Services: Trauma & Resilience in an Emergency Homeless Shelter with Brother Francis Shelter, Catholic Social Services, $2,000;

  o Grace Leu-Burke, Allied Health, Community Acquired MRSA: UAA Carriage Surveillance Pilot Project with Alaska Regional Hospital, $2,000;

  o Tracey Burke, Social Work, Managing Economic Insecurity: The Role of St. Francis House in Making Ends Meet with Catholic Social Services, $2,000;

  o Michael Mueller, Teaching & Learning, STEM Bird and Science Learning Habitat with Lake & Peninsula School District, $2,000;

  o Kimberly Pace, Political Science, Model United Nations with Anchorage School District & others, $500.

- Our November Think Tank co-hosted with College of Education had nearly 50 participants and a dynamic discussion on what we can do to support the success of our Alaska Native students. Actions from this Think Tank are a Bringing Theory to Practice grant proposal going into AAC&U to continue these discussions across the campus in 2017. **Spring Think Tanks will be co-sponsored by Nursing on 2/3; ENVI & Health Sciences, 3/3; Social Work 4/6.** All events are in LIB 307 and offer free pizza courtesy of Moose's Tooth.

- The CEL A392 Civic Engagement: Learning by Giving course, taught by Judy Owens-Manley, hosts **a celebration on 11/30** with four $2,500 grant awards given to area organizations: STAR, Alaska Legal Services, Alaska Injury Prevention Network, and Anchorage Community Land Trust. Students will present the awards to participating agencies. Grant proposals were written in our partnering course, ENGL A212 in Summer 2016, taught by Angela Andersen. Guest speakers from CEL A392 are invited to attend including representatives from the Atwood Foundation, The Community Foundation, the Rasmuson Foundation, and the UA Foundation.

- **Thursday, February 2nd, from 4-6 pm**, The Anchorage Museum will host a mixer for community organizations and faculty to meet and greet. Save the Date and expect more information early in January to connect with ideas and opportunities for engaging with community!

ACADEMIC INNOVATIONS & eLEARNING

Academic Technologies:

- **Spring '17 courses are available** in the new UA Blackboard system. You may bookmark the new site at classes.alaska.edu. Please contact the UAA Call Center at 786-4646 if you need assistance accessing your courses.

    o **All non-academic (dev) shell course will move over Winter Break.**

- **Digication's new user interface** is ready for beta testing. Please contact Paul Wasko if interested in trying it out.

- **Kaltura** has been selected as our **new streaming media platform**. AI&e will partner with ITS to get the service up and running for the start of Spring Semester. As part of the solution, **automatic machine captioning** will be available. More details to come.

- **RP Now Online Test Proctoring** will be available for all online courses starting in January 2017.

ePortfolios:

- Our eWolf journey was highlighted in the newest issue of **The AAEEBL ePortfolio Review**. Dave Dannenberg, Paul Wasko and Heather Caldwell wrote the article that detailed to journey we have taken to date. Be sure to check it out.

- **Blackboard - Digication building block** is slotted for limited beta testing during the spring semester.

- The CBPP employer mentoring portfolio pilot is launched with 20 mentors; mentors will be reviewing student portfolios for content and presentation.

Instructional Design Services:

- Interviewing has begun for the **new Instructional Designer 3** position. We hope to wrap the process up this month and have the new ID working no later than February 1.

Professional Development:

- Details on the **Technology Innovation Grant (TIG)** awards will be available later this month. Check our website for more details in the weeks to come. This year we hope to partner with faculty and provide funds for travel or projects.

- We are partnering with CAFE to bring you the **Teaching Academy on January 11 and 12, 2017** to kickoff your Spring Semester. Check out the AI&e and CAFE websites for more details.

Robust Online Learning Grant:

- **SAVE THE DATE**: January 11, 2017, Opening Ceremony for the Innovation Design Studio.

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INSTITUTIONAL RESEARCH

- Institutional Research has posted summary data from the recent administration of the National Student Survey of Engagement (NSSE) to its SharePoint site. Currently, a group of faculty and administrators are reviewing the results of the survey. If interested in the data, please contact Erin Holmes (ejholmes@alaska.edu) for its location on the site.

Office of Alaska Natives & Diversity

December 3, 2016

Diversity and Inclusion Action Plan

The tri-chairs, Maria Williams, Andre Thorn, and Robert Boeckmann, are continuing to lead focus groups with students, staff, faculty, administrators and community campuses. As part of their work with the Diversity Action Council, several subcommittees have been formed to ensure broad campus input to the plan. Spring semester the leadership team and DAC will continue this work and aim to have recommendations and the plan completed and presented to cabinet June 2017. All are invited to participate in the focus groups and are available to meet with departments and upon request.

Visit the website https://www.uaa.alaska.edu/about/administration/office-of-the-chancellor/diversity-action-plan.cshtml for more information.

National Coalition Building Institute (NCBI)

The NCBI team led by steering committee, Kimberly Pace, Theresa Lyons, Patricia Fagan, and Diane Taylor, announces a one-day Inclusivity workshop and all faculty, student, and staff are invited to participate. The workshop will take place Friday February 24 in the Gorsuch Commons, lunch provided. If more information about the workshop is desired, contact the steering committee. Registration request should be sent to Raegan Kellher (rhkellher@alaska.edu).

Introduction to Alaska Natives

On Friday November 11 a panel presentation "Five Years of Hell: Prelude to ANCSA" sponsored by College of Business and Public Policy, Native Student Services, the Office of Alaska Natives & Diversity, and the Alaska Native Media Group was held. Speakers included Willie Hensley, Distinguished Visiting Professor; Emil Notti, First President of AFN, and Willy Templeton, Director of Native Student Services. The presentations were followed by a student panel. The third in the series of panels will be held in February. Recordings will be posted on UAA's Alaska Native website   https://www.uaa.alaska.edu/alaska-natives/

Advisory Council for Alaska Native Education & Research

The Advisory Council Community Partners subcommittee held its first meeting November 7. The group is recommending students (including alumni) be surveyed as to their UAA experiences. In addition, the group recommends an overall assessment of UAA's Native serving programs to ascertain their effectiveness.

A New Vision for the University of Alaska
Ten-Year Action Plan to Reinvest in the Academic Mission and Student Services

Developed by Abel Bult-Ito, Ph.D.
Professor of Neurobiology and Anatomy
University of Alaska Fairbanks

1. Executive Summary

In this action plan for a new vision of the University of Alaska (UA), I propose an administrative restructuring of UA to strengthen the academic mission of research, teaching and service, and student services (e.g., academic advising, financial aid and enrollment services), while reducing or eliminating administrative functions that are not directly related to this mission or are redundant.

Some states with several individually accredited universities do not have a centralized administration, and others have system-wide offices that are 20-25% the size of the UA Statewide office. This shows that state university systems can function well without an extensive system-wide office.

By reducing UA Statewide employees by 40 each year (120 total), eliminating 54 mid-level management administrative positions at the accredited universities (UAF, UAA, UAS), and by increased efficiencies (including reduction of 24 positions) during a three-year period, the savings are proposed to be reinvested to fundamentally change UA.

The savings are projected to be reinvested in 72 new tenure-track and 101 new STEM research faculty, 31 new teaching and research support staff, and 450 new tuition scholarships. Consequently, I expect that the academic and research reputation of UA will be raised, student enrollment, retention, and degree completion will increase, and additional tuition and research grants and contracts revenues can be realized.

For the entire 10-year action plan, total projected additional tuition revenues are expected to exceed $104.3 Million, total additional tuition scholarship funds are expected to exceed $35.3 Million, and total additional research revenues are expected to exceed $813.6 Million, without any additional costs to UA or the State of Alaska.

Additional positive outcomes include a large economic impact to the university communities as projected total additional revenues over the 10-year period exceed $918 Million, most of which will be spent in the local communities, without any additional cost to UA or the State of Alaska.

This action plan should be implemented immediately, because projected new revenues can be used to offset additional cuts in state funding by generating new tuition and research revenues and thereby diversifying the sources of revenue of UA. Please sign the petition Demand a New Vision for the University of Alaska[1] to make this happen.

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[1] http://www.thepetitionsite.com/543/762/046/demand-a-new-vision-for-the-university-of-alaska/#updated

2. Introduction

In this action plan for a new vision for the University of Alaska (UA), I propose a restructuring of UA to strengthen the academic mission of research, teaching, and service, and student services (e.g., academic advising, financial aid and enrollment services) at UA, while reducing or eliminating functions that are not directly related to this mission or are redundant.

Michigan[2], Ohio[2], and Idaho[3] do not have a central university system structure, while Oregon disbanded their system-wide administration about two years ago[2]. In addition, the North Dakota and South Dakota university system offices are about 20-25% the size of the UA Statewide MAU[3], while being similar in size and scope. This shows that state university systems can function well without an extensive central office.

The goals of this action plan are to raise the academic and research reputation of UA, to increase student enrollment, retention, and degree completion, and to increase research grants and contracts by investing in new tenure-track and research faculty, new academic and student support staff, and new tuition scholarships.

The proposed restructuring includes reducing the UA Statewide office to 60 employees (reduction of about 150)[4], reducing administrative middle management positions (executive, faculty, and staff) at the three accredited universities, i.e., University of Alaska Fairbanks (UAF), University of Alaska Anchorage (UAA), and the University of Alaska Southeast (UAS), by 54 and reducing costs through increased efficiencies in a three-year period.

The savings will be reinvested in hiring 72 new tenure-track faculty, 101 new science, technology, engineering, and mathematics (STEM) research faculty, 31 new teaching and research support staff, adding 450 tuition scholarships, providing additional teaching and research support funds, and reallocating 35 staff positions at the accredited universities to student services.

The administrative restructuring is projected to take three years to make sure that this transformation can occur without disruption of services. Year 0 is the year in which administrative reductions in Statewide positions and administrative middle management positions at the accredited universities start and faculty and staff are starting to be recruited. For simplicity, realized savings and reinvestment costs are depicted in years 1-10.

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[2] Personal communication from AAUP-CBC Chair Howard Bunsis.
[3] http://www.alaska.edu/files/research/Accreditation/UA-1vs3-Accreditation-Review-Final-Report-15_D.Thomas.pdf.
[4] Based on 268 FTEs employed at the Statewide office in FY15.
http://www.alaska.edu/files/swbir/SW-Transformation-Team-Report-2015.09.29.docx-final.pdf, with a 11% assumed attrition rate for FY16 and FY17.

This action plan should be implemented immediately, because projected new revenues can be used to offset additional cuts in state funding by generating new tuition and research revenues and thereby diversifying the sources of revenue of UA.

I will present projected savings, how these savings should be reinvested, and the projected positive and negative impacts of this proposal in the following sections:

3. **Reduction of UA Statewide Services and Administrator Positions at the Accredited Universities, and Savings in Increased Efficiencies.**
4. **Reinvestment of Savings of Restructuring Into Teaching and Research, and Student Services.**
5. **Projected Positive Impacts of Administrative Restructuring and Reinvestment in the Academic Mission.**
6. **Projected Negative Impacts of Administrative Restructuring and Reinvestment in the Academic Mission.**

2.1. My Point of View

I am a Professor of Neurobiology and Anatomy in my 18th year at UAF. I served as UAF Faculty Senate president and president-elect. Currently, I am in my sixth year as President of United Academics AAUP/AFT Local 4996. I have obtained significant National Institutes of Health (NIH) grant support throughout the years. NIH, through the UAF BLaST program, currently supports my research program, which supports three Ph.D. student, four undergraduate students, and two high school students.

I am a STEM faculty member. The funding opportunities in STEM research fields provide the greatest opportunity to increase revenues to the university through federal and state grants.

I have obtained a very good understanding of the administrative structure and financial position of UA. I believe that the faculty and academic and research support staff are the core of the academy by fulfilling the academic mission of teaching of our students, research to advance knowledge, and service to contribute to our professional and public communities.

Administrative functions are necessary to support the academic mission by obtaining funding from the state and donors, meet federal and state regulatory mandates, and develop the faculty and academic and research support staff to the best of their abilities. Excessive administrative structures take away resources from fulfilling the academic mission of the university, which harm our students and the state.

I also believe that every employee of the university should be held to high professional standards and should be held accountable for high job performance. Any failure of any employee to meeting professional and job performance standards is a failure of management.

3. Reduction of UA Statewide Services and Administrator Positions at the Accredited Universities, and Savings in Increased Efficiencies

I will describe these reductions in four sections, including UA Statewide services, administrative middle management positions at accredited universities, savings in increased efficiencies, and total projected savings.

3.1. UA Statewide Services

I propose to reduce UA Statewide services to 60 employees (reduction of 150 positions total[4]) by bringing all academic, research, human resources (HR) and information technology (IT) functions to the accredited universities, and transferring 30 positions to the accredited universities to strengthen their academic, research, HR, IT, and other functions.

The remaining 60 system-wide employees will include the Office of the President (3), General Counsel's Office (6), Board of Regents support (2), Labor Relations (2), Legislative Relations (1), Office of Finance and Administration (20), Benefits (2), Office of University Relations; Strategy, Planning and Budget; UA Foundation (14), UA Governance (2), System Office of Risk management (6), and other (2).

Of the 150 positions to be cut at the UA Statewide office, I propose to transfer 30 positions to the accredited universities to support the following functions:
- Provosts establish the System Academic Council (SAC) to coordinate the academic programs across the accredited universities with presidential oversight (2).
- Lead research administrators from each accredited university establish the System Research Council (SRC) to coordinate research efforts across the accredited universities with presidential oversight (2).
- HR Directors of the three accredited universities establish the System Human Resources Council (SHRC) to coordinate Human Resources across the accredited universities with presidential oversight (2).
- IT directors of the three accredited universities establish the System Information Technology Council (SITC) to coordinate IT across the accredited universities with presidential oversight (2).
- IT professionals transferred from Statewide to the accredited universities (18).
- Finance and administration functions to be delegated to the accredited universities wherever possible (2).
- University relations, planning and budget; UA foundation functions to be delegated to the accredited universities wherever possible (2).

The implementation of this administrative restructuring over three years will result in a net reduction of about 40 Statewide employees every year to a total of 120 out of the 150 positions to be cut from the UA Statewide office. For projections, average annual salaries are set at $81,381 and the benefit rate is the average of administrators and staff at 46.4% (Fig. 1). These average salary and benefits rates are based on FY16

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salary and benefits cost data[5].

3.2. Middle Management Positions at the Accredited Universities

In order to reduce middle management and bureaucracy, the accredited universities will reduce administrator positions (executives and faculty) and managerial and supervisor staff positions by 5% for three years, resulting in a projected reduction of 19 positions in year 1, 18 positions in year 2, and 17 positions in year 3 (6 and 13, 6 and 12, and 6 and 11 administrator and staff positions, respectively). For projections, average annual salaries are set at $137,445 and the benefit rate at 46.4% for administrators, and $84,428 and 47.0% for managerial and supervisory staff positions, respectively (Fig. 1). These average salary and benefits rates are based on FY16 salary and benefits cost data[5].
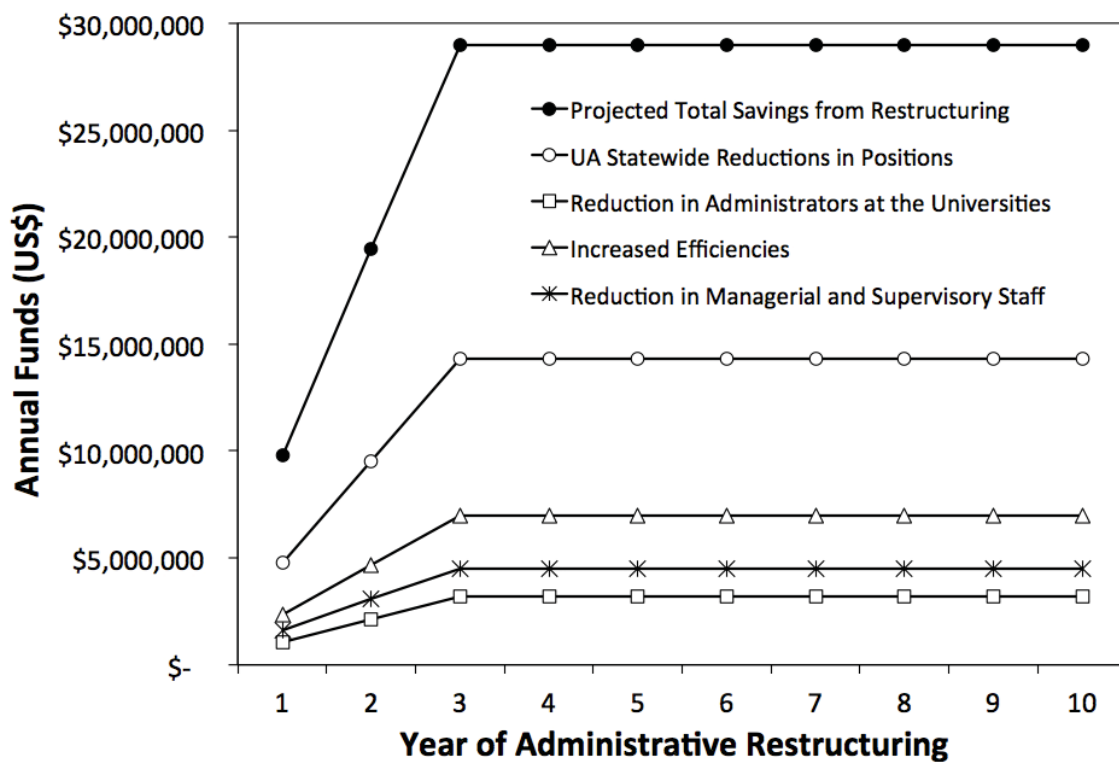
Figure 1. Projected savings in US$ from reduction in Statewide positions, reduction in administrators (executive and faculty) and managerial and supervisory staff positions at the accredited universities, and increased efficiencies as a result of administrative restructuring and reinvestment in the academic mission of the University of Alaska for a 10-year period.[6]

Middle management administrator positions include, but are not limited to, vice-chancellors, associate vice chancellors, vice provosts, deans, associate deans, directors, and associate directors. For example, I propose to reduce the number of

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[5] The excel spreadsheet used to calculate salaries and benefits for administrators and managerial and supervisory staff can be found at https://sites.google.com/a/alaska.edu/a-new-vision-for-the-university-of-alaska/

[6] The excel spreadsheet used to calculate of the data displayed in Figures 1-4 can be found at https://sites.google.com/a/alaska.edu/a-new-vision-for-the-university-of-alaska/

associate deans in the College of Arts and Sciences at UAA, reduce the number of research and program directors at UAF by merging small research and teaching programs, and reduce the number of (associate) vice chancellors in administrative programs and directors of research institutes and extended campuses at the three accredited universities by merging administrative functions.

Middle management staff positions include, but are not limited to, administrative management 1, 2, 3, 4, and 5, student services manager 1, 2, and 3, fiscal manager 1, 2, 3, and 4, and facility supervisor positions 1, 2, 3, 4, 5, and 6. For example, by merging administrative units, administrative management, student services and fiscal manager, and facility supervisor positions can be reduced at the three accredited universities.

The projected 35 staff positions associated with these middle management positions are proposed to be transferred to student services positions, such as academic advising, financial aid and enrollment services, etc.

3.3. Savings in Increased Efficiencies
Increased efficiencies include efficiencies in academic services ($1,000,000), research services ($2,000,000), HR services ($1,00,000), and IT services ($3,000,000) over three years. Over three years this could result in the elimination of about 24 positions.

Efficiencies in academic services include standardization and consolidation of academic services and practices, software, and other tools across the accredited universities to reduce duplication and costs.

Efficiencies in research include standardization and consolidation of services and practices (e.g., grants and contracts services, intellectual property, research integrity), software, and other tools across the accredited universities to reduce duplication and costs

Efficiencies in HR include standardization and consolidation of services and practices (e.g., investigations, employee services, HR functions), software, and other tools across the accredited universities to reduce duplication and costs

Efficiencies in IT include standardization and consolidation of services and practices (e.g., faculty and staff support, classroom support, IT functions), software, and other tools across the accredited universities to reduce duplication and costs.

3.4. Total Projected Savings
Total projected savings are $9,744,598 in year 1, $19,425,088 in year 2, and $28,951,469 in years 3-10 (Fig. 1). These are conservative estimates because no cost of living increases are included in savings numbers for the 10-year period shown in Fig. 1. In addition, for simplicity no additional savings are included, such as savings in travel, office equipment and supply costs. Also not included is the reduction of indirect cost recovery (ICR) to the Statewide office, which will be returned to research support.

4. Reinvestment of Savings of Restructuring Into Teaching and Research, and Student Services

The reinvestments in teaching and research, student services, projected additional tuition scholarship funds, projected additional tuition revenues, projected additional research revenues, and projected overall outcomes are discussed in this section.

To be conservative, the reinvestment costs do not exceed the projected savings from administrative restructuring in the 10-year period. This is despite using an annual 3% cost of living increase for salaries, benefits, startup funds, and recruitment costs. Therefore, the reinvestment allocations are at no additional costs to the University of Alaska and the State of Alaska over the 10-year period, while providing competitive salary and benefits to faculty and staff.
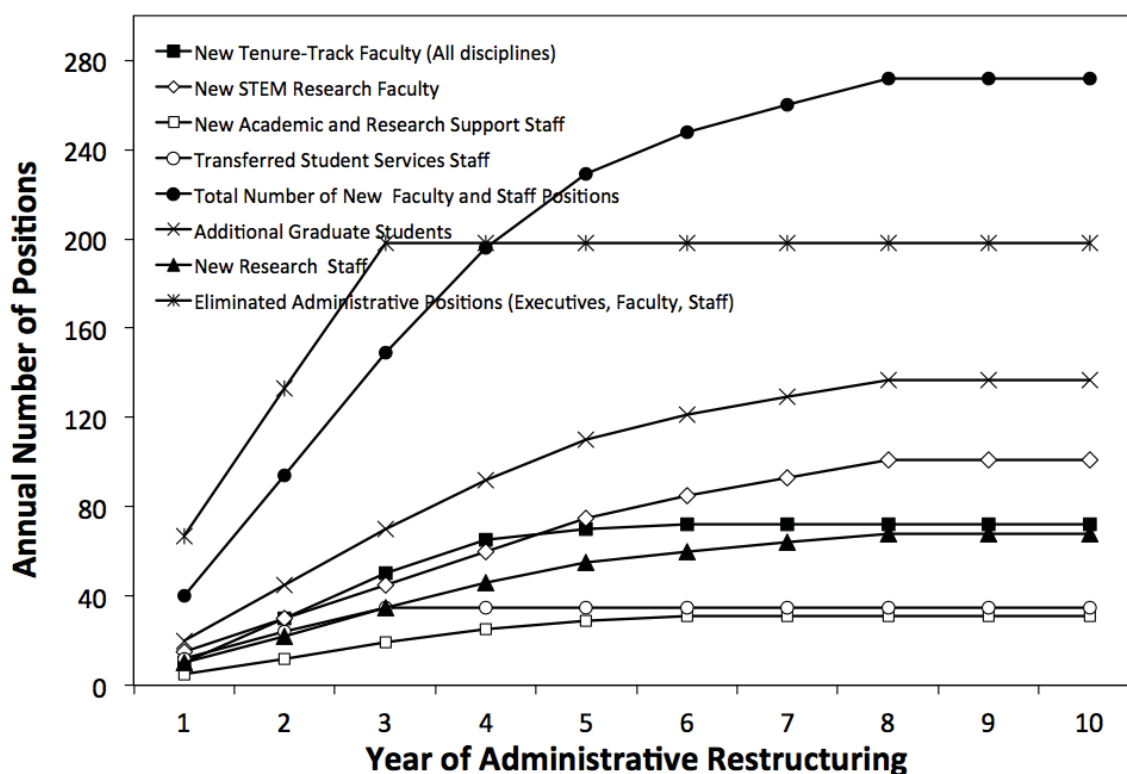
Figure 2. Projected number of new tenure-track and STEM research faculty, academic and research support staff, research staff, student services staff, and graduate students as a result of administrative restructuring and reinvestment in the academic mission of the University of Alaska for a 10-year period.[6]

In addition, projected additional revenues from tuition and unrestricted research, i.e., ICR, remain unallocated. I expect that these additional revenues will be used to strengthen the academic mission of teaching, research, and service by hiring additional faculty and staff, increasing teaching and research support, strengthening student services, and State of Alaska reductions in general fund allocations. I expect statewide and accredited university administrative positions to increase no more than the proportional increases in faculty and staff numbers after the administrative restructuring

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is complete by the end of year 3.

4.1. Teaching and Research

New faculty positions: For faculty hires, a starting average salary of $75,000, startup funds of $50,000 (tenure-track) and $200,000 (STEM research), and $10,000 in recruitment costs is projected in year 1. For staff hires, a starting salary of $50,000 and $7,500 in recruitment costs is projected in year 1. A 3% cost of living increase is added each year. Startup funds and recruitment costs are a one-time expense for each new faculty and staff member, while salary and benefits are recurring costs.
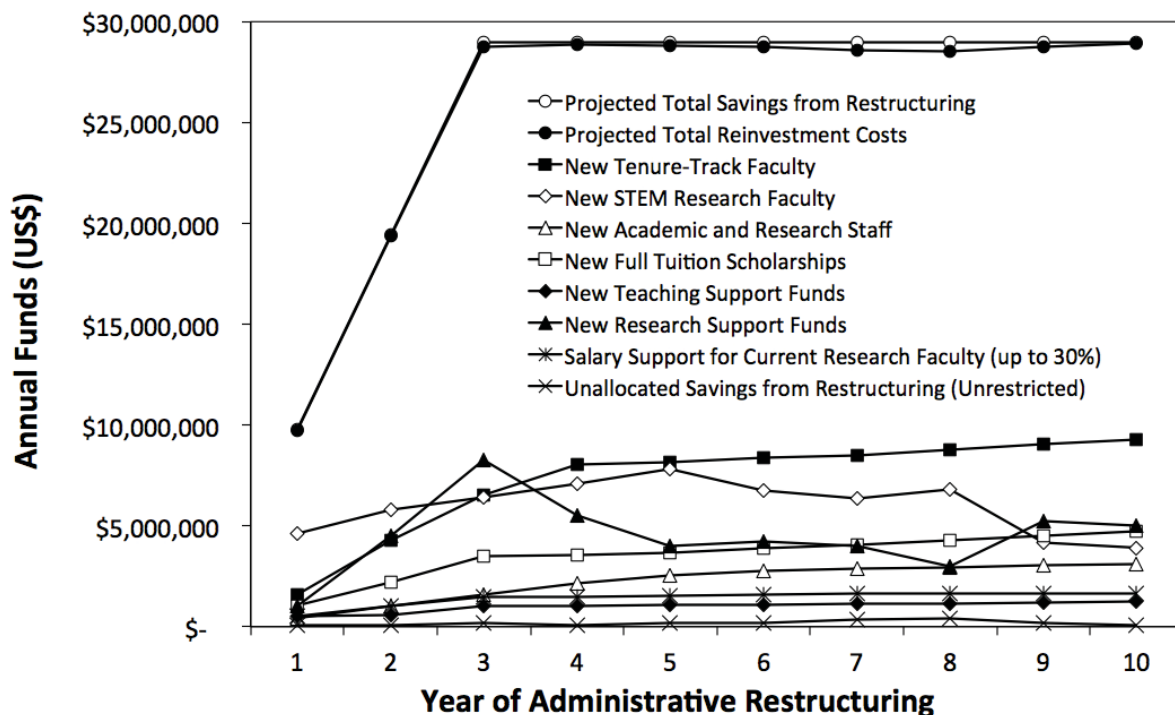
Figure 3. Projected costs in US$ of reinvestment of administrative restructuring savings into new tenure track and STEM research faculty, academic and research staff, full tuition scholarships, teaching and research support funds, salary support for current research faculty, and unallocated savings from restructuring as a result of administrative restructuring and reinvestment in the academic mission of the University of Alaska for a 10-year period.[6]

During the first six years, the savings of administrative restructuring are projected to be reinvested in 10, 20, 20, 15, 5, 2 new tenure-track faculty positions, in year 1, 2, 3, 4, 5, and 6, respectively (Fig. 2), distributed across all disciplines that have growth potential as determined by processes such as Strategic Pathways[7], program reviews, and faculty governance. Projected reinvestment costs are shown in Figure 3.

Tenure-track faculty will receive a standard 9-month contract and can receive up to three additional months of salary funded by grants and contracts and other contract extensions.

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[7] UA Strategic Pathways: http://www.alaska.edu/pathways/

During the first eight years, the savings of administrative restructuring are projected to be reinvested in 15, 15, 15, 15, 15, 10, 8, and 8 new STEM research faculty positions, in year 1, 2, 3, 4, 5, 6, 7, and 8, respectively (Figs. 2 and 3), distributed across research fields that have growth potential as determined by processes such as Strategic Pathways, program reviews, and faculty governance.

In the first year of hire, the STEM research faculty will receive up to a 9-month contract and can receive up to three additional months of salary funded by grants and contracts and other contract extensions. During the second year research faculty will receive up to a 5.86-month contract (65%) and the third year up to a 2.7-month contract (30%), which will continue for as long as they are employed.

This salary structure will be very competitive for STEM research faculty, which is expected to result in hiring the most competitive faculty in the US and maximizing the return on investment. Research faculty are expected to supplement their annual 12-month salary by up to 9.3 months per year funded by grants and contracts and other contract extensions during their third year of hire and beyond.

New academic and research support staff positions: During the first six years, the savings of administrative restructuring are projected to be invested in 5, 7, 7, 6, 4, and 2 new academic and research support staff positions, in year 1, 2, 3, 4, 5, and 6, respectively, to provide support for teaching and research (Figs. 2 and 3).

New research staff positions: During the first eight years, new research staff, including laboratory technicians and postdoctoral fellows, are projected to be 10, 12, 13, 11, 9, 5, 4, and 4 in year 1, 2, 3, 4, 5, 6, 7, and 8, respectively, funded by new federal and state grants and contracts (Figs. 2 and 3).

Consequently, tenure-track faculty positions are projected to increase by 72, STEM research faculty positions by 101, teaching and research support staff by 31, and research staff by 68 by the end of year 8, to a total of 272 new positions (Figs. 2 and 3).

New graduate student positions: Assuming that each tenure-track and research faculty member will have at least 0.5 and one graduate students, respectively, on average each year, the number of graduate students is projected to increase by 20, 25, 25, 22, 18, 11, 8, and 8 in year 1, 2, 3, 4, 5, 6, 7, and 8, respectively, to a total of 137 annually by the end of year 8 (Fig. 2).

The graduate students will be paid as research assistants on grants and contracts or as teaching assistants by academic departments. At the very least administrative restructuring and reinvestment will secure UAF's Carnegie Basic Classification of Research University, High Research Activity and will provide the initial step towards obtaining the Carnegie Very High Research Activity classification.

Teaching Support Funds: Teaching support funds include faculty development travel funds, teaching assistantships for graduate students, undergraduate research stipends and research support, instructor support, etc. These funds exceed $9.9 Million in the 10-

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year period (Fig. 3).

Research Support Funds: Research support funds include matching funds for state and federal grants and contracts, research bridging funds, research development funds, laboratory renovations, etc. These funds are projected to be $44.75 Million in the 10-year period (Fig. 3).

Salary Support for Current Term faculty: To provide the same level of salary support for current term research faculty as compared to the new research faculty to be hired, funds are set aside for up to 30% of a 9-month contract, which are projected to exceed $14.1 Million over the 10-year period (Fig. 3).

Unallocated Savings from Administrative Restructuring: Proposed unallocated savings from administrative restructuring exceed $1.7 Million over the 10-year period, which represent unrestricted funds.

4.2. Student Services

During the three-year administrative restructuring period, 12, 12, and 11 staff positions in years 1, 2, and 3, respectively, that were previously supporting middle management administrative positions at the accredited universities, will be transferred to student services to strengthen academic advising, financial aid services, enrollment services, etc. (Fig. 2). This is projected to increase student enrollment, retention, and degree completion. These positions do not incur additional costs.

