



**UNIVERSITY OF GUAM
UNIBETSEDÁT GUÅHAN
Board of Regents**

UOG Station, Mangilao, Guam 96923
Telephone: (671) 735-2990 • Fax: (671) 734-2296

REGULAR MEETING
Thursday, February 24, 2022, 5:30 p.m., via ZOOM,
UOG, Mangilao, Guam

AGENDA

- 1.0 CALL TO ORDER**
- 2.0 MEETING MINUTES**
 - Action 2.1 Regular Meeting Minutes of November 18, 2021**
- Information 3.0 CHAIRPERSON'S REMARKS**
- Information 4.0 PRESIDENT'S REPORT**
- 5.0 REPORTS FROM STANDING COMMITTEES**
 - 5.1 Student Affairs, Scholarship, Alumni Relations, and Honorary Degree (SASARHD) Committee**
 - Information 5.1.1 Committee Update**
 - Action 5.1.2 Resolution No. 22-01, Relative to Approving the FY2023 SFAP Budget**

Request: SASARHD Committee.

Review Process: This request was submitted by the FAO Director and reviewed and endorsed by the EMSS Dean, SVP/P, President, and SASARHD Committee for approval. BFA Committee also reviewed and endorsed.
 - Action 5.1.3 Resolution No. 22-02, Relative to Awarding the Honorary Degree of Doctor of Humane Letters to Dr. John Ray Taitano**

Request: SASARHD Committee.

Review Process: This request was submitted by Dr. Lorraine Yamashita, Professor Emerita, and reviewed and endorsed by the Honorary Degree Committee, Faculty Senate, Deans' Council, SVP/P, UOG President, and SASARHD Committee for approval.
 - Action 5.1.4 Resolution No. 22-03, Relative to Awarding the Honorary Degree of Doctor of Humane Letters to Dr. Patrick Ubal Tellei**

Request: SASARHD Committee.

Review Process: This request was submitted by President Krise and Former UOG President Underwood, and reviewed and endorsed by the Honorary Degree Committee, Faculty Senate, Deans' Council, SVP/P, and SASARHD Committee for approval.

Action

5.1.5 Resolution No. 22-04, Relative to Awarding the Honorary Degree of Master of Micronesian Traditional Knowledge to Donald Benavente Mendiola

Request: SASARHD Committee.

Review Process: This request was submitted by Ms. Barbara Benavente, UOG Alumni, and reviewed and endorsed by the Honorary Degree Committee, Faculty Senate, Deans' Council, SVP/P, UOG President, and SASARHD Committee for approval.

5.2 Academic, Personnel and Tenure (AP&T) Committee

Action

5.2.1 Resolution No. 22-05, Relative to Approving the UOG Research Manual

Request: AP&T Committee.

Review Process: This request was submitted by the Vice Provost of ORSP, and reviewed and endorsed by the Administrative Council, Faculty Union, SVP/P, UOG President, and AP&T Committee for approval.

Action

5.2.2 Resolution No. 22-06, Relative to Awarding Emeritus Professor of Plant Pathology status to Dr. Robert L. Schlub

Request: AP&T Committee.

Review Process: This request was submitted by the CNAS Dean, and reviewed and endorsed by the SVP/P, UOG President, and AP&T Committee for approval.

5.3 Physical Facilities (PF) Committee

Information

5.3.1 Committee Update

Action

5.3.2 Resolution No. 22-07, Relative to Approving the Creation of a Student Security Force for the Campus

Request: PF Committee.

Review Process: This request was submitted by the VPAF/CBO, and reviewed and endorsed by the Admin Council, SVP/P, UOG President, and PF Committee for approval. The SASARHD Committee also reviewed and concurred.

Action

5.3.3 Resolution No. 22-08, Relative to Approving the UOG BOR Facility and Program Naming Policy

Request: PF Committee.

Review Process: This request was submitted by the President's Office and UOGEF, and reviewed and endorsed by the UOG President and PF Committee for approval. The BFA Committee also reviewed and concurred.

5.4 Investment Committee

Information

5.4.1 Committee Update

Action

5.4.2 Resolution No. 22-09, Relative to Recognizing the Achievement of the Triton Investment Club

Request: Investment Committee.

Review Process: This request was submitted by the VPAF/CBO, and reviewed and endorsed by the UOG President and Investment Committee for approval.

Action

5.4.3 Resolution No. 22-10, Relative to Approving the Revisions to the UOG Investment Policy Statement

Request: Investment Committee.

Review Process: This request was submitted by the VPAF/CBO, and reviewed and endorsed by the UOG President and Investment Committee for approval.

5.5 Budget, Finance, and Audit (BFA) Committee

Information

5.5.1 Financial Update

Information

5.5.2 Collections Report

Information

5.5.3 Procurement Transactions and Contracts Report

Action

5.5.4 Resolution No. 22-11, Relative to Approving the FY2023 General Operations and Special Appropriations Budgets

Request: BFA Committee.

Review Process: This request was submitted by the VPAF/CBO, and reviewed and endorsed by the President and BFA Committee for approval.

Action

5.5.5 Resolution No. 22-12, Relative to Approving a One-Time Exemption from the Indirect Cost Allocation

Request: BFA Committee.

Review Process: This request was submitted by the VPAF/CBO, and reviewed and endorsed by the President and BFA Committee for approval.

Information 6.0

AD HOC REPORT: ENDOWMENT FOUNDATION UPDATE

7.0

OPEN PRESENTATION (3 Minute Limit Per Person)

8.0 EXECUTIVE SESSION

Information 8.1 Recommendation for Tenure for Wai Yi Ma, Associate Professor of Library Science, Micronesia Area Research Center

Information 8.2 Recommendation for Tenure for Michael Orr, Assistant Professor of Biology, College of Natural and Applied Sciences

Information 8.3 Recommendation for Tenure for Roland San Nicolas, Assistant Professor of Library Science, RFK Memorial Library

9.0 VOTING FILE

Action 9.1 Recommendation for Tenure for Wai Yi Ma, Associate Professor of Library Science, Micronesia Area Research Center

Action 9.2 Recommendation for Tenure for Michael Orr, Assistant Professor of Biology, College of Natural and Applied Sciences

Action 9.3 Recommendation for Tenure for Roland San Nicolas, Assistant Professor of Library Science, RFK Memorial Library

10.0 ADJOURNMENT

1.0 CALL TO ORDER

2.0 MEETING MINUTES

2.1 Regular Meeting Minutes of November 18, 2021



**UNIVERSITY OF GUAM
UNIBETSEDÁT GUÅHAN**

Board of Regents

UOG Station, Mangilao, Guam 96923
Telephone: (671) 735-2995 Fax: (671) 734-2296

**Regular Meeting Minutes
November 18, 2021**

1.0 CALL TO ORDER

The Regular Meeting of the Board of Regents (BOR) was called to order by BOR Chairperson Liza J. Provideo on November 18, 2021 at 5:30 p.m., VIA ZOOM. Notice of such meeting have been duly and regularly provided by the BOR.

QUORUM:

**Liza J. Provideo
Sandra H. McKeever
Mike W. Naholowaa
Lesley Leon Guerrero
Francis X. Hezel
Agapito "Pete" Diaz
Roland S. Certeza
Janice Malilay
Anisa Topasna**

**Chairperson
Vice Chairperson
Treasurer
Member
Member
Member
Member
Member
Member**

ALSO PRESENT:

**Thomas W. Krise
R.Todd Thompson
Chris Mabayag
David S. Okada
Tessica Duenas**

**Executive Secretary
General Counsel (Acting)
Recording Secretary
CPO/Interim Chief of Staff
Host for Zoom Meeting**

2.0 MEETING MINUTES

2.1 Regular Meeting Minutes of September 16, 2021

Chairperson Provideo asked if there were any corrections or discussion regarding the regular meeting minutes as presented. She noted the correction on 8.0 in reference to the motion to end Executive Session to move to 8.1 for clarity. Regent Diaz moved to approve subject to the Chairperson's corrections, which was duly seconded by Regent Naholowaa. The motion carried.

3.0 CHAIRPERSON'S REMARKS

Board of Regents Regular Meeting Minutes of November 18, 2021

Chairperson Provido welcomed everyone to the November Regular Meeting. She hoped everyone continued to remain safe and healthy and appreciated everything being done to keep the mission of the University moving forward during this pandemic emergency.

She stated that the BOR is looking forward to many more exciting 70th anniversary events for 2022 and appreciated the Platinum Jubilee Kick-off and Mural Ribbon Cutting Ceremony as part of the first events.

She added that they are also looking forward to the next commencement in December where around 244 students may be graduating and contributing to our professional workforce in our community and elsewhere.

She then took the time to recognize Treasurer Regent Naholowaa for his efforts in addressing the USDA funding requirements for SENG & SSC, Vice Chair Regent McKeever's participation, as well as the Physical Facilities Committee Chair Regent Diaz for his involvement in the SENG RFP review and noting that many hours were spent well beyond their call of duty, particularly with the university's efforts in support of Bill 197-36.

She thanked Regent Leon Guerrero for chairing the Presidential Evaluation Committee.

She acknowledged that Regent Fr. Francis Hezel whose term will expire around Jan 19, 2022, subject to a new regent being confirmed, and that he may not be attending the next Board meeting in Feb 2022. She added that Fr. Hezel filled the unexpired term of former Regent Hyo Sang Ji.

In closing, Chairperson Provido thanked Regent Fr. Hezel for his untiring leadership and contributions serving in many capacities on the Board Committees, the University, and community. She added a heartfelt thank you for his selfless service and wished him well on the next chapters of his life. She asked everyone to show their appreciation with a round of applause.

Regent Fr. Hezel expressed his gratitude to everyone, members of the present Board and people in the past who welcomed him even though he doesn't have the skillset that most have in doing this type of work. He then thanked President Krise for being a very capable and inspiring leader and for being a good friend. He also thanked David Okada for the help and support he has offered in many ways. He assured everyone that his involvement in the University will not end.

4.0 PRESIDENT'S REPORT

President Krise gave the President's report, a copy of which is attached.

5.0 REPORTS FROM STANDING COMMITTEES

5.1 Student Affairs, Scholarship, Alumni Relations and Honorary Degree (SASARHD) Committee

5.1.1 Committee Update

Regent Diaz reported that the SASARHD Committee met on November 9th via zoom with a quorum present and presented the proposed resolutions for the Board's approval.

Board of Regents Regular Meeting Minutes of November 18, 2021

5.1.2 Resolution No. 21-29, Relative to Approving the Fanuchãnan 2021 Commencement Graduate Listing

Regent Diaz introduced Resolution No. 21-29 and Regent McKeever moved to approve, which was duly seconded by Regent Hezel. He summarized the resolution explaining the purpose and stated that this will be the first cohort of School of Engineering graduates. The motion carried.

5.1.3 Resolution No. 21-30, Relative to Approving the Career Priority Listing for the J.U. Torres Professional/Technical Award (PROTECH) Program for Awards Beginning in Fañomnãkan 2022

Regent Diaz introduced Resolution No. 21-30 and moved to approve, which was duly seconded by Regent Malilay. He summarized the resolution explaining the purpose. The motion carried.

5.1.4 Resolution No. 21-31, Relative to Approving the Recipient Awards Table for the Access to Higher Education Financial Assistance Program for Awards Beginning in Fañomnãkan 2022

Regent Diaz introduced Resolution No. 21-31 and moved to approve, which was duly seconded by Regent Malilay. He summarized the resolution explaining the purpose. The motion carried.

5.2 Academic, Personnel and Tenure Committee (AP&T) Committee

Regent Leon Guerrero reported that the AP&T Committee met on November 9th via zoom with a quorum present and presented the proposed resolutions for the Board's approval.

5.2.1 Resolution No. 21-32, Relative to Awarding Emeritus Professor of Communication Status to Dr. Lilnabeth P. Somera

Regent Leon Guerrero introduced Resolution No. 21-32 and moved to approve, which was duly seconded by Regent Topasna. She summarized the resolution and highlighted some of Dr. Somera's accomplishments with the University. The motion carried.

5.2.2 Resolution No. 21-33, Relative to Awarding Emeritus Professor of Nursing Status to Dr. Kathryn Wood

Regent Leon Guerrero introduced Resolution No. 21-33 and moved to approve, which was duly seconded by Regent McKeever. She summarized the resolution and highlighted some of Dr. Wood's accomplishments with the University. The motion carried.

5.2.3 Resolution No. 21-34, Relative to Awarding Emeritus Dean of School of Engineering Status to Dr. Shahram Khosrowpanah

Regent Leon Guerrero introduced Resolution No. 21-34 and moved to approve, which was duly seconded by Regent Diaz. She summarized the resolution and highlighted some of Dr. Khosrowpanah's accomplishments with the University. The motion carried.

5.2.4 Resolution No. 21-35, Relative to Approving the Removal of the Hard to Hire Designation from the Faculty Salary Scale

Regent Leon Guerrero introduced Resolution No. 21-35 and moved to approve, which was duly seconded by Regent Malilay. She summarized the resolution explaining the purpose. The

Board of Regents Regular Meeting Minutes of November 18, 2021

motion carried.

5.3 Physical Facilities Committee

5.3.1 Committee Update

Regent Diaz reported that the Physical Facilities Committee met on November 9th via zoom with a quorum present and gave a brief report on the Facilities Management and Services (FMS).

He reported on the School of Engineering and Student Success Center stating that the President and the Executive team have been making great strides to overcome the \$9.1M shortfall, and that they are looking at different avenues, to include the Governor's commitment to fund \$7.1M and that the Legislature will be discussing Bill 197-36 which will set aside about \$10M which will included funding for other capital improvement projects.

He stated that there are plans to move the location of the School of Engineering building and that there are efforts underway to get it sorted with surveys, etc., and that there is a design RFP under review by the General Counsel and team. He added the delivery to USDA for review of the RFP documentation is estimated to be by mid-November.

He thanked Chairperson Provido for her efforts and for working with Glenn Leon Guerrero and Jim Hollyer in the RFP documentation and for her suggestions on developing a guideline for future projects.

He then reported on the Guam Cultural Repository (GCR) that there are MOA discussions with the Department of CHamoru Affairs to operate the facility with hopes that we have some sort of a partnership. He added that the GCR project, except for the shelving units should be completed by February 2022.

He also reported on the WERI and School of Health buildings that there is an RFP for design services which closed earlier this month and are targeting for Procurement with an AE Firm by December 2021.

He further reported on the life cycle and maintenance around the University to include UOG Green, IT Infrastructure, and other ongoing projects and activities.

In closing, he ended his report with the Siemens update stating they developed an investment grade audit to identify projects the University will undertake to improve its facilities efficiencies. The scope of work will include energy efficient smarter buildings. He added that the audit should be ready for the Board's review at the end of this month.

Regent Diaz then presented the proposed resolution for the Board's approval.

5.3.2 Resolution No. 21-36, Relative to Authorizing the University to Borrow Funds for Energy Efficiency Projects

Regent Diaz introduced Resolution No. 21-36 and moved to approve, which was duly seconded by Regent McKeever. He summarized the resolution explaining the purpose. The motion carried.

5.4 Investment Committee

Board of Regents Regular Meeting Minutes of November 18, 2021

5.4.1 Committee Update

Regent McKeever noted that the Investment Committee met on November 10th via zoom with a quorum present. No resolutions were presented to the Board at this time.

Regent McKeever reported that the Triton Investment Club Vice President provided a report, noting that the value of the funds is about \$52,000 after they have liquidated \$50,000 to return to the University. Their investments are still very diversified. She stated that Regent Naholowaa suggested that the Investment Committee (IC) and/or the Board recognize the Triton Investment Club by presenting a resolution to recognize their achievements for the contributions they have made by growing their investments and giving back to UOG's needs.

She then reported that Raymond James Associates (RJA) made a report to the Board for the third quarter investment and that the ending balance was \$27,080,292. Two funds were highlighted as having underperformance over multiple quarters. RJA recommended that the IC consider placing Lazard Investments and Garcia Hamilton on a watch list and put them on notice that we are concerned of the pattern of underperformance. The Committee voted to have them placed on a watch. RJA further suggested that the IC may want to schedule sometime this year a due diligence meeting with the money managers and give them an opportunity to explain how they intend to correct their underperformance.

She further reported on the Environment, Social and Governance investing (ESG) stating that RJA mentioned that more and more funds are taking these factors into account as they are choosing investment funds and feels it is something the IC should consider. She added that RJA mentioned that it is a good report card or measure of where we stand as an organization on ESG investing and not necessarily a mandate.

5.5 Budget, Finance, and Audit (BFA) Committee

Regent Naholowaa reported that the BFA Committee met on November 10th via zoom with a quorum present and presented the updates and proposed resolutions for the Board's approval.

5.5.1 Financial Update

Regent Naholowaa reported that the financial statements as of September 30, 2021, reflect a reduction in the appropriation from the Government of Guam (GovGuam) and a reduction in tuition revenue of nearly \$1.5 million.

5.5.2 Collections Report

Regent Naholowaa reported that the goal of recovering \$476,000 in student receivables was met in September. He commended the staff for all their efforts.

5.5.3 Procurement Transactions and Contracts Report

Regent Naholowaa referred to the report as provided in the Boardbook.

5.5.4 Resolution No. 21-37, Relative to Authorizing the Signing of Checks and Corporation Resolutions and Opening or Closing Bank Accounts, Investment Accounts or Credit Facilities

Regent Naholowaa introduced Resolution No. 21-37 and moved to approve, which was duly

Board of Regents Regular Meeting Minutes of November 18, 2021

seconded by Regent Hezel. He summarized the resolution explaining the purpose. The motion carried.

5.5.5 Resolution No. 21-38, Relative to Approving the FY2021-2022 Insurance Program and Delegation of Authority

Regent Naholowaa introduced Resolution No. 21-38 and moved to approve, which was duly seconded by Regent McKeever. He summarized the resolution explaining the purpose. The motion carried.

6.0 AD HOC REPORT: ENDOWMENT FOUNDATION UPDATE

Katrina Perez, Executive Director, provided the BOR with an update on the UOGEF projects and events. A copy of the update is attached.


7.0 OPEN PRESENTATION (3 Minute Limit per Person)

Chairperson Provido opened the floor for open presentations.

Dr. Kathryn Wood thanked the BOR, President Krise, SVP/P Enriquez and Dean Hattori-Uchima for supporting her application for Emeritus Professor of Nursing. She added that she has been at UOG for 30 years and that it has been an honor.

8.0 ADJOURNMENT

Regent Hezel moved that the zoom meeting be adjourned, which was duly seconded by Regent Naholowaa and passed. Chairperson Provido adjourned the meeting at 7:54 p.m., Chamorro Standard Time.



Liza J. Provido, Chairperson

ATTESTED:



Thomas W. Krise, Ph.D., Executive Secretary

20211118 President's Report to BOR

In Memoriam pp—esp. note the three way-too-early passings: Larry Gamboa, Jaron Weilbacher, and Francine Clement

- Please note the Big G Weekly, where regents and others can keep abreast of UOG news
- This semester—our 4th in the pandemic—coming to a successful close; we're running approximately 1/3 F2F, 1/3 hybrid, and 1/3 online
- I'd like to organize my report around the 6 Strategic Initiatives of the Para Hulo' Strategic Plan:

Research & Academic Reputation

- We had a highly successful virtual site visit over 2 weeks for full, formal institutional status as a Sea Grant University to complement our Land Grant status
- School of Education (SOE) and Global Learning & Engagement (GLE) launched a partnership with Palau Community College for a 3+1 program in special education
- We held a moving farewell for Dr. Khoshrowpanah on his retirement as Founding Dean of SENG
- WERI just concluded three virtual advisory council meetings—great turnout; great partnerships across Guam, CNMI and FSM

Partnerships

- Guam Green Growth (G3) accepted the American Association of State Colleges and Universities (AASCU) Excellence & Innovation Award at annual meeting this month
- TKrise spoke at Taiwan-Guam Universities Partnerships Symposium, which got great press on Guam and in Taiwan
- FH Vaccination Center: School of Health/GLE/Athletics Support for GovGuam pandemic response—boosters and children's vaccinations underway now
- ROTC is sustaining links to the Northern Marianas College (NMC) via Future Army Officers Club
- UOG Press is expanding its partnerships with NMC
- Anita Enriquez and Randy Weigand hosted senior leaders from the University of Memphis and are pursuing possible connections

Student Experience—and note BOR's request for more info re student accomplishments

- Thanks to SGA President Angelo Paule for leading the best student advocacy in a legislative hearing in a long while (thanks, too, to our regents for their excellent advocacy, too)
- Veterans Day Tribute last week highlighted student, alumni and employee veterans
- E-Sports is thriving and getting good media coverage
- Triton Store refreshed and relaunched
- AmeriCorps engagement in advising students in high schools
- Women's Rugby launched
- Athletics Hall of Fame events for classes of 2020 and 2021, including Terry Stotts, recently retired head coach of the Portland Trail Blazers
- Hoping for more F2F Commencement for nearly 250 graduates next month

Operations

- Farewell for CIO Manny Hechanova went very well, but leaves us with an additional gap in OIT, which we're actively addressing: interim CIO, consultants to assist with ransomware attack recovery, and permanent CIO search all underway
- Moving ahead with Siemens energy efficiency Public Private Partnership (PPP) project
- Advancing the proposal for a PPP to build a new residence hall with a meeting with consultants next week
- Handling water main break and effect on residential students (shout out to them and EMSS staff for their resiliency through pandemic and now water issues)

Finances

- We're continuing to maximize use of available funds from HEERF, CARES, ARPA
- We continue to be concerned with the low level of basic appropriations (we have 40+ positions frozen to cope)
- But, we're heartened by senators' efforts to secure funding for SFAP and capital projects
- This is G is for Giving Month—thanks to UOGEF Executive Director Kat Perez, who will give a report later on
- We've had several scholarship award presentations, including a renewed set of annual scholarships from the Camacho Foundation

Infrastructure

- First capital projects since the 2006 completion of SBPA LG Building:
 - Completion of the 2nd floor double lab in the Science Hall
 - The Guam Cultural Repository (GCR)—on track for early 2022 completion; management of GCR directed by Governor to change to Department of Chamoru Affairs (DCA)
 - US Economic Development Administration (USEDA) funding for WERI Building
 - Nursing Wing
 - SENG Annex
 - Student Success Center

UOG@70 Preparations

- Successful Virtual Launch Event
- Ribbon-cutting Ceremony for the new UOG Mural at the Field House
- Planning for a Virtual social event the first week of Jan
- Hoping for more F2F events in the coming semester, including alumni gatherings in Saipan, DC, San Diego, and Honolulu; and eventually in the whole region

Recognize and invite recent faculty members who were awarded Tenure at the last BOR meeting to address the Board and say a few words.

- Dr. Bastian Bentlage, Marine Laboratory
- Dr. David Combosch, Marine Laboratory
- Dr. Tressa Diaz, School of Health
- Dr. Atsushi Fujimura, Marine Laboratory
- Dr. Chris Garcia-Santos, College of Liberal Arts and Social Sciences
- Dr. Romina King, Micronesian Area Research Center

In Memoriam

David De Leon Flores Sr.

Father of Dr. Evelyn R. Flores, Professor of English and CHamoru Studies
and Edna Flores, Instructor, English Language Institute (Ret.)

Philip James Reyes

Father of Jaran Aguon, Academic Advisement and Assessment Coordinator
in the School of Business and Public Administration

In Memoriam

Carmen Quintanilla Pinaula

Mother of Zina Q. Pinaula, Library Technician I. Robert F. Kennedy Memorial Library

Dr. Matilda Kallingal

Wife of Dr. George Kallingal, Emeritus Professor, Educational Psychology

In Memoriam

Francine Dee Marie Martinez Clement

Wife of Dr. Michael R. Clement, Associate Professor of History
College of Liberal Arts and Social Sciences

Jaron "JC" Weilbacher

Student, Bachelor of Business Administration

In Memoriam

Larry G. Gamboa

Acting Director, EEO/ADA/Title IX Office

Husband of Valerie S. Gamboa, Administrative Assistant, Student Health Services

UOGEF BOR Update

11/18/2021

- Fundraisings & Outreach
 - 5th annual G is for Giving Campaign is underway. The Student Government Association has been named as honorary chair group. They have been staunch supporters for the past 4 years through volunteerism and advocacy for student scholarships. We are grateful for their continued engaging and encouraging of philanthropy amongst the UOG student population and student organizations.
 - We continue to hold G is for Giving meetings with various government agencies and private companies. Encouraging payroll deducted giving with the 70 Hour Club.
 - Tango Theater – Triton Partnership with a portion of select combo sales to go towards the UOGEF for the month of November.
 - Diaspora Outreach Project – Social media advertising to raise funds for Learning CHamoru Fund. This allows for people from around the world to avail of free CHamoru language lessons. You may start to see video ads on FaceBook and Instagram. Please share. Hopes that this can also draw an interest to the CHamoru Studies degree program.
 - UOG Marine Laboratory 50 Years of Science & Service – Pre-orders still being accepted online at give.uog.edu
- Give special thanks to
 - Jonas Macapinlac, Chief Marketing & Communications Officer and his team for their assistance in augmenting and providing UOG marketing videos & ads for our recent outreach during G is for Giving.
 - Office of Information Technology – For their continued help with our website development. [website \(give.uog.edu\)](http://give.uog.edu)
- We have a few special projects that we are working with members of UOG & Emeriti
 - USDA Loan for SSC & SENG Building construction
 - USEDAR Grants for Indigenous Communities – RCUOG Cathleen Moore-Linn
 - Society of Emeritus Professors & Retired Scholars – Legacy Project
 - GBOA Visiting Professors Program – 5 months
- November was declared UOG Endowment Foundation Scholarship Month.
 - Proclamation occurred in a virtual presentation by Governor Leon Guerrero
 - Nov 23 – Legislative Resolution at House #10 – Senators Amanda Shelton, Therese Terlaje and Telena Nelson
- 7 Scholarships available for Fanomnakan 2022 – November 25. Totaling nearly \$10,000
- UOGEF also encourages individuals to take the G is for Giving campaign as an opportunity to start a legacy scholarship to honor a loved one.

3.0 CHAIRPERSON'S REMARKS

4.0 PRESIDENT'S REPORT

5.0 REPORTS FROM STANDING COMMITTEES

5.1 STUDENT AFFAIRS, SCHOLARSHIP, ALUMNI RELATIONS, AND HONORARY DEGREE (SASARHD) COMMITTEE

5.1.1 Committee Update



**UNIVERSITY OF GUAM
UNIBETSEDÁT GUÅHAN
Board of Regents**

Resolution No. 22-01

**RELATIVE TO APPROVING THE FY2023 STUDENT FINANCIAL ASSISTANCE
PROGRAM BUDGET**

WHEREAS, the governance and control of the University of Guam (UOG) is vested in the Board of Regents (BOR) of UOG;

WHEREAS, the provisions of Title 17 of the Guam Code Annotated, Chapter 28, governing the Student Financial Assistance Fund, states that the Student Financial Assistance Fund shall be administered and granted by the BOR;

WHEREAS, in accordance with applicable provisions, the Student Affairs, Scholarship, Alumni Relations & Honorary Degree (SASARHD) Committee held a meeting on February 16, 2022 to address the FY2023 Student Financial Assistance Program (SFAP) Budget;


WHEREAS, the Budget, Finance, and Audit (BFA) Committee reviewed the FY2023 SFAP Budget at its meeting on February 17, 2022;

WHEREAS, the Senior Vice President & Provost, Academic & Student Affairs; Dean, Enrollment Management & Student Success; and the Director, Financial Aid Office have all certified that the FY2023 SFAP Budget as recommended at the respective Board Committee meetings is consistent with appropriate Public Laws and the BOR's Rules and Regulations; and

WHEREAS, as a result of those meetings, the SASARHD Committee and the BFA Committee recommend to the BOR, approval of the enclosed FY2023 SFAP Budget as attached.


NOW, THEREFORE, BE IT RESOLVED, that the UOG FY2023 SFAP Budget named above hereto and as attached is hereby approved for submission to the Legislature.

Adopted this 24th day of February, 2022.