4.3. Projected Additional Tuition Revenues

The projected additional tuition revenues are conservatively set at an additional 1% per year starting in years 2-5 and 2% in years 6-10, based on $125,000,000 current annual net tuition revenues. Tuition is projected to increase 5% per year (Fig. 4). This additional increase in tuition revenues is based on a projected additional increase of 1% per year in student full time equivalents (FTEs) in years 2-5 and 2% in years 6-10 as a result of increased enrollment and retention.

In year 10, the projected additional tuition revenue approaches the initial reinvestment amount at just over $27 Million. Without additional investment, additional tuition revenues after the initial 10-year period are expected to increase 5% each year. For the entire 10-year period, the total additional tuition revenues will exceed $104.3 Million without any additional costs to the University of Alaska or the State of Alaska.

Student degree completion rates are also expected to increase by 1% per year in years 2-5 and 2% in each of years 6-10 because of better student services and projected enrollment of better-prepared students due to the raised academic reputation of UA. The assumption is that once students complete a two- or four-year degree under the new UA vision (first cohorts in years 1-5), these students are expected to contribute to strong new recruitment potential because of their more positive experiences, which is expected to result in increased student recruitment.
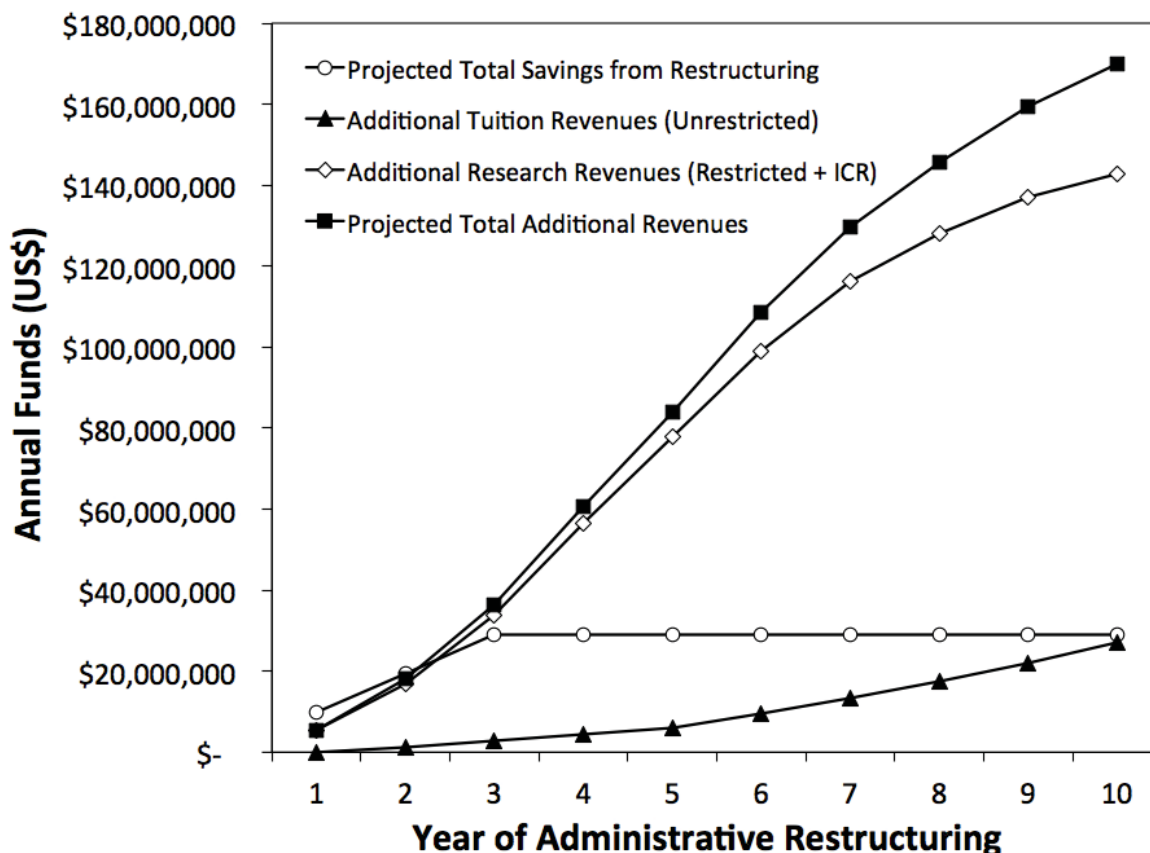
Figure 4. Projected tuition and research revenues in US$ as a result of administrative restructuring and reinvestment in the academic mission of the University of Alaska for a 10-year period.[6]

4.4. Projected Additional Tuition Scholarship Funds

A total of 150, 300, and 450 full tuition scholarships are projected to be established for students enrolled in degree programs, in year 1, year 2, and years 3-10, respectively. The assumption is that 30 credits represents about $7,000 in tuition on average for year 1. Tuition is projected to increase 5% each year. By year 10, the projected additional tuition scholarship funds will have reached $4.7 Million (Fig. 3). For the entire 10-year period, the total projected additional tuition scholarship funds is projected to exceed $35.3 Million without any additional costs to UA or the State of Alaska. This will allow students of limited means to complete an education at UA.

4.5. Projected Additional Research Revenues

The projected additional research revenues are estimated at 5.48%, 16.74%, 33.75%, 56.38%, 77.88%, 99.13%, 116.4%, 128.06%, 137.14%, and 142.7% in year 1, 2, 3, 4, 5, 6, 7, 8, 9, and 10, respectively, which reflects grants and contracts brought to the University of Alaska by the new faculty. New faculty members are expected to develop a fully functional research program in four years. Therefore, the additional research revenues are based on 25% success compared to current tenure-track and research faculty in the first year, 50% in the second year, 75% in the third year, and 100% in the

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fourth year of employment by UA. I project that one fourth of the faculty bring grants to UA when they are hired.

In year 3, the projected additional research revenues surpass the total reinvestment amount of $28.95 Million. In year 10, the projected additional annual research revenues will have reached $142.7 Million (Fig. 4). Without additional investment, additional research revenues after the initial 10-year period are expected to stabilize at year 10 levels. For the entire 10-year period, the total projected additional research revenues are $813.66 Million without any additional costs to UA or the State of Alaska.

This increase of focus on cutting-edge externally funded research at the University of Alaska will have other research benefits. Faculty already at the University of Alaska will benefit by having more colleagues in their field of research to collaborate with and to discuss ideas with. The new faculty will also bring new grants and contracts funded equipment to the University of Alaska, which will be available for others to use. Furthermore, the ICR from grant and contracts can also be used to upgrade existing research facilities. This reinvigoration of research activity at UA is not included in the projections of growth in research revenues to keep the projections conservative.

4.6. Projected Overall Outcomes

The new vision for UA by reinvesting in the academic mission of UA is expected to significantly raise the academic and research reputation of the university, increase student enrollment, retention, and degree completion and therefore tuition revenue, and increase revenues from additional research grants and contracts.

This new vision will provide the opportunity to change the culture at UA to one that is entirely focused on the academic mission, student services, and accountability. Administrators will be focused on supporting faculty and academic staff, staff will be focused on supporting faculty, and faculty will step up to additional leadership roles and work collaboratively with staff and management.

By holding all UA employees to a high level of accountability this new vision can be realized.

This action plan should be implemented immediately, because projected new revenues can be used to offset additional cuts in state funding by generating new tuition and research revenues and thereby diversifying the sources of revenue of UA.

I am hopeful that Governor Walker and the Alaska Legislature will see the benefits of this proposal and minimize the state imposed cuts to the UA general fund so that the full benefits of this new vision for UA can be realized. Any cuts to the savings will proportionally reduce the new tuition and research revenue projections and reduce the ability of UA to weather the state fiscal crisis and become more financially independent from state funding.

5. Projected Positive Impacts of Administrative Restructuring and Reinvestment in the Academic Mission

The UA restructuring and reinvestment in the academic mission reduces bureaucracy and streamlines the academic mission and student services. Consequently, faculty, staff, and students can focus on the academic mission instead of bureaucracy imposed by middle management.

It puts all academic, research, and student affairs at the three accredited universities where it belongs.

By maintaining the three separately accredited universities, no university or program accreditations are at risk. In addition, reestablishing accreditation for one university and programs would cost a projected $15-20 Million in a three-year period, so this would not be cost effective at the very least and could result in loss of accreditation of programs that are currently accredited.

The economic impact to the communities is very positive as projected total additional revenues over the 10-year period exceed $918 Million without any additional cost to UA or the State of Alaska.

Reinvestment in academic programs is projected to increase enrollment due to the raised reputation of academic programs and larger research activities, to more students staying in state for higher education, and to larger out-of-state enrollment.

Reinvestment in research will result in increased state and federal grants and contracts, increased reputation of research, increased research and creative activity productivity, e.g., peer-reviewed journal articles, books, patents, commercialization opportunities, and larger numbers of graduate students.

Reinvestment in student services will result in better academic advising, increased student retention, shorter time to degree completion, and higher completion rates.

6. Projected Negative Impacts of Administrative Restructuring and Reinvestment in the Academic Mission

The three accredited universities may have difficulty agreeing on the UA system and university-level academic and research priorities. This will require strong leadership from the Board of Regents (BOR) and the President.

Some administrative services will be lost or reduced. The BOR will have to request information not only from the Statewide office, such as for budget, legislative, auditing, and UA Foundation information, but they will have to receive academic and research information from the accredited universities. The accredited universities will have to work together well, which will require strong leadership from the BOR and the President.

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I do not see any other major deficits in other services, including federal and state mandates, as those related to academic and research issues are already handled at the accredited universities, and the General Counsel's office will remain in the Statewide office.

Approximately 198 middle management and staff positions will be eliminated by the end of year 3, which will be a significant impact on the employees affected. However, some of these employees may be able to find employment in the 35 new student services positions or the 68 new research staff positions.

A New Vision Allows the University of Alaska to Reach the Top of Denali!

Please contact me at abultito@alaska.edu.

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UA Google Apps After Action Review

UNIVERSITY
of ALASKA
Many Traditions One Alaska

Prepared by:

Jim Bates

10/13/2016

Contents

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Executive Summary

A decision to adopt a single email and calendaring system was made on April 14th, 2016. This decision was a part of a larger statewide strategic approach to budget deficits and how the University of Alaska System could better collaborate to meet these challenges. The specific deadline allotted for this initiative was 30 days, or by May 14th.

UAA was unable to comply with the given deadline and complaints regarding numerous challenges were being directed to President Johnsen. An after action review (AAR) was initiated through CITO, Karl Kowalski, and assigned to Jim Bates, consultant on contract with Business Improvement Group.

The findings of this AAR will demonstrate that the decision to adopt a single system was made to solve very specific problems associated with maintaining and operating disparate systems and was made in alignment with the core principals of the Strategic Pathways' endeavor. The decision itself was good but lacked the proper vehicle required to vet and execute such an enterprise initiative in order to achieve the best outcomes.

The current state at the time of the directive was different for each institution. Statewide and the University of Fairbanks staff, faculty and students, and UAA Students were using Google Apps, an external outsourced solution for email and calendaring, and had been for a number of years.

The directive was mainly impactful to UAA and UAS staff and faculty who were internally sourcing the use of Microsoft Exchange and Outlook and were collaborating in their use of those tools for email and calendars.

UAS was able to convert their user emails to Google Apps in the allotted timeframe but at the time of this audit were still working on backend processes in order to provide functionality accomplished differently within Google.

UAA on the other hand encountered numerous challenges due to the sheer amount of users, integrated workflows and backend processes, and a lack of expertise on the new system. UAA users were not completely migrated until August 19th and of approximately 350 departmental accounts 88 were migrated as of October 13th. The findings of this report will provide evidence to support the delay and challenges associated with the complexity and timeframe allotted.

The recommendations offered in this report include:

- An opportunity for leadership to conduct a lesson's learned and communicate a way for improving these kinds of decisions and deployment in the future
- A list of strategic and organizational opportunities to deal with root causes to minimize impacts of future enterprise IT initiatives
- An immediate draft work plan to deal with current challenges and how to develop a path forward

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- An analysis of this initiative from a project management perspective to demonstrate project process maturity and performance

Background Information

Ideally the University of Alaska system would share a common method for effective and efficient communication and collaboration. One of the most used ways of communicating within the university system and with external participants is email. The majority of currently available email systems include ways to collaborate schedules and appointments (i.e. calendars).

However, the diverse institutions within the University of Alaska system were using disparate email applications, namely Google Apps and Microsoft Exchange /Outlook. This caused several problems for executives, faculty, students, and associates which include:

1. Lack of a unified directory services methodology and a single Global Address List (GAL) for managing email contacts, groups, and distribution lists.
2. Lack of a single calendar and scheduling method integrated with the GAL mentioned above.
3. Costs associated with operating and maintaining disparate email systems.

On April 14, President Johnsen announced 113 recommendations including reductions in functions or positions, changes in the location of work being done, and changes in how Statewide collaborates with campuses. There were deadlines associated with each recommendation varying from done or no change to 30-, 60-, or 90- days. The following excerpt is the detail regarding the announcement establishing a single email and calendaring solution:

Decision	30 Days	RACI Individual(s)	Status
Establish Single email and calendar solution through Google Apps to streamline communications and calendaring.	X	R: CIOs A: CITO C: Summit Team/ SAC/Pres Cab I: University Community	
*Note: It was reported that the 30 day timeframe was not communicated directly or collaboratively to the University CIOs. Nearly half of the allotted time was expended before the first meeting between the CITO and the CIOs could be arranged. The 30 day time period also coincided with end-of-semester/finals week – typically a time when there is a freeze on any substantive IT infrastructure changes. As an additional time constraint the migration to Google Apps was not the only major project announced on April 14th. A mandate to implement a single instance of Blackboard was also announced requiring commitment of the same technical resources. Two major initiatives running simultaneously caused resources conflicts as resources were reallocated from one initiative to deal with challenges on the other.			

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President Johnsen through CITO, Karl Kowalski, engaged Jim Bates with Business Improvement Group to perform this AAR.

The AAR was requested due to delays in UAA meeting the original schedule and faculty complaints directed to President Johnsen regarding issues associated with the transition.

As part of Strategic Pathways and as an effort to be transparent and collaborative, President Johnsen and CITO Kowalski wish to discover causation and gain insight on how to respond to stakeholders. Mr. Bates received initial information from CITO Kowalski in the first week of September. Official launch was via a phone meeting on September 20th. Interviews and discovery were started and further instructions regarding scope were conveyed on October 8th.

Audit Approach

Business Improvement Group was engaged to conduct an after action review (AAR) with the specific instructions to start from the directive to move to a single email / calendaring solution. Due to the relatively short timeframe given, the results are high-level but include enough information to make determinations. The auditor is available for further clarification and analysis as needed.

The audit findings were collected utilizing interviews, meetings, project artifact review, research, and analysis. The audit was conducted by Jim Bates who holds a Master Certificate in Project Management from Villanova University and is a certified Project Management Professional (PMP) through the Project Management Institute (PMI). Mr. Bates has also conducted numerous audits on Information Technology (IT) projects and systems as a Certified Information Systems Auditor (CISA) with ISACA. Mr. Bates is also HITRUST certified and has conducted HIPAA/HITECH audits and risk assessments in accordance with 45CFR and can provide assistance in this area if desired.

Audit Objectives

The objectives of the Audit are outlined below:

1. Conduct an After Action Review (AAR) to:
   a. Discover why the conversion to Google Apps was not completed in the allotted timeframe
   b. Provide discovery regarding stakeholder challenges and reported issues
   c. In conducting the review needed for "a" & "b" above, answer the following questions:
      i. What were the technical contributors to the delay and/or challenges?
      ii. How did the human resources contribute to the delay and/or challenges?
      iii. What other contributing factors caused the delay and/or challenges?
      iv. What did not occur to result in this?
      v. Are the issues reported by stakeholders factually correct?
      vi. What is Leadership's role in this?

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2. Determine the broader opportunity to learn from this project and provide recommendations to create a framework for future enterprise projects and IT governance.
3. Report on project status from a performance and lifecycle perspective
4. Report on Business goals of the project
    o Compare current state and costs to future state and costs and benefits
    o Understand how project investment will transform the University's business functionality
    o Determine if project outcomes will support future transformation
        ▪ What technology is being used?
        ▪ Will it support an overall Identity Management framework and other strategic goals?
        ▪ Will compliance requirements be met by the current project outcomes?
5. Benchmark project goals with other efforts (other state email conversions)
    o Determine metrics to measure how our project compares
    o Identify and map gaps in the comparison

Audit Findings

The decision to transition to a single unified system for email and calendaring was a good decision when weighed against the problems caused by maintaining disparate systems. However, the system-wide lack of mature IT Governance, IT Polices, Enterprise IT Portfolio/Project Management, Enterprise Architecture, and Communication Management provided for an inadequate vehicle in the execution of this decision.

Ideally the University of Alaska system would adopt best practices, frameworks, and standards to provide a way for strategic decisions to be vetted against requirements, risks, and impacts to ensure excellence in tactical execution of those decisions.
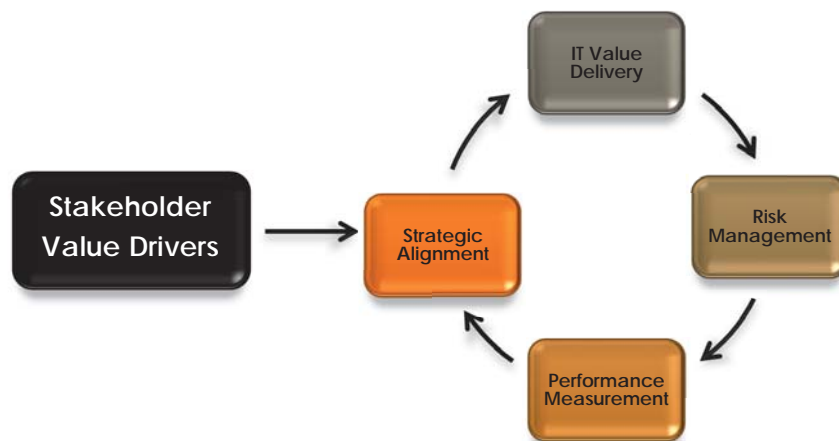

Figure 1

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As depicted in **figure 1**, decisions should consider strategic alignment, financial benefits, business impacts, regulatory requirements, risks, stakeholder value, and how to measure performance.

In answering the question "Why the conversion to Google Apps was not completed in the allotted timeframe?" the following categories will form a basis for how each contributed to the delay and/or posed challenges: Technical Contributors, Human Resource Contributors, Other Contributing Factors, What Did Not Occur, and Leadership's Role.

Discovery regarding stakeholder challenges were categorized as follows: morale issues, communication issues, functionality issues, regulatory compliance issues, compatibility issues, schedule issues, workflow issues, resource issues, and support issues. The findings are not exhaustive but fall within the scope and timeframe for this initiative and address the major contributors, factors, and challenges associated.

Technical contributors

Email and calendaring are part of a broader network of collaboration and identity management.

Infrastructure and systems currently in place, which serve to authenticate users based on identity and roles, dictate workflow and were not given ample credence in the time allotted for the successful outsourcing of the associated email and calendar functions. Thus, outages were experience while workarounds and workflow were analyzed and implemented.

Because of the nature of outsourcing these front-end processes, reliant upon integrated backend services (such as MS Active Directory Services with built in role based security and access functionality), compliance issues were brought into question needing time for proper analysis and determination.

The lack of a Global Address List (GAL), which is disabled in Google Apps, remains one of the key functionalities that were lost with this migration.

An abbreviated list of Other Technical Contributors (these will need to be evaluated for impact and remediation):

- Sponsored accounts will require manual provisioning
- Google migration services have random outages
- Max size of a group distribution list in Google Apps is 500 users per day per group
- Emails greater than 25mb won't migrate
- Recurring calendar items with no end date will not migrate
- Calendar attachments have not migrated correctly
- Outlook signatures must be reconfigured manually in Google Apps
- Outlook rules do not migrate
- Google Apps does not support a department email/calendar account paradigm

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A diagrammatic representation of UAA's plan to deal with the migration is depicted in **Exhibit B.**

Human resources contributors

- Resources were limited by schedule conflicts dealing with two major initiatives, Google Apps and a single instance of Blackboard. A project resource plan was not clearly articulated from an enterprise perspective demonstrating balancing these initiatives with regular IT operations and support duties
- Resources lacked training and expertise
- Resource morale issues caused by these contributing factors reflected in some staff's engagement or lack thereof
- Complaints regarding Google vendor support were verified – better project support for transitioning during the project could have been better planed and coordinated
- Resources conveyed a sense of abandonment by leadership – perceptions were that they were on their own to solve problems without support or aid from leadership and the mandate hung over their head as a punitive rather than a collaborative initiative.

Other contributing factors

- Policy and procedure factors include:
  - o **Lack of (or insufficient) enterprise policy and procedures on outsourcing systems of record** – Guidelines are in place but need an overarching policy
  - o When the decision was made to go to Google Apps, there were two disparate systems:
    - ▪ An outsourced email system that met certain business requirements and needs – Google Apps
    - ▪ And an insourced system of record that had evolved over time and encapsulated identity / role base authentication / access and included an integrated collaboration management system. Complex workflow was built on this system. Google Apps was not a simple direct replacement in terms of functionality and more time and resources were/are required to integrate the outsourcing of the mail and calendaring functions. In moving the user accounts to Google much of this workflow and functionality were "broke" – some temporarily and others are still pending resolution.
  - o **Lack of fresh policies regarding email and collaboration** – Policies should have a refresh cycle and be reviewed for relevance at least annually.
  - o **Lack of (or insufficient) role based security and management of records** – Assigning a user account without defining roles causes numerous issues regarding access to data and separation of duties. Least Privilege is an IT security concept that helps ensure that user only access information on a "need-to-know" basis. Not having a way to manage for instance the separation between student and faculty can cause regulatory violations

regarding access to protected information. One of the issues brought up was the compliance with federal regulation for HIPAA and FERPA. These federal regulations require auditable systems to be in place to demonstrate "due diligence" while ensuring compliance. While pockets of excellence were observed, overall governance, support, and delivery were lacking maturity.

- o **Lack of (or insufficient) data loss prevention (DLP) policies and procedures on how data is classified, stored, transmitted, and retrieved** – having good policies, processes, procedures, and technology in place is one of the best ways to ensure compliance with regulatory mandates and to protect information from bad actors. Although email in and of itself is a microcosm of this universe, it is observed as a vulnerability without a robust enterprise approach to the whole.
- o **Lack of coordinated Regulatory Compliance Management** – Issues:
  - 49 services were disabled for HIPAA users until work-arounds or fixes are incorporated
  - 3 Services require end-user training for HIPAA compliance
  - OIT online user focused documentation is not completely current or enterprise focused

There appears to be confusion on understanding the HIPAA requirements and what being in compliance means. Information is included in the regulatory compliance **Appendix D** to provide guidance and help clear up that confusion.

FERPA issues are still being investigated to ensure that an outsourced non role-based system allows for protection of student information. The one example (albeit most likely a rare one) was given where a faculty member could be disciplined for inappropriate student contact and even terminated but show up as a student at one of the other system universities and have access to the faculty email because of lack of role separation. An immediate fix would be to immediately deactivate email accounts upon separation and flag those accounts not eligible for reinstatement as currently classified. This can be implemented via policy, procedure, and controls and should be determined as part of an overall strategy.

What did not occur

There is lack of evidence to support that best practice project management was used in this endeavor. Enterprise projects are typically impactful to many stakeholders and are fraught with risk. A charter authorizing the work, outlining the high-level scope, time and costs of the project would have provided a control document and the needed inputs for confirming stakeholder requirements an initiating the creation of a good project plan and assessing the risks.

Note: The Project Plan forms the baselines for the project scope, time, cost, and quality at a minimum. We plan the work, and then we work the plan. While we are delivering the work packages of the project we monitor and control the performance by comparing activities

and outcomes to the plan – planned vs. actuals. Integrated Change Control helps us make required changes to the baselines and typically is part of a project governance approval process.

Lack of a requirements document that included features, functionality, workflow (use cases), and regulatory mandates contributed to being in reactive mode.

Lack of current and relevant Policies, Effective and Efficient IT Governance, Robust Change Management and Risk Management were other contributors.

Complex projects as this one require, meetings, workshops, subject matter expertise, and copious amounts of communication to understand challenges.

A core issue was the lack of addressing that moving from Exchange to Google Apps was more than merely an email system migration. Exchange and Active Directory are heavily integrated with a plethora of Microsoft Applications that were built using the role-based feature set included in AD. Functionality and workflows that were developed over time will need to be retooled for the Google Apps system and will take time and resources. Good project management practices could have addressed this issue.

Leadership's role

Leadership could have provided a more collaborative method for deployment. This includes leadership from each institution involved in this endeavor. A major role of IT - as a service organization - is to proactively mitigate impact to consumers.

There was evidence of a prior brand war and a sense that each side didn't think the other was hearing their concerns. On the OIT side, frustration in not being able to lead to a single solution, and from UAA and UAS a feeling that they were being forced to use a system without a plan on how to meet current requirements.

Additionally it is typically leadership's role to provide the strategic and tactical ways to ensure successful outcomes and provide stakeholder value. IT is a service function and underpins almost every business function that we undertake in our daily jobs. When IT does not properly bring value to the consumers it has lost its purpose and becomes an obstacle.

Typically the root cause of the problem is the lack of maturity surrounding the vehicle that leadership uses to make and execute decisions. Such decisions and their effective deployment should clearly demonstrate stakeholder value. The strategic recommendations contained in this report provide for a framework and approach in dealing with this root cause, which when removed promote a collaborative value delivery methodology that helps to dramatically reduce blame-placing.

Project Current State

Another objective of this AAR is to report on project status from a performance and lifecycle perspective. The following section summarizes those objectives.

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This auditor found very little evidence to support an initial best practice enterprise project management approach to this initiative. Lack of a mature Project Charter and concomitant Project Plan were contributors to the lack of coordination and communication regarding scope, schedule, resources, budget and support of the project. With no clear definition and delineation between holistic project management lifecycle groups - Initiating, Planning, Executing, Monitoring and Controlling, and Closing - the lifecycle is difficult to report. Moreover, without Scope, Time, Cost, and Quality baselines, Project performance that compares what was planned to actuals is also vague at best.

Due to the silos within the UA system the project was found to be at various states of competition and differed substantively by institution.

Statewide and UAF were, for the most part, already using Google Apps and had relatively no issue with meeting the objective. Information from CITO, Karl Kowalski, is attached as UA/F **Appendix C**

UAS was in compliance by the given date but at the time of this audit was continuing to work on backend processes to address functionality accomplished differently in the new environment. UAS developed their own project plan to first comply with the deadline and then subsequently with the functionality of backend processes. Provided input is reflected in the UAS **Appendix B**

UAA has dealt with the most challenges regarding the conversion to Google Apps and are still dealing with the conversion and transition. The current UAA environment - at the worst and most prevalent - was found to be one of frustration, confusion, and lack of morale. Confidence in how decisions are made and deployed is at the low-end of the scale. UAA developed a comprehensive Project Plan on how to deal with their challenges and is attached as **Exhibit A**. Many other artifacts were provided and are included in the UAA **Appendix A**

Recommendations

Business Improvement Group has divided recommendations into two groups, **Proactive Root Cause Remediation** which addresses the more strategic fixes, **and Immediate Draft Work Plan** to deal with the current challenges. Both groups should be considered simultaneously to ensure the best path forward:

Proactive Root Cause Remediation

1. **Demonstrate Leadership:** Use this project and its challenges as an opportunity to move forward. Executive management should own the decision, apologize for and explain the reasons for the challenges in executing the decision, and outline a path forward ensuring effective and efficient future enterprise (System wide) decision making and deployment for such initiatives. Leadership should demonstrate alignment to the Vision, Mission, and core values of the enterprise including financial business cases, and assessment of impact to key partnerships including K-12, the

State of Alaska Department of Education, and others as required. The following strategic recommendations (2-8) provide consultative input on such a path forward and should be considered in a strategic planning session facilitated by a firm like Professional Growth Systems and include Business Improvement Group as a SME.

2. **Strategic Direction:** Develop, deploy and communicate a global IT strategy that aligns with the global business mission and vision in a fashion that incorporates measureable outcomes.

3. **Execute Flawlessly:** Continue to develop and implement a best practice IT governance framework to guide a successful decision making process and concomitant tactical and operational deployment methodology. Empower, elevate, and support an enterprise project management function that operates under the charter of IT / business governance while providing best practice project management to enterprise initiatives.

4. **Provide Guidance:** Continue to develop high-level IT policies to help guide operations and ensure compliance with strategic direction, regulatory requirements, and core values. Policies should include information to guide decision making on buy vs. build, insource vs. outsource and inputs for procurement and contract management.

5. **Standardize Operations:** Develop mature processes, procedures and controls under the policies as a way to define the standard way of doing things. Work toward developing an Enterprise Architecture with a Service-oriented focus to ensure that IT decisions select and deploy apps that meet standards and comply with requirements and regulations.

6. **Avoid Failure:** Provide a robust Change Management process for enterprise change requests and approvals. And develop a Risk Management method that encompasses a holistic view of assets, vulnerabilities, threats, likelihood, impacts, and responses. Integrate Risk and IT Security into the architecture

7. **Ensure Success:** Develop a performance management system utilizing the "metrics that matter" to ensure balanced successful outcomes.

8. **Communicate Continually:** Understand communication requirements for all stakeholders and communicate to the right people in the right way at the right time while providing for feedback and response.

Immediate Draft Work Plan (in conjunction with #1 above)

1. Review the recommendations above to ensure that immediate work is relevant and ensures the best long-term strategic fit and purpose.

2. Compile a list of the problems that UA was initially trying to solve. If any had an associated cost benefit analysis, ensure that performance is assessed and analyzed.

3. Assemble an inventory of all current project challenges and issues including a description and status for each.

4. Facilitate a collaborative workshop with subject matter experts and stakeholders to adopt a communication / collaboration management strategy to include a continued path forward with milestones.

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5.   Suggested participants to include:
   a.   Google support – as needed
   b.   Microsoft support – as needed
   c.   UA CITO and Tech Staff
   d.   UAA/UAS CIOs and Tech Staff
   e.   Pertinent Agency stakeholders – as needed
   f.   Possible other industry leaders – including peer universities
6.   Develop a roadmap that includes technology, resource, budget, time, and regulatory requirements needed to successfully realize strategy from step 2.
7.   Determine (based on outcomes from workshop above) if Google Apps project will integrate with current technology and requirements as-is or require modification. Determine offsets of initial problem solving and weigh resources associated with resolving subsequent challenges.
8.   Conduct a "Risk Analysis" in accordance with Section 164.308(a)(1) of the HIPAA/HITECH Security Rule (Business Improvement Group offers these services)
9.   Present findings, analysis, and recommendations to executives to make final determinations regarding path forward.

The above draft will need to be discussed with critical stakeholders to gain consensus and elicit details required to decompose the task outline into actual work packages and schedule.

Depending on priority assignment and resource availability I believe that the work required in the draft steps 1-7 could be accomplished in 2 to 4 work weeks.