Liza J. Provido, Chairperson

ATTESTED:



Thomas W. Krise, Ph.D., Executive Secretary

**UNIVERSITY OF GUAM
GOVERNMENT OF GUAM
STUDENT FINANCIAL ASSISTANCE PROGRAMS**

FY 2023 BUDGET

	FY2022 Budget (Resolution No. 21-01)	FY2022 Re-Appportioned Budget (Res. No. 21-15)	FY2023 Budget (Resolution No. 22-nn)
A. REVENUE			
Collections	\$ 200,000	\$ 200,000	\$ 200,000
SFAP Legislative Appropriation	\$ 4,300,000	\$ 3,565,285	\$ 4,000,000
First Generation Trust Fund		\$ 250,000	\$ 250,000
TOTAL REVENUE	\$ 4,500,000	\$ 4,015,285	\$ 4,450,000
B. EXPENDITURES			
<u>SFAP Awards</u>			
Merit Award	\$ 1,827,000	\$ 1,800,000	\$ 1,845,227
Health Professions Training Scholarship	\$ 375,652	\$ 375,652	\$ 450,000
J.U. Torres PROTECH Award	\$ 250,000	\$ 450,000	\$ 450,861
Pedro "DOC" Sanchez	\$ 125,000	\$ 125,000	\$ 150,000
Yamashita Teacher Corps	\$ 275,000	\$ 275,000	\$ 275,000
Access to Higher Ed Award (PL 31-237)	\$ 125,000	\$ 383,494	\$ 375,000
First Generation Trust Fund	\$ 250,000	\$ 250,000	\$ 250,000
Multi-Year BOR Scholarship Programs			\$ 275,000
ROTC Program	\$ 100,000	\$ -	\$ -
Graduate STEM Tuition Asst. Prog. (Beg. FA20)	\$ 210,000	\$ -	\$ -
Retention/Completion Scholarship	\$ -	\$ -	\$ -
Advance High School Placement	\$ 10,000	\$ -	\$ -
Triton Athletics Scholarship	\$ 75,000	\$ -	\$ -
Regent Scholar Program	\$ 450,000	\$ -	\$ -
Marine Lab Scholarship	\$ 75,000	\$ -	\$ -
<i>Sub-Total of SFAP Awards</i>	\$ 4,147,652	\$ 3,659,146	\$ 4,071,088
<u>Administrative Operations</u>			
<i>Sub-Total of Administrative Operations</i>	\$ 352,348	\$ 356,139	\$ 378,912
TOTAL EXPENDITURES	\$ 4,500,000	\$ 4,015,285	\$ 4,450,000
SURPLUS/DEFICIT SFAP AWARDS	\$ -	\$ -	\$ (0)
C. LEGISLATIVE APPROPRIATION REQUEST			
	\$ 4,300,000	\$ 3,815,285	\$ 4,250,000
TOTAL APPROPRIATION	\$ 4,500,000	\$ 4,015,285	\$ 4,450,000
D.			

**UNIVERSITY OF GUAM
GOVERNMENT OF GUAM
STUDENT FINANCIAL ASSISTANCE PROGRAM
FY 2023 BUDGET**

SFAP Continuing and New Obligations

PROGRAM	CONTINUING RECIPIENTS	NEW RECIPIENTS	COSTS (\$)
Advance High School Placement*	15	0	\$ -
Merit Award	161	60	\$ 1,845,227.00
Health Professions Training	25	65	\$ 450,000.00
Professional/Technical Award	5	10	\$ 450,861.00
Pedro "DOC" Sanchez	10	20	\$ 150,000.00
Yamashita Teacher Corps	25	35	\$ 275,000.00
Access to Higher Ed. Award	30	75	\$ 375,000.00
First Generation Trust Fund	0	175	\$ 250,000.00
Sub-Total	271	440	\$ 3,796,088.00

Board of Regent Scholars Fund Continuing and New Obligations

PROGRAM	RECIPIENTS*	COSTS (\$)
Regent Scholar Program	TBD	\$ -
ROTC Program	TBD	-
Graduate STEM Tuition Assistance	TBD	-
Triton Athletics Award	TBD	-
Marine Lab Scholarships	TBD	-
Sub-Total	0	\$ -

TOTAL	RECIPIENTS*	COSTS (\$)
AWARDS: SFAP	711	\$ 3,796,088.00
AWARDS: BOR Programs	0	\$ -
OPERATIONS	N/A	\$ 378,912.38
TOTAL	711	\$ 4,175,000.38

NOTE:

*Recipients can be a combination of continuing and new.

**UNIVERSITY OF GUAM
GOVERNMENT OF GUAM
STUDENT FINANCIAL ASSISTANCE PROGRAM**

FY 2023 OPERATIONS BUDGET

	FY 2022 Budget Res. 21-01	FY 2022 Re- Appportioned Budget Res. 21-15	FY 2023 Budget Res. 22-nn
CONTRACTUAL			
Communication/Duplicating (53231)	\$ -	\$ -	\$ -
Printing: Letterheads/Forms/Handbook/ Promissory Notes, etc (53236)			
Computer Maintenance (Software/Hardware)	-	-	-
Xerox Copies/Fax Lease & Maintenance (53235)	-	-	-
Office Equipment & Maintenance			
Advertising (53236)	-	-	-
Professional Org. Memberships (53237)	-	-	-
Web Maintenance (53233)			
Training & Maintenance (53239)	-	-	-
Imaging System Maintenance & Training	-	-	-
Security Alarm System (55250)	-	-	-
Collection Services	-	-	-
<i>SUB-TOTAL</i>	\$ -	\$ -	\$ -
SUPPLIES			
Office Supplies/Materials (S54240)	\$ 1,500	\$ 500	\$ 1,500
<i>SUB-TOTAL</i>	\$ 1,500	\$ 500	\$ 1,500
CAPITAL OUTLAY			
Computers/HardDrive/Monitors/Printers (55250)	\$ 2,000	\$ -	\$ 4,000
File Cabinets	-	-	-
Imaging System	-	-	-
Shredder	-	-	-
Multi Media Projector	-	-	-
Scanner	-	-	-
<i>SUB-TOTAL</i>	\$ 2,000	\$ -	\$ 4,000
OVERTIME			
Mileage			
PERSONNEL (Includes - Salaries/Benefits)			
Program Coordinator IV	\$86,888.74	\$93,835.03	\$104,270.43
Program Coordinator I (Vacant)	\$0.00	\$0.00	\$0.00
Program Coordinator II (Vacant)	\$69,941.12	\$71,434.42	\$60,000.00
Program Coordinator I	\$52,986.29	\$57,853.30	\$64,030.86
Program Coordinator I (YTC - Vacant)	\$0.00	\$0.00	\$0.00
Administrative Assistant	\$0.00	\$0.00	\$0.00
Program Coordinator I (Bursar's Office)	\$47,848.65	\$53,250.99	\$58,445.40
Accounting Tech 1 (Bursar's Office)	\$51,372.28	\$42,940.16	\$47,261.04
Accounting Tech 1 (Bursar's Office)	\$39,810.53	\$36,325.36	\$39,404.65
<i>SUB-TOTAL</i>	\$348,847.61	\$355,639.26	\$373,412.38
MISCELLANEOUS			
Contingency	\$0.00	\$0.00	\$0.00
<i>SUB-TOTAL</i>	\$0.00	\$0.00	\$0.00
GRAND-TOTAL	\$ 352,348	\$ 356,139	\$ 378,912



**UNIVERSITY OF GUAM
UNIBETSEDÁT GUÅHAN
Board of Regents**

Resolution No. 22-02

**RELATIVE TO AWARDING THE HONORARY DEGREE OF
DOCTOR OF HUMANE LETTERS TO DR. JOHN RAY TAITANO**

WHEREAS, the Board of Regents (BOR) is authorized to confer degrees;

WHEREAS, Dr. John Ray Taitano was the first CHamoru to graduate as a doctor of medicine from the John A. Burns School of Medicine at the University of Hawaii at Mānoa in 1977 and the first CHamoru physician to graduate from the U.S. Army War College in 2001, after graduating from John F. Kennedy High School in 1965 and the University of Guam (UOG) in 1968;

WHEREAS, Dr. John Ray Taitano commissioned as a 2nd Lieutenant at the U.S. Army Engineer's Officer Candidate School, Fort Belvoir, VA, in 1969 and, then served in Vietnam from 1971-1972. In 1983, Dr. Taitano commissioned as a Captain in the Guam Army National Guard and became its first State Surgeon. While serving as the Senior Medical Officer of the Guam Guard, Colonel Taitano attended the U.S. Army War College where he graduated in June 2001 with a Master of Strategic Studies. In 2005, Colonel Taitano served in Operation Iraqi Freedom, fighting and attending to medical needs as a Medical Corp Officer with the 199th Troop Medical Clinic of the 256 Brigade Combat Team of the Louisiana Army National Guard;

WHEREAS, Dr. John Ray Taitano, in 1985, with three fellow doctors, Vincent A. Duenas, Debra G. Ericson, and W. Chris Perez, established the Family Medical Clinic, which eventually became The Doctors' Clinic, and continues to serve the people of Guam practicing internal medicine for over 41 years since medical school and as the current owner of the organization;

WHEREAS, Dr. John Ray Taitano served in many significant positions and organizations to include, but not limited to, being President of the Guam Memorial Hospital Medical Staff, Chairman of the Hospital's Medical Executive Committee, President of the Guam Medical Society, President of the Government of Guam's Commission on Licensure, President of the Guam Heart Association, President of the Guam Veterans' Advisory Council, President of the Cancer Council of the Pacific Islands, Chairman of the Department of Medicine at the Guam Memorial Hospital, and Chairman of the Guam Board of Medical Examiners, improving our community's quality of life;

WHEREAS, Dr. John Ray Taitano's strength and commitment to lead and succeed and being an ambassador of Guam has earned him recognition in many areas to include, but not limited to, making the list of Top Ten Award in his graduating class at John F. Kennedy High School in 1965 and Who's Who Among Students in American Colleges and Universities in 1967; being elected President of the Student Body Association at UOG in 1967, and the President of the International Friendship Club in 1968; being voted UOG-Best All Around Student, Most Likely to Succeed in 1968; earning the Merit Scholarship to UOG in 1965 and the Government of Guam Professional Technical Award to the John A. Burns School of Medicine at the University of Hawaii at Mānoa in 1972; being selected as UOG's Distinguished Alumnus in 1982, 2003, and 2011; being inducted into the Hall of Fame at the U.S. Army Engineer Officer Candidate School in 2001; and achieving the rank of Colonel (grade 06) in the U.S. Army;

WHEREAS, Dr. John Ray Taitano's commitment to family, CHamoru culture, and values of service and care has been instilled within his family through the support of his wife, Sera Babauta Chargualaf Taitano, who shared these ideals during their 44+ years of marriage and four children who are now giving back to the community in their respective professions and military service; and

WHEREAS, Dr. John Ray Taitano's recommendation package has been reviewed by the Honorary Degree Committee; Faculty Senate Standing Committee on Faculty Excellence and Faculty Senate; Deans' Council; Senior Vice President & Provost; UOG President; and the Student Affairs, Scholarship, Alumni Relations, and Honorary Degree Committee, and recommend approval of the Doctor of Humane Letters, *honoris causa* (DHL) to the BOR.

NOW, THEREFORE, BE IT RESOLVED, that the BOR hereby approves to confer the Honorary Degree of Doctor of Humane Letters, *honoris causa* (DHL), upon Dr. John Ray Taitano; and


BE IT FURTHER RESOLVED, that the BOR, along with the President of UOG, will confer said Honorary Degree at the Fañomnåkan 2022 commencement.

Adopted this 24th day of February, 2022.



Liza J. Provigo, Chairperson

ATTESTED:



Thomas W. Krise, Ph.D., Executive Secretary

Enclosure 2
Honorary Degree Candidate and Recommender's Information Form

Name of Candidate: Dr. John Ray Taitano

Title: Dr. John Ray Taitano Organization: The Doctor's Clinic

Mailing address: 122 Chalan AB Wonpat, Sinajana, Guam 96910

Email address: drtaitano@gmail.com Contact number(s): 4726961

Honorary Degree Sought for Candidate:

- Doctor of Laws, *honoris causa* (LL.D. (h.c.))
Awarded for outstanding scholarly achievement in law or for exceptional service to the University or the community at large. Shows a high order of significant or lasting achievements or contributions over time or over a lifetime of achievements.
- Doctor of Humane Letters, *honoris causa* (D.H.L. (h.c.))
Awarded for outstanding achievement in the humanities, social sciences, or in the performing arts, of a scholarly or creative nature. Shows a high order of significant or lasting achievements or contributions over time or over a lifetime of achievements.
- Doctor of Business Management, *honoris causa* (D.BM. (h.c.))
Awarded for outstanding achievement in business or for exceptional service to the University or the community at large. Shows a high order of significant or lasting achievements or contributions over time or over a lifetime of achievements.
- Master of Micronesian Traditional Knowledge
Awarded to an indigenous expert in a field of traditional knowledge. Shows a high order of significant or lasting achievements or contributions over time or over a lifetime of achievements.
Note: Honorary Degree of Master[s] of Micronesian Traditional Knowledge will be made during Fañomnåkan Commencement exercises effective Fañomnåkan 2010. No more than one (1) such award may be made per year (BOR Resolution 10-16).
- Bachelor of Community Services, *honoris causa* (B.CS (h.c.))
Awarded for exceptional service to the University or the community at large. Shows a high order of significant or lasting achievements or contributions over time or over a lifetime of achievements.

Candidate's Emergency Contact or Next of Kin Information

Name: Dr. John Ray Taitano

Mailing address: 122 Chalan AB Wonpat, Sinajana, Guam 96910

Email address: drtaitano@gmail.com Contact number(s): 4726961

Recommender's Information

Per policy, a recommender must be from at least one of the categories below:

- Member of: Current or former UOG Employee
 Current UOG Student or Graduate (alumni) of UOG
 Current or former Board of Regents

Name of Recommender: Dr. Lorraine C. Yamashita, Professor Emerita

Email address: aline4families@gmail.com Contact number(s): 6461317, 6881385
Relationship to the Candidate: none

DR. LORRAINE C. YAMASHITA, PROFESSOR EMERITA
147 Thomas Street
Tamuning, Guam 96913
aline4families@gmail.com

September 13, 2021

TO: UOG Board of Regents' Honorary Degree Committee

FROM: Dr. Lorraine C. Yamashita

RE: Honorary Degree Recommendation for Dr. John Ray Taitano

1. DR. TAITANO'S ACHIEVEMENTS in 5

DOCTOR OF MEDICINE

After graduating from JFK High in 1965, the University of Guam in 1968, Dr. Taitano was the first CHamorro to graduate as a doctor of medicine from the University of Hawaii's School of Medicine in 1977.

PATRIOT

Dr. Taitano, commissioned as a 2nd Lieutenant at U.S. Army Engineer's Officer Candidate School, Fort Belvoir, VA, in 1969 and, then, served in Vietnam from 1971-1972. In 1983, Dr. Taitano commissioned as a Captain of the Guam Army National Guard and became its first State Surgeon. While serving as the Senior Medical Officer of the Guam Guard, Colonel Taitano attended the U.S. Army War College where he graduated in June 2001 with a Master of Strategic Studies. In 2005, Colonel Taitano served in Operation Iraqi Freedom, fighting and attending to medical needs as a Medical Corp Officer with the 199th Troop Medical Clinic of the 256 Brigade Combat Team of the Louisiana Army National Guard.