The following Exhibits and Appendices have been attached as the most relevant. The review produced many documents which were not attached directly in this report. They can be found at:
https://drive.google.com/drive/folders/0B2wI5d37EyNPOVdsVFJVc0N5bnM

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Exhibit A – UAA Project Plan Document

Email Migration
Project Plan.xlsx

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UAA Email Migration Workplan

Task	Assigned	Due	Completed
Project Organization			
Schedule project meetings	Adam	6/16/2016	6/17/2016
Leads and Coords Presentation	Adam	6/8/2016	6/15/2016
Develop initial workplan draft	Adam	5/9/2015	5/9/2015
Communication and Administration			
Develop communication timeline for upgrade	Adam	6/15/2016	6/15/2016
Discuss Google Apps operation/migration with peer institutions	Pat/Adam	6/2/2016	6/2/2016
Initial communication to faculty senate	Pat	N/A	
Initial communication to ACDLiTe	Pat	N/A	
Initial communication to eLearn	Adam	N/A	
Initial communication to Student Senate	Pat	N/A	
Select Pilot Phase 2 group	Adam	6/1/2016	6/14/2016
Develop migration process diagram	Adam	6/5/2016	6/5/2016
Initial communication to Pilot Phase 2 group	Adam	6/15/2016	6/15/2016
Draft communication to All Users regarding migration	Pat	6/16/2016	6/16/2016
Send Final draft of communication to All Users regarding migration	Pat	6/17/2016	6/17/2016
Develop project web site	Chris	6/17/2016	6/17/2016
Test plans shared with Pilot phase 2 group	Johnny	6/21/2016	6/21/2016
Pre-Migration Analysis			
HIPAA impacts	Pat	6/10/2016	6/10/2016
Analyze automated migration options	Johnny	6/10/2016	6/10/2016
Develop 3rd Party application impact list	ITS team	5/10/2016	5/10/2016
Create mail flow architecture diagrams	Johnny/Phil	5/27/2016	
TLS Connection			
Preliminary technical discussion	Adam	5/12/2016	5/12/2016
Technical discussion with SOA	Johnny	5/17/2016	6/10/2016
Set up test connection	Phil	5/20/2016	N/A

Notes
Held session with ITG instead.
Contacted Weber State, University of Arkansas Little Rock and Boise State. Discussed with WSU and UALR.
Informal communications with this group. Message to all exchange users sent on 6/17. Green and gold article began publication on 6/20
Informal communications with this group. Message to all exchange users sent on 6/17. Green and gold article began publication on 6/20
Informal communications with this group. Message to all exchange users sent on 6/17. Green and gold article began publication on 6/20
Group not available.
ITG has been selected. Migration to begin 6/21
Discussed w/ ITG
Reviewed process at project meeting and asked for feedback
Determine scope of affected users, processes, required settings in gmail. Several deans provided information.
1] Google Data Migration Service, 2] Bettercloud, 3] Migration Wiz (brief review of this tool: cost shows approx $56k)
1) Pre-migration (current), 2) Post-migration, 3) Additional stages as necessary
Encrypted email to State of Alaska
Johnny, Max, Phil, Nathan and Adam to discuss proposed connection, issues and next steps
Johnny to set up for week of 5/16
Use poc.alaska.edu to set up test connection to state. Task was not completed. Connection was brought up in production instead.

UAA Email Migration Workplan

Task	Assigned	Due	Completed
Upload @alaska.edu cert	Phil	6/24/2016	7/15/2016
Implement connection in production	Johnny	5/27/2016	6/15/2016
Pilot Phase I - UAS Manual Migration			
Initial project/phase overview	Mona/Adam	5/2/2016	5/2/2016
User communications	UAS	5/4/2016	5/4/2016
Test migrations	UAS	5/13/2016	5/13/2016
User mail flow cutover	UAS	5/13/2016	5/13/2016
Process monitoring	Johnny/Adam	5/31/2016	6/15/2016
Lessons learned discussion	Adam	5/31/2016	6/15/2016
Gmail environment validation and configuration			
Review Gmail best practices guide	Johnny	6/1/2016	6/15/2016
Provisioning/Deprovisioning diagram and documentation	Tom	7/15/2016	
LDAP integration	Johnny/Phil		
Enabled applications and services	Johnny	8/1/2016	8/1/2016
Pilot Phase II - ITG Automated Migration			
Technical discussion	Adam	6/1/2016	6/15/2016
Create impersonation account	Johnny	6/2/2016	5/24/2016
Test connection between systems	Johnny	6/2/2016	5/24/2016
Perform packet capture to determine bandwidth used during a migration	Johnny	6/15/2016	6/15/2016
Confirm OOO (Out of Office) setting is not impacted by setting the send restriction on an account	Johnny	6/15/2016	6/15/2016
Determine process for creating csv input file	Johnny	6/6/2016	6/15/2016
Determine departmental pilot group	Adam	6/6/2016	6/16/2016
Repoint mail flow for pilot group	Johnny	6/21/2016	6/23/2016
Run process for mail	Johnny	6/21/2016	6/23/2016
Run process for calendar	Johnny	6/21/2016	6/23/2016
Run process for contacts	Johnny	6/21/2016	6/23/2016
Run process for calendar resources	Johnny	TBD	7/1/2016

Notes

Workaround is in place, but cert is needed to do this right. Ask Max to get this cert when he gets back from leave.

Data point: migration ran at 83 mb/hour; UAS estimates the user migration process is throttled to 1 email/second

UAA/UAS teams, added OIT week of 5/23.

Most recent discussion at 9/6 all UA meeting: Tom to upload documentation and provisioning scripts to a repository available to the team. May not be possible in the timeframe allotted

Applications were reviewed and documented. Additional automatic provisioning process needs to be developed for all employees as well as separate processes for those handling PHI data.

Based on initial tests, expectation is 2-3 mbps bandwidth requirement.

Query all users from exchange, put in spreadsheet. Delete those that shouldn't be migrated. Select users in groups of 100. Group will be ITG

Not in scope for pilot

UAA Email Migration Workplan

Task	Assigned	Due	Completed
Process monitoring	Adam/Johnny	6/26/2016	7/1/2016
Compile lessons learned and incorporate into user FAQ	Adam/Johnny	6/26/2016	8/1/2016
Determine call center and support processes	Mark W.	6/26/2016	7/1/2016
HIPAA/FERPA Configurations			
Create AD group of individuals that must be HIPAA compliant	Johnny	6/25/2016	
Develop programatic process for using the AD group to provision gmail appropriately	Tom		
User Migrations			
Populate "Do Not Migrate" spreadsheet	Adam	6/24/2016	6/24/2016
Make necessary gmail modifications based on lessons learned		TBD	
Determine grouping for migrations	Chris	6/24/2016	
Modify routing to ensure traffic no longer takes the long way through fbx	Collin	6/24/2016	6/24/2016
Verify google traffic no longer takes the long way through fbx	Johnny	6/24/2016	6/25/2016
Elmo modifications	Mark H.	6/24/2016	6/23/2016
Begin user migrations	Johnny	6/26/2016	6/26/2016
User migrations complete	Johnny	7/18/2016	8/19/2016
Modify campus directory to update email addresses to .alaska.edu	Brandon	7/18/2016	8/19/2016
3rd Party Application Modifications			
Qualtrics			
Salesforce			
Frontrange			
Cisco prime			
Mapworks			
Advancement Mass Mailer (Direct Mail)			
Mail Merge (From Vince @Mat-Su)			
Multiple Scan to Email products			
Unity			
Skype for Business			
OU Campus			

Notes

This task is stalled at OIT

49 services must be disabled - see Google Services worksheet

Need list from Pat

Depending on performance benchmarking (determined in phase 2 pilot), migrations may need to be segmented

Change scheduled for 6/24

Remove "Exchange" routing option

Batches of 100

Post migration

UAA Email Migration Workplan

Task	Assigned	Due	Completed
Sharepoint			
UPS			
IMS			
Alert Central			
EqualLogic Arrays			
Nimble Array			
VMware vSphere			
Veeam Backup & Replication			
VeeamONE			
DPM			
ADC UPS units			
PDU's in ADC			
Milestone			
A10 Load Balancers			
Datrium			
Several custom applications and scripts			
Business process review and documentation			
TBD			
Departmental Accounts			
Develop strategy	Chris	8/15/2016	8/15/2016
Discuss w/ call center	Johnny	8/15/2016	8/15/2016
Develop and post information request form	Chris		8/20/2016
Send out notifications to accounts	Chris		8/20/2016
Convert accounts	Chris	11/15/2016	
Departmental Accounts			
Create naming convention	Chris	9/1/2016	10/1/2016

Notes

Examples include: Supervisor accessing a subordinate's account after separation, Expedient disabling of accounts, Expediting account creation, HR discovery processes

Approximately 800 accounts are in scope, however many are no longer used

Discussion w/ all UA group. UAS wants each MAU to decide. Martha to take to CMT for decision.

UAA Email Migration Workplan

Task	Assigned	Due	Completed
List Serve (Mailman)			
TBD			
Multifunction Devices			
TBD			
Dynamic Email Distribution Lists / Gmail AD integration			
TBD			
CBPP Public Folders			
TBD			
Clean up			
Delete unneeded exchange user documentation on website support pages		TBD	
GAL			
Develop process via script and banner data to create GAL	Johnny	9/1/2016	

Notes

Approximately 1500 distribution lists are in use by UAA. These need to be replicated and/or AD integration needs to be enabled.

Implementing AD integration first would be a more robust permanent solution
Solution reveals all addresses in the autofill - Karl to discuss w/ GC

Issues Tracking

Issue	Issue Type	Owner	Remediation	Closed?
Priority 1				
Sponsored accountswill require manual provioning	Migration	Johnny		
Google migration services have random outages	Migration	Johnny		
Priority 2				
Max size of a group distribution list in gmail is 500 users	Configuration			
49 services must be disabled for HIPAA users	Configuration			
3 services require end-user training for HIPAA compliance	Training			
OIT online user focused documentation is not current or enterprise focused	Management			
College of Business and Public Policy uses public folders	Management			
Need to determine rules of the road for gmail campus administrators	Management			
Google GAL is not configured.	Configuration			

Notes

Will will attempt to get a list of accounts.

Have opened tickets. Dates/Times:

6/28/16 10:00am - 2 day intermittant outage

7/8/16, 2:30pm -

- OIT uses a list serve for this function
- Groups like "All Staff" or "All Students" exceed this threshold
- AD integration may be a workaround so we can use AD groups
- UAA has over 1500 distribution lists (dynamic, static, user managed)

Documentation is lacking, dated and UAF focused. A few examples:
- References to google-side password (this was changed at least 18 mo ago)
- No reference to security concerns of the 49 apps that must be disabled for greater security (HIPAA baseline, but also pertinent to all users)
- Answers that dead end without an answer (Finding UAUsername example)
- Dated content (Address contacts migration from Outlook example – steps don't match)

Key business processes are not documented. Examples:
- Supervisor accessing a subordinate's account after separation
- Expedient disabling of accounts
- Expediting account creation
- HR discovery processes

Need to determine workaround or like functionality

Issues Tracking

Issue	Issue Type	Owner	Remediation	Closed?
Ability to Edit DNS records for SPF, DKIM and Other	Configuration			
Address book lookup for Calendar/Contacts	Configuration			
Provisioning Process to put UAA Staff/Students into UAA Organization	Configuration			
Need clarification on what happens to "Inactive" mailboxes	Management	Adam	Phil to create a provision/deprovision diagram.	
Yammer does not allow users to change email address to @alaska.edu	Configuration			
Closed				
Gmail does not use a folder paradigm. Folders are converted to labels, and labels don't nest.	Migration	Chris	Project website updated with what users should expect.	Y
Gmail does not accept special characters in folder names	Migration	Chris	Project website updated with what users should expect.	Y
Emails greater than 25mb won't migrate	Migration	Chris	Project website updated with what users should expect.	Y
"Failed migration" report is not user friendly.	Migration	Johnny	Failed migration report is not produced by the automated process.	Y
Initial performance benchmarks for individual migrations show performance at 1message/sec	Migration	Johnny	Migration process will accommodate this limitation by moving only 90 days of mail.	Y
Recurring calendar items with no end date will not migrate	Migration	Chris	No workaround. Documented in FAQ.	Y
Gmail Business Associate Agreement not signed (required for HIPAA compliance)	Management	Pat	Signed	Y
"Ghost" email messages are created during migration	Migration	Johnny	Cannot recreate	Y
The GAMMO tool will not migrate .pst files	Migration	Johnny	GAMMO tool will not be used	Y

Notes

Need Ability to Add SPF records for @alaska.edu Zone to allow senders such as Salesforce, Qualtrics etc.

Need ability to look up users in Address book. It appears GAL is not populated or otherwise unavailable.

Ability to create UAA as its own Organization.

Google Terms/Conditions allow us to use gmail for active users only. It's unclear what happens to mailboxes for separated employees. Records retention requires these mailboxes to be kept.

Folder structure re-constitutes if the user uses outlook to connect to gmail, but not if the user relies on gmail web.

Folder won't convert

Exchange will accept internal emails up to 50mb in size. This could leave many emails un-migratable.

This report is generted for users that move their own mail. It's not clear what reporting is available for automated processes.

83 mbps

Need to test to determine whether this is an issue with the automated migration tool

Signed 5/2/16

The migration process may be attempting to create messages for s4b contact attempts.

Issues Tracking

Issue	Issue Type	Owner	Remediation	Closed?
The "To" field is not populated for sent messages	Migration	Johnny	Does not appear to be an issue for automated process.	Y
Voicemail issues, clarify	Configuration	Johnny	Updated in FAQ	Y
Calendar attachments don't migrate correctly	Migration	Chris	No workaround. Documented in FAQ.	Y
Trash folder in gmail is emptied automatically after 30 days	Training	Chris	Updated in FAQ	Y
Outlook signature must be re-configured manually in gmail	Training	Chris	Updated in FAQ	Y
Out of office assistant does not work in Outlook	Training	Chris	Updated in FAQ	Y
IMAP and exchange connections cannot be configured to simultaneously connect in outlook	Training	Chris	Updated in FAQ	Y
Migrated messages show as unread once migrated.	Migration	Chris	Updated in FAQ	Y
Outlook Rules do not Migrate	Migration	Chris	Updated in FAQ	Y
Automated conversion process may not provision vanity email addresses	Migration	Johnny	OIT provided list of vanity addresses (from EDIR and Google apps). Vanity addresses were uploaded to google apps on 6/24.	Y
TLS connection to SOA	Configuration	Johnny		Y
Gmail does not support a department email/calendar account paradigm	Configuration		No workaround. Must use as is.	Y
Alumni are not able to login to gmail	Migration	Johnny	Must call the call center	Y

Notes
May be for internally sent messages only.
Update: This appears to work for automated migrations. Continue to monitor.
This is different functionality from exhange and may catch users by surprise
Out of office must be set in gmail via web browser
Need to determine how prevalent this use case is
Messages show as unread inconsistently.
Outlook server and Client rules don't migrate will need to be re-created
Many vanity (alias) email addresses are in use. Need to determine scope and workaround.
Waiting on OIT to produce list of taken aliases. List needs to be pulled form EDIR.
Received list, currently comparing the list against UAA aliases to determine the Technical discussions have taken place, more to come. Looks doable.
Workaround is in place, but more work needed to complete correctly.
Account must be attached to a user. This causes problems at employee separation.

Service	Description	Terms Link	Help link	Disable?	Requires training to enable for HIPAA
Gmail	Email			N	N
Google Drive	Docs, sheets, slides, forms			N	N
Google calendar	Calendar			N	N
	Easy-to-create websites for your teams				
Google sites	Launch an intranet for your company, a project site for your team or a portal for customers with our site builder. All without writing a single line of code			N	
Goodle apps vault	**e-discovery**			N	**N**
Google Contacts	**Contacts**			N	**Y**
Google Talk/Hangouts				N	**Y**
Groups for Business				N	**Y**
Blogger	Share your life online with a blog - it's quick, easy and free	Terms	Help	Y	N/A
Chrome Management	Configure and manage user settings for Chrome browser and Chrome devices	Terms	Help	Y	N/A
Chrome Web Store	Browse for, purchase, and deploy cloud applications	Terms	Help	Y	N/A
DART for Publishers	Streamline your ad management functions with advanced targeting and more	Requires written agreement	Help	Y	N/A
DoubleClick Campaign Manager	DoubleClick Campaign Manager simplifies how campaigns are run, from media planning to reporting. With all your digital marketing efforts on one powerful platform, you can work smarter, act quicker, and get better results.			Y	N/A
DoubleClick Creative Solutions	Get engaging creative out the door faster and better with DoubleClick Creative Solutions. It's everything you need to build and manage engaging digital ads, from custom video to mobile plug-and-play.			Y	N/A
DoubleClick DART Enterprise	Sell, deliver, report on and bill advertising	Requires written agreement	Help	Y	N/A
Doubleclick for Publishers	Streamline your ad management functions with advanced targeting and more	Requires written agreement	Help	Y	N/A
DoubleClick Search	Manage and optimize your pay-per-click ads and keywords across all major search engines	Requires written agreement	Help	Y	N/A
FeedBurner	Create and manage custom RSS feeds	Terms	Help	Y	N/A

Service	Description	Terms Link	Help link	Disable?	Requires training to enable for HIPAA
Fusion Tables	Gather, visualize, and share data tables	Terms	Help	Y	N/A
Google AdSense	Place Google ads on your website and earn revenue	Terms	Help	Y	N/A
Google Advertising Professionals	Demonstrate knowledge and skills in Google AdWords with a globally recognized program	Terms	Help	Y	N/A
Google AdWords	Display your ads on Google and our advertising network	Terms	Help	Y	N/A
Google Analytics	Get rich insights into your website traffic and marketing effectiveness	Terms	Help	Y	N/A
Google Bookmarks	Access your Bookmarks on any computer, and use Lists to share them with friends	Terms	Help	Y	N/A
Google Books	Search the full text of books	Terms	Help	Y	N/A
Google Chrome Sync	Synchronize your bookmarks, browser preferences, and browser theme on multiple computers	Terms	Help	Y	N/A
Google Custom Search	Create a customized search experience for your community	Terms	Help	Y	N/A
Google Developers Console	Develop applications using Google APIs and the Google Cloud Platform	Terms	Help	Y	N/A
Google Finance	Business info, news and interactive charts	Terms	Help	Y	N/A
Google Groups	Create and participate in public discussion	Terms	Help	Y	N/A
Google In Your Language	Translate Google's help information and search interface into your favorite language	Terms	Help	Y	N/A
Google Map Maker	Become a citizen cartographer and help map your world	Terms	Help	Y	N/A
Google Maps	View maps and directions	Terms	Help	Y	N/A
Google My Business	Help get your business found on Google	Terms	Help	Y	N/A
Google My Maps	Create, share, and publish custom maps	Terms	Help	Y	N/A
Google News	Search thousands of news stories	Terms	Help	Y	N/A
Google Payments	A faster, safer, and more convenient way to shop online	Terms	Help	Y	N/A
Google Photos	Store and share photos with Google Photos and Picasa Web Albums	Terms	Help	Y	N/A
Google Play Developer Console	Offer Android applications that you develop to the rapidly growing Android user base	Terms	Help	Y	N/A
Google Public Data	Explore the data	Terms	Help	Y	N/A

Service	Description	Terms Link	Help link	Disable?	Requires training to enable for HIPAA
Google Takeout	Back up and download the data in your Google Account	Terms	Help	Y	N/A
Google Translator Toolkit	Get tools for translators to translate your pages and documents faster	Terms	Help	Y	N/A
Google Voice	One number for multiple phones, online voicemail and cheap calling	Terms	Help	Y	N/A
Google Webmaster Tools	Tools to create and maintain Google-friendly websites and mobile apps	Terms	Help	Y	N/A
Google+	Real-life sharing rethought for the web Google+ also includes Hangouts on Air, which allows you to broadcast live conversations to the world for free			Y	N/A
Individual Storage	Allow end users to purchase additional storage for Google Drive and Picasa Web Albums	Terms	Help	Y	N/A
Location History	Control location history and reporting	Terms	Help	Y	N/A
Merchant Center	Upload your product data to Google and make it available to Google Product Search	Terms	Help	Y	N/A
Mobile Test Tools	Test your URL for compatibility on mobile	Terms	Help	Y	N/A
Panoramio	Geolocate, store and organize your photographs	Terms	Help	Y	N/A
Partner Dash	Quickly access applications hosted by Google partners	Terms	Help	Y	N/A
Play Books Partner Center	Promote your books online through Google	Requires sign-up	Help	Y	N/A
Product Search	Find products from online stores across the web	Terms	Help	Y	N/A
Web History	View and search across the full text of the pages you've visited	Terms	Help	Y	N/A
YouTube	Watch, upload and share videos	Terms	Help	Y	N/A
YouTube CMS	Identify and manage your content with Content	Terms	Help	Y	N/A
YouTube Promoted Videos	Promote your videos on YouTube search result pages	Terms	Help	Y	N/A

Services that show on a help page but are not available in the UA environment

3D Warehouse	Find 3D models and share your models with the world	Terms	Help	N/A	
YouTube Partner Syndication	Generate revenue from your videos and access YouTube's specialized partner features and	Terms	Help	N/A	

Service	Description	Terms Link	Help link	Disable?	Requires training to enable for HIPAA
DoubleClick for Advertisers	Manage, traffic, serve, and review your online advertising	Requires written agreement	Help	N/A	
DoubleClick Studio	Create traffic-ready rich media ads quickly	Terms	Help	N/A	
Google Code	Find documentation for developing with Google's tools and APIs	Terms	Help not available	N/A	

Exhibit B – UAA Migration Diagram

UAA Migration
Diagram.pdf

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UAA Email Migration

Timeline

4000 Mailboxes - 20 days

40 groups of 100 - 2 groups/day

June 26

July 18

Mass Migration Process

Google now primary system

Exchange available for old email only

Process Complete

Select new group of 100

Set Email Forward

New mail sent to both systems

User can use either system

Set "send block" in exchange

Start 100 parallel email migrations

Send email notification to all users in group

90 Days of Mail
365 days of Calendar Item History
All Contacts

Process runs twice daily

Send email notification to all users in group

Slowest contacts migration completes

Slowest email migration completes

Start 100 parallel contacts migrations

Slowest calendar migration completes

Start 100 parallel calendar migrations

User Requested Mail Migration Process

User submits mail migration request web form → Mail is migrated (1st come, 1st serve)
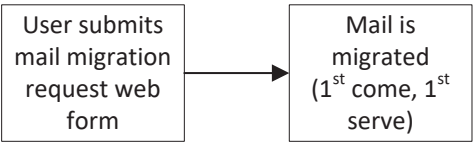
Appendix A – UAA Supporting Documentation

One University proposal - draft 3.doc

UA Enterprise Email Brief v1.0.docx

UA eMail Discussion October 2015 update

Fitzgerald.docx

Gmail or Exchange toolkit.xlsx

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One University

Developments in the IT marketplace now make possible the integration of calendars and directories without the need to change email and office automation systems.

UAA and UAS will cooperate with OIT and will fund the minor work required to build bridges between the Google and Exchange environments in order to achieve the One University, One System goal.

Why not simply all change to Google or Exchange?

Costly

- UAA and UAS are using Exchange functionality far beyond simple email, such as Lync, which replaces relatively expensive video conference, voice mail and telephone services. Loss of those functions will increase costs to UAA and UAS users.
- Google users would experience added costs of converting existing business processes unnecessarily; several Schools would incur costs of converting content for use in an Exchange environment
- There are valid reasons to use both environments, and Best Practice (Gartner Research, 2013) strongly recommends using both as a hedge against rising prices and technology changes in the future.

Customer Demand

- Schools of Business, Engineering, Health and Education within the University of Alaska system demonstrate clear business-related needs that are not met by "one-size-fits-all" approach.
- Surveys reveal students no longer require or desire to use a University-specific email identity. Flexibility is seen as a positive feature, and registrars now allow student personal (non-university sponsored) email accounts in Banner. Students could choose either Google or Exchange, and still have access to calendar and directory information, and the University would still have access to data needed for administration and security.
- Alaska employers frequently require Microsoft Office (integrated with Exchange) skills. In more than 90% of all job advertisements in Alaska, knowledge or proficiency with Microsoft Office is either desired or a requirement.
- Nearly 90% of all UA systems use Microsoft operating software, and nearly 100% of UA employees continue to use Microsoft Office programs in their daily work.

Added Benefits

- UA students graduate with the skills and experience needed in their chosen profession.
- UA students have the free use of both Microsoft and Google applications.
- UA administrators choose which environment best meets their needs, without sacrificing calendaring, scheduling and "TO:" line pre-fills and look-ups for emails.

- Secure, federated Lync communication relationships with other Universities (University of Washington, for example) remain intact in the Exchange environment.
- The University of Alaska enjoys enhancements and integrations of both Google and Exchange cloud computing environments as they occur – alleviating competitive strife.
- Large system changes cause disruption and can take a significant amount of time and resources to refine. Avoiding unnecessary disruption is a win for all.
- By moving Microsoft Office users to Office 365 Cloud Services, users retain the functionality of Word, Excel, PowerPoint and other applications at reduced cost. All UA users – including OIT and UAF will save money compared to a one-size approach.
- Integration of Office 365 with Docusign and OnBase is consistent with current practice, established strategy and investment.

The Plan

1. ITEC/SAC briefing and confirmation (does this also include confirmation of the true business requirements? Or does that come later?
2. OIT/UAF/UAA/UAS cooperate in the design of the "bridges" with the help of a UAA-funded professional services contract using an OIT trusted vendor – the same vendor that helped OIT implement Google.
3. UAA uses existing identified funding in the ITS budget, with other MAUs and OIT welcome to assist, if possible.
4. CMT coordinates governance, scheduling; resources, legal hold and other considerations.
5. Communication planning and execution involving all stakeholders.
6. ITEC/SAC after-action report

Time Frame

1. Planning can commence immediately; prepare ITEC briefing for April meeting
2. "Bridge Construction" components are already owned and in place. (I'm not aware whether this is this correct or not.) Some policy and governance issues and "turn on the switch" activities can be accomplished in as little as six months.
3. Securing services of trusted vendor(s) can commence in parallel with planning; execution of contract(s) after ITEC concurrence.
4. All substantive work completed before Fall 2014, with continuing user facilitation during the academic year, gathering feedback and making improvements as we go.
5. Report results through survey, budget costs/savings and operations reports Summer 2015

ISSUE: **"One email" imperative.**

"One email" will likely fail to resolve internal and external communication challenges experienced by UA staff, faculty and students, serving only to magnify current frustrations. In 2013, five years after UA/UAF's initial move to Google services, known alternatives exist that can achieve effective communication parity, cost effectively with minimal further disruption.

BACKGROUND:

Since February of this year, UAA ITS and its governing bodies have re-examined the 2008 decision to move some UA users to Google mail (Google) while others continued to use Microsoft Exchange (Exchange). It is important to note that these terms are used to describe the "back-end" communication services. There remains some flexibility in user preferences for alternative email clients, such as Thunderbird, Outlook, and others. The purpose of the re-examination is to recommend if UAA should move staff and faculty to Google, or not; and if so, how.

The analysis so far has included forensics surrounding the 2008 decision to establish if the factors driving that decision are still pertinent, and to evaluate whether the change has achieved expected results. Further analysis will thoroughly examine the current state of UAA investment in the Exchange ecosystem currently deployed, and costs associated with a wholesale change similar to the SW/UAF conversion in 2008-9.

INITIAL FINDINGS: **Email is likely not the problem, and rushing may create more problems.**

1. It is apparent to engineers in all MAUs that sub-optimal deployment of directory services is likely the cause of most of the frustration for all users. While the unified directory project has been variously pronounced "complete" or "near-complete," significant work remains to truly unify directory services. Any efforts to solve persistent communication challenges before the directories are completely normalized will experience marginal results at higher costs. UAA is currently in a full-court press to achieve local directory optimization, and is experiencing support from other MAUs in the effort toward the same end. Nonetheless, this approach is not universally embraced, and UAA continues to facilitate discussions with those who are reluctant to consider the great value/achievability of a fully normalized directory.
2. Since virtually everyone in the UA enterprise depends heavily – almost exclusively – on Microsoft Office for daily work, licensing cost savings advertised by Google are not yet realized by SW/UAF, except for mail, only. (In fact, SW recently agreed to pay Google a monthly per-user fee in order to regain legal hold and retention utility.) More, a cursory survey of Alaska employers through job posting web sites confirms that 90% or better of Alaska employers expect to hire workers proficient in Microsoft Office programs – chiefly Word, Excel and PowerPoint. Industry experts expect this dominance to continue for at least another decade.
3. Emerging trends reveal that a "Bring-Your-Own-Mail" (BYOM) is following along with the "Bring-Your-Own-Device" (BYOD) posture users increasingly expect. UAA Student Affairs recently reversed long standing past practice and now permits students to specify a non-UA provided email address as a primary email contact in Banner, due to student demand.
4. Current technology can provide the desired directory ("TO:" box auto-fill), calendaring and collaboration without necessarily displacing existing email deployments, though there may be other factors worthy of consideration.

Contact: Pat Shier, CIO/Associate Vice Chancellor UAA pat.shier@uaa.alaska.edu 907-321-3323

There are other factors known and suspected that are not yet fully understood which would materially affect a final recommendation. UAA governance bodies continue to express great interest in more fully understanding the implications of items 1, 3 and 4, above. To that end, experts from both Microsoft and Google will be on UAA campuses mid-January 2014. As of 2013, Microsoft Office, Exchange and other valuable services such as Lync communicator (WolfLync) are offered free to higher education. This is an extremely significant change that was unavailable for consideration in 2008-9. SW/UAF's own historical documents call for a re-examination of the 2008 consolidation decision if just such a change in market forces were to occur.

CONCLUSION: **Delay any unified email directive.**

An immediate decision to consolidate on either Google or Exchange would be premature, costly, and may position UA behind emerging trends. MAU engineers are continuing to collaborate on the directory challenges that – once solved – can underpin the delivery of collaborative efforts in the future, almost regardless of the email service chosen. UAA, UAS and certain key UA/UAF principles are convinced a suitable solution can be recommended, given adequate time to conduct further analysis, remove remaining directory roadblocks and consider a larger scope of pertinent costs/savings projections.

NOTE: UAA has identified a nationally recognized business analyst who has facilitated unified directory and unified email/messaging systems decisions at Fortune 500 companies with global reach. We are working to determine availability, cost and timing – recognizing that the current state of MAU relations may dictate the employment of outside expertise in order to achieve the highest quality recommendation. His clients have selected a variety of approaches post-analysis – he is not predisposed to either Google or Exchange. The earliest such an asset could be effective for us is likely Fall Semester 2014, with a recommendation by the end of 2014, and a way forward developed and approved through governance by spring 2015.

UNIVERSITY of ALASKA ANCHORAGE
INFORMATION TECHNOLOGY SERVICES

Memorandum

To: William Spindle, Vice Chancellor, Administrative Services

From: Patrick Shier, CIO, IT Services

Date: October 31, 2015

Subject: UA IT: Email – Google or Exchange? Or Both?

Bill,

Email Executive Summary

From time to time a question arises about consolidating all of the University of Alaska System on one email system. The question really involves a great deal more than simply email – to include calendaring and other messaging options such as Instant Message and Voice and Video Conferencing.

UAA and UAS realize significant value using the Microsoft suite of messaging products:

- Our Office 365 cloud instance have executed FERPA and HIPAA agreements in place. (Google does not have HIPAA agreements in place with UA)
- Office 365 is free to any UA student as a consequence of our underlying Microsoft Enterprise Client Access License agreements. Each student saves about $80/year.
- The state of Alaska is using Exchange, and is rapidly moving toward the Office 365 cloud service, as are we.
- The three largest school districts all use Exchange for their staff and faculty.
- UAA has led an effort to federate our Office 365 service with these three school districts, the State of Alaska and Conoco Phillips.
    - o MatSu School district and Conoco Phillips are on-board now. UAA instructors can appear in MatSu K-12 classrooms as easily as making a phone/video call.
    - o Later this year, we will be able to communicate with state employees toll-free, including small scale video conferencing.
- Skype for Business – running on Microsoft Exchange – potentially removes 90% or more of current UA spending for WebEx, GoToMeeting and other similar services.
- Employers in Alaska overwhelmingly use Exchange and Microsoft Office – and expect our students to be proficient in the same:
    - o Monster.com job search for <u>Alaska</u> using keywords – job posting results:
        - ▪ Keyword <u>Google</u>: 15 jobs, most Google references were web-related.
        - ▪ Keyword <u>Microsoft</u>: 837 jobs, wide variety.

- UAA is in preliminary discussions with the State of Alaska regarding a shared Office 365 environment to protect education pricing for the State of Alaska Department of Education and Early Development. This would be impossible if UAA switched to Google.

High costs associated with switching UAA and UAS to Google products
- Moving email, contacts, calendars, embedded applications and directory services currently in place to Google, if possible, represents at least $500K in additional spending for UAA and UAS, in the near term, and large future real and opportunity costs, beyond.
- No commensurate savings would be realized, based on the fact that UAF did not reduce its Microsoft spending after the switch to Gmail. UAF switched mail only, and continues to use Microsoft Office products.
- UAA and UAS would have to unravel all the federation relationships with school districts, the State of Alaska and key employers – or would have to continue to support Skype for Business, anyway, at an increased cost due to the complexity of integrating Gmail and Exchange.

The wisest strategy for the next three to five years seems obvious:
1. Fully leverage the registrars' decision to allow students to "Bring Your Own Email" and begin a process of thoughtfully transitioning UA away from providing student email boxes. Students represent the largest group of Gmail users – and are quite capable of managing the consumer-grade service on their own or with minimal support.
2. Move the relatively small number of remaining Gmail users to Office 365 and Exchange as soon as possible, so UA can enjoy secure, encrypted, FERPA and HIPAA protected enterprise-class unified communications, calendar and directory services.
3. Leverage a UA-wide Skype for Business capability, potentially saving $200K per year in video conferencing costs.
4. Reclaim the "alaska.edu" domain and MX record from Google. Some research users may choose to continue to maintain a Google account for valid reasons, but the enterprise account in Exchange remains the account of record for legal holds, etc. End users are largely using Outlook mail clients, anyway, and would not have to change interfaces – but would enjoy increased interoperability with UAA, UAS, the State of Alaska, businesses, and the larger school districts.

From: David Fitzgerald <dafitzgerald@alaska.edu>
Date: September 6, 2016 at 8:17:38 PM AKDT
To: "ua.president" <ua.president@alaska.edu>, jrjohnsen@alaska.edu
Cc: Dianne Milke <dlmilke@alaska.edu>
Subject: Fwd: Gmail Conversion Problems

After your meeting with Tara today, she indicated that you did not seem to be aware of the multitude of problems associated with the Gmail conversion. Below, is a message I sent to all UAA faculty, highlighting only the most common ones. In response to that message, I received feedback citing numerous other problems that I did not include.

Truly, the migration is a disaster. I estimate that I spend at least one to two hours of lost productivity each day, attempting to reconcile lost and missing messages, and having to switch back and forth between the two mail systems to accomplish my duties. Rarely, have I experienced this level of frustration while attempting to accomplish my work.

As you indicated, students do not choose a university based upon what mail system is in place, but they do choose a university based upon their ability to communicate with faculty and staff. Currently, that ability is seriously deficient.

While governance agreed that a single instance of mail would be beneficial, UA unfortunately and unilaterally (and with no shared governance) chose the wrong one. Google is not an "enterprise" system as is MS Exchange, and therefore lacks much of the preferred functionality. Because of their "non-compliance" with HIPAA, we can never have a single email system with Google. I question whether we are FERPA compliant given the configuration of this installation.

Even if Gmail was the optimal solution, the implementation timeline was too short, and offered no systematic plan. There was not cost savings in the selection of Gmail, but to the contrary, the cost of the migration in man-hours and lost productivity is staggering, and at a time when the IT budgets have been cut.

As a Professor of Computer Information Systems who spent twenty years in the Information Technology profession prior to coming to UAA, I am appalled at the methods used to make this decision and its resulting implementation.

Thank you for your anticipated response.

Dave Fitzgerald

UAA Faculty Senate President

---------- Forwarded message ----------
From: **David Fitzgerald** <dafitzgerald@alaska.edu>
Date: Fri, Aug 26, 2016 at 3:32 PM

Subject: Gmail Conversion Problems
To: Listserv <uaa-faculty@lists.uaa.alaska.edu>

As we all struggle with the conversion to Gmail, here is a short list of my personal experiences and/or those related to me by fellow faculty.

1.   There is a chance that not all messages addressed to your old @uaa.alaska.edu address will be delivered.

2.   If you had your phone messages forwarded to your .uaa address, they will not be forwarded to Gmail. You will have to retrieve them through your old account.

3.   Your message attachments are limited to 25 mb, and if you try to send one larger than that, you might not be notified that it was not sent.

4.   Some of your messages you receive from certain senders will be delivered to your Inbox and others will go into Spam. To find SPAM and Trash (deleted messages); you have to scroll to the bottom of your Folders and select "More". Those folders can be dragged out of "More".

5.   It is likely that many of your Contacts did not migrate, so you will have to recreate them in Gmail (I have been copying and pasting them from Exchange). Do not try to edit those contacts that display "gibberish". You need to delete them and create new ones.

6.   If a message disappears from your Inbox when you forward it or reply to it, go to Settings, and on the General Tab, check the button to **Hide "Send & Archive" button in reply.** (Directly above that is the option to turn conversation On or Off).

7.   The default sort for the Inbox is by date. To see only messages that include a certain Contact, hover over their name, then select "Emails" from the pop-up box.

8.   The only option to "Snooze", for a Calendar reminder is for an additional 5 minutes. If you want additional reminders, you will have to set "Add a Notification", to add several for each event.

9.   It is likely that Calendar events that do not have an end date did not copy to Google.

10. You cannot schedule Skype meetings using Google Calendar.

11. If you use Chrome to access Gmail, you will encounter fewer problems that you will by using Explorer, Edge, Firefox, or Safari.

12. There is an option to use MS Outlook to access your Gmail, but it can be problematic as well, and is substantially less stable to configure.

A more complete document has been created by the IT staff, and can be accessed at:

https://www.uaa.alaska.edu/about/administrative-services/departments/information-technology-services/our-services/communication/messaging/_documents/Gmail_Help_Guide.pdf

Good luck.

Dave Fitzgerald

Professor, Computer Information Systems

Gartner

Gartner for IT Leaders Tool

How to Evaluate Google Apps for Work Versus Microsof

This Toolkit contains an evaluation framework that will help organizations determine which cloud office system to adopt.

Unless otherwise marked for external use, the items in this Gartner Toolkit are for internal noncommercial use by the licensed Gartner client. The materials contained in this Toolkit may not be repackaged or resold. Gartner makes no representations or warranties as to the suitability of this Toolkit for any particular purpose, and disclaims all liabilities for any damages, whether direct, consequential, incidental or special, arising out of the use of or inability to use this material or the information provided herein.

The instructions, intent and objective of this template are contained in the source document. Please refer back to that document for details.

Directions to user

Instructions

The model starts with a value of 5 for all cells (bar the nondifferentiating criteria, which are set at 0).
First, assign a value between 0 and 10 for the weighting factor for each criterion. If it is not important to your organization at all, assign 0. If it is very important, assign 10. We have initially set the weighting factor for differentiating criteria to 5, and nondifferentiating criteria to 0.
Next, rate each criterion for each vendor between 0 and 10. Base this rating on how well the vendor meets your specific needs.
For explanations of each criterion, refer to the companion research note for this Toolkit, "How to Evaluate Microsoft Office 365 Versus Google Apps for Work."

Google Apps for Work Versus Microsoft Offic	
Criteria	**Weighting (0-10)**

Differentiating

	Criteria	Weighting
1.	Economics	5
2.	Appetite for Change	5
3.	Hybrid Services	5
4.	Fit for Purpose	5
5.	Third-Party Resources	5
6.	Stack Commitment	8
7.	Transparency and Reporting	5
8.	Mobility	5
9.	Regulatory Compliance	9
10.	Contracting and Licensing	5
11.	Data Location	5
12.	Administrative Burden	5

Nondifferentiating

	Criteria	Weighting
13.	Vendor Commitment	9
14.	Change Management	0
15.	Support	9
16.	Service-Level Agreements	0
17.	Reliability	9
18.	Directory Integration/Single Sign-On	0
19.	Security	10
20.	Data Migration	0

Total Score for Google Apps for Work	500
Total Score for Microsoft Office 365	665

Google Apps for Work (0-10)	Microsoft Office 365 (0-10)
5	5
5	5
5	5
5	5
5	5
5	8
5	5
5	5
5	8
5	5
5	5
5	5
5	8
5	5
5	8
5	5
5	5
5	5
3	9
5	5

Appendix B – UAS Supporting Documentation

UAS email .pdf   UAS.pdf

- UAS email policies have been essentially unchanged for decades. However, the world of electronic communication is not stuck in the 1980s. What policies should UA adopt in light of current public sector issues? For example, should it be allowable for any UA employee to conduct official business using a personal email account? Right now, this activity is allowable. There are many similar issues to consider.
- Based on legacy practices, we issue accounts to people instead of roles. As a result, the institution regularly loses control over records as employees change jobs or leave the institution.
- Legacy practice has been to lump student and employee email together. As a result, we have student educational records intermixed with departmental files. We also have the complexity of a supervisor needing access to employee messages which are lumped in with protected student coursework.
- How far should we outsource, and who should be deciding? Is it appropriate for individual employees to decide which workflows and which documents will reside outside the UA system? What are the long-term risks of process-creep – if we should ever end our relationship with Google, will we know how to disentangle these processes?

Immediate-term technical issues:

On Google Apps provisioning, OIT needs to:
- Set the externalID to the Banner ID
- If the account corresponds to the Banner-provisioned username, set the email alias of BannerID@alaska.edu
- If the user has an AD preferred mail route (uaMailRoute), add the user to the mail forwarding group

On Google Apps de-provisioning:
- For users who received mail in Google (who are not in the mail routing group) clear the AD uaMailRoute

Shift Google failover to an AD supported solution (either seven.alaska.edu or change shady to use AD rather than EDIR)

Disable Google-side mail forwarding (via the gmail web interface) in favor of the ELMO supported solution

Enable the global directory

Immediate-term policy issues:

As you have heard me express many times… I am deeply concerned about the lack of any kind of written policy framework or best practices. We are driving our user community to tool sets which encourage them to move institutional processes and workflows (and of course, data) to Google. Missing is any guidance of how to do this appropriately and when not to do it.

What processes should we be encouraging staff to do with their individual accounts?
What processes or workflows would be well-served by using Google Apps, but should be done using departmental/group accounts?
What processes/workflows (and data) should *not* be move to Google?
Are all apps equal / how do the above answers differ depending on which Google App is in use?

On top of this, we lack written procedures on how data should be retained/managed during employee transitions/termination. Further complicating this are the blending of student/employee/alumni roles. What clear workflow should be followed?

We have a mandate from the president stating that all employees should be on the same calendar/email system yet we provide tools and guidance on how employees can forward university mail to a third-party system. This seems to be a direct contraction. In keeping with the President's directive, shouldn't we be prohibiting employee forwarding their mail to an external/personal provider?

Appendix C – UA/F Supporting Documentation

Karl 1.pdf

Switch-Email-Platfor
ms-Storyboard.pptx

Jim Bates

From:	Karl Kowalski <kekowalski@alaska.edu>
Sent:	Monday, October 03, 2016 11:49 AM
To:	Jim
Subject:	Documents for Google Apps After Action Report

Jim,

As we discussed, the AAR will look at actions POST President Johnsen's Statewide transformation Decisions.

On April 14, President Johnsen announced 113 recommendations including reductions in functions or positions, changes in the location of work being done, and changes in how Statewide collaborates with campuses. There were deadlines associated with each recommendation varying from done or no change to 30-, 60-, or 90- days.

1. Posting of IT Decisions on Website

http://www.alaska.edu/swbir/transformation-team/it/

2. EU Privacy Standards negotiated by OIT and General Counsel. Agreed to and accepted on September 24, 2013 to address FERPA privacy concerns
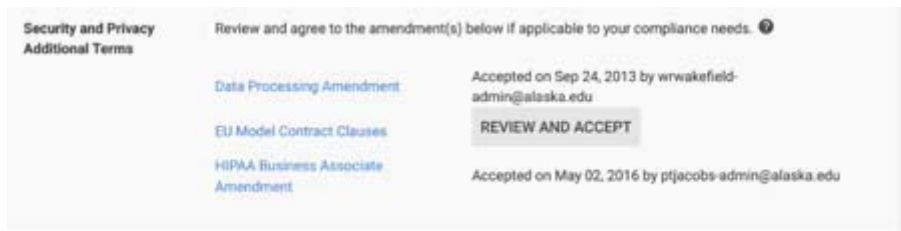
3. As UAA would now be joining Google Apps. Google HIPAA Business Associate Agreement (BAA) reviewed and approved by General Counsel May 02, 2016

4. Weekly eMail Transition support calls were instituted:(Links to timeline and transition plan docs embedded in Text below:

Weekly Meeting: ONCE a week calls to ensure that UAA and UAS succeed with migrating to Google Apps for User & Departmental mail, calendar, groups, shared docs, chat, calendar resources, etc.

Meeting format is for the UAA team and UAS team to 'crowd source' one challenge at a time so OIT & Google Tech Support can tackle each in the next sprint.

See associated Google Docs spreadsheet(s).
UAS and UAA work plan document: https://docs.google.com/spreadsheets/d/1Hz_-lE_DZWnlYiqry8ipJvP0enAnSNUC2KUf8XcOytk/edit?usp=sharing

UAA Specific work plan:

1

https://docs.google.com/spreadsheets/d/1U95Et1-TvUqq_noQEKUmeWDArXsU8kcAYaDpGmBSeIk/edit?usp=sharing

---
UAS guidance to users for migrating from UAS Mail to Google Apps, sampled 5/17/2016:

From the UAS campus home webpage, upon lingering a while, there's a prominent pop-up mentioning "UAS mail moves to Google Apps." This same informational pop-up appears from the UAS ITS home webpage, and the topic listed under the 'Major Initiatives' left side pick list.

Upon choosing "Click for more information >>" the user is sent to the UAS Google Migration Page at http://uas.alaska.edu/its/initiatives/google-move.html which is the first page of instructions to users for self-migration of historic email and calendar events.

Users accustomed to relying on the Outlook thick client are offered instructions for how to keep that as their user interface to Google Apps for email & calendar. Users interested in using a web browser instead of a thick client are given clearly separated instructions.

Embedded in the initial set of instructions is a link to a UAS-maintained Pre-Migration Steps webpage at http://uas.alaska.edu/its/initiatives/google-premove.html that explains how to scrub one's email folder names, folder structure and other known in/compatibility issues when importing content to Google Mail/Calendar.

At the bottom of the PRE-MIGRATION TIPS & TRICKS webpage are "HELPFUL LINKS" the first of which takes the user to the project charter, timeline, FAQs and Known Issues, each in their own tab:

    UAS Google Apps project page: http://uas.alaska.edu/its/initiatives/google.html
    "Google Apps @ UA" Information: https://www.alaska.edu/google/faqs/general/
    Google document regarding Microsoft Outlook feature compatibility:
https://static.googleusercontent.com/media/www.google.com/en//support/enterprise/static/gapps/art/users/en/gammo/gammo_migration_chart.pdf

This should get you started Jim. Let me know what else you might need.

Karl
--
Karl Kowalski, Chief Information Technology Officer
University of Alaska
Office of Information Technology
910 Yukon Drive, Suite 103
Fairbanks, Alaska 99775

Phone: 907-450-8383
http://www.alaska.edu/oit

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INFO~TECH
research group

Practical IT Research that Drives Measurable Results

Switch Email Platforms

When it becomes necessary to tell an old friend, goodbye

Introduction

E-mail is a mission-critical communications tool, but it can also be a platform for value-added integrations with other applications and communications platforms. Switching e-mail platforms is a necessary change when requirements are not satisfied by the current system. However, it is also a risky change.

Organizations must carefully plan e-mail migrations and assess the impact on end users as well as other systems. Switching e-mail platforms can completely upset an end user's world.

This research is designed for:

✓ IT Managers.

✓ Business Executives.

✓ E-mail Administrators.

This research will help you find the best e-mail platform by:

✓ Understanding the business and technology reasons for switching e-mail platforms.

✓ Assessing the newest licensing and deployment options, including their benefits and drawbacks.

✓ Helping plan the migration to ensure the shortest migration window possible.

Executive Summary

- **Almost 50%** of organizations have been using the same e-mail platform for **six years** or more. These legacy platforms are no longer satisfying business demands, are expensive to support, and pose integration difficulties.

- Microsoft Exchange has a 79% market share, but this **does not** mean you should switch to Exchange. Small enterprises are switching **from** Exchange more often that switching **to** it, to reduce costs and complexity.

- **Cloud-based enterprise e-mail** offerings are mature and the market is growing. The cloud is now a viable e-mail delivery method for organizations to consider.

- The "groupware" and e-mail markets **separated** after many companies adopted their current e-mail platform. Organizations with collaboration and workflow applications on their legacy e-mail platforms must plan **separate migration** of these applications or retire them.

- E-mail migration can cause **severe disruptions** for end users. Extensive planning is required and larger organizations should consider procuring assistance from system integrators.

Next Section in Brief

- Selecting an enterprise e-mail platform used to be easy: Microsoft, Lotus, or Novell. Now it is Microsoft or "other," but new delivery options are available.

- What are the common benefits of switching?

- What are the common barriers to switching?

- What are the different delivery methods available?

- Every organization has a reason to assess off-premise solutions.

1 — Why are businesses evaluating alternative e-mail platforms?

2 — Which types of platforms should I evaluate based on my current platform/ situation?

3 — What's the best way to manage the migration and make sure it goes well?

For half or more organizations, the time to switch or upgrade e-mail is right now

E-mail Platforms In Use (as of Exchange 2010 Release)

- ■ Exchange 2000 or earlier
- ■ Exchange 2003
- ■ Exchange 2007
- ■ Other

Pie chart values: 46%, 31%, 20%, 3%

Source: Info-Tech Research Group
N=124

- At least 49% of e-mail platforms are more than six years old, and that's just looking at the Microsoft platforms. Many Notes and Groupwise customers are woefully behind as well.
- Support systems, such as backup/recovery, e-mail archiving and e-mail security, are not supporting older e-mail platforms.
- New cloud-based e-mail systems offer a new deployment option and a new licensing/pricing model.
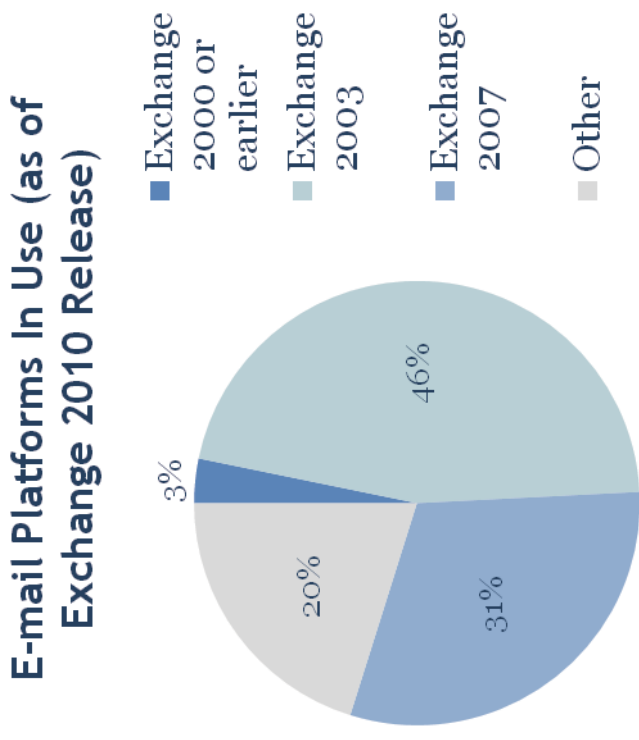
Info-Tech Insight:

Organizations are risking serious disruptions in business continuity by continuing to run a patchwork of six year old e-mail systems and associated support systems.

Choose the right benefits to justify switching and ensure a smoother transition in your organization

Some reasons for migrating:
1. Simplified administration needed.
2. Additional end-user features required.
3. Incomplete application integration requirements.
4. Need for improved mobile support.
5. High availability of deployment options.
6. Lower TCO.

"The drivers were a number of things: the cost of upgrading, the cost of storage, backup, archive, our internal maintenance..."
– CIO, Regional Port Authority
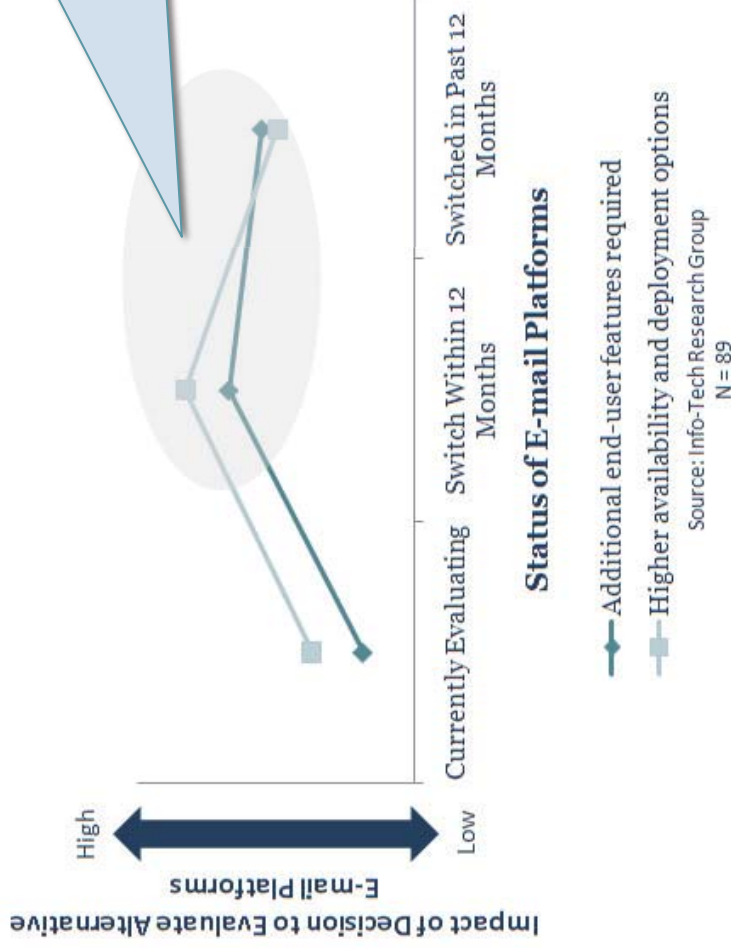
The two **most significant** factors affecting the decision to evaluate alternative e-mail platforms for those that are going to switch within the next 12 months and those that have switched in the past 12 months are:

✓ Additional **end-user features** required.
✓ Higher availability and **deployment options.**

"The key drivers were: integration with other software and also [improving] productivity."
– IT Director, Manufacturing

Status of E-mail Platforms

Impact of Decision to Evaluate Alternative E-mail Platforms

High — Low

Currently Evaluating | Switch Within 12 Months | Switched in Past 12 Months

→ Additional end-user features required
→ Higher availability and deployment options

Source: Info-Tech Research Group
N = 89

Companies that migrated to a more suitable e-mail platform are realizing benefits like improved uptime & right-sizing

When evaluating alternative e-mail platforms & delivery methods, ensure the new platform is a better fit for the organization. Understanding what issues will be addressed by the new platform is key to finding the right solution.

" We couldn't provide a satisfactory level of uptime because we only had the one box. Moving forward everything is redundant; we've got redundant client access servers, we've got redundant mailboxes. "
- IT Manager, Education

" We have a CRM tool called Agility. We thought 'we're going to have to spend money to integrate between Agility and our enterprise calendar,' and I wanted to make that investment with Exchange rather than with Notes. "
-CIO, Financial Services

" A thorn in our side was the fact that we had this big platform and were only using e-mail, so why have this big platform and just use it to send and receive mail? We weren't taking advantage of the document management feature of Notes. "
- IT Manager, Education

If your existing platform has features that are going unused, attempt to scale back the platform via revised licensing and an upgrade, or look for an alternative that suits your needs analysis. If all you need is e-mail and a contact directory, you wouldn't buy a CRM solution.

Small organizations using Exchange 2003 on-premise should consider switching to a hosted model

Microsoft significantly changed the architecture of Exchange starting with Exchange 2007, introducing role-based access control (RBAC). Exchange could no longer run on one server, requiring a minimum of two servers, scaling up to eight servers for an environment between 3,000 and 10,000 users. For more information, refer to Info-Tech's research note, Exchange 2010: Transitioning from Exchange 2003.

Exchange 2007/2010

Exchange 2003

Complexity

In an effort to minimize costs and right-size the IT environment, small businesses are looking to outsource their Exchange deployment to a hosting provider (i.e. Intermedia, Apptix, Microsoft) or considering alternative e-mail platforms. **66% of small businesses** (less than 250 employees) surveyed were looking to migrate to **hosted** or **on-demand** services, with another 17% looking at hybrid deployments.

Small Business Migration Trending to Off-Premise

Delivery Method	% of Small Organizations
Hosted	33%
SaaS	33%
Hybrid	17%
On-Premise	17%

Source: Info-Tech Research Group
N = 36

Info-Tech Research Group

Organizations switching from Lotus Notes or any platform with collaboration & workflow apps must plan for app migration, not just e-mail migration
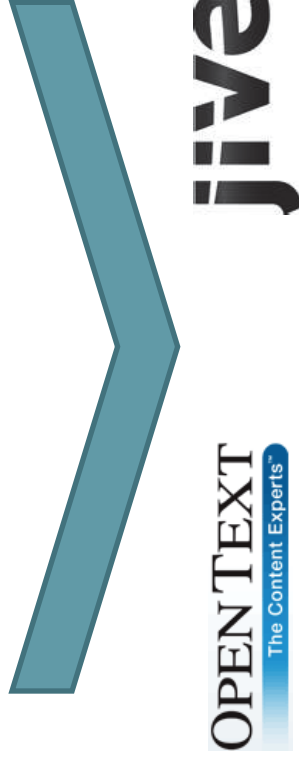
Enterprises using the value-added features of their e-mail platforms, like groupware, customer relationship management, or document management capabilities, face an additional hurdle in migrating their e-mail platform.

Most e-mail platforms do not support the same types of collaboration features provided by solutions like Lotus Domino/Notes. Additional projects must be initiated, separate from the e-mail migration project, to find suitable solutions for these other applications.

" We consider rewriting our extensive [Lotus] Notes scheduling apps to .NET apps to be a long term project.
- IT Director, State Government, U. S. *"*

jive

OPEN TEXT
The Content Experts™

Microsoft
SharePoint 2010

EMC²
where information lives™

Lotus Quickr

Make groupware application assessment part of the e-mail migration project plan, but make actual application migration a separate project
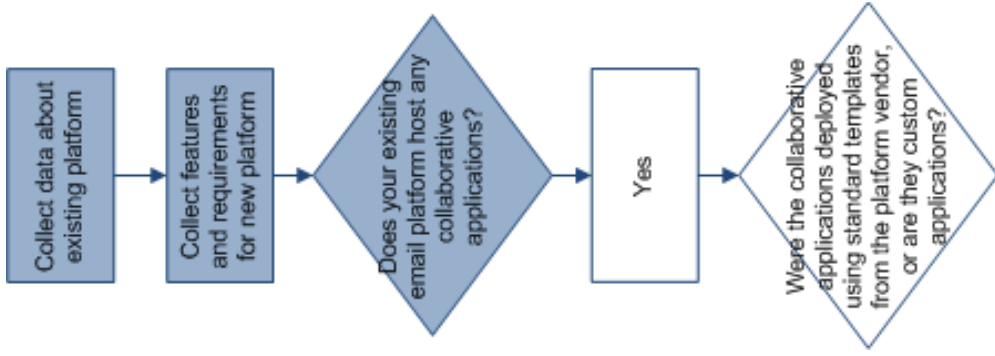
Collect data about existing platform. This includes:

- Number of servers, number of mailboxes, server software version, client software version(s), other applications running on the platform, regulatory requirements, etc. A detailed list can be found on Microsoft TechNet.

Identify requirements for the new platform, such as:

- Workflow (the three "R's," Routing, Rules, and Roles)
- Electronic forms
- Search
- Library services (check-in, checkout, version control)
- Offline replication (e.g. to laptop local storage)

Collect data about existing platform

Collect features and requirements for new platform

Does your existing email platform host any collaborative applications?

Yes

Were the collaborative applications deployed using standard templates from the platform vendor, or are they custom applications?

Adapted from Microsoft's Application Analysis Envision Process (AAEP)

Differentiate template-based from custom built applications; application migration is easier for template-driven apps
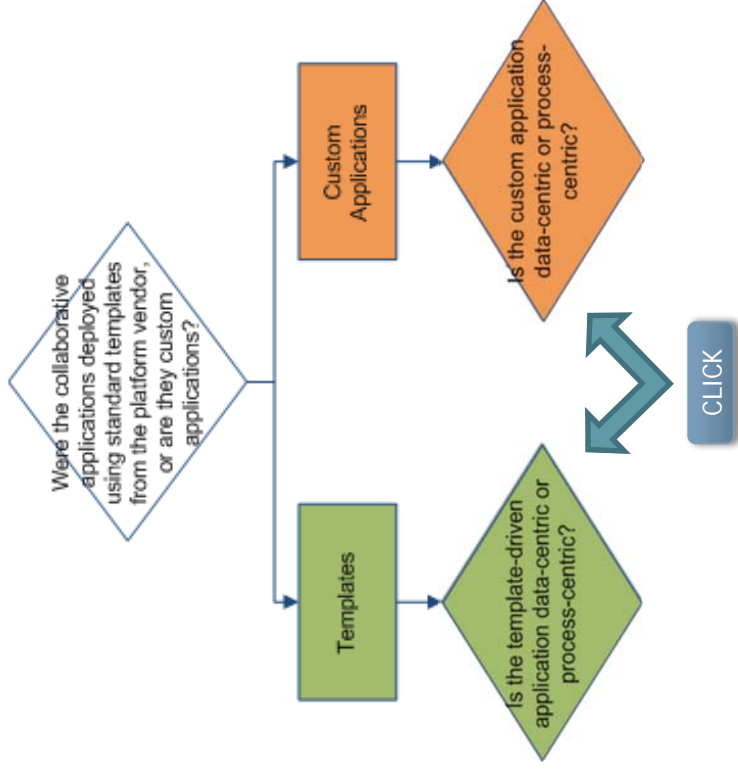
Were the collaborative applications in your existing groupware system deployed using standard templates from the platform vendor, such as standard **GroupWise** or **Lotus Domino** templates, or are they custom applications built in-house/by a contractor?

If you used a **template**, was it a data-centric or a process-centric template? Click on the flowchart to see your options.

If it is a **custom application**, is the custom application data-centric or process-centric? Click on the flowchart to see your options.

For a look at the full decision tree, see Info-Tech's E-mail Application Migration Decision Tree.

Were the collaborative applications deployed using standard templates from the platform vendor, or are they custom applications?

Custom Applications

Templates

Is the custom application data-centric or process-centric?

Is the template-driven application data-centric or process-centric?

CLICK

Adapted from Microsoft's Application Analysis Envision Process (AAEP)

Info-Tech Insight:

If you're migrating to Exchange, or at least considering it, use Microsoft's Application Analyzer for assistance and suggested considerations.

Migrating template-driven applications is usually routine; just find the right template on a new app platform

Process-centric applications:

- Process-centric applications, i.e. document approval workflows, incorporate workflow or back-end connectivity to other applications or databases.

- Migrate process-centric applications to another platform using a document library template and/or a team/project work site template, with library services (check-in/check-out, version control) enabled.

Is the template-driven application data-centric or process-centric?

Process-centric; **Migrate** to a platform using a document library template and/ or a...

Data-centric; **Migrate** to a platform with a discussion template.

Adapted from Microsoft's Application Analysis Envision Process (AAEP)

Data-centric applications:

- Data-centric applications, i.e. discussion boards, primarily focus on collecting and sharing data. There is no workflow or connectivity to other applications or databases in this type of application.

- Migrate data-centric applications to another platform using a discussion template.