BUSINESSMAN

Dr. Taitano, in 1985, with three fellow doctors, Vincent A. Duenas, Debra G. Ericson and W. Chris Perez, established the Family Medical Clinic, which eventually became The Doctors' Clinic. Today, Dr. Taitano owns The Doctor's Clinic as he continues to practice internal medicine.

COMMUNITY LEADER

Dr. Taitano has served as President of the Guam Memorial Hospital Medical Staff, Chairman of the Hospital's Medical Executive Committee, President of the Guam Medical Society, President of the Government of Guam's Commission on Licensure, President of the Guam Heart

Association, President of the Guam Veterans' Advisory Council. Improving our community's quality of life has continuously driven Dr. Taitano.

FAMILY MAN

Dr. Taitano's describes his greatest accomplishment as his 44 year marriage to his college sweetheart, Sera Babauta Chargualaf Taitano. "My wife is the wind beneath my wings and has allowed me to soar above the clouds." Sera, the first in her family to graduate from college, was a teacher. From teaching at Agana Heights Elementary, JP Torres Elementary, Sunday School & Vacation Bible School at the Agana Heights Baptist Church, CDC at Santa Rita Catholic Church to serving with the Sinajana Municipal Planning Council, the Guam Sunshine Lions Club, Ladies Auxiliary of the Young Men's League of Guam, Girl Scouts, Rainbows, Mrs. Taitano shares the values of service and care as her husband. They have 4 sons, John Ray Taitano, II, Dr. Johnathan Ryan Taitano, Jon Robert Taitano and Jason Raymond Taitano along with "wonderful daughters-in-laws and amazing grandchildren."

2. DR. TAITANO'S OUTSTANDING INTELLECTUAL & LEADERSHIP CAPABILITIES

Dr. Taitano is a remarkable tapestry of intellectual competence as he has graduated from UoG, Officer Candidate School, UH School of Medicine, and US Army War College. This tapestry is accentuated by the acknowledgement of his leadership and service by being awarded the Meritorious Service Medal (second award), Army Forces Reserve Award with M device, Army Superior Unit Award, National Defense Service Medal (3rd Award), Global War on Terrorism Expeditionary Medal, Vietnam Service Award with 2 bronze service stars, Army Service Ribbon, Army Achievement Medal, Humanitarian Service Medal, Guam Commendation Medal, Army Reserve Component Achievement Meal Award, Faithful Service Medal, Republic of Vietnam Commendation Medal with 60 devise.

Dr. Taitano made the Distinguished Alumnus, Uog list in 1982, 2003, 2011. He was inducted into the Hall of Fame, US Army Engineer Officer Candidate School in 2001.

3. DR. TAITANO'S REPUTATION, CHARACTER, DEDICATION

Dr. Taitano's reputation took notice in 1968 when he was the President of UoG's International Friendship Club and UoG's Student Body Association President in 1969. Perhaps, more telling of his moral compass are their children. John Ray Taitano, II has a Master of Healthcare Administration, married to Stephanie Westfall Flores Taitano - a teacher with 2 daughters, Sera Maria & Selenna Ava. Johnathan Ryan Taitano is a Board Certified Internal Medicine physician, married to Ashley, a nurse practitioner, with 2 children, Johnathan Ryan, II & Serafina. Jon Robert Taitano is on active duty Air Force stationed in Moody Air Force Base, at Valdosta, Georgia and was honored as one of 12 Outstanding Airman of the year. Jason Raymond Taitano has a Master of Clinical Psychology working, married

to Jeremy Lloyd Taitano, a Psychiatric Registered Nurse with sons, Asher John & Aiden Taffi.

Family success takes attention, guidance, love. As Dr. Taitano served our nation and practiced medicine, he and Sera succeed with family.

4. DR. TAITANO'S BETTERMENT OF OUR ISLAND, REGION, NATION

From Vietnam to Operation Iraqi Freedom to the Guam Guard, Dr. Taitano defended our nation.

Dr. Taitano has been practicing Internal Medicine for 41 years. At the start, the US Navy courted him to join their Medical Corps. At the same time, Guam Memorial Hospital offered him a job. He jumped at the opportunity to return to Guam with his family. Since then, he has helped thousands of people.

Dr. Taitano has placed the Guam genius on the map as he became the first CHamorro to graduate from medical school, the first CHamorro to graduate from UH School of Medicine, and the first CHamorro physician to graduate from the US Army War College.

5. DR. TAITANO'S DETERMINATION

While other medical students had Organic Chemistry under their belt, Dr. Taitano did not as it wasn't offered at UoG. He studied hard to succeed in classes where others had such chemistry classes. He lived in a YMCA Dormitory and walked to campus. His dad, Francisco Salas Taitano - a ship serviceman E-7 retiree from the US Navy, and mom, Virginia Tenorio Guerrero Taitano, whom was a retired nurse and midwife, weren't financially able to pay for his college education. He was awarded a Merit Scholarship and for medical school, was able to use the GI Bill. As well, he was awarded a Govt. of Guam Professional Technical Award. Before he was able to go to medical school, he had to complete a 3 year tour of duty in Vietnam in order for the Army to release him. Throughout it all, Sera, was supportive and, after 7 years, they celebrated their marriage on June 5, 1977.

Curriculum Vitae of JOHN RAY TAITANO, MD, MSS, FACP -August 30, 2021
Born at home in Agana Heights, Guam, 5th of 8 children to Francisco Salas Taitano, (Familian Queto) and Virginia Tenorio Guerrero Taitano, (Familian Korincho)

Attended Sinajana Elementary School

Graduated John F. Kennedy High School, Tumon Guam 1965

Graduated University of Guam, Mangilao, Guam 1968

Graduated Engineer Officer Candidate School, Fort Belvoir, VA 1969.
Commissioned 2nd Lieutenant, US Army

Graduated University of Hawaii School of Medicine 1977. Doctor of Medicine

Graduated US Army Command and General Staff College, 1993

Graduated US Army War College Resident Course, Carlisle, PA 2001

Diplomate, (Board Certified) American Board of Internal Medicine 1996

Certified, American Association of Medical Review Officers 2000

Clinical Assistant Professor of Medicine, University of Hawaii, 2000

Education:

BA degree in Biology, University of Guam

MD degree, Doctor of Medicine, University of Hawaii School of Medicine

Master of Strategic Studies degree, US Army War College

Fellow of the American College of Physicians, FACP

Clinical Assistant Professor of Medicine, University of Hawaii School of Medicine

Military Career

US Army Engineer Officer Candidate School-commissioned 2nd Lieutenant

US Army Command and General Staff College

US Army War College, Resident Course, Carlisle, PA

State Surgeon, Guam National Guard from 1983 to 2006

Vietnam Veteran

Iraq War Veteran, Operation Iraqi Freedom

Direct Commission to Captain (03), US Army National Guard 1983

Retired US Army as Colonel (06), Medical Corps

Military awards: Meritorious Service Medal (second award), Army Forces Reserve Medal with M device, Army Superior Unit Award, National Defense Service Medal (3rd Award)
Global War on Terrorism Expeditionary Medal, Vietnam Service Medal with 2 bronze service stars, Army Service Ribbon, Army Achievement Medal, Humanitarian Service Medal, Guam Commendation Medal, Army Reserve Component Achievement Medal Award, Faithful Service Medal, and the Republic of Vietnam Commendation Medal with 60 device

Awards:

Who's Who Among Students in American Colleges and Universities 1967

University of Guam-Best All Around Student, Most Likely to Succeed 1968

Merit Scholarship to University of Guam 1965

Government of Guam Professional Technical Award to University of Hawaii School of Medicine 1972

Recipient, National Land Grant College Award, University of Guam

Top Ten Award, John F. Kennedy High School 1965

Distinguished Alumnus, University of Guam-three times- 1982, 2003 and 2011!

Hall of Fame, United States Army Engineer Officer Candidate School 2001

Rookie of the Year, All-District basketball 1967

Accomplishments

First University of Guam graduate to go to medical school

First Chamorro to graduate from the University Of Hawaii School Of Medicine

First Chamorro physician to graduate from the US Army War College

Published Master's thesis "Anthrax, Weapon of Mass Destruction", US Army War College 2001

First State Surgeon Guam Air and Army National Guard

Founded the Family Medical Clinic in 1985 which then became The Doctors' Clinic 2006 to 2021.

President, Student Body Association, University of Guam 1967

President, International Friendship Club, University of Guam 1968

President, Guam Heart Association

President The Doctors' Clinic (TDC)

President, Guam Medical Society

President, Guam Veterans Advisory Committee

President, Cancer Council of the Pacific Islands

President, Guam Commission on Licensure

President, Guam Memorial Hospital Medical Staff

Chairman, Department of Medicine, Guam Memorial Hospital

Chairman, Guam Board of Medical Examiners

Dr. Taitano's greatest accomplishment is his marriage to his college sweetheart, Sera Babauta Chargualaf Taitano of Santa Rita and they have 4 sons, John Ray Taitano, II, Dr. Johnathan Ryan Taitano, Jon Robert Taitano and Jason Raymond Taitano along with wonderful daughters-in-laws and blessed with amazing grandchildren!



UNIVERSITY OF GUAM
UNIBETSEDÁT GUÅHAN
Board of Regents

Resolution No. 22-03

**RELATIVE TO AWARDING THE HONORARY DEGREE OF
DOCTOR OF HUMANE LETTERS TO DR. PATRICK UBAL TELLEI**

WHEREAS, the Board of Regents (BOR) is authorized to confer degrees;

WHEREAS, Dr. Patrick Ubal Tellei is the longest serving chief executive of any higher education institution in the Pacific region, has arguably made possible more educational opportunities available for the people of Palau and the wider region of Micronesia than any single individual, and has brokered agreements with universities and colleges in a way that consistently enhances academic excellence and island progress;

WHEREAS, Dr. Patrick Ubal Tellei's leadership of the Pacific Post-Secondary Educational Council has been exemplary, and he has been a key leader and supporter on the full range of grant-funded research and education throughout his career;

WHEREAS, Dr. Patrick Ubal Tellei has been a superb ambassador of Pacific Island-based institutions in regional, national, and international forums as well as served in several significant positions and organizations to include, but not limited to, being Commissioner of the Accrediting Commission of Community and Junior Colleges of the Western Association of Schools and Colleges; Chair of the Board of Directors of the Palau International Coral Reef Center; Vice Chairman of the Board of Governors of the Asia Pacific Association for Fiduciary Studies (APAFS); Governing Board Member of the Regional Educational Laboratory (REL)-Pacific; Board Member and Co-Principal Investigator for the Islands of Opportunity Alliance of the Louis Stokes Alliance for Minority Participation (IOA-LSAMP) Grant from the National Science Foundation; and Principal Investigator (PI) of the Advance Technological Education: Partnership for Advanced Marine and Environmental Science Training for Pacific Islanders, also from the National Science Foundation;

WHEREAS, Dr. Patrick Ubal Tellei has also provided leadership beyond research and education through serving as a Delegate and Secretary to the 2nd Constitutional Convention for the Republic of Palau in 2005; as Catastrophic Relief Coordinator for Super Typhoon Bopha Recovery in 2012; as Governing Board Member of the Pacific Islands Ocean Observing System (PacIOOS) since 2014; and as a Member of the negotiating team for the Compact of Free Association for the Republic of Palau since 2021;

WHEREAS, Dr. Patrick Ubal Tellei completed his dissertation titled: "*Omesubel Ureor: Workforce Development in Palau from Pre-Contact to 1999*" which he earned his Doctor of Education (Ed.D.) degree from the University of San Diego in 2005;

WHEREAS, Dr. Patrick Ubal Tellei supported the practice and transmission of island wisdom and traditional lifeways within educational settings and beyond through his rich and varied career to include, but not limited to, hosting the Grand Master Navigator Sesario Sewralur for his workshop titled, "*Reading the Currents, Winds, and Stars*" during the past year and his hosting of the Palau Field School in 2019;

WHEREAS, Dr. Patrick Ubal Tellei frequently spoke as a keynote speaker, advocate, and advisor to national, regional, and international leaders, highlighting the central importance of education to addressing the critical challenges of our time – climate change, democratic governance, sustainable development, and making the world safe for Pacific Island cultures; and

WHEREAS, Dr. Patrick Ubal Tellei's recommendation package has been reviewed by the Honorary Degree Committee; Faculty Senate Standing Committee on Faculty Excellence and Faculty Senate; Deans' Council; Senior Vice President & Provost; and the Student Affairs, Scholarship, Alumni Relations, and Honorary Degree Committee, and recommend approval of the Doctor of Humane Letters, *honoris causa* (DHL) to the BOR.

NOW, THEREFORE, BE IT RESOLVED, that the BOR hereby approves to confer the Honorary Degree of Doctor of Humane Letters, *honoris causa* (DHL), upon Dr. Patrick Ubal Tellei; and


BE IT FURTHER RESOLVED, that the BOR, along with the President of the University of Guam, will confer said Honorary Degree at the Fañomnåkan 2022 commencement.

Adopted this 24th day of February, 2022.



Liza J. Provido, Chairperson

ATTESTED:



Thomas W. Krise, Ph.D., Executive Secretary

Honorary Degree Candidate and Recommender's Information Form

Name of Candidate: Patrick Ubal Tellei, Ed.D.

Title: President Organization: Palau Community College

Mailing address: P.O. Box 9, Koror, Republic of Palau 96940

Email address: tellei@palau.edu Contact number(s): (680) 488-1669

Honorary Degree Sought for Candidate:

- Doctor of Laws, *honoris causa* (LL.D. (h.c.))
Awarded for outstanding scholarly achievement in law or for exceptional service to the University or the community at large. Shows a high order of significant or lasting achievements or contributions over time or over a lifetime of achievements.
- Doctor of Humane Letters, *honoris causa* (D.H.L. (h.c.))
Awarded for outstanding achievement in the humanities, social sciences, or in the performing arts, of a scholarly or creative nature. Shows a high order of significant or lasting achievements or contributions over time or over a lifetime of achievements.
- Doctor of Business Management, *honoris causa* (D.BM. (h.c.))
Awarded for outstanding achievement in business or for exceptional service to the University or the community at large. Shows a high order of significant or lasting achievements or contributions over time or over a lifetime of achievements.
- Master of Micronesian Traditional Knowledge
Awarded to an indigenous expert in a field of traditional knowledge. Shows a high order of significant or lasting achievements or contributions over time or over a lifetime of achievements.
Note: Honorary Degree of Master[s] of Micronesian Traditional Knowledge will be made during Fañomnâkan Commencement exercises effective Fañomnâkan 2010. No more than one (1) such award may be made per year (BOR Resolution 10-16).
- Bachelor of Community Services, *honoris causa* (B.CS (h.c.))
Awarded for exceptional service to the University or the community at large. Shows a high order of significant or lasting achievements or contributions over time or over a lifetime of achievements.