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Migrating a custom application is not straightforward. Retire them or rewrite the apps for a different platform

Data-centric options:
1. **Keep** the application running if possible until sunset status or the organization can commit to rebuilding.
2. **Evaluate** third party tools to migrate data.
3. **Rewrite** the application yourself on the platform of your choice (.NET, SharePoint, JEE, etc.) or engage a contractor to rewrite the application.
4. If the custom application is a process automation application that is available off the shelf, such as a CRM system, **buy** a COTS business application.
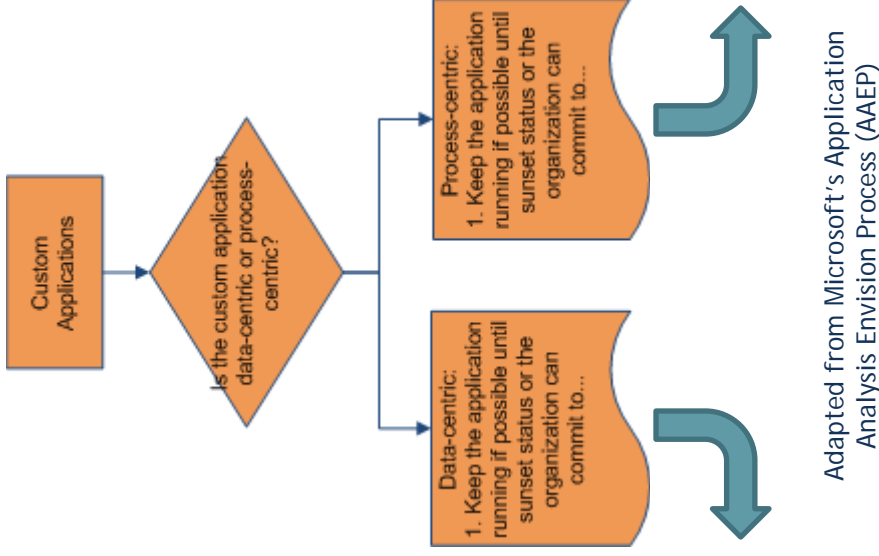
Process-centric options:
1. **Keep** the application running if possible until sunset status or the organization can commit to rebuilding.
2. **Rewrite** the application yourself on the platform of your choice (.NET, SharePoint, JEE, etc.) or engage a contractor to rewrite the application.

Info-Tech does not recommend keeping applications in place while adding features using another development platform. We believe custom applications should either be kept in place until retirement or plan to be entirely rewritten.

Custom Applications

Is the custom application data-centric or process-centric?

Process-centric:
1. Keep the application running if possible until sunset status or the organization can commit to…

Data-centric:
1. Keep the application running if possible until sunset status or the organization can commit to…

Adapted from Microsoft's Application Analysis Envision Process (AAEP)

Choose a delivery method for the new email platform

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Understand new deployment & licensing options; switching is as much about choosing a delivery method as choosing a vendor

On-Premise

- E-mail servers that organizations manage and configure them-selves.
- **Pros**: Total control and maximum data privacy. Easier integration with other on-premise systems.
- **Cons**: Continued specialization by IT for a skill set that is considered a commodity. Expensive initial capital outlay.
- **Trend**: Virtualize on-premise e-mail servers.

SaaS

- True software-as-a-service operates multiple instances of an application (multi-tenant) in a data center where companies share all services.
- **Pros**: Low cost of entry. Reduced FTE need for IT for e-mail.
- **Cons**: Risk perception high in some industries. TCO can cross-over and exceed on-premise TCO before standard six year e-mail platform lifecycle.
- **Trend**: Heavy acceptance among most organizations; however, strong variation among vertical industries in perception of SaaS risk.

Managed Hosting

- Outsource e-mail services to dedicated service managed to the organization's preferences.
- Most prevalent in large companies.
- Can be configured as a physical or virtual appliance single instance for one company or as a single-instance virtual appliance for one company.
- **Pros**: Allows IT total focus on core competencies and a partnership with the business, not a commodity service provider.
- **Cons**: Expensive.
- **Trend**: Large organizations seriously revisiting this mature delivery method.

Hybrid

- Integrates both on-premise and off-premise infrastructures.
- Information resides on-premise.
- The application layer that collects information can be in the cloud or on-premise client applications.
- **Pros**: Extreme flexibility, especially in fast growing companies and for M&A activity.
- **Cons**: Difficult to maintain lowest TCO.
- **Trend**: Mostly experimental at this time. However, new e-mail offerings targeted at different end-user segments (like MS Office 365 "Kiosk Worker") will make this method more appealing.

Assess off-premise e-mail options; usability & migration capabilities have improved greatly over the past few years

Why off-premise methods are an option:
1. Reduced TCO
2. Fewer Servers
3. Reduced Admin Time
4. Reduced Downtime

"I do not need to keep [e-mail] on-premise for any reason whatsoever."
- IT Manager, REIT

Everyone should assess off-premise solutions:

Small Organizations	Mid-sized Organizations	Large Organizations
• Good: SaaS instead of on-premise. • Bad: Exchange on-premise. • Ugly: Local ISP E-mail Services.	• Good: SaaS, simple on-premise solutions. • Bad: Multi-Site, Multi-Server on-premise solutions. • Ugly: More than one e-mail platform.	• Good: Exchange 2010 on-premise, managed hosting, hybrid on-demand/on-premise. • Bad: SaaS solutions with fewer features than on-premise. • Ugly: More than one e-mail platform.

Organizations are seeing a much faster ROI on off-premise e-mail services than on-premise.

WHY? Off-premise deployment methods eliminate the drawbacks of an on-premise e-mail solution: maintaining servers and software updating. IT staff is then able to focus its attention on other business areas.

Regardless of other drivers, you must focus on end-user features as a migration driver

There are many drivers of e-mail switching, and despite perceptions, TCO isn't the only impactful one. Info-Tech's research discovered that additional end-user features is a significant driver, determining which organizations switch and which do not.

Of the organizations surveyed, 13% more of those that decided to switch agreed that end-user features were driving their decision than those who are merely evaluating.

Some end-user features include:
1. Collaboration: shared calendars, contacts, tasks & notes
2. Security & Anti-Virus
3. Anti-Spam
4. Mobility and Synchronization
5. Interface

End-User Features Positively Affected Decision (%)

E-mail Platform Status	
Evaluating	Decided to Switch
57%	70%

13%

Source: Info-Tech Research Group
N = 77

Organizations that have decided to switch suggest that additional end-user features were required. If an organization is still evaluating alternatives, and doesn't believe additional features are required, they are less likely to switch.

Why? Organizations need a reason to switch. If their current features satisfy their needs, then additional features may not seem as attractive.

Case Study: Unacceptable vendor direction, lack of integration
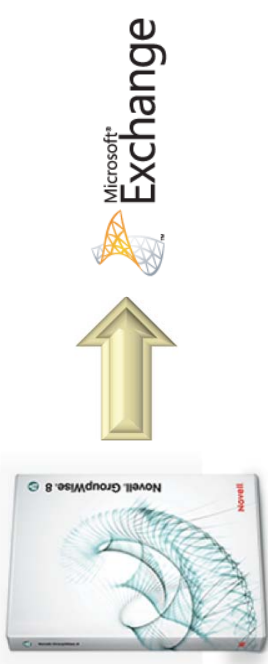
Industry: Professional Services, Engineering

The Situation

An organization was currently using GroupWise, and did not want to upgrade due to the Linux-based change. They also wanted the benefits of integration with other software, especially MS Office, Deltek Vision (ERP), and SharePoint. The organization thought an Outlook-based client might increase productivity.

The Solution

The organization was very close to going on-premise but the TCO changed their minds: the opportunity of a hosted solution was more cost effective and staff efficient. They chose hosted Microsoft Exchange through a partner. They had an RFP and SOW for data migration, as well as an overall project and communication plan. The organization decided to implement the migration themselves using Quest migration tools.

The Result

The migration was not hiccup free: the 20-25GB mailbox sizes from GroupWise required purging first to PST files to fit the new 5GB quota. After the migration, IT deployed a formal training process for administrators and end users, accelerating productivity. Overall, IT gave their end users what they wanted: Microsoft Outlook. For themselves, they saved money and reduced IT staffing time required for administration.

Key Takeaways:

- Vendor changes in base platform (OS, database) can be reason enough to switch.

- Ninety-nine percent of organizations are MS Office users. MS Outlook sets the standard for end-user features, regardless of back-end e-mail server deployed.

- Integration occurs at the e-mail server and frequently the e-mail client as well (e.g. plugins). ISVs usually write plugins for MS Outlook before supporting other e-mail clients.

- Make use of migration tools: users report Quest is better for larger mailboxes, while Transend is good for smaller ones.

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Case Study: Small enterprise facing Exchange 2003 upgrade

Microsoft® **Exchange**

Google Apps

Key Takeaways:

- Take advantage of discounted e-mail offerings, especially for education and government.

- Don't be afraid to hire an integrator to do the dirty work (migration).

- Make sure you know about all compatibility issues before you begin the migration.

- Always consider end-user acceptance, but don't let it ruin what is best for the business.

Industry: Self-funded government agency, regional port authority
The Situation
An organization was currently on Exchange 2003 and did not want to pay the upgrading costs or face the new 2007/2010 Exchange architecture. They wanted to maintain document collaboration without impacting e-mail storage. They also wanted their IT staff more available to do other projects rather than tied up with Exchange.
The Solution
The organization qualified for a Google government cloud discount so they chose to migrate to Google Apps. They created a migration plan, but admitted they failed to understand how their customers use all the pieces and parts of the Office Suite. They ended up hiring a Google system integrator, Cloud Sherpas (see link below), for implementation and administrator training.
The Result
The organization did run into a few roadblocks. They failed to plan for a work-around or mitigate differences in compatibilities between Outlook and Gmail. When dealing with issues, they felt that Google support was not where it needed to be for the enterprise. One of the organization's biggest challenges was user acceptance. IT had to provide hand holding and group training post migration. However, IT did provide some end users with an Outlook interface. In the end, IT saved on storage costs and freed up their staff.

Info-Tech Research Group   Cloud Sherpas

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Many new execs want to switch to a platform simply because they are used to it

Some migrations are brought about because a new executive comes in with new ideas, solutions, or questions about the current environment. Listen to her ideas, do some research, and present your findings. You may find that your executive is right, or at least partially right, and a platform switch may be warranted for at least some of the reasons she presented.

Do not cling onto a legacy platform based on perceptions of its robustness, capabilities, and uptime.

Instead, put some hard facts together, talk to peers regarding their experience, and use facts and hard numbers to inform the decision.

! Remember: You may be told to switch e-mail platforms anyway, without your input.

Next Section in Brief

- Exchange 2003? You have options.

- The pressure to jump into the Exchange pool.

- Decision trees make it easier.

- What else is there? Other e-mail platform options.

- What about archiving?

- Use scenario planning to help make your decision.

1

2

3

Why are businesses evaluating alternative e-mail platforms?

Which platforms should I evaluate based on my current platform/situation?

What's the best way to manage the migration and make sure it goes well?

Consider one of the e-mail platform vendors recommended by Info-Tech Research Group

Vendor/Product	Deployment
Microsoft Exchange	On-premise, on-demand from MS, on-demand from partners, managed hosting by partners.
IBM Lotus Notes	On-premise, on-demand from IBM, managed hosting from IBM.
Google Gmail	On-demand via SaaS only.
WebEx Mail	On-demand via SaaS only.
Gordano Messaging System	On-premise and single-instance hosted on-demand.
VMware Zimbra	On-premise, SaaS on-demand, VMware-ready virtual machine.
Microsoft Live@edu	On-demand via SaaS for qualifying educational institutions.
Scalix	On-premise, on-demand via SaaS, hosted via partners.

Specific scenario-based switching recommendations follow later in this section.

Even with a 79% total e-mail platform market share, small enterprises should evaluate switching from MS Exchange

- A majority of small enterprises are on MS Exchange 2003 or earlier versions like 2000 or v5.5.
- Their choices are:
  - Upgrade to Exchange 2007 or 2010 and swallow the extensive architecture changes.
  - Switch to Exchange Online or hosted Exchange from an MS partner.
  - Switch to another vendor.

More small enterprises have decided to switch **from** Exchange than **to** Exchange.

Organizations migrating from and to MS Exchange by number of full-time employees

| | 1-100 | 101-500 | 501-2500 | 2501+ |
Migrating from Exchange: 57%, 40%, 91%, 50%
Migrating to Exchange: 43%, 60%, 9%, 50%

■ Migrating from Exchange ■ Migrating to Exchange
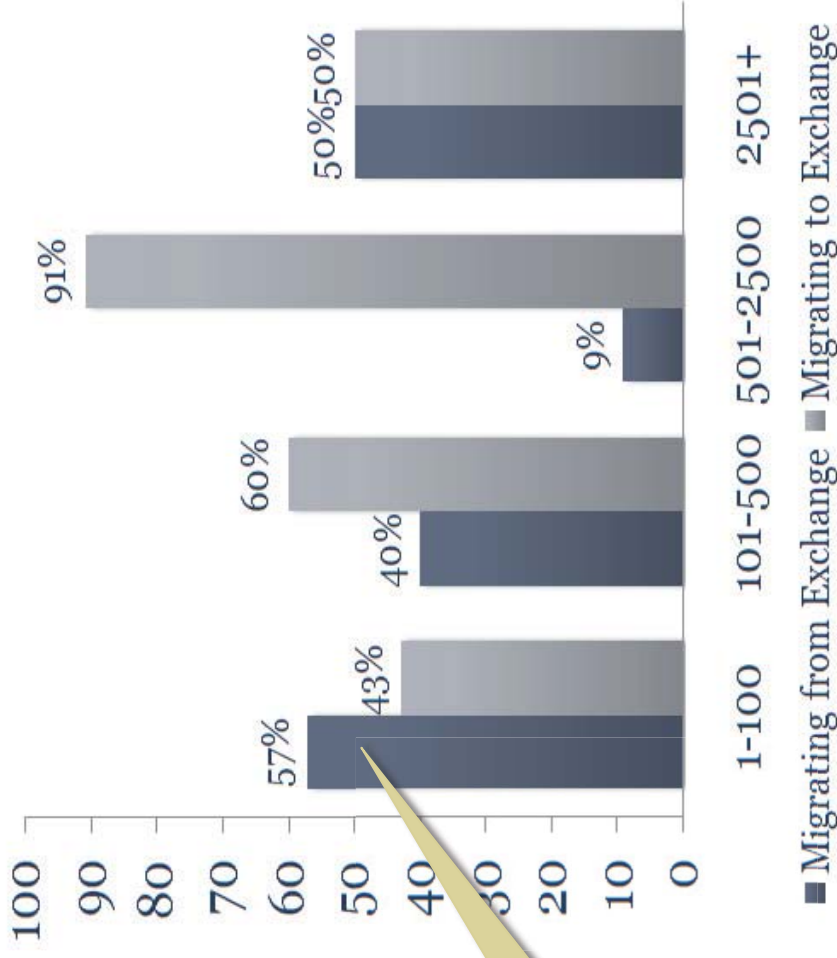
Info-Tech Insight:

To compare TCOs of deploying Exchange on-premises versus off-premise, see Info-Tech Premium Research Tool, "Exchange 2010 Total Cost of Ownership Calculator."

What if you don't like any of those platforms?

There are **still** more alternatives, although none of them have much market share and they don't target enterprises as much as the vendors recommended by Info-Tech. They include:

SmarterTools' SmarterMail and CommuniGate's MessagePlus are mostly focused on small businesses with no IT staff.

Zoho Business is a lot like Google Apps – lots of applications, with mail as one of them. However, not an incredibly nice interface.

Atmail's e-mail server focuses on getting service providers to offer their server to customers.

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In all switching scenarios, consider combining e-mail archiving with e-mail platform switching, for smoother migrations

A best practice in e-mail platform migration is to purge as much as possible from the operational e-mail store before migrating databases.

E-mail archiving allows an organization to preserve the e-mail that is necessary to retain. This allows for massive reduction of the operational e-mail store before migration.

An organization can also address personal e-mail stores (e.g. PSTs, .NSFs, Mboxes) with archiving tools instead of being forced to import them to the old platform before migration or to the new platform after migration.

Info-Tech Insight:

Linking e-mail archiving projects to e-mail platform migration projects at the strategy and planning phase can improve the success of **both** projects. For more information, refer to Info-Tech's Solution Set, "Select an E-Mail Archiving Solution."

Example of role of archiving for migration from Novell GroupWise to MS Exchange

E-mail Archive

Exchange Mailboxes

GroupWise Mailboxes
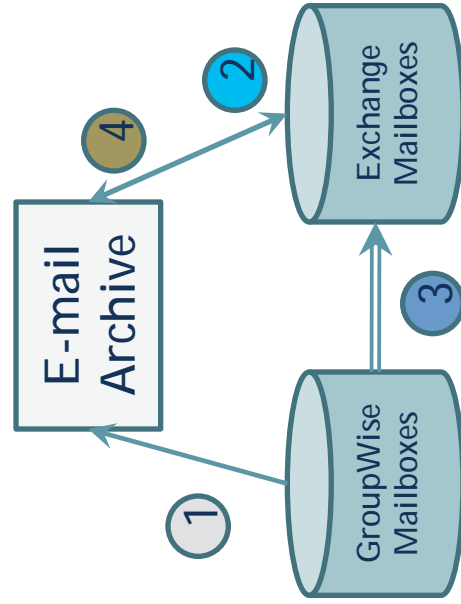
Step	Description
1	Archive mail off of old platform, including import of personal stores.
2	Connect archive to new platform.
3	Migrate mailboxes from old to new platform.
4	Enable archiving on the new platform.

Get down to business: compare your situation with the most common switching scenarios

Info-Tech interviewed numerous organizations which were either planning an e-mail switch, currently switching, or had recently completed a switch. Our research discovered repeated, common scenarios. The following slides discuss each scenario in detail.

1. Small enterprise is on a failing, legacy e-mail platform and needs to reduce total cost of ownership (TCO).

2. Small enterprise has outgrown its original system and needs to scale up in number of mailboxes and features.

3. Mid-sized enterprise is on a failing, legacy e-mail platform and needs to gain new features and provide for future growth.

4. Large enterprise is on a failing, legacy e-mail platform and simply needs to upgrade to gain the latest features and maintain interoperability with other enterprise systems.

5. Enterprise wants to consolidate e-mail, e-mail archiving, and e-mail security to a single vendor.

6. Educational entity wants to switch to another system to gain features, especially more storage and collaboration for students, and separate faculty and staff e-mail from student and alumni e-mail.

7. Organization needs to switch from an e-mail platform that hosts considerable collaboration and workflow applications.

Each scenario is discussed in detail in the next seven slides.

Small enterprise is on a failing, legacy e-mail platform and needs to reduce total cost of ownership (TCO)

> "Two of my most talented staff were tied up with storage and e-mail […] more than I'd like."
> – CIO, Regional Port Authority, switched to Google Apps.

Switching Scenario 1

- Cloud-based e-mail systems have matured and are valid choices for small enterprises that want to reduce costs. Licensing is on a subscription basis, so there are no capital costs in year one associated with hardware and software purchases. Annual expenses only rise if you add users or add or expand services, like storage.

- Consider Gmail, Cisco WebEx Mail, Exchange Online, IBM LotusLive, Gordano GMS Cloud, or Apptix.

- Ensure you address archiving, security, and mobile device access when choosing any cloud-based e-mail provider. Maximum savings is achieved when small enterprises outsource every aspect of e-mail.

- Many providers offer steep discounts for non-profits and education.

Small enterprise has outgrown its original system & needs to scale up in number of mailboxes & features

Switching Scenario 2

- Cloud-based e-mail systems are again a valid choice in this scenario. Cloud-based e-mail systems are the easiest to scale up, especially when larger numbers of mailboxes are added at one time (for example, when a new company location is brought online). Traditional capacity planning, in terms of right-sizing hardware and storage, become irrelevant. Licensing is on a subscription basis, so there are no capital costs in year one associated with hardware and software purchases; additional users cost a standard per month fee per user. Annual expenses only rise if you add users or add or expand services, like storage.

- Consider Gmail, Webex Mail, Exchange Online, IBM LotusLive, Gordano GMS Cloud, or Apptix.

- Ensure you address archiving, security, and mobile device access when choosing any cloud-based e-mail provider. Maximum savings is achieved when small enterprises outsource every aspect of e-mail.

- Many providers offer steep discounts for non-profits and education.

Mid-sized enterprise is on a failing, legacy e-mail platform and needs to gain new features & provide for future growth

"We were hesitant at first to adopt Exchange due to it being a virus target, but our uptime was poor [with the old system.] We added good antivirus so it's not an issue."

– E-mail Manager, University

Switching Scenario 3

- While cloud-based e-mail systems can still meet most requirements for a mid-sized company, the TCOs for off-premise versus on-premise can start to favor on-premise for mid-sized organizations if the expected lifetime of the e-mail platform is expected to be 5-6 years.

- Consider on-premise solutions such as Microsoft Exchange, Zimbra, or Gordano.

- If content collaboration is desired and the organization has no plans to implement MS SharePoint, then consider IBM Lotus Notes or Zimbra, each of which supports document collaboration.

- For maximum efficiency, consider virtualizing the e-mail server(s).

Large enterprise is on a failing, legacy e-mail platform; must upgrade to gain the latest features & maintain interoperability with other systems

Switching Scenario 4

- While cloud-based e-mail systems can still meet many requirements for a large enterprise, the TCOs for off-premise versus on-premise definitely favor on-premise deployment if the expected lifetime of the e-mail platform is expected to be 5-6 years.

- However, if a major goal is to free up IT staff from managing what the organization considers to be a commodity service, then large enterprises should also consider managed hosting. Virtualization has re-energized traditional hosting by making single instance hosting available as virtual machines, versus sharing of resources in the pure multi-tenant SaaS model, such as Gmail.

- Consider on-premise solutions such as Microsoft Exchange, Zimbra, or Gordano.
- Consider managed hosting from IBM, HP, or Intermedia.
- For large organizations considering Microsoft or IBM, e-mail strategy and collaboration strategy must be synchronized. It makes no sense to split e-mail and collaboration between these vendors. Either choose Exchange + SharePoint or IBM Lotus Notes.

Enterprise wants to consolidate e-mail, e-mail archiving, and e-mail security to a single vendor

Switching Scenario 5

- This scenario has the fewest solutions, but as cloud-based e-mail evolves, more vendors will provide bundled e-mail services.

- For on-premise solutions that bundle e-mail, archiving, and security, consider Microsoft Exchange 2010 Enterprise Server Edition with Enterprise CALs. The Enterprise CAL adds archiving and security features which are not available with the Standard CAL. Gordano Messaging Suite is also an option, bundling Jatheon's archiving solution and Vanguard security.

- For a cloud option, consider Google Apps + Google Postini or Gordano GMS Cloud.

- Note that partial bundles can be achieved. For example, Barracuda Networks provides both e-mail security and e-mail archiving appliance, but not an enterprise e-mail server. Symantec also offers e-mail security and archiving products.

Educational entity wants to switch to gain features, especially more storage & collaboration for students, and separate faculty and staff e-mail

"Our top reasons [for switching faculty/staff to Exchange and students to Google Apps] were cost, end user satisfaction and up-time."
- E-mail Manager, multi-campus university

Switching Scenario 6

- Educational institutions commonly start out with a single e-mail system, serving both students and faculty/staff.
- Most educational institutions are realizing that student e-mail requirements and faculty/staff e-mail requirements are diverging. Faculty/staff need more enterprise features, like security, as well as more robust integration capabilities. Students, on the other hand, want convenience, ease of use, light collaboration, and full smartphone integration without draconian mailbox quotas.
- First generation e-mail systems at these institutions are often simple Unix-based mail servers, incapable of meeting modern business requirements or delivering collaboration and flexible storage.
- For faculty and staff, consider any enterprise-class system, on or off-premise, such as from Microsoft, IBM Lotus, Gordano, Google, or Cisco.
- For student e-mail, given that each vendor offers its services for free to qualifying schools, Google Gmail and Microsoft Live@edu are the clear choices.

Organization needs to switch from an e-mail platform that hosts considerable collaboration and workflow applications

Switching Scenario 7

- Organizations switching from a platform that also supplies collaboration and workflow capabilities, like IBM Lotus Notes, have to account for applications running on the same servers as e-mail, calendaring, contacts, and tasks.

- Typical applications include knowledgebases, document workflows, and form-based workflows.

- Some applications are from third parties, other are custom built.

- It is important for organizations NOT to bog down e-mail migration projects with application migration projects. Separate application projects from the e-mail migration. Use Info-Tech's E-mail Application Migration Decision Tree, discussed in Section One of this Set, based on the Microsoft Application Analysis Envisioning Process (AAEP), to assess which applications need migration to another platform and what the migration options are.

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Next Section in Brief

- Plan your course with a checklist for migration, implementation, integration, communication, and training.

1 Why are businesses evaluating alternative e-mail platforms?

2 Which platforms should I evaluate based on my current platform/situation?

3 What's the best way to manage the migration and make sure it goes well?

Create your e-mail migration pre-flight checklist

Consider…	Because…
Impact on greater architecture	Other applications integrated with the current e-mail platform may cease to function.
Archive	An archiving product will likely work with both platforms. Reduce the size of the operational e-mail store as much as possible before migrating.
Offline stores	Address the PST, NSF, or Mbox that you cannot overlook now. If it has to be saved, archive it; do not migrate it with the operational store.
Backup/Purge	Once archiving is completed, back up one more time and purge to the most restrictive age limit possible to again reduce the operational store size.
Migration schedule	Create a clear schedule for migration. Do not count on a voluntary or opt-in migration plan. Do not rely on "connectors" to transport normal traffic between systems.
New end-user policies	Develop and communicate new end-user policies now. Highlight improvements, such as larger mailbox quotas and new archiving and retrieval capabilities.
Non-email PIM data migration	Decide what calendar, contact, and task information can be automatically migrated. Develop and communicate manual migration procedures if needed.
IT Admins and Help Desk training	Make current and future e-mail admins part of the migration project. Include a Help Desk representative as well.
End User training	Develop an end-user training and communication plan and execute before migration occurs, as well as afterwards.
Feedback loop	Monitor end-user feedback and help desk tickets and plan for a "point release" update as part of the original project plan.

Each task is discussed in detail in the next ten slides.

Assess impact on greater architecture

- All IT systems must be surveyed to discover system calls to the existing e-mail system. Look at CRM, ERP, content management, workflow systems, etc. as well as in-house applications.

- Look for special application programming interface (API) calls, such as MAPI workflow calls or Lotus Notes workflow calls, which will break if abandoning the underlying protocols of the legacy mail system.

- Examine PC client operating systems for e-mail configuration changes. For example, installing a new e-mail client will likely automatically configure the Windows registry to use the new e-mail system when an application uses e-mail. Webmail systems may require pushing out a special registry change.

- Examine plug-ins or other local extensions to legacy e-mail clients. Determine if the new e-mail client will support required extensions. For example, CRM system plug-ins for Outlook or Lotus Notes clients.

- Assess all mobile phone and tablet client requirements for required configuration changes.

Consider archiving

- If you have an existing archiving system, it's imperative that it continues to function with the new e-mail system.

- If you do not have an e-mail archiving system, there is no better time to implement one than when making a major e-mail platform switch.

- Unless you keep the legacy system operable for a while, your backups will be of no help to end users who need to retrieve something that was deleted. E-mail archiving systems enable self-service search and restoration of e-mail records.

- Choosing an e-mail archiving system compatible with both e-mail systems is the best way to prevent disruptions in end-user access to required, historical e-mail records.

- Refer to slide 24 on e-mail archiving for additional information.

// E-mail archiving will remain relevant and important to corporations mainly due to compliance and industry regulations; e-mail platforms still need to address these needs. //

- IT Supervisor, Manufacturing

For more information about selecting an e-mail archiving solution, see Info-Tech's Solution Set, "Select an E-Mail Archiving Solution."

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Address offline stores

- If you are migrating from Exchange, Notes, or GroupWise, chances are your end users have a huge cache of e-mails in offline, local databases, such PSTs, NSFs, or other archive folders.

- Ignoring the problem only ensures users will re-import old e-mails after migration is completed.

- Adopt a clear policy on local, offline e-mail stores now. Due to ever increasing compliance requirements, Info-Tech recommends that you prohibit local archives going forward.

- E-mail archiving systems are the best way to address business needs to retain e-mails. Migrate offline stores to an archiving system before migration if possible.

- Most end users retain project-oriented e-mails for future reuse. Consider providing teams with the content and collaboration tools they need to do their jobs instead of using e-mail as a project store, a function for which it was not designed.

For additional information on collaboration tools, see the Info-Tech's Solution Set, " Select the Right Collaboration Platform."

Backup and Purge

- After archiving and addressing offline stores, it's time to backup one more time. Hopefully, this will be the last backup of each operational e-mail store you will ever create from the legacy system.

- The last step before actually migrating an individual e-mail database is to purge as much unnecessary e-mail as possible to reduce the size of the database, and therefore reduce the chance of migration errors. If you archived properly, then historical e-mails will be available when needed. And you always have backups if needed.

- Purge based on age. Most companies use anywhere from 90 days to one year as the maximum age limit for e-mails allowed to remain in the operational store, for performance reasons. It depends on the system to which you are migrating and the available storage with the new system.

- Consider establishing the same purge policies for the new system, so end users become accustomed to the policy, and you combine as much "change" as possible into one single end-user disruption.

" Mailbox sizes were 20-25GB under GroupWise, so we needed to purge first … now [we] have 5GB quota with Exchange. "

– IT Manager, Engineering

Mandate a migration schedule

- Cloud-based e-mail systems, such as Gmail, offer migration tools that can be programmatically accessed (i.e. by APIs). This enables organizations to create their own user interfaces to enable self-service or opt-in migration, at end users' leisure. This is a useful capability for e-mail service providers, such as ISPs.

- For non-service providers though, experience has shown that given an opt-in choice, most end users will wait until the last minute or prefer that IT migrate their mailbox anyway. Info-Tech recommends that organizations adopt a fixed migration schedule and execute accordingly.

- Optimal design points will vary. Consider department migration, legacy server migration or company location migration.

- Remember that whatever design point is used for the migration schedule, end-user training and help desk support must accompany each migration step. For example, choosing server migration, when mailboxes from all over the organization may be on the server, may not result in a migrated population that corresponds to distributed training organizations or distributed help desks. However, this would not pose a logistical problem for centralized training organizations and centralized help desks.

" Eight week [migration plan], but had low initial opt-in, so had to get tough and do it ourselves… Opt-in, most will just ignore [the migration plan] and wait for you to do it anyway. "

– IT Director, Education

Develop new end-user policies

- E-mail migration is an opportunity to both strengthen and loosen existing end-user policies. Policies must be developed ahead of migration and be ready to execute and enforce immediately when a mailbox is migrated.

Examples include:

- Mailbox size quotas. If these did not exist before, they should be created for the new system. If they did exist but were rather harsh, consider loosening them if storage in the new system is larger and cheaper.

- Age limits. Establish age limits for messages in Inboxes and Sent Items folders. Communicate these to end users so they anticipate purge activities. WARNING: Establishing age limits that are too short will only increase IT requests for e-mail restores, if no archiving system exists.

- Archiving rules. Execute archiving rules required by the business and communicate these rules to end users, so they anticipate archiving activities.

- Don't confuse end user and process mailboxes. Process mailboxes, such as those serving workflows, may need to be exempt from all restrictions.

- All policies, both old and new, must be included in end-user training.

This is a great time to retrain all employees on e-mail acceptable use policies and any associated compliance requirements. For a generic e-mail acceptable use policy, see Info-Tech's template, "E-Mail and Messaging Acceptable Use Policy."

Address non-email personal information management (PIM) data migration

• E-mail is rarely all that end users store on an e-mail platform. Contacts, calendars, and tasks have to be considered.

• Some migration tools may not handle migrating databases other than e-mail folders. In this case, a manual process needs to be established, tested and communicated to end users and the Help Desk. This may include a manual export of records from the client of the old system and a manual import using a client of the new system.

• Assess the impact of manual migration processes for contacts, calendars and tasks on mobile phone information stores to identify steps which may result in duplicate records on mobile phones when synchronized. Duplicate records on mobile phones will cause unnecessary end user frustration.

• Identify any shared or group contact lists or calendars that need to be maintained after the migration. If the new platform will not support shared contacts, calendars or tasks, then again collaboration platforms must be considered to support such common team requirements.

For additional information on collaboration platforms, see the Info-Tech Research Group Solution Set, " Select the Right Collaboration Platform."

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Train IT Admins and Help Desk Analysts

• The best way to train IT staff to support a new on-premise e-mail platform is, of course, to have them execute the migration project.

• Send IT staff to administrator training for the new platform.

• Involve Help Desk Analysts in project execution to develop designated subject matter experts on the Level 1 and Level 2 support staffs who can transfer knowledge to other Help Desk analysts.

• Deploy as many Help Desk analysts as possible for desk-side support the first day after migration. They will learn valuable end-user support information by being in the field to resolve initial problems.

• Develop or procure content for the Help Desk knowledgebase system, to support both temporary migration issues and long-term e-mail system end-user inquiries.

– Major platform vendors, like Microsoft, IBM Lotus, Google, Zimbra, Gordano, etc. have extensive online resources for technical support personnel.

– Ensure Level 1 support analysts are provided the same training and training aides as are provided to end users, so they have a common point of reference to use in processing end-user inquiries.

Train end users

• Start communicating to end users as soon as a decision is made to switch e-mail platforms. Start by communicating the strategic reasons why the current e-mail platform must be abandoned. Employees will identify with strategic goals like cost reduction, improved uptime and reliability, more storage, improved customer service, etc.

• Electronic newsletters from the project team work well as a communications microsite on the intranet. Communicate target dates and milestones during planning.

• Develop and hold end-user training sessions as actual migration draws near. Bring people together in a conference room for an hour long session. Free food and beverages always help increase attendance.

• Develop or procure laminated training cards that summarize the key features and how-to's for the new e-mail system and client to distribute to end users at training sessions. For larger platforms, numerous online vendors sell pre-printed reference cards for Outlook, Notes, and other e-mail clients. But don't be afraid to create your own.

• Consider developing how-to videos and publishing them on the company intranet. Online video services, such as YouTube, already contain thousands of user-generated how-to videos on end-user computing applications, including e-mail clients. Consider screening these free videos and linking to the best ones.

• Appoint local migration champions among business units. Known power users fit this role well. Most business units already have a well-known "go to" person that deflects some of the simple end-user inquiries from ever reaching the Help Desk. However, this also means the Help Desk never hears about some issues and IT is unable to properly trend the more significant problems.

// I can't think of a change that has been taken more personally by so many people [as migrating from Microsoft Office/Exchange to Google Apps/Gmail]. *//*

- IT Director, Transportation

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Establish a feedback loop and tweak the system

- Keep the communication plan active for at least three to six months after the last mailbox was migrated.

- Analyze Help Desk inquiries and solicit end-user feedback on all aspects of the new e-mail system. Consider using an end-user survey to collect feedback and measure satisfaction.

Free survey services, such as SurveyMonkey or Zoomerang, are perfect for this.

SurveyMonkey™

Z zoomerang®
Easiest Way to Ask, Fastest Way to Know™

- Plan to make updates to the system, quotas, policies, etc. as required and initiate one last communication with users concerning these updates before closing down the project.

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Don't be afraid to ask for help from system integrators, for larger and difficult migrations

Use Info-Tech's E-mail Migration System Integrator RFP Template and E-mail Migration System Integrator RFP Evaluation Tool to assist in SI selection.

The RFP Template comes populated with crucial elements you must consider. These include:

- The Statement of Work
- Proposal Preparation Instructions
- Scope of Work
- Specification & Requirements
- Vendor Qualifications & References
- Budget & Estimated Pricing
- Vendor Certification

Info-Tech Insight:

Choosing a systems integrator is not as complex as selecting software from multiple application providers, but an investigation of vendor credentials and experience must still be performed, as well as gathering price data and consulting rates.

Summary

- Increasingly, businesses of all sizes are considering outsourcing their e-mail environments to hosted e-mail service providers, whether traditional hosted or cloud-based. If you are looking to switch e-mail platforms, evaluate switching to a hosted deployment model as well.

- Small organizations still running Exchange 2003 must give alternative platforms serious consideration, along with hosted deployments. Moving to a hosted service provider will likely reduce IT complexity and TCO.

- There are seven viable enterprise e-mail platforms that will meet the needs of most companies. However, there are still other e-mail platforms that, while not specifically targeting enterprises, may meet your needs. Evaluate the offerings from Microsoft, IBM, Google, Cisco, Zimbra, Scalix, and Gordano first.

- Use the e-mail migration pre-flight checklist to ensure all of the necessary items are considered and addressed before embarking on the project. Missing a step could lead to lost time, effort, and money.

Appendix

Increasing features and lowering TCO can be at odds with each other, as demonstrated by organizations migrating to, or planning to migrate to, Microsoft Exchange
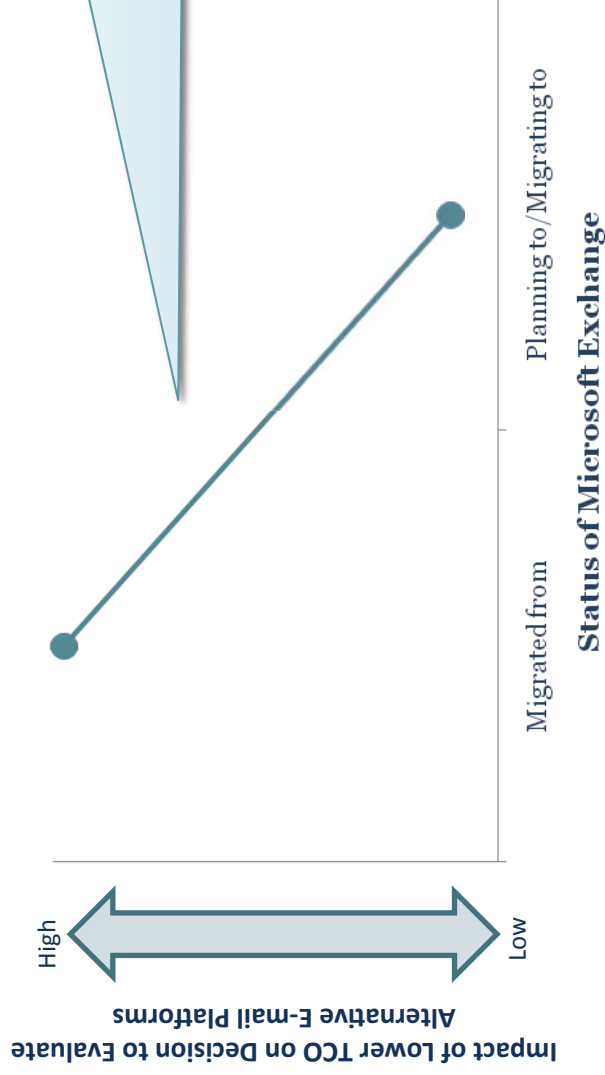
Organizations that are planning to or have already migrated to Microsoft Exchange were 11% less likely to say that lowering their total cost of ownership affected their decision to evaluate alternative e-mail platforms than those who migrated from Microsoft Exchange.

Impact of Lower TCO on Decision to Evaluate Alternative E-mail Platforms

High

Low

Migrated from

Planning to/Migrating to

Status of Microsoft Exchange

Source: Info-Tech Research Group
N = 77

Survey Demographics

cDM1: Industry

1 . cDM1 N = 95

9. Wholesale/Retail — 4
8. Government — 9
7. Trans/Utilities/Comms — 13
6. Healthcare — 10
5. Financial Services — 17
4. Education — 10
3. Manufacturing — 17
2. Primary Industry — 3
1. Business Services — 12

50

aDM3: IT Employees

2. aDM3 N = 99

Category	Value
11. 5001+	3
10. 2501–5000	1
9. 1001–2500	2
8. 501–1000	4
7. 251–500	8
6. 101–250	11
5. 51–100	10
4. 26–50	16
3. 11–25	12
2. 6–10	13
1. 1–5	21

aDM4: Revenue

Category	Value
9. $1B +	17
8. $500M–1B	8
7. $100M–500M	28
6. $50M–100M	13
5. $25–50M	15
4. $10–25M	8
3. $5–10M	9
2. $1–5M	5
1. $0–1M	7

3 . aDM4 N = 108

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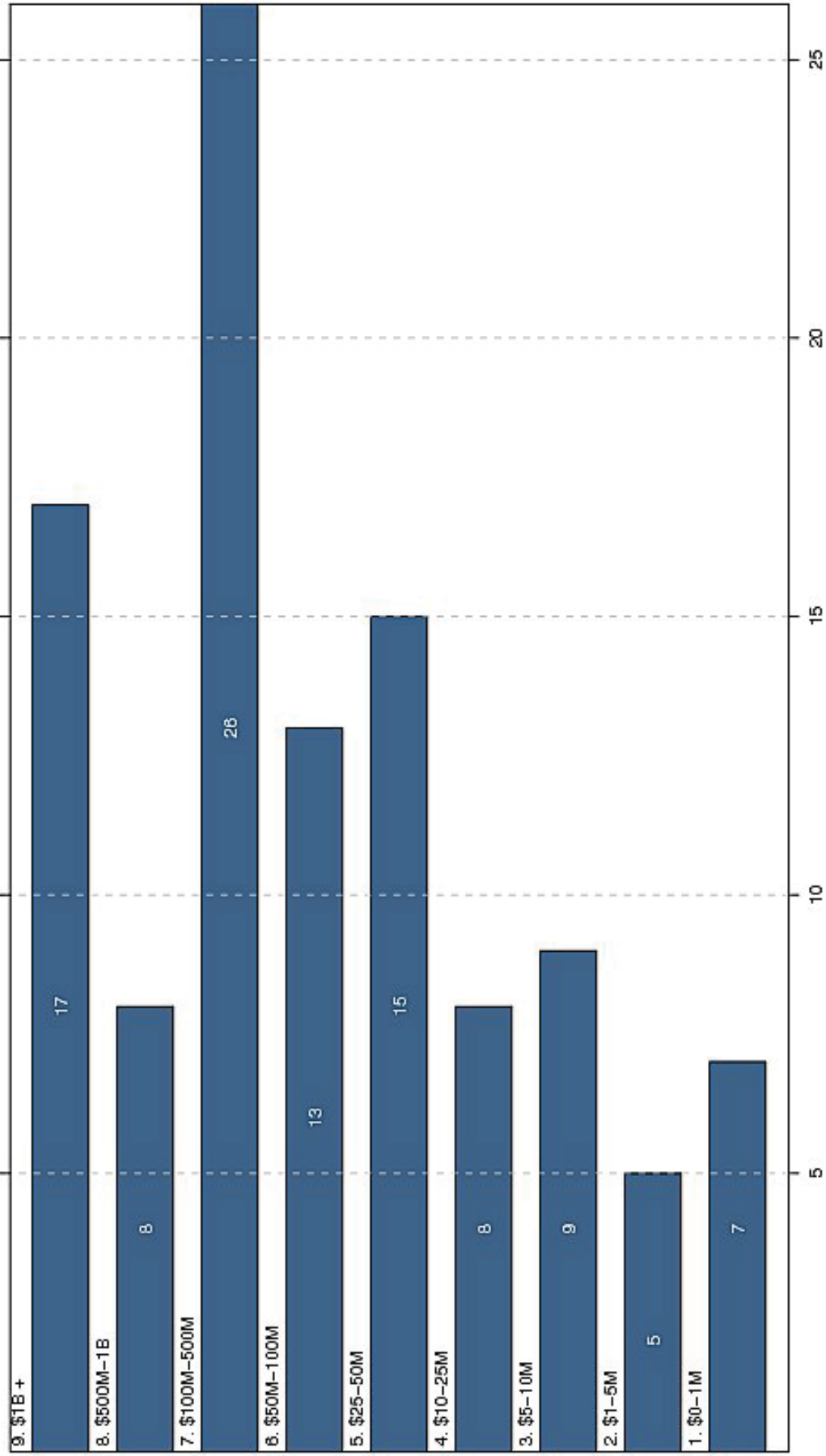
aDM5: Job Title

4 . aDM5   N = 108

Info-Tech Research Group
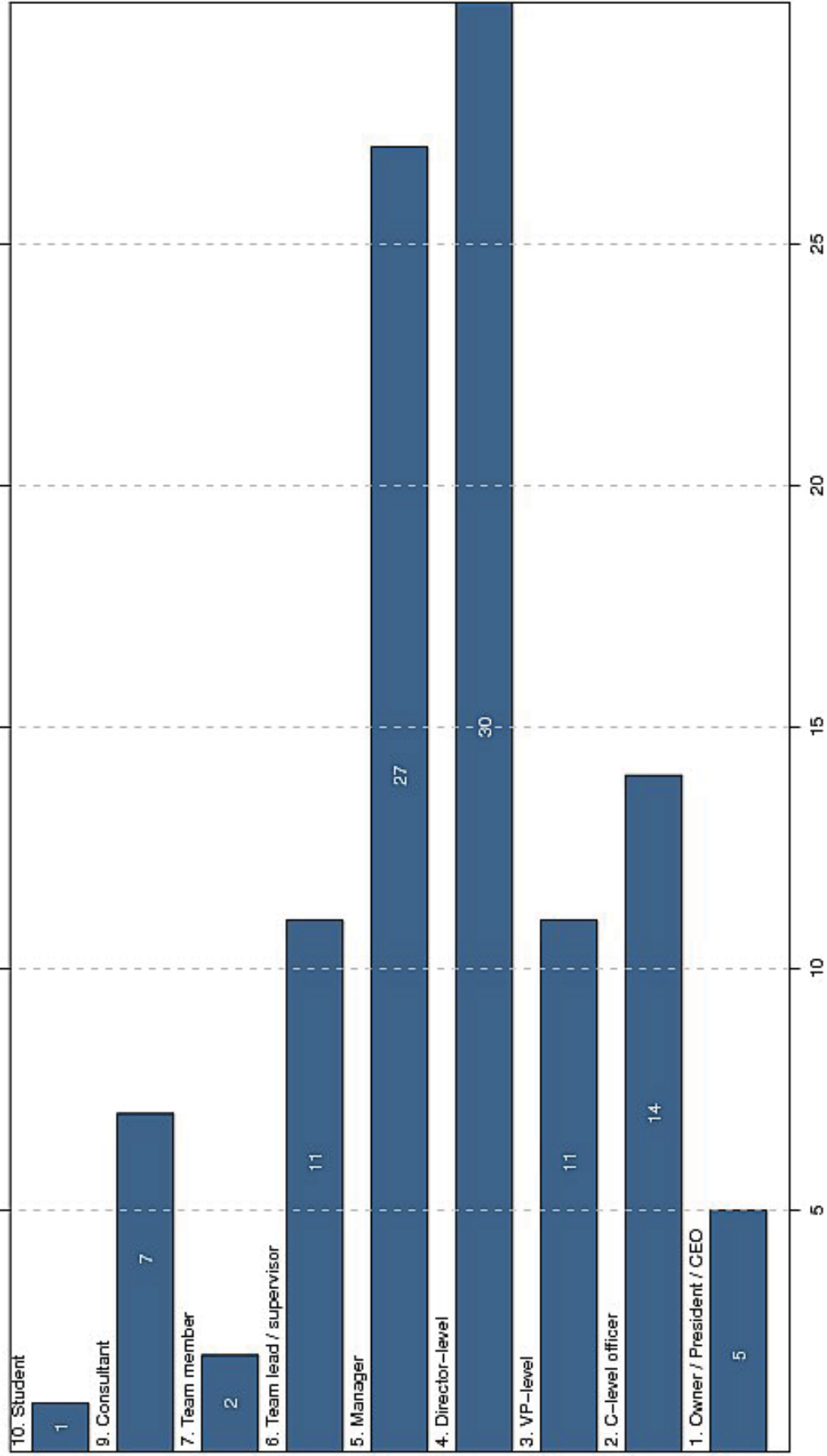
aSE1: Please indicate your organization's current status regarding switching email platforms.

4. We switched email platforms in the last 12 months. — 28

3. We have decided to switch email platforms within the next 12 — 20

2. We are currently evaluating alternative email platforms and — 41

1. We are not evaluating or planning to switch email platforms. — 29

5 . aSE1   N = 118

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54

172
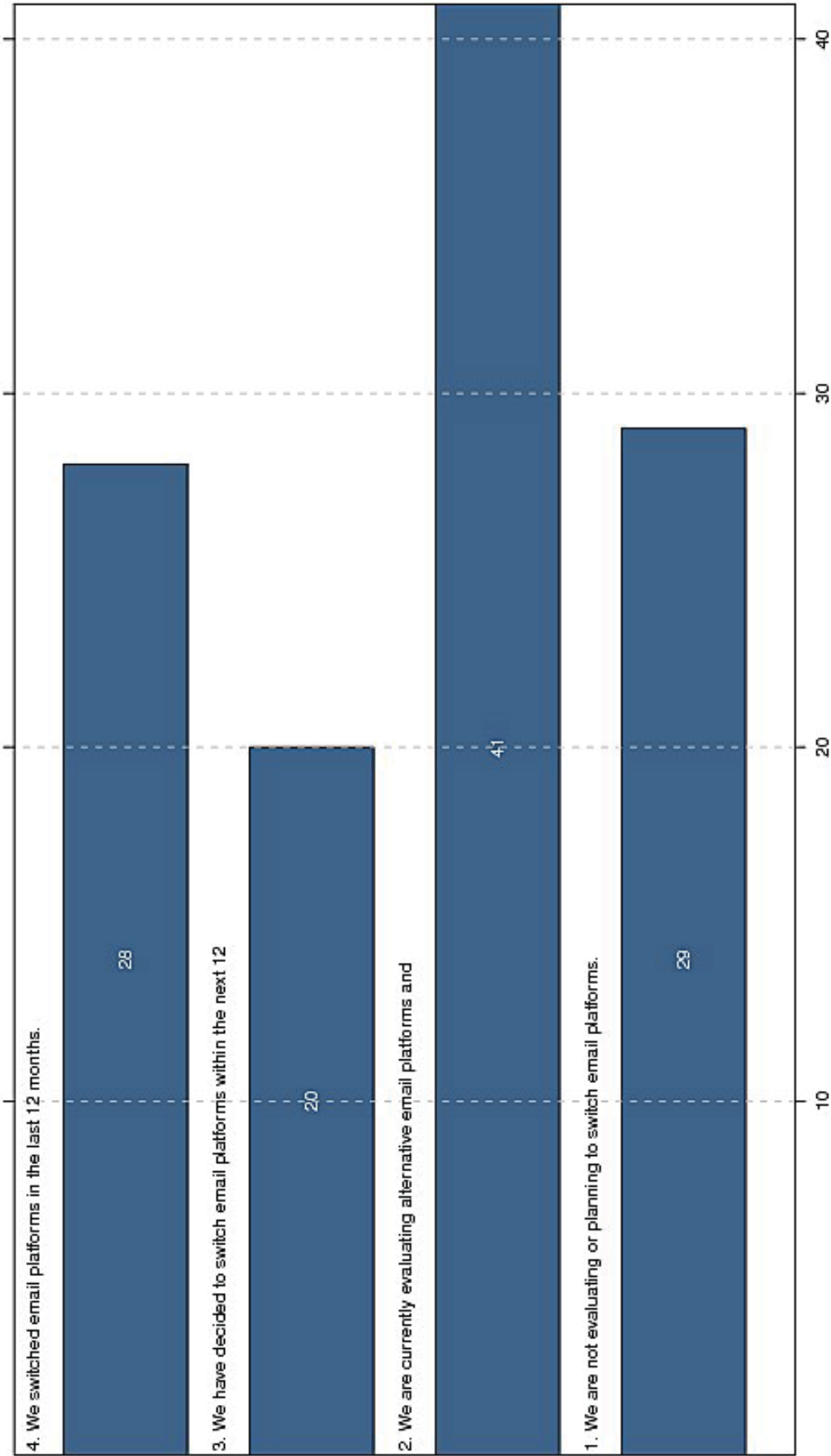
Affect on decision to evaluate email platforms

Higher availability of deployment options
0% 5% 21% 21% 26% 26%

Lower total cost of ownership
5% 20% 14% 27% 34%

Improved mobile user support
2% 22% 21% 34% 20%

Need complete app integration requirements
1% 2% 6% 21% 22% 31% 16%

Additional end user features required
1% 2% 24% 22% 31% 18%

Simplified administration
1% 4% 16% 14% 38% 27%

Storage and archiving demand
0% 6% 25% 16% 31% 21%

1. 1 = Very Negatively
2. 2
3. 3
4. 4 = No Effect
5. 5
6. 6
7. 7 = Very Positively

N = 85

Did you, or do you plan to, put effort into

Supporting end-users during and post migrating
4% | 4% | 11% | 14% | 31% | 37%

Integrating with 3rd party software
7% | 14% | 18% | 21% | 24% | 16%

Capacity planning
5% | 6% | 19% | 19% | 34% | 18%

Training
4% | 6% | 24% | 18% | 34% | 15%

Planning the migration
2% | 2% | 7% | 15% | 27% | 46%

Evaluating alternatives
12% | 11% | 12% | 20% | 25% | 21%

1. 1 = Very little effort
2. 2
3. 3
4. 4
5. 5
6. 6 = A lot of effort

N = 85

Info-Tech Research Group
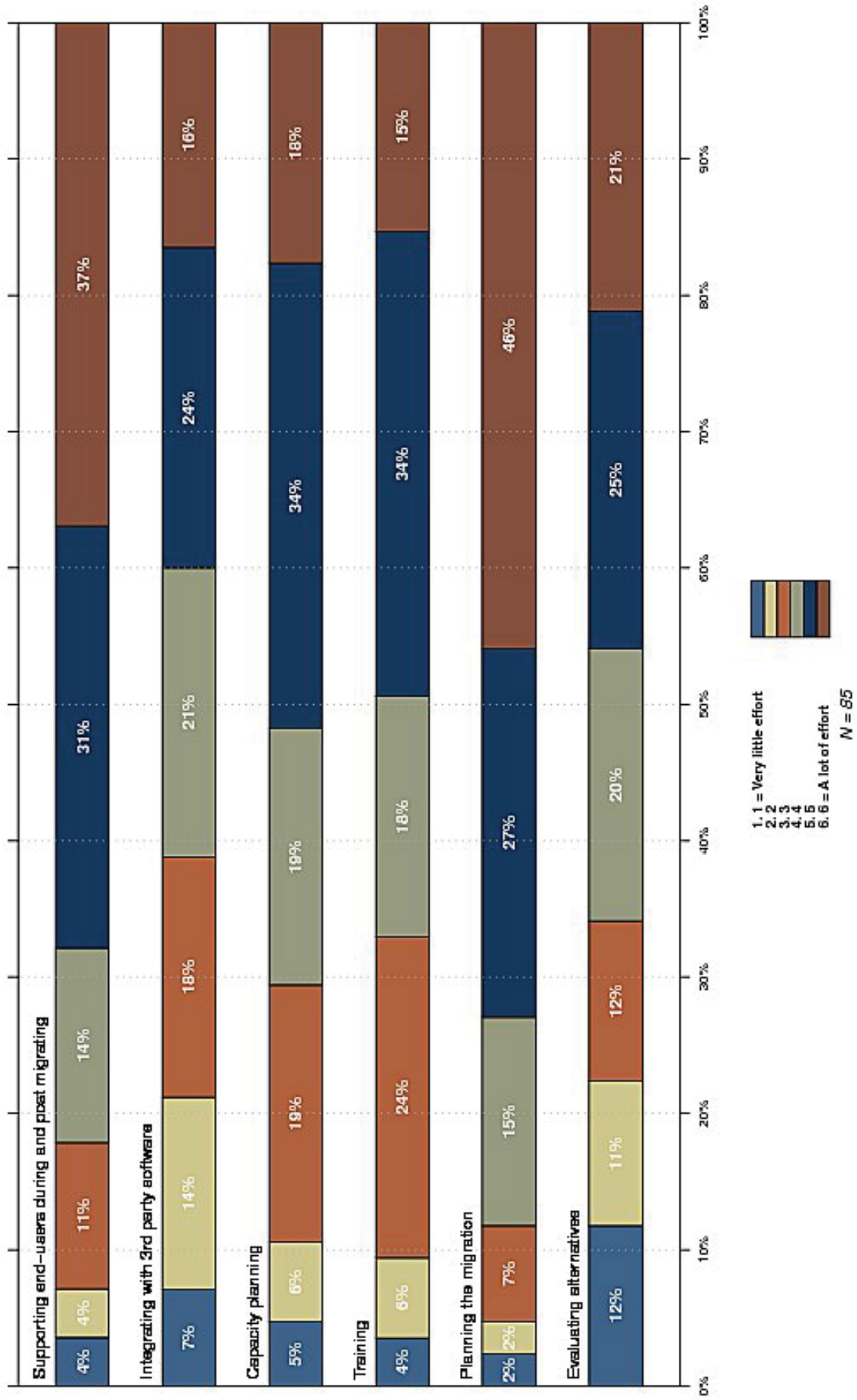
What platform coming from and platform migrating/migrated to

1. Migrated From	
2. Planning to/Migrated to	
N = 18	

Other — 64% / 36%
Gordano — 100%
Scalix — 75% / 25%
VMware Zimbra — 100%
Cisco WebEx Mail — 75%
Google Apps — 25% / 75%
Novell GroupWise — 5% / 95%
IBM Lotus Notes/Domino — 82% / 18%
MS Exchange — 84% / 16%
— 36% / 64%
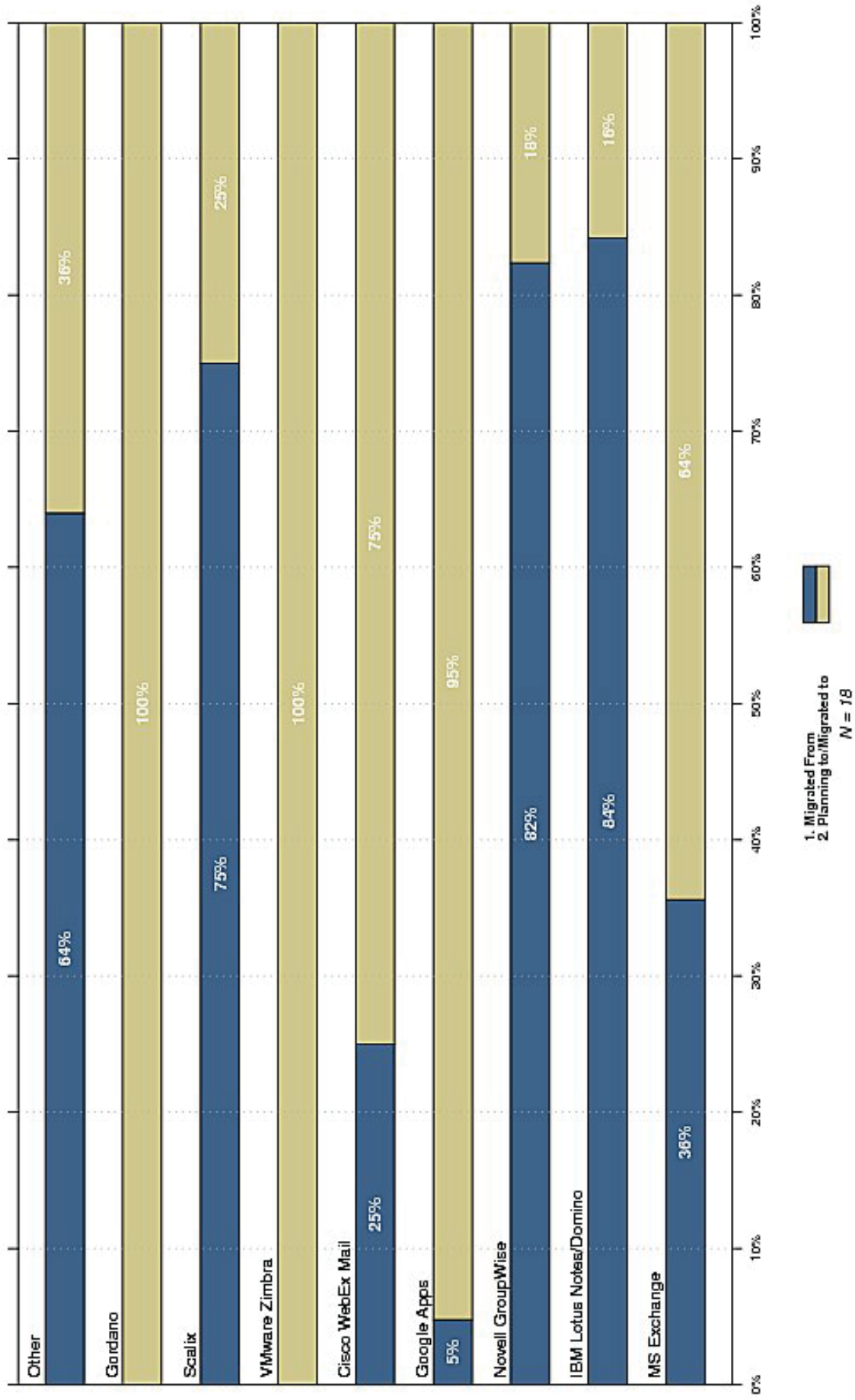
Delivery method coming from and method migrating/migrated to

Delivery method	Migrated From	Planning to/Migrated to
Hybrid	15%	85%
SaaS		100%
Hosted	31%	69%
On–Premise	62%	38%

1. Migrated From
2. Planning to/Migrated to
N = 38
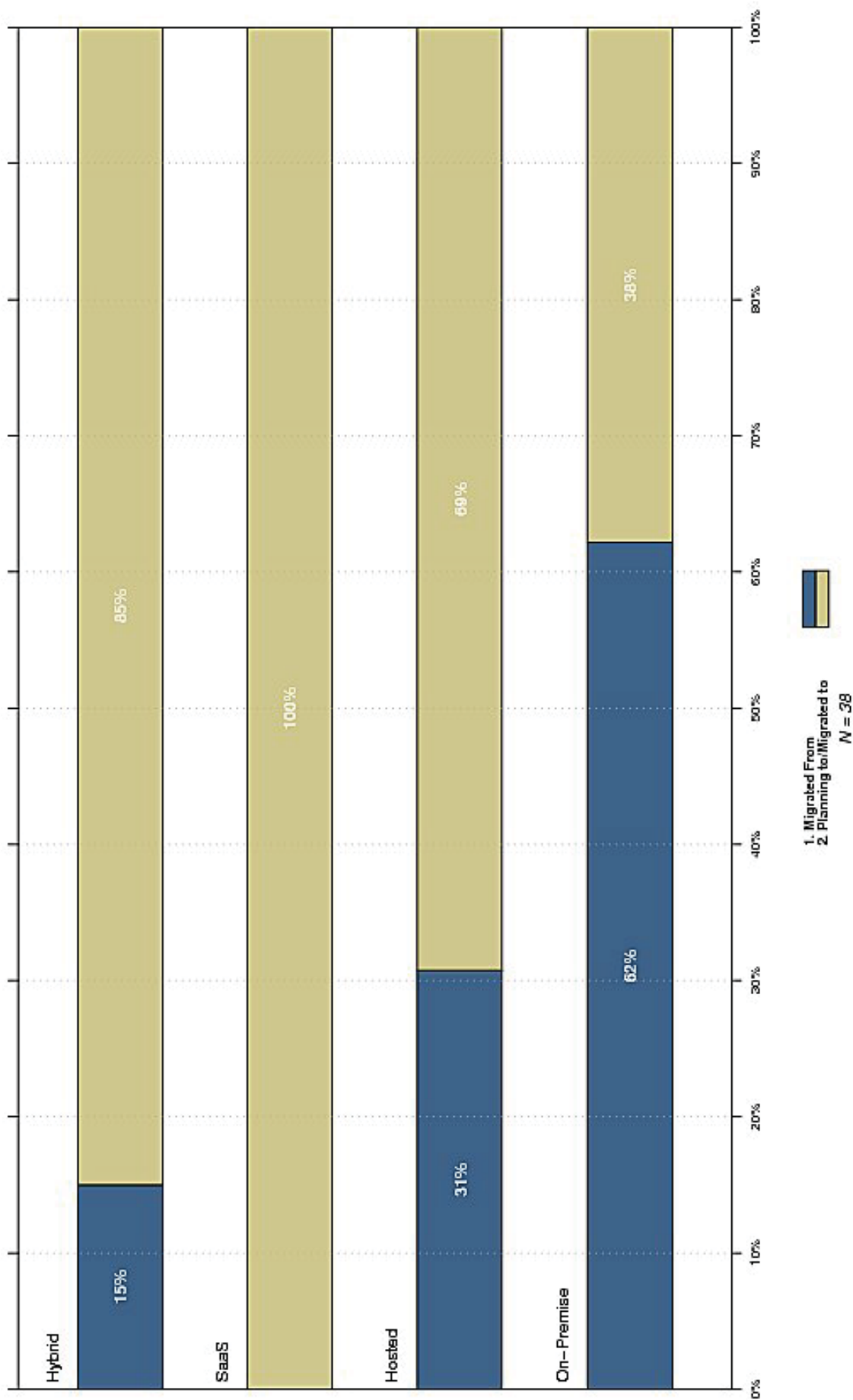
Appendix D – Regulatory Compliance

hipaa_implementatio
n_guide.pdf

HIPAA.pdf

BIG – Business Improvement Group, Inc. 2016

HIPAA Compliance & Data Protection with Google Apps

Google Apps for Work HIPAA implementation guide

Google™ for Work

HIPAA Compliance & Data Protection with Google Apps

Google works to keep users' data secure in the cloud in a reliable, compliant way.