Candidate's Emergency Contact or Next of Kin Information

Name: C/O Palau Community College

Mailing address: _____

Email address: _____ Contact number(s): _____

Recommender's Information

Per policy, a recommender must be from at least one of the categories below:

- Member of: Current or former UOG Employee
 Current UOG Student or Graduate (alumni) of UOG
 Current or former Board of Regents

Name of Recommender: Thomas W. Krise, Ph.D. and Robert A. Underwood, Ed.D.

Email address: tkrise@triton.uog.edu/anacletus2010@gmail.com Contact number(s): 671-735-2990/671-727-7715

Relationship to the Candidate: Colleagues

Patrick Ubal Tellei, Ed.D
tellei@palau.edu

Home:
P.O. Box 1076
Tiuladokow
Ngerusar, Airai PW 96940
Phone: (680) 587-3598 Cell: (680)778-2245

Office:
Palau Community College
P.O. Box 9
Koror, Palau PW 96940
Phone: (680) 488-1669

Academic Credentials

2005	EdD, University of San Diego, San Diego, CA, USA
1989	Master of Education (M.Ed.), UH-Manoa, Hawaii, USA
1988	Certificate in Community College Education, UH-Manoa, Hawaii, USA
1987	Bachelor of Education (B.Ed.), UH-Manoa, Hawaii, USA
1980	Associate Science (A.S.), Micronesia Occupational College, Koror, Palau
1978	High School Diploma, Mindzenty High School, Koror, Palau
1974	Elementary School Certificate, Melekeok Elem. School, Melekeok, Palau

Chronological Employment History

1/99 – Present	President, Palau Community College
7/97 – 12/98	Associate Commissioner for Secondary and Post Secondary Education, PSS
9/90 – 7/97	State Director – Vocational Education, CNMI Public School System Rapid Response Team for C&I, Public School System, STW Coordinator
1/90 – 9/90	Project Systems Manager, Drug-Free Schools Project, RCUH
8/89 – 1/90	In-Country Project Director, FSM Educational Needs Assessment Study, The Ohio State University – Columbus, OH
8/88 – 8/89	Project Coordinator, Truk Vocational Education Curriculum Development Project
1/86 – 8/89	Resource Center Assistant, Western Curriculum Coord. Center
6/85 – 8/85	Lecturer (Const. Trades), Micronesia Occupational College (Summer)
8/83 – 6/85	Principal, Pohnape Agriculture & Trade School (PATS)
8/80 – 1/82	Chair and Instructor, Construction Department, PATS
5/80 – 7/80	Carpenter, Department of Public Works, Republic of Palau

Professional Affiliations (Past and Present)

- Member, The Accrediting Commission for Community & Junior College, Western Association of Schools and Colleges
- Chairman, VII South Pacific Mini Games
- Chairman, Board of Directors – Palau International Coral Reef Center (PICRC)
- Secretary of the Board -Asia Pacific Association for Fiduciary Studies (APAFS)
- Member, Board of Directors- Islands of Opportunities-LSAMP
- Member/Chair, Pacific Post Education Council
- Chuuk Education Reform Commission
- Member, Board of Directors- Palau Police Practice Committee
- Vice Chairman, Palau Reapportionment Commission, 1999
- Member, Catholic Mission Schools PTA
- Member, Association for Career and Technical Education (ACTE)
- Member, National Association of State Directors of Vocational & Technical Education Consortium (NASDVTEC)
- Member, Hawaii Industrial Arts Association (HIAA)
- Member, National Education Association (NEA)
- Member, Hawaii Vocational Association (HVA)
- Member, Association for Supervision in Curriculum Development (ASCD)
- Member, Vocational Instructional Materials (VIM)
- Former Member, Board of Trustees – Pohnape Agriculture & Trade School (PATS)
- Former Member, Board of Directors – Sr. Remedio Pre-School
- Former Member, Board of Directors-Palau Chamber of Commerce

November 4, 2021

TO: UOG Board of Regents' Honorary Degree Committee

FROM: Thomas W. Krise, Ph.D., 11th President, UOG
Robert A. Underwood, Ed.D., 10th President, UOG

**RE: Honorary Degree Recommendation
Patrick Ubal Tellei, Ed.D., President of Palau Community College**

Dr. Tellei is the longest serving chief executive of any higher education institution in the Pacific region. His leadership of the Pacific Post-Secondary Educational Council has been exemplary, and he has been a key leader and supporter on the full range grant-funded research and education throughout his career. He has arguably made possible more educational opportunities available for the people of Palau and the wider region of Micronesia than any other single individual. He has brokered agreements with universities and colleges in a way that consistently enhances academic excellence and island progress.

He is a superb ambassador of Pacific Island based institutions in regional, national and international forums. He has been a commissioner of the Accrediting Commission of Community and Junior Colleges of the Western Association of Schools and Colleges. He served as Chair of the Board of Directors of the Palau International Coral Reef Center; as Vice Chairman of the Board of Governors of the Asia Pacific Association for Fiduciary Studies (APAFS); as Governing Board Member of the Regional Educational Laboratory (REL)-Pacific; as Board Member and Co-Principal Investigator for the Islands of Opportunity Alliance of the Louis Stokes Alliance for Minority Participation (IOA-LSAMP) Grant from the National Science Foundation; and as Principal Investigator (PI) of the Advance Technological Education: Partnership for Advanced Marine and Environmental Science Training for Pacific Islanders, also from the National Science Foundation.

He has also provided leadership beyond research and education, as when he served as a Delegate and Secretary to the 2nd Constitutional Convention for the Republic of Palau in 2005; as Catastrophe Relief Coordinator for Super Typhoon Bopha Recovery in 2012; as Governing Board Member of the Pacific Islands Ocean Observing System (PacIOOS) since 2014; and as a member of the negotiating team for the Compact of Free Association for the Republic of Palau since 2021.

He earned the Doctor of Education (Ed.D.) degree from the University of San Diego in 2005, with his dissertation titled: "Omesubel Ureor: Workforce Development in Palau from Pre-Contact to 1999.

Dr. Tellei has also supported the practice and transmission of island wisdom and traditional lifeways within educational settings and beyond throughout his rich and varied career. Examples of this work include his hosting of Grand Master Navigator Sesario Sewralur for his workshop titled “Reading the Currents, Winds and Stars” during the past year and his hosting of the Palau Field School in 2019

He is a frequent keynote speaker, advocate, and advisor to national, regional, and international leaders, highlighting the central importance of education to addressing the critical challenges of our day: climate change, democratic governance, sustainable development and making the world safe for Pacific Island cultures.

Dr. Patrick U. Tellei has brought great credit upon himself, the Palau Community College, the Republic of Palau, the wider region of Micronesia and the Pacific Island community. He will also bring great credit to the degree of Doctor of Humane Letters honoris causa from a grateful University of Guam.

Senseramente,



Thomas W. Krise, Ph.D.
11th President, UOG, 2018-



Robert A. Underwood, Ed.D.
10th President, UOG, 2008-2018

Links and notes follow:

- “Palau Community College (PCC) President Patrick Tellei and PCC Associate Professor Vernice Yuji will receive nearly \$600,000 over three years to support enhanced marine and environmental science training for Pacific Island community college students. Read the full story on the [SOEST website](https://soest.hawaii.edu/).”
<https://hilo.hawaii.edu/affiliates/foalsamp/coordinatoractivitiescorner.php>
- Doctor of Education (Ed.D.), University of San Diego, 2005; dissertation: “Omesubel Ureor: Workforce Development in Palau from Pre-Contact to 1999”;
<https://digital.sandiego.edu/cgi/viewcontent.cgi?article=1756&context=dissertations>
- Commissioner of the ACCJC of WASC
- Chaired accreditation review team for University of Hawaii – Leeward Community College
- Chair of the Board, Palau International Coral Reef Center
- The Micronesia Land Grant program is administered by College of Micronesia, the US Congress-designated land-grant institution and its three Micronesian colleges partners/collaborators: Palau Community College (PCC), College of Micronesia-FSM (COM-FSM) and College of the Marshall Islands (CMI).
- Vice Chairman of the Asia Pacific Association for Fiduciary Studies (APAFS) Board of Governors
- Delegate and Secretary to the 2nd Constitutional Convention for Palau, 2005
- Super Typhoon Bopha Catastrophe Relief Coordinator 2012
- Studied at University of Hawaii at Manoa and San Diego State University
- Born 7 Nov 1959
- Governing Board Member, Regional Educational Laboratory (REL)-Pacific

- Governing Board Member, Pacific Islands Ocean Observing System (PacIOOS), 2014-
<http://archive.constantcontact.com/fs101/1105866148764/archive/11118130083296.html>
- Board Member, Pacific Post-Secondary Education Council (PPEC)
- Board Member, Islands of Opportunity Alliance, Louis Stokes Alliance for Minority Participation (LSAMP) Grant, National Science Foundation
- Principal Investigator (PI), Advance Technological Education: Partnership for Advanced Marine and Environmental Science Training for Pacific Islanders, National Science Foundation (\$900,000)
- Member, Compact of Free Association Negotiating Team for the Republic of Palau, 2021-; <https://patch.com/hawaii/honolulu/after-cofa-talks-stalled-under-trump-2023-deadline-looms-biden>
- Member, The Chuuk Advisory Group on Education, 2013
<https://concernedyapcitizens.wordpress.com/2013/02/07/fsm-news-first-meeting-of-the-chuuk-advisory-group-on-education/>
- “Dr. Patrick Tellei, President, Palau Community College, Co-PI; Dr. Tellei is the senior college President in the region. He is responsible for matters that require institutional commitments from the college administrations, oversight of articulation agreements and on compliance with WASC standards. Dr. Tellei has served as the Co-PI on two prior NSF-ATE grants, and has worked collaboratively with Dr. Richmond for over 14 years. He also provides culturally important guidance as a senior member of the management team.” <http://nsf-ate.pbrc.hawaii.edu/services/#adapt-about-staffandfaculty>
- “UH graduate student Lorenzo-Finau Cruz learns Palauan thatching techniques from Patrick Tellei, president of Palau Community College.”
<https://www.hawaii.edu/news/2019/08/23/manoa-spas-palau-field-school/>
- “Palau Community College (PCC) President Patrick Tellei and PCC Associate Professor Vernice Yuji will receive nearly \$600,000 over three years to support enhanced marine and environmental science training for Pacific Island community college students. Read the full story on the [SOEST website](https://hilo.hawaii.edu/affiliates/ioalsamp/coordinatoractivitiescorner.php).”
<https://hilo.hawaii.edu/affiliates/ioalsamp/coordinatoractivitiescorner.php>
- Hosted Grand Master Navigator Sesario Sewralur: Reading the Currents, Winds and Stars
<https://thenewoutrigger.com/2021/04/27/grand-master-navigator-sesario-sewralur/>
- Hosted Palau Field School 2019: <https://thenewoutrigger.com/2019/08/14/reflections-from-the-palaufieldschool2019-a-visual-essay/>
- Keynote Speaker for 10th OEK <https://anchor.fm/merirei/episodes/OUKERDEU-Dr--Patrick-Telleis-Speech-at-the-7th-Opening-Session-of-the-10th-OEK-e1vo5j>



UNIVERSITY OF GUAM
UNIBETSEDÁT GUÅHAN
Board of Regents

Resolution No. 22-04

**RELATIVE TO AWARDING THE HONORARY DEGREE OF MASTER OF MICRONESIAN
TRADITIONAL KNOWLEDGE TO DONALD BENAVENTE MENDIOLA**

WHEREAS, the Board of Regents (BOR) is authorized to confer degrees;

WHEREAS, Donald Benavente Mendiola, is recognized as an indigenous expert providing significant contribution and service in the field of traditional practices as *Yo'ámte* (Traditional Healer), Master Weaver, and *Fa'Fa'nague* (Teacher) of CHamoru language for over forty-nine (49) years to over 20,000 people throughout the Mariana Islands, the Pacific, and the continental United States;

WHEREAS, Donald Benavente Mendiola, since his early childhood, was recognized by his elders in Guam, Rota, Tinian, and Saipan as having the gift of healing, and took great pride and joy in nurturing his curiosity and desire to learn to commune with ancestors and understand the spiritual elements and healing powers and remedies of the land, ocean, and plants, where by the age of nine (9), he was bestowed the title of Healer and began his service in herbal remedies, massage, and spiritual healing;

WHEREAS, Donald Benavente Mendiola has helped many re-connect in mind, body, and spirit as a counselor and guide with Pineksai Haya, a youth cultural immersion program, increasing their awareness and understanding of who they are and gained more self-confidence, as well with a group of graduate student volunteers of varied ethnicities under a research project sponsored by the Håya Foundation for traditional healing;

WHEREAS, Donald Benavente Mendiola, as an educator for over thirty-three (33) years with the Commonwealth of Northern Mariana Island's (CNMI's) Public School System, teaches cultural studies at Hopwood Middle School in Saipan and is the only teacher in the CNMI Public School System who focuses on teaching traditional healing and weaving, and provides training and workshops for other educators. With his mentorship, guidance, and coaching, his students have excelled and have won the University of Guam (UOG) CHamoru Competitions during pre-COVID-19 times;

WHEREAS, Donald Benavente Mendiola, with his mastery of the CHamoru language, has been called upon to translate and interpret for various agencies and organizations, to include the CNMI Courts and Legislature, as well as being a member in the CNMI Dictionary Revision Committee that is completing a dictionary which is scheduled to be published in 2022 to help perpetuate the language;

WHEREAS, Donald Benavente Mendiola, as a master weaver and CHamoru language expert, attended many events to participate and showcase his skills, to include the Masters Weavers Symposium in Papakura, Auckland, New Zealand; the Festival of the Pacific Arts (FESTPAC), and the Pacific Islands Bilingual Bicultural Association meetings;

WHEREAS, in 2009, Donald Benavente Mendiola wrote and published "*Ámot Chamorro, a Historical Snapshot of the CNMI's Medical Herbs and Shrubs*" to address the critical need to promote, perpetuate, and educate future generations with a documented source that pertains to first-hand knowledge about herbal remedies;


WHEREAS, Donald Benavente Mendiola has earned many awards and recognition for his knowledge in traditional healing, weaving, and CHamoru language to include receiving the prestigious Regional Heritage Award sponsored by the Consortium for Pacific Arts and Culture's Regional Office in 1993; being recognized by the House of Representatives of the Northern Marianas Commonwealth for outstanding accomplishments and dedication in the field of arts and crafts in 1994; receiving the CNMI Indigenous Teacher of the Year Award in 1996; receiving the Northern Marianas Humanities Council and Governor's Humanities Award for "Outstanding Humanities Teacher" in 2013; and being the first recipient to be recognized by the Commonwealth of the Northern Marianas Humanities as a Cultural Icon; and

WHEREAS, Donald Benavente Mendiola's recommendation package has been reviewed by the Honorary Degree Committee; Faculty Senate Standing Committee on Faculty Excellence and Faculty Senate; Deans' Council; Senior Vice President & Provost; UOG President; and the Student Affairs, Scholarship, Alumni Relations, and Honorary Degree Committee, and recommend approval of the Master of Micronesian Traditional Knowledge honorary degree in traditional practices as *Yo'ámte* (Traditional Healer), Master Weaver, and *Fa'Fa'nague* (Teacher) of CHamoru language to the BOR.

NOW, THEREFORE, BE IT RESOLVED, that the BOR hereby approves to confer the Honorary Degree of Master of Micronesian Traditional Knowledge in traditional practices as *Yo'ámte* (Traditional Healer), Master Weaver, and *Fa'Fa'nague* (Teacher) of CHamoru language upon Donald Benavente Mendiola; and


BE IT FURTHER RESOLVED, that the BOR, along with the President of UOG, will confer said Honorary Degree at the Fañomnåkan 2022 commencement.

Adopted this 24th day of February, 2022.



Liza J. Provindo, Chairperson

ATTESTED:



Thomas W. Krise, Ph.D., Executive Secretary

Enclosure 2

Honorary Degree Candidate and Recommender's Information Form

Name of Candidate: **Donald Benavente Mendiola**

Title: **Master of Traditional Practices – Yo'Amte, Weaver, Fa'Fa'nague**

Organization: **Hâya Cultural Heritage Preservation & Development Foundation**

Mailing address: **P.O. Box 500223, Saipan, MP 96950**

Email address: **dbmendiola@gmail.com**

Contact number(s): **(670) 483-7321/
(671) 727-7717**

Honorary Degree Sought for Candidate:

Doctor of Laws, *honoris causa* (LL.D. (h.c.))

Awarded for outstanding scholarly achievement in law or for exceptional service to the University or the community at large. Shows a high order of significant or lasting achievements or contributions over time or over a lifetime of achievements.

Doctor of Humane Letters, *honoris causa* (D.H.L. (h.c.))

Awarded for outstanding achievement in the humanities, social sciences, or in the performing arts, of a scholarly or creative nature. Shows a high order of significant or lasting achievements or contributions over time or over a lifetime of achievements.

Doctor of Business Management, *honoris causa* (D.BM. (h.c.))

Awarded for outstanding achievement in business or for exceptional service to the University or the community at large. Shows a high order of significant or lasting achievements or contributions over time or over a lifetime of achievements.

Master of Micronesian Traditional Knowledge

Awarded to an indigenous expert in a field of traditional knowledge. Shows a high order of significant or lasting achievements or contributions over time or over a lifetime of achievements.

Note: Honorary Degree of Master[s] of Micronesian Traditional Knowledge will be made during Fañomnâkan Commencement exercises effective Fañomnâkan 2010. No more than one (1) such award may be made per year (BOR Resolution 10-16).

Bachelor of Community Services, *honoris causa* (B.CS (h.c.))

Awarded for exceptional service to the University or the community at large. Shows a high order of significant or lasting achievements or contributions over time or over a lifetime of achievements.

Candidate's Emergency Contact or Next of Kin Information

Name: **Lillian M. Pangelinan**

Mailing address: **P.O. Box 7089 SVRB, Saipan, MP 96950**

Email address: **Impangelinan@gmail.com**

Contact number(s): **(670)483-3863**

Recommender's Information

Per policy, a recommender must be from at least one of the categories below:

Member of: Current or former UOG Employee

Current UOG Student or Graduate (alumni) of UOG

Current or former Board of Regents

Name of Recommender: **BARBARA SN BENAVENTE**

Email address: **bbena@teleguam.net**

Contact number(s): **(671) 488-6298
(671) 633-7228**

Relationship to the Candidate: **Member of Hâya Foundation**

Donald B. Mendiola
Curriculum Vitae
HIGHLIGHTS

Minenhalom Gihan I Tinemton Yan Finayin-Mámi Gi Lina'la

ACCOMPLISHMENTS AND AWARDS

- 2021 to Present – A Master Healer – serving the Marianas, the Pacific and the United States
- 2021 1st Recipient – Recognition by Commonwealth of the Northern Marianas Humanities as a Cultural Icon
- 2018 Vice Chair, Chamorro and Carolinian Language Policy Commission
- 2016 Council Member, Kaohao Haya Council of Elders – Yo'Amte, Spiritual Guide for Pineksai Haya.
- 2013 Awarded the Northern Marianas Humanities Council and Governor's Humanities Award for "Outstanding Humanities Teacher".
- 2010 Awarded the Governor's Humanities Award and the Northern Marianas HumanitiW
- 2009 Wrote and published "Ámot Chamorro, A Historical Snapshot of the CNMI's Medicinal Herbs and Shrubs" to address the critical need to promote, perpetuate and educate "...our future generations with a documented source that pertains to first-hand knowledge about herbal remedies.
- 1996 CNMI Indigenous Teacher of the Year
- 1994 Señor Mendiola was also recognized by the House of Representative of the Northern Marianas Commonwealth commending him for "...outstanding accomplishments and dedication in the fields of arts and crafts."
- 1993 Awarded the prestigious Regional Heritage Award sponsored by the Regional Office of the Consortium for Pacific Arts and Culture (CPAC); and Señor Mendiola was invited by the Queen of the Maori of New Zealand to participate at the Masters Weavers Symposium in Papakura, Auckland, New Zealand.

DELEGATE, PRESENTER, EDUCATOR/INSTRUCTOR, TRANSLATOR

1988 – Present: Educator, CNMI Public School System

1994 to present - Pacific Islands Bilingual Bicultural Association
Festival of Pacific Arts & Culture -

Presenter at Haya Foundation Amot Conferences 2012, 2016, 2018

Member/Contributor of CNMI Dictionary Revision Committee

CNMI Indigenous Affairs Office – Serves as Resource, expert on Amot

Certified Translator /interpreter for the CNMI Courts/Legislature

Coach, mentor, instructor of 1st Place winners CNMI Students Choral Readers to UOG Chamorro Competition

EDUCATION

BS, Business Management
California State University,

Chico, California University of

PUBLICATION:

Writer and Publisher "Ámot Chamorro A Historical Snapshot of the CNMI's Medicinal Herbs and Shrubs"



November 5, 2021

University of Guam
ATTN: Honorary Degree Committee (VP AEGSOLL)
UOG Station
Mangilao, Guam 96923

Email: uog-honorary-degree@triton.uog.edu

As a University of Guam Alumni, I am honored to nominate Señot Yo'ámte Donald B. Mendiola for the **Master of Micronesian Traditional Knowledge** for his selflessness, knowledge and expertise in traditional healing, master weaving and Chamorro language and for his significant contribution and service over the past 49 years. Earlier this year, Señot Mendiola was awarded Chamorro Cultural Icon by the Northern Marianas Humanities Council. With his traditional knowledge healing, mastery in Chamorro language and weaving, he has served over 20,000 throughout the Mariana Islands, the Pacific and the continental United States.

Since his early childhood, the elders recognized Señot Mendiola's gift of healing and took great pride and joy in nurturing his curiosity and desire for learning. As a child, he enjoyed being with his elders and spent most of his time with his grandparents, great aunts and uncles and other healers residing in Guam, Rota, Tinian and Saipan learning their trade. His elders guided him to learn to commune with ancestors, to understand the spiritual elements and the healing powers and remedies of the land, ocean and plants. By the age of nine, Señot Mendiola was bestowed the title of Healer and thus began his service of healing. As time passed other healers recognized his special talent and bestowed upon him their sacred knowledge typically reserved only for immediate family members. Today, other traditional healers respect Señot Mendiola for his vast knowledge and abilities in almost all facets of healing to include herbal remedies, massage and unique in his mastery as a Yo'ámte to in spiritual healing. On many occasions, he has presented, consulted, sought out as an expert in the field of traditional healing. Señot Mendiola is recognized by the CNMI Indigenous Affairs Office and Haya Foundation as an expert in his field and serves as consultant and Guide in helping to perpetuate, promote and preserve our traditional healing practices. He has presented at all its Amot conferences, workshops and community outreach.

It has been said by many of our elders that the impact of colonialism has caused a dis-connect from our ways of being. "Man ma gutus hit!" Our elders have attributed the continued rise in suicides and other behavioral issues to such disconnection, disharmony of one's being. Yo'Amte Mendiola has helped many RE-CONNECT to heal in mind, body and spirit. To share a few examples, he served as a member of Kaohao Haya, (Council of Elders) as counselor and guide with Pineksai Haya, a youth cultural immersion program. Participants shared of a greater awareness and understanding of who they are and gained self-confidence.

Another example of Yo'Amte Mendiola's spiritual healing service occurred this past summer when he participated in the research project sponsored by Håya Foundation for traditional healing which was conducted by visiting students with the University of Pittsburgh Study Abroad Program. Graduate students of varied ethnicities were provided the opportunity to meet with Señot Mendiola to "sâfi" -- a spiritual cleansing. All the students voluntarily chose to partake of the opportunity. The students described Señot Mendiola's healing as "transformative", coming away with a feeling that was "indescribable in a good way" while another said she was able to "release and felt lighter and re-energized and experienced a sense of connectedness."

Señot Mendiola is also an educator for over 33 years with CNMI Public School System. He currently teaches cultural studies at Hopwood Middle School in Saipan. He is the only teacher in the CNMI Public School System who focuses on teaching traditional healing and weaving. He also provides training and workshops for other educators. With his mentorship, guidance and coaching, his students have excelled and have won University of Guam Chamorro Competitions pre-Covid times. In 1996, he was awarded CNMI Indigenous Teacher of the Year and again in October, 2013, he was awarded the Northern Marianas Humanities Council and Governor's Humanities Award for "Outstanding Humanities Teacher".

With his mastery of the Chamorro language, he has given extensively to perpetuate, promote and preserve our language. He has been called upon to translate and interpret for various agencies and organizations including the CNMI Courts and Legislature. He is a member/contributor of the CNMI Dictionary Revision Committee, an invaluable gift to our people to help with the perpetuation of our language. Stipends were initially provided to committee members, however, after the grant, Señot Mendiola and other members continued to volunteer to ensure the completion of the Dictionary, which is scheduled for publication next year. He has been a member and a delegate every year at the annual meetings of the Pacific Islands Bilingual Bicultural Association. He has also has been a delegate to the Festival of Pacific Arts & Culture

Señot Mendiola is also recognized as a Master Weaver. He has a great passion for weaving and spends countless hours weaving in his spare time. In 1993, Señot Mendiola was invited by the Queen of the Māori of New Zealand to participate at the Masters Weavers Symposium in Papakura, Auckland, New Zealand. He was also awarded the prestigious Regional Heritage Award sponsored by the Regional Office of the Consortium for Pacific Arts and Culture (CPAC). He also has represented the CNMI at FESTPAC.

In November, 1994, Señot Mendiola was also recognized by the House of Representative of the Northern Marianas Commonwealth commending him for "...outstanding accomplishments and dedication in the fields of arts and crafts."

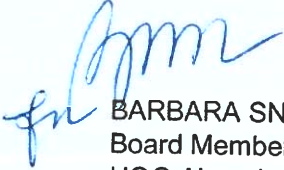
In 2009, Señot Mendiola wrote and published "Āmot Chamorro, A Historical Snapshot of the CNMI's Medicinal Herbs and Shrubs" to address the critical need to promote, perpetuate and educate "...our future generations with a documented source that pertains to first-hand knowledge about herbal remedies.

In October, 2010, Señot Mendiola was awarded the Governor's Humanities Award and the Northern Marianas Humanities Council for his efforts in the "Preservation of Traditional Cultural Practices.

Senot Mendiola has achieved much and has made significant contributions and has been recognized in many ways. However, one critical area we would like to honor him with the

University of Guam's Master of Micronesian Traditional Knowledge as in indigenous expert in the field of traditional healing, Chamorro language and weaving. The University of Guam's strategic plan "Para Hulu" to establish itself as "Micronesia's university, to serve a special --- even sacred function as the primary keeper of island wisdom, including the languages, cultures, and customs of the Chamoru and other indigenous peoples of Micronesia..." it is quite fitting that we bestow this honor upon him.

Sen dangkulu na Si Yu'us Ma'asi,



BARBARA SN BENAVENTE
Board Member
UOG Alumni

5.2 ACADEMIC, PERSONNEL, AND TENURE (AP&T) COMMITTEE



UNIVERSITY OF GUAM
UNIBETSEDAT GUÅHAN
Board of Regents

Resolution No. 22-05

RELATIVE TO APPROVING THE UNIVERSITY OF GUAM RESEARCH MANUAL

WHEREAS, the University of Guam (UOG) is the primary U.S. Land Grant institution accredited by the Western Association of Schools and Colleges Senior College and University Commission serving the post-secondary needs of the people of Guam and the region;

WHEREAS, UOG must comply with federal and local sponsor requirements for programmatic, regulatory, fiscal, and property stewardship for research activities;

WHEREAS, the Office of Research and Sponsored Programs (ORSP) supports faculty members and eligible University personnel to conduct research activities, and operates to streamline the administration of funded projects and other similar externally funded research by providing information, technical assistance, and guidance on program management throughout the proposal period from pre-award to post-award;

WHEREAS, a manual is needed that provides guidance to research activities undertaken by faculty, students, and employees of UOG that covers, but is not limited to, procedures for ORSP pre-awards and post-awards; principal investigator duties and responsibilities; Research Council membership and function; Committee on Human Research Subjects (IRB), and Institutional Animal Care and Use Committee purposes and responsibilities; conflict of interest disclosures; research integrity and misconduct; intellectual property; and best practices in research compliance to all federal and local regulations;

WHEREAS, ORSP met with the UOG Research Council and Faculty Union who contributed to the final draft of the proposed UOG Research Manual, and was reviewed and endorsed by the Administrative Council on January 12, 2022, and the UOG Faculty Union on January 28, 2022; and

WHEREAS, the enclosed UOG Research Manual was reviewed by the Academic, Personnel, and Tenure Committee and recommends approval of the Manual to the Board of Regents (BOR).


NOW, THEREFORE, BE IT RESOLVED, that the BOR approves the enclosed UOG Research Manual effective the date of this resolution.

Adopted this 24th day of February, 2022.