The combination of security and privacy lead to a strong ecosystem that keeps your information safe. For customers who are subject to the requirements of the Health Insurance Portability and Accountability Act (known as HIPAA, as amended, including by the Health Information Technology for Economic and Clinical Health – HITECH – Act), Google Apps supports HIPAA compliance.

This guide is intended for security officers, compliance officers, IT administrators, and other employees in organizations who are responsible for HIPAA implementation and compliance with Google Apps. Under HIPAA, certain information about a person's health or health care services is classified as Protected Health Information (PHI). After reading this guide, you will understand how to organize your data on Google services when handling PHI to help meet your compliance needs. Customers are responsible for determining if they are a Business Associate (and whether a HIPAA Business Associate Agreement (BAA) with Google is required) and for ensuring that they use Google services in compliance with HIPAA.
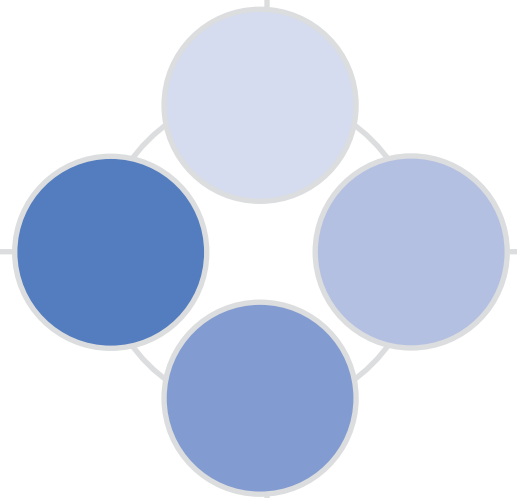
Using Google Services with PHI

Google Apps customers who are subject to HIPAA and wish to use Google Apps with PHI must sign a Business Associate Agreement (BAA) with Google. Per the Google BAA, PHI is allowed only in a subset of Google services. These Google covered services, which are "Included Functionality" under the HIPAA BAA, must be configured by IT administrators to help ensure that PHI is properly protected. In order to understand how the Included Functionality can be used in conjunction with PHI, we've divided the Google Apps Core Services ("Core Services") covered by your Google Apps Agreement into three categories. Google Apps administrators can limit which services are available to different groups of end users, depending on whether particular end users will use services with PHI.

1. **HIPAA Included Functionality: All users can access this subset of Core Services for use with PHI under the Google Apps HIPAA BAA as long as the health care organization configures those services to be HIPAA compliant:** Gmail, Google Drive (including Docs, Sheets, Slides, and Forms), Google Calendar, Google Sites, and Google Apps Vault (see full list of Google Apps Core Services here).

2. **Core Services where PHI is** *not* **permitted: There are certain remaining Core Services that may not be used in connection with PHI.** Google Apps administrators can choose to turn on these remaining Core Services, which include Hangouts, Contacts, and Groups, for its users, but it is their responsibility to not store or manage PHI in those services. Please see "Separating user access within your domain" for further details on how to utilize organizational units.

3. **Other Non-Core Services Offered by Google: PHI is** *not* **permitted in other Non-Core Services offered by Google where Google has not made a separate HIPAA BAA available for use of such service.** All other Non-Core Services not covered by your Google Apps Agreement, including, for example, (without limitation) YouTube, Google+, Blogger, and Picasa Web Albums (see list of Additional Google Services here), must be disabled for Google Apps users who manage PHI within the Included Functionality. Only users who do not use Included Functionality to manage PHI may use those separate Non-Core Services offered by Google (under the separate terms applicable to these Google services). Please see "Separating user access within your domain" for further details on how to utilize organizational units.

To manage end user access to different sets of Google services, Google Apps administrators can create organizational units to put end users who manage PHI and end users who do not into separate groups. Once these units are set up, an administrator can turn specific services on or off for groups of users. Those who manage PHI, for instance, should have YouTube and Google+ turned off. Please see "Separating user access within your domain" in the "Additional Considerations for HIPAA Compliance" section below for further details on how to utilize organizational units.

To learn more about how Google secures your data, please review our Google Apps security whitepaper.

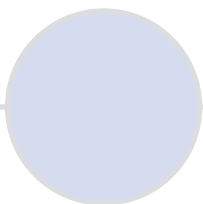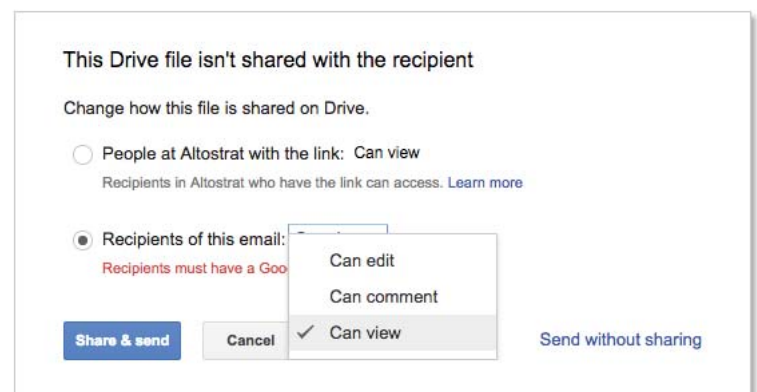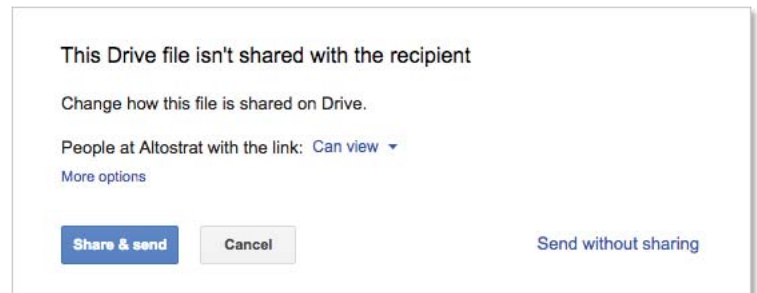# What to Consider for Specific Google Apps Core Services

Every Google Apps Core Service has specific settings to adjust to help ensure that data is secure, used, and accessed only in accordance with your requirements. Here are some actionable recommendations:

Monitoring account activity

The Admin console reports and logs make it easy to examine potential security risks, measure user collaboration, track who signs in and when, analyze administrator activity, and much more. To monitor logs and alerts, admins can configure notifications to send them alerts when Google detects these activities: suspicious login attempts, user suspended by an administrator, new user added, suspended user made active, user deleted, user's password changed by an administrator, user granted admin privilege, and user's admin privilege revoked. The admin can also review reports and logs on a regular basis to examine potential security risks. The main things to focus on are key trends in the highlights section, overall exposure to data breach in security, files created in apps usage activity, account activity, and audits.

Gmail

Gmail provides controls to ensure that messages and attachments are only shared with the intended recipients. When composing emails and inserting files using Google Drive that potentially contain PHI, end users can choose to share only with the intended recipients. If the file is not already shared with all email recipients, the default will be to share the file with "Anyone with the link" within the Google Apps domain. Change the link sharing settings to "Private."

This Drive file isn't shared with the recipient

Change how this file is shared on Drive.

People at Altostrat with the link: Can view ▾
More options

Share & send   Cancel   Send without sharing

This Drive file isn't shared with the recipient

Change how this file is shared on Drive.

○ People at Altostrat with the link: Can view
   Recipients in Altostrat who have the link can access. Learn more

● Recipients of this email:
   Recipients must have a Goo...   Can edit
                                        Can comment
                                     ✓ Can view

Share & send   Cancel   Send without sharing

Drive
(including Docs, Sheets, Slides, and Forms)

Employees can choose how visible files and folders are, as well as the editing and sharing capabilities of collaborators, when sharing files in Google Drive (including Docs, Sheets, Slides, and Forms).

Admins can set file sharing permissions to the appropriate visibility level for the Google Apps account. Admins can "Restrict" or "Allow" employees to share documents outside the domain, and set the default file visibility to "Private."

Admins should consider disabling third party applications that can be installed, such as Google Drive apps and Google Docs add-ons. Admins should review the security of these applications, as well as any corresponding security documentation provided by the third party developer.

Calendar

Within your domain, employees can change if and how their calendar is shared. Admins can set sharing options for all calendars created in the domain. By default, all calendars share all information to anyone within your domain, and only free/busy information with all external parties. Employees should consider setting calendar entries to "Private" for meetings involving PHI. In addition, employees should consider excluding PHI from meeting titles, descriptions, and Hangout video calls, unless proper privacy settings have been applied. Admins should consider disabling the option to automatically add Hangout video calls for employees who manage PHI.

| Video Calls
Locally applied	☐ Automatically add video calls to events created by a user

Admins should consider setting calendar sharing options to "No sharing" or "Only free/busy information" for employees who handle PHI.

| External sharing options for primary calendars
Locally applied | **Outside Altostrat - set user ability for primary calendars**
By default, primary calendars are not shared outside Altostrat . Select the highest level of sharing that you want to allow for your users.

◉ Only free/busy information (hide event details)
○ Share all information, but outsiders cannot change calendars
○ Share all information, and outsiders can change calendars
○ Share all information, and allow managing of calendars |
|---|---|

| Internal sharing options for primary calendars
Locally applied | **Within Altostrat - set default**
Users will be able to change this default setting. Super Admins have 'Make changes and manage sharing' access to all calendars on the domain.
Learn more

○ No sharing
◉ Only free/busy information (hide event details)
○ Share all information |
|---|---|
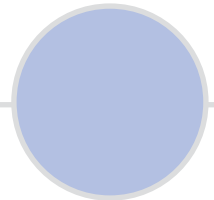
Sites

For Sites containing PHI, employees should consider setting the share settings to "Private." Employees can also turn on page-level permissions to granularly control who has access to individual web pages within a Site.
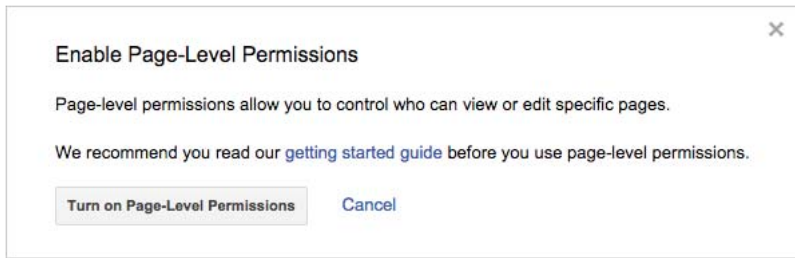
Employees should consider setting sharing permissions appropriately, if inserting a Google Calendar or content stored in Google Drive (including Docs, Sheets, Slides, and Forms) into a Site. Admins should consider setting the default visibility for Sites to "Private."
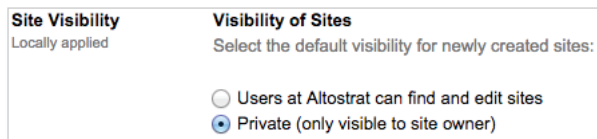
The Google Sites service, like all Google Apps Core Services, does not serve advertising or use Customer Data for advertising purposes. However, some legacy users of AdSense on Sites may retain the ability to use the separate AdSense product to display advertising on their Sites pages. Users should ensure that AdSense on Sites is disabled whenever Sites is used with PHI.
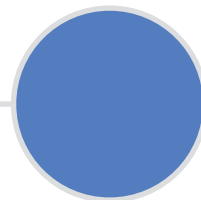
Additional Considerations for HIPAA Compliance

Separating user access within your domain

To manage end user access to different sets of Google services, a Google Apps administrator can create organizational units to put end users who manage PHI and end users who do not into separate groups.Once these units are set up, the administrator can turn specific services on or off for groups of users.

In a small Google Apps account, for instance, there are typically two or three organizational units. The largest unit includes employees with most services enabled, including YouTube and Google+; another unit is for employees who may manage PHI, with certain services disabled. In a more complex Google Apps account, there are more organizational units that are often divided by department. Human resources may manage PHI, but those who do may be only a subset of HR employees. In that case, administrators could configure an HR organizational unit with most services enabled for some users, and another HR organizational unit for employees using the HIPAA Included Functionality with PHI (with certain services disabled and settings configured appropriately).

To learn more, please refer to our Support resources that discuss how to set up organizational units and how to turn services on and off.
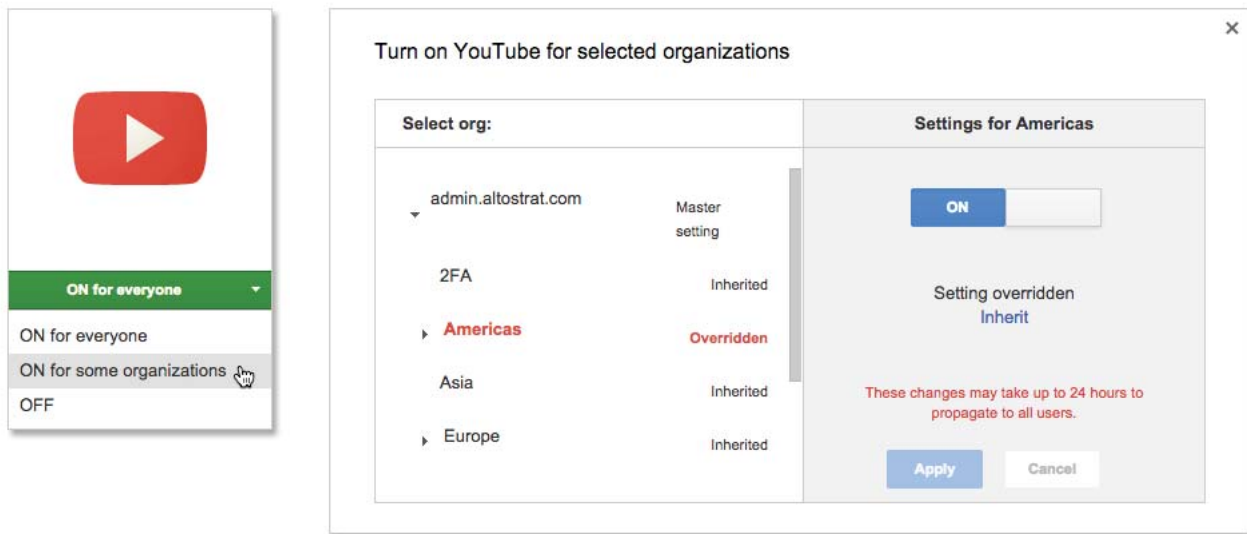
Use of third party applications

If an end user wants to use the HIPAA Included Functionality to share PHI with a third party (or a third party application), some of the services may make it technically possible to do so. However, it is the customer's responsibility to ensure that appropriate HIPAA-compliant measures are in place with any third party (or third party application) before sharing or transmitting PHI. Customers are solely responsible for determining if they require a BAA or any other data protection terms in place with a third party before sharing PHI with the third party using Google Apps services or applications that integrate with them.

Security best practices

To keep your data safe and secure, we recommend several security best practices including:

- **Set up 2-step verification** to reduce the risk of unauthorized access in case a user's password is compromised

- **Configure enterprise sender identity technologies** — sender policy framework, DomainKeys Identified Mail, and Domain-Based Message Authentication — to prevent spammers and phishers from "spoofing" your domain

Security Audits and Certifications

A list of security and privacy controls available with Google Apps can be found on our Security and Privacy website.

In addition to supporting HIPAA compliance, the Google Apps Core Services are audited using industry standards such as ISO 27001 certification and SOC 2 and SOC 3 Type II audits, which are the most widely recognized, internationally accepted independent security compliance audits. To make it easier for everyone to verify our security, we've published our ISO 27001 certificate and new SOC3 audit report on our Google Enterprise security page.

Additional Resources

These additional resources may help you understand how Google services are designed with privacy, confidentiality, integrity, and availability of data in mind.

- Google Apps Help Center
- Google for Work security page
- HIPAA Compliance with Google Apps

This HIPAA implementation guide is for informational purposes only. Google does not intend the information or recommendations in this guide to constitute legal advice. Each customer should independently evaluate its own particular use of the services as appropriate to support its legal compliance obligations.
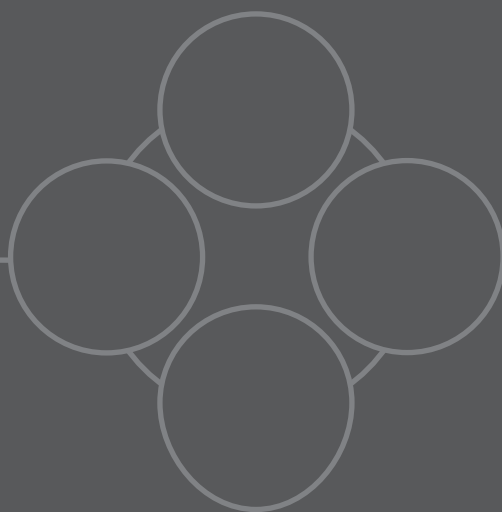
Google™ for Work

Google Apps customers who are subject to requirements of the Health Insurance Portability and Accountability Act (known as HIPAA, as amended, including by the Health Information Technology for Economic and Clinical Health – HITECH – Act). Institutions that are regulated by HIPAA and wish to use Google Apps with PHI must sign a Business Associate Agreement (BAA) with Google. The UA Legal Team reviewed and approved a BAA with Google and this was reflected on May 2nd, 2016. Per the Google BAA, PHI is allowed only in a subset of Google services. These Google covered services, which are "Included Functionality" under the HIPAA BAA, **must be configured by IT administrators to help ensure that PHI is properly protected**. Google Apps administrators can limit which services are available to different groups of end users, depending on whether particular end users will use services with PHI. All users can access this subset of Core Services for use with PHI under the Google Apps HIPAA BAA **as long as the health care organization configures those services to be HIPAA compliant**: Google Apps, Google Drive (including Docs, Sheets, Slides, and Forms), Google Calendar, Google Sites, and Google Apps Vault. "Security Standards for the Protection of Electronic Protected Health Information" are found at 45 CFR part 160 and Part 164, Subparts "A" and "C", commonly known as the Security Rule. To understand the requirements of the Security Rule, it is helpful to be familiar with the basic concepts that comprise the security standards and implementation specifications. The Security Rule is divided into six main sections – each representing a set of standards and implementation specifications that must be addressed by all **covered entities (Those who collect the protected health information** (CE)). Each Security Rule standard is a requirement: a covered entity must comply with all of the standards of the Security Rule with respect to the ePHI it **creates, transmits or maintains**.

Many of the standards contain implementation specifications. An implementation specification is a more detailed description of the method or approach covered entities can use to meet a particular standard. Implementation specifications are either required or addressable.

Regardless of whether a standard includes one or more implementation specifications, covered entities must comply with each standard. Where there is no implementation specification for a particular standard, such as the "Workstation Use" and "Person or Entity Authentication" standards, compliance with the standard itself is required.

A required implementation specification is similar to a standard, in that a covered entity must comply with it. For example, all covered entities including small providers must conduct a "Risk Analysis" in accordance with Section 164.308(a)(1) of the Security Rule.

For addressable implementation specifications, covered entities must perform an assessment to determine whether the specification is a **reasonable and appropriate safeguard** in the covered entity's environment. After performing the assessment, a covered entity decides if it will implement the addressable implementation specification; implement an equivalent alternative measure that allows the entity to comply with the standard; or not implement the addressable specification or any alternative measures, if equivalent measures are not reasonable and appropriate within its environment. **Covered entities are required to document these assessments and all decisions.**

Appendix E – Benchmarking

july_16_2013
cloud_based_office_s

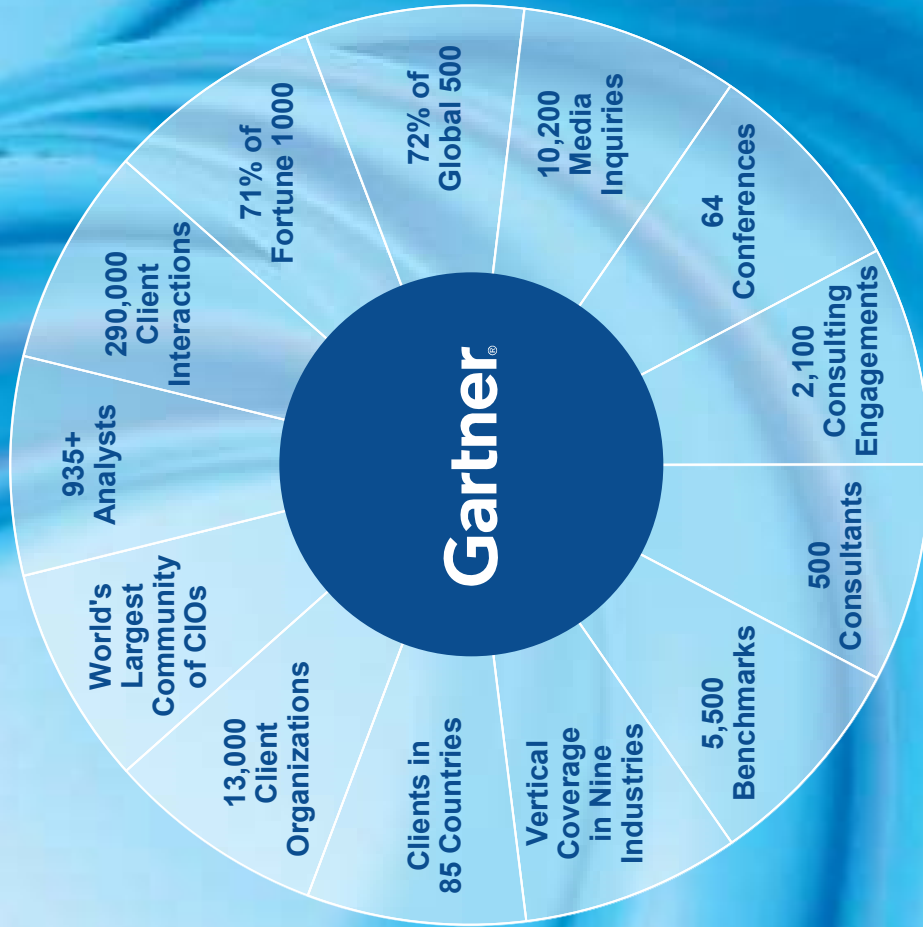# Choosing a Cloud-Based Office System: Google vs. Microsoft

Tom Austin

@GARTNER_INC

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Gartner at a Glance

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- 71% of Fortune 1000
- 72% of Global 500
- 10,200 Media Inquiries
- 64 Conferences
- 2,100 Consulting Engagements
- 500 Consultants
- 5,500 Benchmarks
- Vertical Coverage in Nine Industries
- Clients in 85 Countries
- 13,000 Client Organizations
- World's Largest Community of CIOs
- 935+ Analysts
- 290,000 Client Interactions

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Choosing a Cloud-Based Office System: Google vs. Microsoft

Tom Austin

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Internal Informal Estimates: Relative User Share Run Rate, Microsoft and Google Cloud-Office

A Tale of Shifting Expectations

LEGEND
■ Microsoft
■ Google

2007

10%

2009

20%

2012

33% to 50%

9:1	4:1	2:1 or 1:1
	Microsoft run-rate advantage	

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Key Issues

1. How is the cloud-office market evolving?

2. How is Google upsetting Microsoft's cloud-office ambitions?

3. What key indicators should organizations include in their due diligence comparisons of Google versus Microsoft for cloud-based office services?

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Cloud-Office Systems

Traditional all-encompassing term that now includes:

- Personal productivity
- Communication
- Collaboration
- Social
- Coordination
- Still emerging (such as expertise location, SNA)

Office is a generic term. It does not refer to "Microsoft Office," which is a vendor-specific product name.

Definition source: "Google Upsetting Microsoft's Cloud-Office System Ambitions"
G00233554

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Big Footnote: Forecast Qualifiers

- Minimal "office": email and text processor

- Enterprises of 50 or more people

- Excludes China and India

- The "cloud-based office system market" (a subset of the bigger market):

  - Includes only externally provisioned "commodity like" services

  - Excludes providers offering high-value services, à la the outsourcing model, via dedicated, custom hosting facilities

Office is a generic term. It does not refer to "Microsoft Office," which is a vendor-specific product name.

"Office" Market Evolution

Cloud
Not Cloud
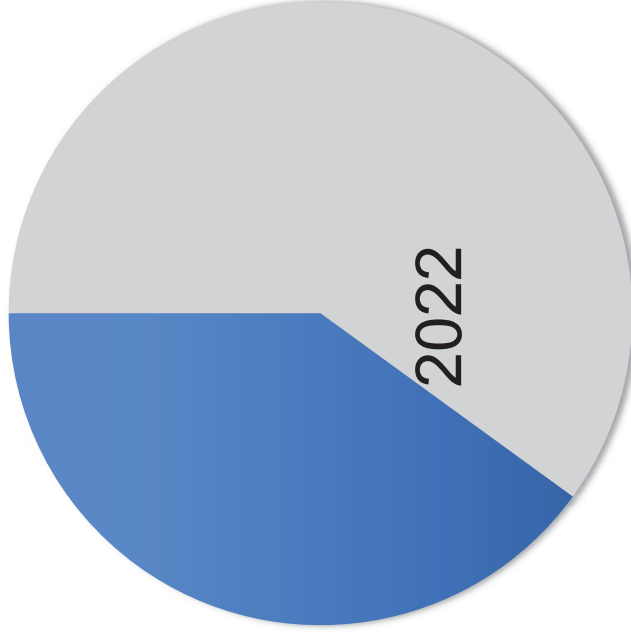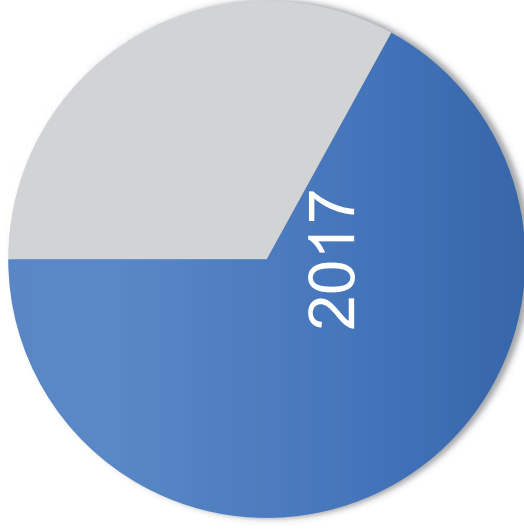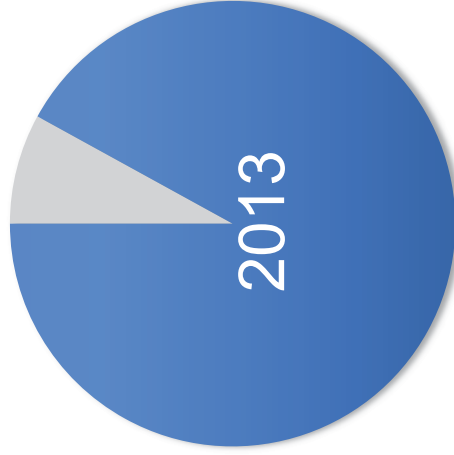
Business Users (in millions)

	2013	2017	2022	CAGR
Universe	630	826	1,158	6.3%
Cloud	50	273	695	28.5%
Not Cloud	580	553	463	-2.1%

Office is a generic term. It does not refer to "Microsoft Office," which is a vendor-specific product name.
This slide is not a revenue forecast. It refers to numbers of users. We do not have an average revenue per user (ARPU) model for this market.
Fastest growth in universe outside U.S., Canada and Western Europe.

Graphic Source: "New Developments in the Cloud Office System Market" G00252289 (22 May 2013)

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Cloud-Office Penetration

Penetration/Diffusion Model

Cloud Office System Market

- Y-axis: **Total Market Penetration (%)** with values 0, 20, 40, 60
- X-axis: 2007, 2014, 2017, 2020
- Labels: Shoulder, Toe, Total Market Midpoint, Actual Diffusion Midpoint, 10%
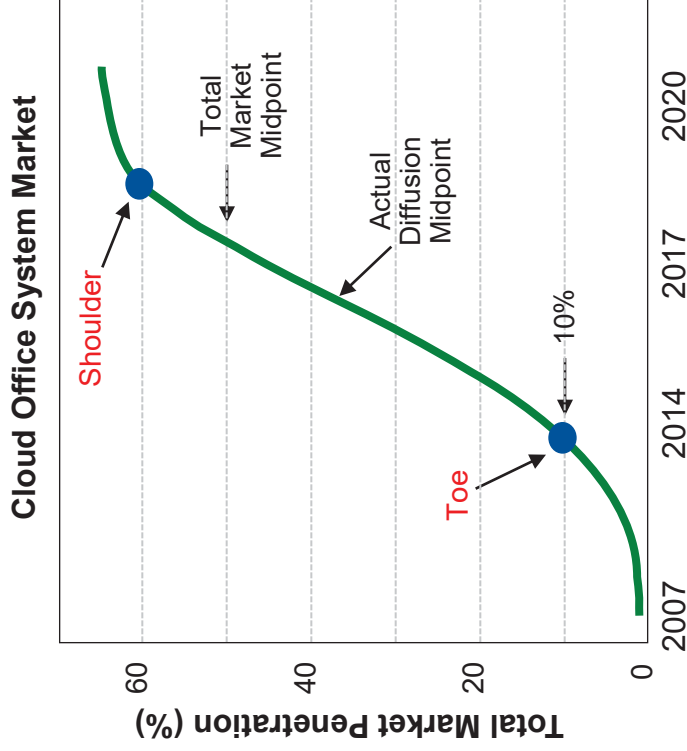
Adoption by Industry

- Earlier:
  - Higher Education
  - Manufacturing
  - Retail
  - Hospitality
- Mid range: Governments
- Later:
  - Financial Services
  - Healthcare Providers
  - Defense
  - Intelligence

Adoption by Entity Size

- Smaller much more likely

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Graphic Source: "New Developments in the Cloud Office System Market" G00252289 (22 May 2013)

Cloud Office Choices

Go

- Seeking change
  - Feature seekers
  - Exit the treadmill
  - Understand costs, profile
  - Major reinvestment under way

Execution

- Hidden agreement, price and operating risks
- Contract terms
- Long term plans
- Second order effects

Don't Go

- Other priorities
- Asset inertia
- Complexities
  - Cost hype, integration, control and customization

Alternatives

- Do nothing for now
- Go cloud in steps
- Consider outsourcers
- Work on long-term horizon

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Supplier Choices

Mainline Offerings

- Two Legitimate Choices
  - Microsoft
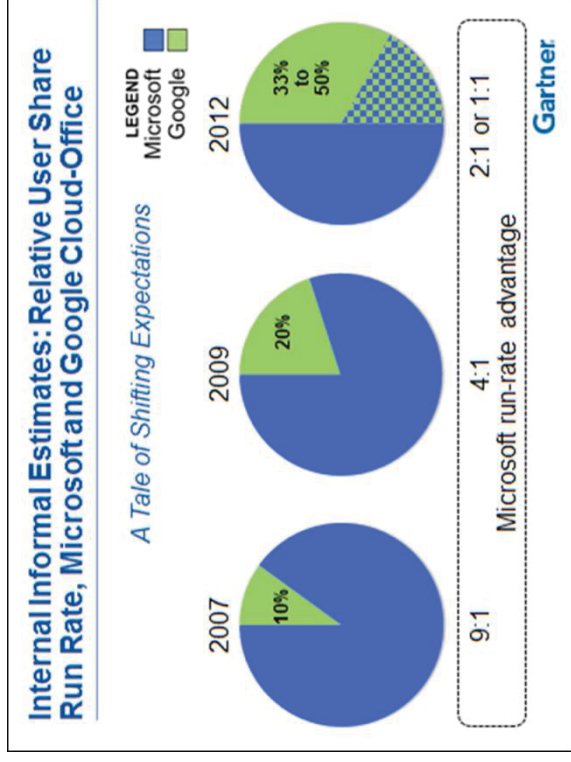 - Google

Application or Subsystem Suppliers

- Hundreds of alternative suppliers
  - Personal productivity (e.g., IBM Docs)
  - Communications (e.g., ShoreTel)
  - Collaboration (e.g., Huddle)
  - Social (e.g., SalesForce)
  - Coordination (e.g., BaseCamp)
  - Other emerging categories

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Key Issues

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Story Arc (2007-2012)

- Microsoft's "birthright":
  - Dominant share on-premises, deep and rich legacy
  - Aggressive posture, strong messages and rich services

- Google's apparent naiveté.