Liza J. Provideo, Chairperson

ATTESTED:



Thomas W. Krise, Ph.D., Executive Secretary

University of Guam Research Manual

Last updated: February 2, 2022



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University of Guam Policy / Procedure Face Sheet

Policy Type	<input type="checkbox"/> Board; <input type="checkbox"/> Board-approved; <input type="checkbox"/> President; <input checked="" type="checkbox"/> President-approved; <input checked="" type="checkbox"/> Other <u>BOR</u>				
Policy/Procedure Manual Name	UOG Office of Research and Sponsored Programs Procedures, Regulations, and Policies Manual				
Article No.	II	Article Title	Policies of the UOG Board of Regents		
UOG Office of Research and Sponsored Programs Procedures, Regulations, and Policies Manual	UOG Office of Research and Sponsored Programs Procedures, Regulations, and Policies Manual				
Approval Authority	President	Effective	02/02/2022	Most Recent Review	02/02/2022
Responsible Executive	Vice Provost ORSP	Resolution No (or other tracking no).		Date of Next Required Review (date set by Board)	02/01/2025
Responsible Office	ORSP	Revision Tracking	1/28/2022 with Faculty Union; 2/2/2022 confirmed concurrence.		
Policy/Procedure Contact & Website where document is maintained	671.735.3037; mailto:orsp@triton.uog.edu ; https://www.uog.edu/policy-procedures-library/				
Who Should Review (not in specific order)	<input type="checkbox"/> Creating group; <input type="checkbox"/> Unit Administrator(s); <input type="checkbox"/> Unit Academic Affairs Committee; <input type="checkbox"/> Human Resources Office; <input type="checkbox"/> Business Office; <input type="checkbox"/> Facilities & Maintenance; <input type="checkbox"/> Institutional Safety Committee; <input type="checkbox"/> Faculty Senate; <input checked="" type="checkbox"/> Faculty Union; <input type="checkbox"/> Student Government Association; <input checked="" type="checkbox"/> Research Council <input checked="" type="checkbox"/> Administrative Council; <input type="checkbox"/> Academic Officers Council; <input type="checkbox"/> Vice President Administration & Finance; <input type="checkbox"/> Senior Vice President & Provost; <input type="checkbox"/> UOG Legal Counsel; <input checked="" type="checkbox"/> UOG President; <input checked="" type="checkbox"/> UOG Board of Regents;				
Initiation / Review / Consultation / Approval History	Content original from 2000 RRPM; Content extracted and made into UOG Research Manual; Guidelines Original documents for Graduate Studies, Research and Sponsored Programs, approved by Acting President, Dr. Anita Enriquez - 4/5/2018; Admin Council review and concurrence – 1/12/2022; Faculty Union review and concurrence with changes – 2/2/2022. Preparing for BOR AP&T Committee for 2/16/2022, then BOR on 2/24/2022.				
NOTE: All approved changes to policy/procedures need to be made on the hardcopy of this document within 5 workdays and posted on https://www.uog.edu/policy-procedures-library/ within 10 workdays from the date approved.					

University of Guam Research Manual

1. Policy/Procedure Statement

The UOG Research Manual provides guidance to research activities undertaken by faculty, students, and employees of the University of Guam. The Intellectual Property, Misconduct in Research, and Conflicts of Interest policies apply to all research at the University. Likewise, the oversight of the IRB Committee on Human Subjects Research and the IACUC animal protections may apply.

This Manual also makes available the policy requirements that serve the terms and conditions of pre-award and post awards. By accepting an award, Principal Investigators and the Project Team agree to comply with the requirements in the University Policy Statement. Notices of policy changes published in the UPM or RRPM can supersede information in the UOG Research Manual. ORSP will incorporate these notices into the annual update of this manual.

2. Reason for the Policy/Procedure

To enforce best practices in research, undertaken with integrity, in an ethical fashion, compliant to all federal and local regulations.

3. Scope of Policy/Procedure and Exclusions

All members of the University community are affected by this policy, except minors.

4. Who Should Read this Policy / Procedure

This Policy/Procedure is intended for the personnel responsible for research activities, especially grant management personnel, involved in Pre-award, Post-award procedures, including Principal Investigators (PI), Co-PI, co-investigators (CI), Grant Program Managers, and other grant team members.

5. Responsibilities

Compliance, monitoring, and review

- Office of Research & Sponsored Programs maintains this manual and is responsible for making sure it is kept updated, posted on the UOG website, and manages the required three (3) year comprehensive review.
- Research Council has the responsibility to comment and participate in the comprehensive review.
- The Vice Provost has the responsibility to keep forms current and facilitate compliance with research guidelines and reporting for the University.

Records management

- Office of Research & Sponsored Programs keeps this manual.

6. Definitions

There are approximately 70 definitions in this document, specifically listed in the IRB Committee on Human Subjects Research, Conflict of Interest, Research Integrity & Misconduct, and Intellectual Property Policies. These definitions have been included in the UOG/UPM definition glossary.

7. Feedback

University staff and students may provide feedback about this document by emailing orsp@triton.uog.edu

I. INTRODUCTION

The UOG Research Manual provides guidance to research activities undertaken by faculty, students, and employees of the University of Guam. The Intellectual Property, Misconduct in Research, and Conflicts of Interest policies apply to all research at the University. Likewise, the oversight of the Committee on Human Subjects Research (CHRS/IRB) and the IACUC animal protections may apply.

The UOG Research Manual also provides policies and procedures relating to funded research grant awards, sub-awards, contracts, or cooperative agreements for all UOG administrators, faculty and staff involved. Corrections, changes, requests for clarification, or suggestions should be communicated to orsp@triton.uog.edu.

The University of Guam's institutional mission addresses three primary foci: teaching, research, and outreach pertinent to the western Pacific region. While scholarly work, research and the publication of research findings are required for tenured faculty promotion, the University encourages all eligible personnel to seek external funding and engage in projects related to the mission and goals of the University.

The Office of Research and Sponsored Programs (ORSP) supports faculty members and eligible University personnel to conduct research activities in collaboration with the various Micronesian colleges, as well as select public and private agencies locally, nationally, and internationally.

Office of Research and Sponsored Programs

The Office of Research and Sponsored Programs (ORSP) supports faculty members and eligible University personnel to conduct research activities. ORSP operates to streamline the administration of funded projects and other similar externally funded research by providing information, technical assistance, and guidance on program management throughout the proposal period from pre-award to post-award.

ORSP's major priorities are to:

- Support faculty members and University personnel to conduct research activities and to successfully manage existing research and sponsored projects.
- Select public and private agencies locally, nationally, and internationally as grantors.
- Seek external funding and engage in projects related to the mission and goals of UOG.

ORSP is led by the Vice Provost of Research & Sponsored Programs, who reports directly to the Senior Vice President & Provost and advises the UOG President directly on all grants management activities at the University.

UOG must comply with federal and local sponsor requirements for programmatic, regulatory, fiscal, and property stewardship. Therefore, principal investigators (PIs) must comply with the requirements governing each proposal and award. ORSP or the responsible administrator is responsible for verifying PI compliance.

II. ORSP PRE-AWARD PROCEDURES

ORSP will meet with interested Principal Investigators (PIs) to search for grants. Searches can be done through grants.gov, AASCU GRC, or other search engines by grantor agency websites. ORSP aids in the submission of proposals by identifying contribution sources, reviewing budget accuracy, and ensuring compliance of grant applications with university policies and sponsor guidelines. Much of what occurs during the early stages of applying for grant funds affects the University's ability to manage a grant after it is received, therefore discussions and cooperation between the investigators and ORSP is encouraged in developing programs and proposals that receive funding.

- Proposal Preparation – Sponsoring agencies provide guidelines that describe the format and procedure that the proposal must adhere to. Discussions with ORSP in the development phase of the award is encouraged. ORSP can aid with constructing budgets, cost sharing, and other related documents.
- Timeline – In order to ensure that proposals will be submitted to sponsoring agencies by the announcement deadline, please adhere to the following schedule: Final documents and attachments should be submitted no later than three (3) business days before the announced application deadline. Exceptions to the 3-day submission rule will only be granted with the (signed) approval of the Vice Provost of Research & Sponsored Programs; and signed exception must be sought before the 3-day deadline.
- Administrator Authorization – PIs must have the ORSP Transmittal form approved by Dean/Director in order to submit a grant. ORSP Transmittal form can be found in UOG ORSP website. Form can be found at https://www.uog.edu/resources/files/research/orspfile/2020-orsp_transmittal.pdf
- Letter of Support – All UOG faculty involved in the grant proposal, including PI's and co-investigators, must submit a letter of support from their respective Dean/Director to ensure their approval.
- Proposal Submissions by part-time University Professors and other University Staff – If an individual with a less than full-time position wishes to submit a proposal, a full-time UOG faculty member must also be named as a co-PI or co-investigator. If a staff member wishes to submit a proposal, a full-time UOG faculty member (or administrator) must also be named as a co-PI or co-investigator.

III. ORSP POST-AWARD PROCEDURES

- The Award Instrument – The Award Instrument formally acknowledges the award of funds by an authorized representative of the funding agency. ORSP will notify the principal investigator within two (2) business days of Notice of Award (NOA).
- ORSP Program management of funded projects – ORSP would be the liaison between the sponsoring agency and the project team. ORSP will offer guidance for requesting for additional funding, no-cost extensions, preparing documents, and other grant related needs. ORSP adheres to University of Guam Research Corporation (RCUOG) and the University's fiscal accountability policy for sponsored-projects funds and regulatory compliance with local

and federal policies. Expenditures and financial transactions will be reviewed to make certain that award terms and conditions are met.

- Budget Reports and Financial Reports – The Program Director (PD) or PI are responsible for monitoring the awarded budget. Real-time monthly expenditure reports are available upon request to ORSP. An account availability report summarizes the account's budget and actual activity to show the budget available for future activity. The detailed budget shows the detailed transactions that occurred throughout grant year periods.
- Progress Reports/Final Reports – External funding requires recipients to report periodically on the progress of supported project. Reporting information are included in award documents. PD or PI are responsible for preparing and submitting progress/final reports to grantor agency.
- Time and Effort Reporting – Time and effort provide auditors with proof that grant personnel has devoted the necessary time and effort for respective projects. Time and effort should be submitted bi-weekly for grant hires.

IV. PRINCIPAL INVESTIGATOR DUTIES AND RESPONSIBILITIES

INTRODUCTION

The University of Guam's institutional mission addresses three primary foci: teaching, research, and outreach pertinent to the western Pacific region. While scholarly work, research and the publication of research findings are required for tenured faculty promotion, the University encourages all eligible personnel to seek external funding and engage in projects related to the mission and goals of the University.

The Office of Research and Sponsored Programs (ORSP) supports faculty members and eligible University personnel to conduct research activities in collaboration with the various Micronesian colleges, as well as select public and private agencies locally, nationally, and internationally.

POLICY STATEMENT ON DUTIES

The intent of this statement is to provide guidance with procedures that must be followed in conducting externally sponsored projects or managing campus program accounts through the UOG and to identify individuals and areas within the institution that can provide assistance and answer questions Principal Investigators may have regarding these requirements. As a resource, this statement supplements and does not replace existing policies and procedures of UOG.

A PI (sometimes known as Project Director or Responsible Person) has the responsibility to be aware of all matters contained in this policy statement, to ask questions, to alert the appropriate administrator of any risks or issues related to the program, and request assistance from the ORSP in the undertaking of projects, to effectively train and supervise project personnel about those matters that are appropriate for each employee to know and to adhere to.

PIs operate under the supervision of an administrator, normally, a dean or director. When the PI is a Dean/Director, then the PI will operate under the supervision of their immediate supervisor. It is the PI's duty to continuously exercise responsible judgment in the administration of the project from the inception through the close out. The PI is accountable and responsible to the Dean or Director and Vice Provost of Research & Sponsored Programs for ethical conduct, accuracy of time and effort reporting, and quality performance for the grant or contract.

The first step is to prepare a proposal for a grant, contract, or Request for Proposal (RFP). Any program or proposal that uses any University of Guam resources must have the written approval of the appropriate administrator. Faculty time is a resource, and as such, approval in writing must be obtained from the faculty member's dean or director for participation on a grant or contract. When the proposal is ready, the complete narrative and a budget must be submitted in time for a review by the faculty member's dean or director and the RSP (for form accuracy and budget). Upon their approval the grant or contract may be submitted. If there are questions about submission of grants, please contact the ORSP. For grants, normally a scientific review and scoring summary is provided as feedback. These reviews will be kept at the ORSP for future use.

Once an award has been received, a campus program account will be established at the Research Corporation of the University of Guam (RCUOG) or at the UOG Business Office. The PI is responsible to send a copy of the proposal, the award letter, and any other information to the RCUOG or UOG Business Office. Once a campus program account is established, PIs assume primary responsibility for the technical (or programmatic) conduct, the administration of the funds, and the general management of the project to assure contractual/award terms and conditions are met, all Government of Guam rules (such as procurement) are followed, all RCUOG and UOG policies (travel, etc.) are adhered to and ensure the project stays within budget.

Upon the completion of the project, the PI will submit all final reports. A copy must also be submitted to the ORSP, including copies of all published papers, outcomes or reports produced during the term of the project or using data produced by the project.

GENERAL RESPONSIBILITIES

In conducting a sponsored project, performing work under a contract, or operating under a campus program account, PIs responsibilities include but are not limited to the following:

Ongoing Responsibilities:

- Communicate regularly with ORSP;
- Attend and ensure all staff also attend training sessions offered by the ORSP to ensure up-to-date information on project administration requirements;
- Administer the grant or contract, including time and effort reporting;
- Ensure ethical conduct regarding research and management of the grant or contract;
- Provide technical and academic direction for the grant or contract;
- Supervise staff and others working under the auspices of the grant or contract;
- Ensure accountability to the units involved, including ensuring that a Cross-Unit Load Form at <https://www.uog.edu/resources/files/research/crossunit418.pdf> is approved: communicate with home unit and unit housing the grant, communicate with the RCUOG or UOG Business Office and communicate with the ORSP;
- Sign off on all requests for hiring;
- Ensure signatures and routing of documents are done correctly to demonstrate transparent and accessible flow;
- Maintain time and effort reporting and oversee submission of timesheets.

Pre-Award:

- Thoroughly review and follow sponsor guidelines and Request for Proposal (RFP);
- Communicate to the ORSP of PIs intent to submit a proposal and begin completing Forms;
- Prepare a proposal, including a budget, in accordance with sponsor guidelines and applicable laws and regulations;
- Identify any special needs for compliance, any potential conflicts of interest and/or Intellectual Property, IRB requirements;
- Obtain collaboration letters from any anticipated collaborator or consultant on the proposed project;
- Obtain the written approval of the administrative supervisor of any current employee named in the grant or contract;
- Once the PI receives written notification/approval from the ORSP the proposal may be submitted to the sponsor.