- Should it be all over?

- Google
  - Continues to exceed expectations.
  - Wins big and little.
  - Just good enough (or better) in numerous categories.

- Microsoft
  - Microsoft missteps?
  - Does Microsoft offer too much?

Internal Informal Estimates: Relative User Share Run Rate, Microsoft and Google Cloud-Office

A Tale of Shifting Expectations

LEGEND
Microsoft
Google

2007 — 10%
2009 — 20%
2012 — 33% to 50%

9:1 — Microsoft run-rate advantage — 4:1 — 2:1 or 1:1

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Warning

Neither Google nor Microsoft explicitly report cloud-office revenue in their formal U.S. Securities and Exchange Commission (SEC) filings.

If and when they do report, their CEOs will be liable for civil and criminal prosecution for misstatements.

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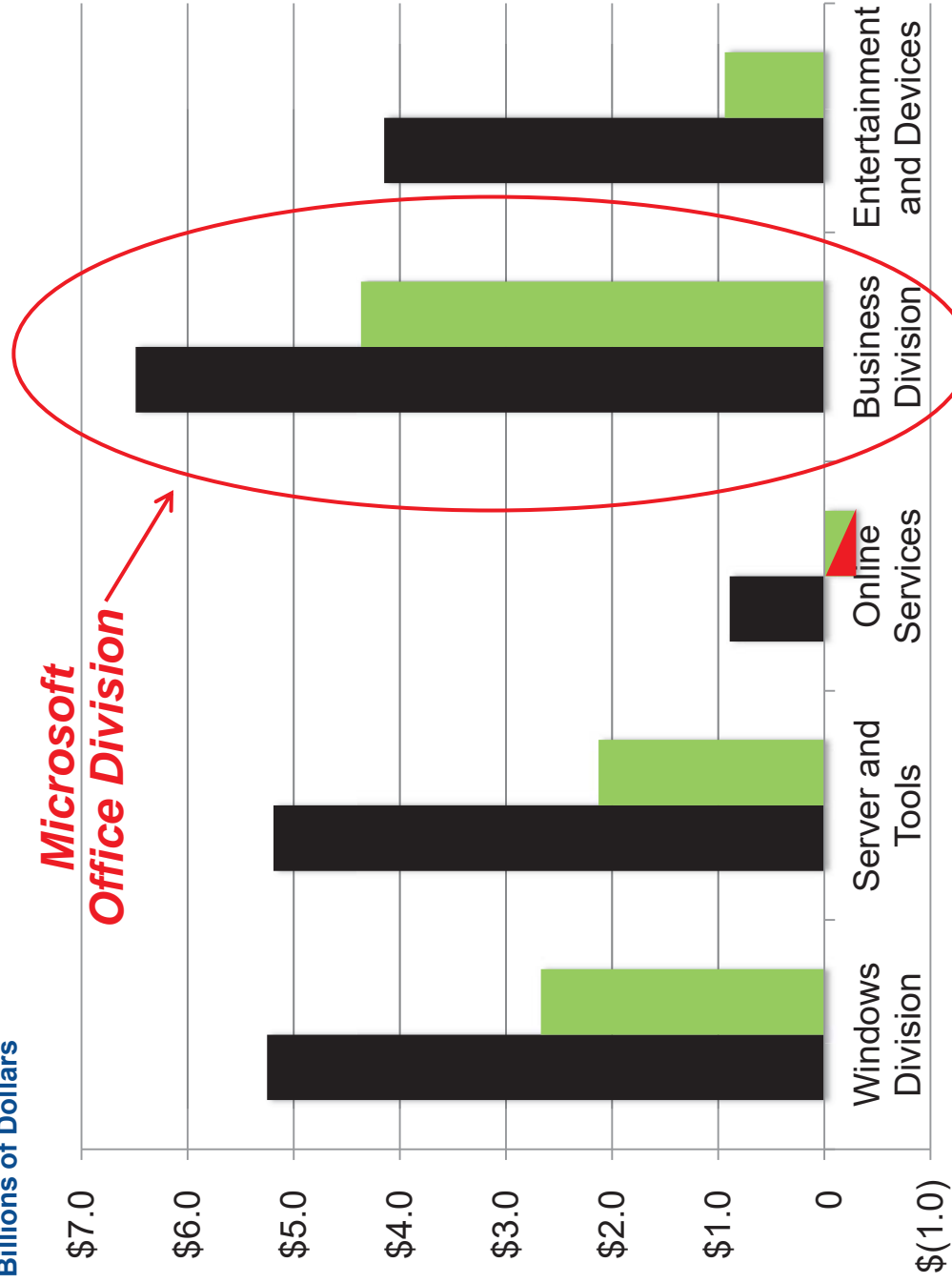# Microsoft's Business

Billions of Dollars

Chart: Microsoft's Business by division showing Revenue (black) and Profit or Loss (green/red)

Divisions (left to right): Windows Division, Server and Tools, Online Services, Business Division, Entertainment and Devices

Y-axis: $7.0, $6.0, $5.0, $4.0, $3.0, $2.0, $1.0, 0, $(1.0)

Callout: *Microsoft Office Division*

Legend
- Revenue (black)
- Profit or Loss

4Q12 Revenue	$21.5 billion
Net Income (GAAP)	36.2%

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Google's Business

Google Apps 1.4% (contained in Other)
Source: Gartner Estimate for 4Q12
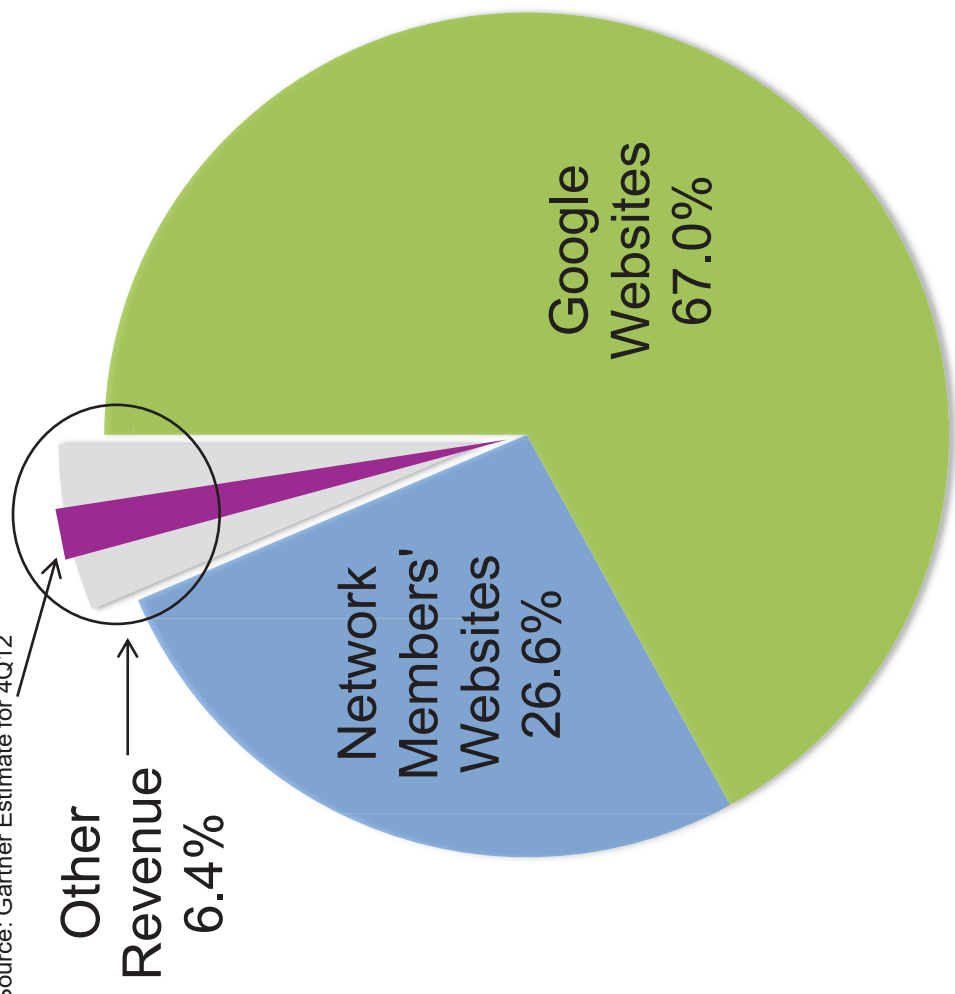
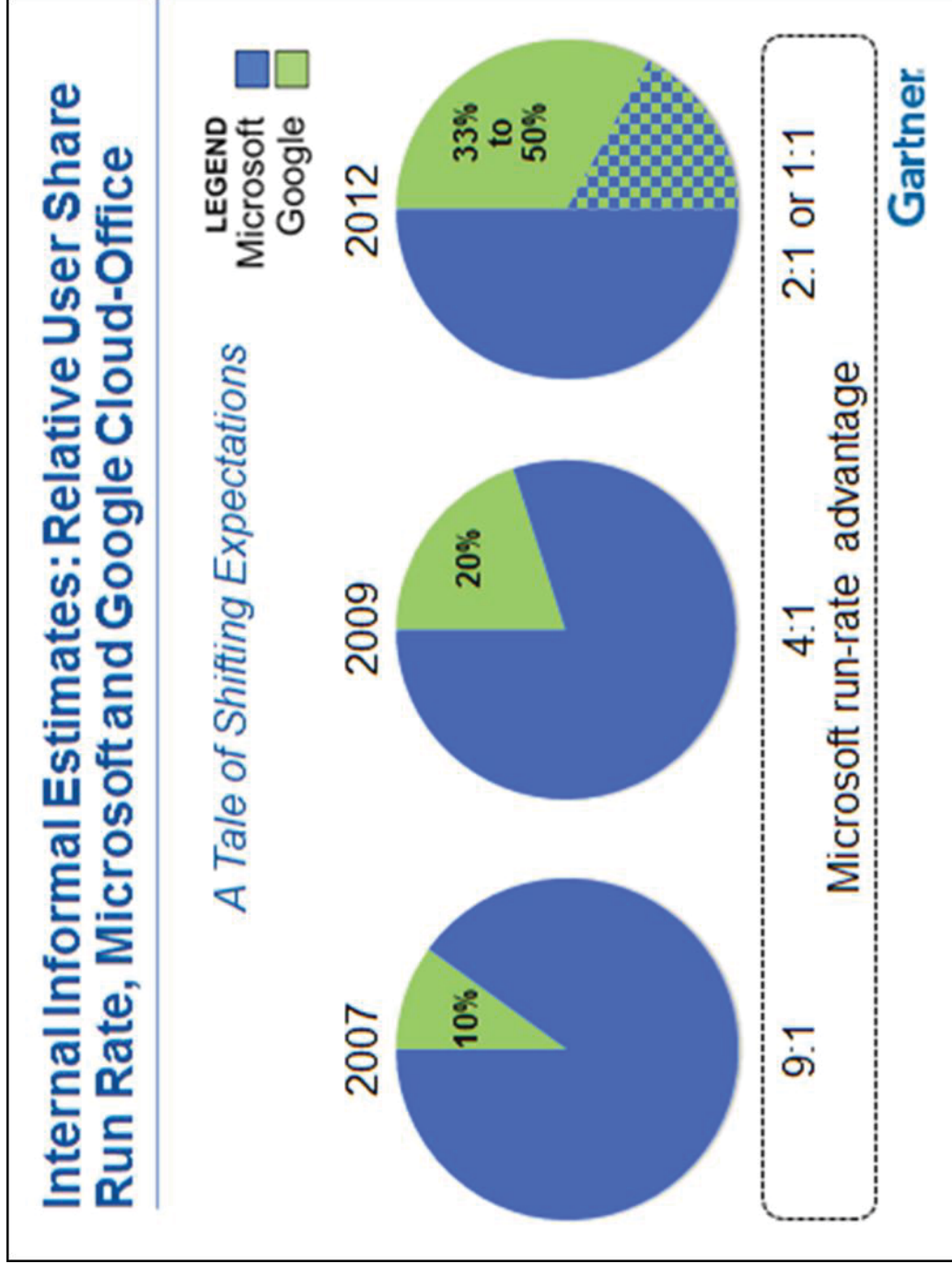|	With Motorola	Without
4Q12 Revenue	$14.4 billion	$12.9 billion
Vs. 4Q11	+$3.8 billion	+$2.3 billion
Net Income (GAAP)	22.4%	N/A

Sources:
- Google Apps estimate: Gartner
- All other numbers: U.S. SEC Form 10-K filing by Google for quarter ending 31 December 2012

Pie chart excludes Motorola to enable clearer year-over-year comparisons.

Google Websites 67.0%

Network Members' Websites 26.6%

Other Revenue 6.4%

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Story Arc Contrast

Microsoft Strengths	Google Weaknesses
Dominates on-premises	Business rounding error (1.4% 4Q12) — speculative upside 5% in 2017
Office applications and customizations deeply integrated into the business	Does not match Microsoft Office functionality
Enterprise Credibility	Does not provide three-year road maps enterprises want for refresh planning
Market message: "Cloud on your terms" • Familiarity, minimum disruption, transparency, investment protection, enterprise control • Time-to-market benefit • On-premises and in cloud hybrids	Does not cater to enterprise IT like Microsoft does (More recently, Google is adapting and Microsoft is changing too)
Meets most aspirations implicit in its market messages	*"Enterprises using Google have to take Google on Google's terms — then it's a win-win." — users*

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What Happened? How Is Google Upsetting Microsoft's Cloud-Office Ambitions?

Internal Informal Estimates: Relative User Share Run Rate, Microsoft and Google Cloud-Office

A Tale of Shifting Expectations

LEGEND
Microsoft
Google

2007 — 10%
2009 — 20%
2012 — 33% to 50%

9:1   4:1   2:1 or 1:1
Microsoft run-rate advantage

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CIO Perspective:
The Overall Landscape Will Change ...

Which technology company has been most influential over the past 10 years? And the next 10 years?

(% of respondents mentioning)
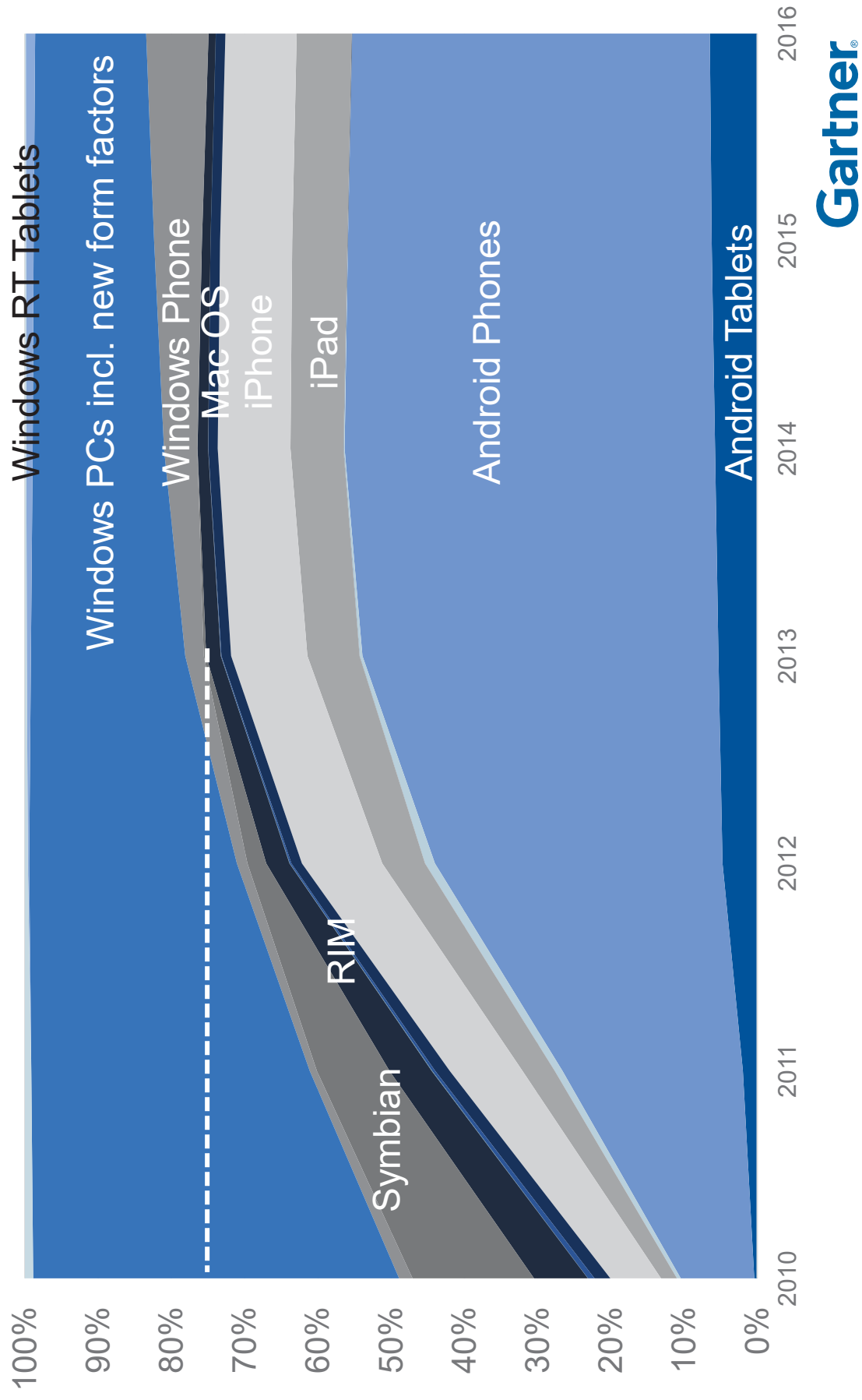
Legend:
- ● Last 10 Yrs.
- ● Next 10 Yrs

Apple — 37%, 20%

Microsoft — 23%, 15%

Google — 15%, 28%

Other/TBD — 21%, 34%

SAP — 5%, 2%

IBM — 5%, 4%

CISCO — 5%, 3%

amazon — 1%, 3%

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Current Contrast

Microsoft Weaknesses	Google Strengths
Office wed to Windows • Office Web Apps, iOS and Android not world-class • (Full rich client suite is world-class)	Cloud focused from day 0 – legacy free • Common infrastructure for billions • Agile, scalable, distributed, global and heterogeneous
Many parts never built for new metaphors and architectures. Less third-party support for "cloud-office"	Market has changed • Multilingual users, familiarity • Consumerization • Lower resistance to change
Personal roots	Intrinsically focused on teams
Through at least 2018, Google will innovate more rapidly than Microsoft (protect the installed base)	Web culture — iterate and test
Through 2020, Microsoft will push for faster ARPU growth	Not deeply dependent on Google Apps cash flow

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Personal Device Shipments by OS

Windows RT Tablets

Windows PCs incl. new form factors

Windows Phone

Mac OS

iPhone

iPad

Android Phones

Android Tablets

RIM

Symbian

100%
90%
80%
70%
60%
50%
40%
30%
20%
10%
0%

2010   2011   2012   2013   2014   2015   2016

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Current Contrast

Microsoft Weaknesses	Google Strengths
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Through 2020, Microsoft will push for faster ARPU growth	Not deeply dependent on Google Apps cash flow

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Both are Winning a Significant Share

Microsoft	Google
Japan Airlines	ANA (All Nippon Airways)
Hilti	BBVA (Banco Bilbao Vizcaya Argentaria)
JetBlue Airways	Roche
Hallmark Cards	Ahold
State of Texas	U.S. National Oceanic and Atmospheric Administration
Patagonia	U.S. General Services Administration
Campbell Soup Company	Costco
Big implementations have been outsourcing, not multitenant — but multitenant scalability is improving and large entities are signing up for it.	U.S. Department of the Interior

Beware of Trophy Wins!

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What Changed?

Microsoft Office 365

- Calming marketing strategy inhibits adoption (but on-premises price hikes, other changes are encouraging migration)

- Business decisions are inhibiting the ecosystem:
  - Office 365 billing practices (fixed in July 2012).
  - Margin improvements announced in some areas.
  - Microsoft tablets and lack of OEM versions of Office 365 have consequences — see HP Chromebooks, Android tablets.

- Pricing and other business practices leave room for Google.

Google Apps for Business

- Some enterprises see Docs as a partial Microsoft Office replacement (slow passive-aggressive attrition).

- Exploiting resentment of Microsoft pricing and business practices when found (and pursuing Lotus Notes and GroupWise bases).

- Very strong alignment with millennials' undergraduate experience (Google leads Microsoft among students).

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Two Evolving Competitors

Microsoft

- More pressure on account managers to drive customers to Microsoft Office 365.
- Cut cloud prices for greater market access, forsaking short-term revenue for long-term cash flow. Raised on-premises prices….
- Still captive to its core enterprise revenue model.
- July 2013 "One Microsoft" reorganization to bring more focus on cloud-based services (and devices)
- Unknown: Will it meet its goal of sustained speeding-up pace of innovation to match Google's, and not rile up on-premises customers?

Google

- Technology-driven industry change agent.
- Out-innovating Microsoft, but from a smaller technology base.
- Versus Microsoft Office 365, Google Apps:
  - Leverages a more flexible, scalable, distributed, global cloud technology platform.
  - Functionally leaner, but more heterogeneous, instant on.
  - Alternative view of collaboration.
- Being used as a tool for organizational change — new world, new assumptions.
- Becoming more enterprise-focused and marketing-savvy.

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Prediction for User Win Rates in 2017

LEGEND
- Microsoft (blue)
- Google (green)

2012

33% to 50%

Four times the volume

2017

20% to 33%
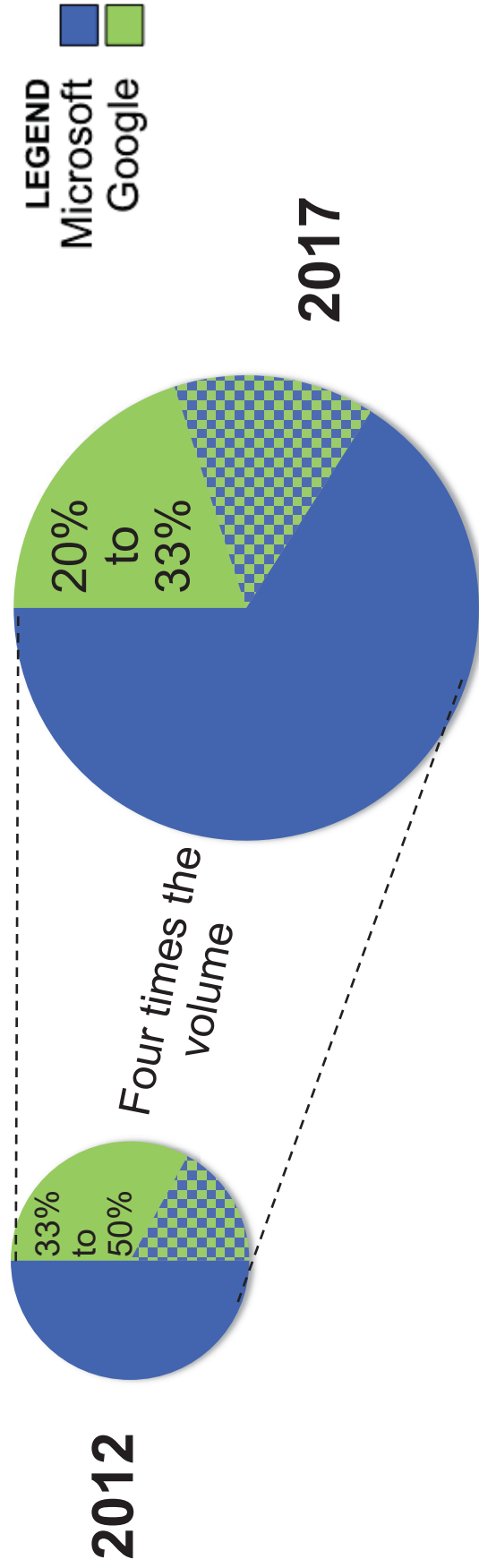
Key changes between 2012 and 2017 (assumptions):

- 2014 surge, and by 2017, mainstream mass migrations at or near peak.
- Disaffected target pool will not grow at market rate.
- Segment of non-Microsoft users continues to shrink.

Selected forecast risk factors:

- iOS, Android and Windows device/OS mix, enterprise heterogeneity trends.
- Overall adoption rates could deviate from model.
- Legal system changes and the future of the Internet.
- Surprise entrances or exists from the segment.

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Microsoft and Google – the One Slide Take

Microsoft Office 365

- Best Windows platform strategy

- Less disruptive to users and IT

- Investment protection

- Richer functionality in depth (e.g., productivity suite, portal and content management)

Google Apps

- Best heterogeneous platform strategy

- More innovative, disruptive

- Cost control

- Better cloud-based infrastructure — built for robustness, reliability and performance

Consider using both to minimize lock-in, if you're big enough.

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Product Top View

- Gmail and Exchange Online

  - Meet or exceed most enterprise requirements — details vary

- Office Web Apps – Google Docs – Rich Office

  - Financial wedge issue
  - Imperfect round-trip fidelity
  - Passive migrations

- Google Sites

  - Poorly understood, not well-used
  - Not comparable to SharePoint 2010-2013 on-premises.
  - Aligns better with SharePoint Online.

- Google+ and Hangouts position against Yammer, Skype, Lync and SharePoint.

- Google Drive add-in apps and Chrome Web Store apps — a fertile crop of new third-party collaborative tools.

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The Vendors' Ecosystems

Microsoft Office 365

- Ten times as many partners overall:
  - Preponderance not primarily focused on cloud-office
  - Cloud platform limits
- Decade-long decline in new third-party application launch rate
- Lags in Windows Phone and Microsoft Surface RT tablet apps

Google Apps for Business

- Ramping up
- Google Apps-specific programs for onboarding, sales and support partners, as well as ISVs, SIs and consultants
- Key existing ISVs and other partners driving Google sales

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"Cosmo-Style Quiz"

- 12 questions to stimulate broad discussion

- Not a substitute for due diligence

- Observed tendencies and no right answers

Balance à colonne.

Balance Roberval

Balance à socle Béranger.
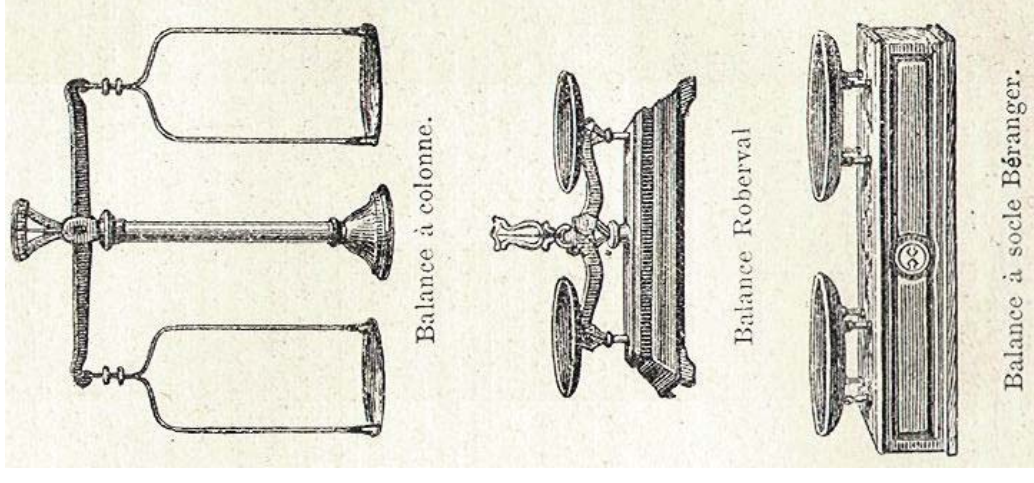
Skimming the Quiz

	Microsoft-Prone	Google-Prone
1	Microsoft fast followers will be Microsoft early adopters.	Mix of old and new lean toward Google.
2	Value seen in software assurance influences direction.	
3	Heavy SharePoint application investments (note limitations).	SharePoint as new network file store or no-SharePoint investments.
4	Microsoft-centric IT shop.	Heterogeneous technologies.
5	Fully featured and guided, structured collaboration.	Ad hoc, just good enough collaboration.
6	High preponderance of powerful power-users.	Easily segmented young and short-tenure staffs.
7	High proportion of users' jobs require rich and deep Microsoft Office tools.	Freeze Microsoft Office upgrades.
8	Large number of Microsoft Office extension & integration consumers.	Limited number.

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Skimming the Quiz (Continued)

	Microsoft-Prone	Google-Prone
9	Little experience with or interest in Web-based applications (survey).	Experience with and at least neutral attitude toward same (survey).
10	Small bias in larger organizations.	Small bias in smaller organizations.
11	Willing to wait.	Moving aggressively toward cloud.
12	Risk avoidance.	Driving change.
	The tale of two clients	
	"Doesn't cost more; minimizes risk."	"Save 50% to 80%; exploit innovation."

Timing: For larger organizations with no major "now" driver, look to move in 2014 or later.

Big wins within the prospect's industry are driving re-examination of existing attitudes about cloud-office alternatives.

Actions

- In the next two quarters, document your enterprise point of view on the value of cloud-office for your enterprise, describing when, where, why and with whom you will take specific actions. Refresh annually.

- Prioritize use cases, establish user pilots, collect detailed requirements and review conclusions with industry peers. Spark discussion with these materials — do not close it off.

- Large enterprises can afford the luxury of using both Google and Microsoft offerings where and as appropriate (the luxury of heterogeneity has costs that may be excessive for smaller entities).

Recommended Gartner Research

◆ **New Developments in the Cloud Office System Market**
Tom Austin (G00252289)

◆ **Google Upsetting Microsoft's Cloud-Office System Ambitions**
Tom Austin, Michael A. Silver, Hanns Koehler-Kruener (G00233554)

◆ **Google Apps Versus Office 365; A 'Cosmo-Style' Quiz**
Tom Austin (G00235438)

◆ **How to Evaluate Microsoft Office 365 Versus Google Apps for Business**
Matt Cain (G00239140)

◆ **Google Apps in the Enterprise, a Status Check**
Matt Cain (G00239140)

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