Post-Award Responsibilities:

- Notifies the ORSP when the PI receives award notification from the Sponsor and forward the award document to the ORSP for processing;
- Review the award document for technical and administrative accuracy and appropriateness;
- Responsibly oversee, in coordination with RCUOG or UOG Business Office and the ORSP, project funds, including expending funds within the projected period and within designated budget categories, following all RCUOG and UOG policies;
- Complete and submit technical or progress reports according to established time schedules;
- Ensure timely evaluation and review by unit housing grant and the ORSP;
- Maintain Time/Effort reporting for grant activities;
- Maintain business and activity reporting with signature approval by PI, Dean/Director, Legal Counsel, Director RSP, and SVP and President where appropriate.

ELIGIBILITY TO BE A PRINCIPAL INVESTIGATOR

- PIs must be qualified to submit an application, as defined by the appropriate funding agency;
- PIs must have solid commitment to the University, including a desire to serve the University;
- PIs must have a binding relationship to the University community through appointment or contract through at least the period of the grant or contract.

V. RESEARCH COUNCIL

Membership

- Vice Provost, Research and Sponsored Programs
- Vice Provost for Academic Excellence, Graduate Studies & Online Learning
- Dean, University Libraries
- Directors of:
 - Center for Excellence in Developmental Disabilities Education Research and Service (CEDDERS)
 - Marine Laboratory
 - Richard F. Taitano Micronesia Area Research Center (MARC)
 - Water and Environmental Research Institute of the Western Pacific (WERI)
- Associate Director, Western Pacific Tropical Research Center (WPTRC)
- Chairperson, Institutional Animal Care and Use Committee (IACUC)
- Chairperson, Committee on Human Research Subjects/Institutional Review Board (CHRS/IRB)
- One elected faculty member each from the:
 - College of Natural & Applied Sciences (CNAS)
 - College of Liberal Arts and Social Sciences (CLASS)
 - School of Business and Public Administration (SBPA)
 - School of Education (SOE)
 - School of Health (SOH)
 - School of Engineering (SENG)
- Non-voting members:
 - Representative of the Office of Research and Sponsored Programs (ORSP)
 - Representative of the Research Corporation of the University of Guam (RCUOG)
 - Director, Center for Island Sustainability (CIS)

Members are responsible for reviewing and passing on items to their respective schools/colleges as part of a review process for the functions listed below and updates from other units that make impact or influence research activities from their constituents. They are responsible for reporting at each Research Council meeting the most relevant and impactful projects and coordinating submissions to the Annual Research Report.

Functions

The Research Council shall be responsible for providing advisory services to faculty, administrators, and staff of the various research units on campus on matters of funding sources and other research-related concerns; shall stimulate and help faculty members conduct basic and applied research in their area of specialization; and shall provide guidance and links to faculty in strategic planning on facilitating research directions and supporting research programs for the University.

Research-related matters of compliance with federal regulations shall be administered by the Research Council or its designated subcommittees, i.e., Committee on Human Research Subjects and Institutional Animal Care and Use Committee. Other standing committees (Intellectual Property sub-committee) and committees formed on ad hoc basis at the request of the Vice Provost for Research & Sponsored Programs (Conflict of Interest sub-committee or UOG Privacy Board) report their activities to the Research Council.

a. Research Integrity

It is the policy of the University of Guam to foster a research environment that discourages misconduct in all research, research training or research related activities pursued at the University or under the sponsorship of the University.

Misconduct in research means fabrications, falsification, plagiarism, or other practices that seriously deviate from those that are commonly accepted within the academic and scientific community for proposing, conducting, exhibiting, or reporting research. It does not include honest error or honest differences in interpretations or judgments of data.

University policies and procedures can be found in Section IX of this Manual, Research Integrity & Research Misconduct Policy. It is the responsibility of all persons at the University involved in research, research training or related research activities to familiarize themselves with university and federal policies and procedures. Copies of [42 CFR Part 93](#), and [45 CFR Part 689](#) are federal regulations, readily available online.

b. Human Research

It is the policy of the University that no research involving human subjects be undertaken until those research activities have been reviewed and approved according to procedures developed by the Committee on Human Research Subjects (CHRS) of the Research Council.

c. Animal Research

The University adheres to the standards for protecting animal research subjects promulgated by the National Science Foundation, the National Institute of Health, and the U.S. Department of Agriculture. An established Institutional Animal Care and Use Committee of the Research Council shall ensure that the University community adheres to these standards.

VI. COMMITTEE ON HUMAN RESEARCH SUBJECTS

It is the responsibility of the University to safeguard the rights and welfare of subjects at risk in any research, development, or related activity in accordance with the Code of Federal Regulations ([45 CFR part 46](#)) which governs the protection of human subjects, and which forms a basis of University policy.

Guam Public Law No. 24-326 designates the University of Guam's Committee on Human Subjects in Research as the Institutional Review Board (IRB) for review and approval of research conducted on Guam concerning human subjects.

It is the policy of the University that no research involving human subjects be undertaken until those research activities have been reviewed and approved according to procedures developed by the Committee on Human Research Subjects (CHRS) of the Research Council.

All projects which involve human subjects, and which are conducted at or sponsored by the University of Guam, regardless of the absence or presence of support, and regardless of who else may have revised or reviewed these projects, must receive prior approval from the Committee on Human Research Subjects (CHRS).

Purpose

U.S. Mandate — In the United States, Institutional Review Boards (IRBs) are governed by Title 45 CFR (Code of Federal Regulations) Part 46. These regulations implement provisions of the National Research Act of 1974, for example, defining IRBs and requiring them for all research that receives support, directly or indirectly, from what was the Department of Health, Education, and Welfare at the time, and is now the Department of Health and Human Services (HHS). IRBs are themselves regulated by the Office for Human Research Protections (OHRP) within HHS. IRBs were developed in direct response to research abuses earlier in the twentieth century. Two of the most notorious of these abuses were the experiments of Nazi physicians that became a focus of the post-World War II Doctors' Trial, and the Tuskegee Syphilis Study, a project conducted between 1932 and 1972 by the U.S. Public Health Service on Black men in rural Alabama. Title 21 part 56 has additional requirements for IRBs that oversee clinical trials of drugs involved in new drug applications.

Functions

This process of review and approval includes the consideration of the methods to be used in the collecting of data, obtaining informed consent, and protecting of the confidentiality of subjects. Since the "risks" to subjects are affected by these procedures, it is the responsibility of the principal investigator to be fully familiar with the Code of Federal Regulations ([45 CFR 46](#)) and with all applicable policies, rules and procedures regarding research at UOG.

Guidelines and rationale for the process are available from the Office of Research and Sponsored Programs. A copy of the Code of Federal Regulations [45 CFR 46](#) is also available from this office. An assurance by the principal investigator that approved procedures will be followed in the conduct of activities involving human subjects is a requirement of the application for CHRS approval process.

The CHRS shall have the authority to suspend or terminate approval of research that is not being conducted in accordance with its requirements or that has been associated with unexpected serious harm to subjects.

The University's CHRS shall assist other Institutional Review Boards (IRBs) on Guam or at other colleges and universities, as requested, and provide a joint review for any cooperative research projects covered by the Federal Policy and involving more than one institution including the University of Guam. In the conduct of such collaborative research projects, each institutional IRB is responsible for safeguarding the rights and welfare of human subjects and compliance to the Federal Policy. The CHRS may enter into a joint review arrangement, rely upon the review of the other IRB, or make appropriate arrangements to avoid duplication of efforts and oversight.

Scope

IRBs are most commonly used for studies in the fields of health and the social sciences, including anthropology, sociology, and psychology. The purpose of an IRB review is to assure, both in advance and by periodic review, that appropriate steps are taken to protect the rights and welfare of humans participating as subjects in a research study. To accomplish this purpose, IRBs review research protocols and related materials (e.g., informed consent documents and investigator brochures) to ensure protection of the rights and welfare of human subjects of research. The chief objectives of every IRB protocol review are to assess the ethics of the research and its methods, to promote fully informed and voluntary participation by prospective subjects who are themselves capable of making such choices and to maximize the safety of subjects once they are enrolled in the project.

Applicability

Guam Public Law No. 24-326 designates the University of Guam's Committee on Human Subjects in Research as the UOG-IRB for review and approval of research conducted on Guam regarding human subjects. University IRB determinations are made consistent with the Title 45 CFR (Code of Federal Regulations) Part 46 and where appropriate adopting guidance policies and procedures from other institutional review boards. The policies and procedures set forth in this manual are applicable to all faculty, staff, employees, and students at the University who propose to use human subjects in research, development, and related activities including research for which investigational devices or drugs are used (Office of Research Support and Compliance, n.d.).

The IRB has jurisdiction and oversight responsibilities over human subject research in which the University is engaged. Specific examples would include but not be limited to research:

1. For which the University receives funding.
2. Conducted by or under the direction of faculty, students, or staff of the University in connection with their institutional responsibilities.
3. Conducted by or under the direction of any faculty, students or staff of the University using any property or facility of the University.

The University requires research investigators who are not its employees or agents:

1. To obtain the collaboration of a University faculty member.
2. To ensure all PIs (internal and external to the institution) comply with all relevant
 - a. IRB determinations.
 - b. Federal and state regulatory requirements.

University of Guam Research Manual (February 2, 2022)

All procedures and policies are subject to change and amendment. Refer to the UOG Policy and Procedure Library website (<https://www.uog.edu/policy-procedures-library/>) for the official, most recent version.

- c. Human subjects' protection standards.

Definitions:

Definitions Applicable to All Sections of the CHRS-IRB Manual

As provided in [45 CFR 46](#) with elaboration, should a question or conflict arise, the definition as provided in the federal guidelines will prevail. This expanded definition is offered to clarify "generalized research."

Alternate: An individual appointed to serve in the same capacity as the primary member(s) for whom the alternate is named, who substitutes for the member at a convened meeting when the primary member is not in attendance.

Assent: "Assent" means a child's affirmative agreement to participate in research. Mere failure to object should not, absent affirmative agreement, be construed as assent. ([45 CFR 46.402\(b\)](#)). Assent is defined as an "agreement by an individual not competent to give legally valid informed consent (e.g. a child or cognitively impaired person) to participate in research." (IRB Guidebook: http://www.hhs.gov/ohrp/irb/irb_glossary.htm).

Children: Children are defined as "persons who have not attained the legal age for consent (18 years of age) and cannot legally provide "consent" to treatment or procedures under the applicable law of the jurisdiction in which the research will be conducted." Children includes any person under the age of 18.

Conflict of Interest: A conflict of interest includes financial interests of the IRB member, or immediate family members (spouse, domestic partner, and dependents) as well as non-financial issues, or members closely associated with the investigators on the study being reviewed, or other studies. This includes involvement in the design, conduct, or reporting of the research study.

Cooperative Research: Cooperative research projects are those projects covered by this policy that involve more than one institution. In the conduct of cooperative research projects, each institution is responsible for safeguarding the rights and welfare of human subjects and for complying with this policy.

Exempt Research: 45 CFR Subtitle A §46.104 provides the guidelines for exempt research.

- (1) Research, conducted in established or commonly accepted educational settings that specifically involves normal educational practices that are not likely to adversely impact students' opportunity to learn required educational content or the assessment of educators who provide instruction. This includes most research on regular and special education instructional strategies, and research on the effectiveness of or the comparison among instructional techniques, curricula, or classroom management methods;
- (2) Research that only includes interactions involving educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures, or observation of public behavior (including visual or auditory recording) if at least one of the following criteria is met:
 - The information obtained is recorded by the investigator in such a manner that the identity of the human subjects cannot readily
 - i. be ascertained, directly or through identifiers linked to the subjects;
 - ii. Any disclosure of the human subjects' responses outside the research would not reasonably place the subjects at risk of criminal or civil liability or be damaging to

- the subjects' financial standing, employability, educational advancement, or reputation; or
- iii. The information obtained is recorded by the investigator in such a manner that the identity of the human subjects can readily be ascertained, directly or through identifiers linked to the subjects, and an IRB conducts a limited IRB review to make the determination required by §46.111(a)(7).

(3) Exempt Research

- i. Research involving benign behavioral interventions in conjunction with the collection of information from an adult subject through verbal or written responses (including data entry) or audiovisual recording if the subject prospectively agrees to the intervention and information collection and at least one of the following criteria is met:
 - a. The information obtained is recorded by the investigator in such a manner that the identity of the human subjects cannot readily be ascertained, directly or through identifiers linked to the subjects;
 - b. Any disclosure of the human subjects' responses outside the research would not reasonably place the subjects at risk of criminal or civil liability or be damaging to the subjects' financial standing, employability, educational advancement, or reputation; or
 - c. The information obtained is recorded by the investigator in such a manner that the identity of the human subjects can readily be ascertained, directly or through identifiers linked to the subjects, and an IRB conducts a limited IRB review to make the determination required by §46.111(a)(7).
- ii. For the purpose of this provision, benign behavioral interventions are brief in duration, harmless, painless, not physically invasive, not likely to have a significant adverse lasting impact on the subjects, and the investigator has no reason to think the subjects will find the interventions offensive or embarrassing. Provided all such criteria are met, examples of such benign behavioral interventions would include having the subjects play an online game, having them solve puzzles under various noise conditions, or having them decide how to allocate a nominal amount of received cash between themselves and someone else.

If the research involves deceiving the subjects regarding the nature or purposes of the research, this exemption is not

- i. applicable unless the subject authorizes the deception through a prospective agreement to participate in research in circumstances in which the subject is informed that he or she will be unaware of or misled regarding the nature or purposes of the research.

(4) Secondary research for which consent is not required: Secondary research uses of identifiable private information or identifiable biospecimens, if at least one of the following criteria is met:

- i. The identifiable private information or identifiable biospecimens are publicly available;

- ii. Information, which may include information about biospecimens, is recorded by the investigator in such a manner that the identity of the human subjects cannot readily be ascertained directly or through identifiers linked to the subjects, the investigator does not contact the subjects, and the investigator will not re-identify subjects;
- iii. The research involves only information collection and analysis involving the investigator's use of identifiable health information when that use is regulated under 45 CFR parts 160 and 164, subparts A and E, for the purposes of "health care operations" or "research" as those terms are defined at 45 CFR 164.501 or for "public health activities and purposes" as described under 45 CFR 164.512(b); or
- iv. The research is conducted by, or on behalf of, a Federal department or agency using government-generated or government-collected information obtained for non-research activities, if the research generates identifiable private information that is or will be maintained on information technology that is subject to and in compliance with section 208(b) of the E-Government Act of 2002, 44 U.S.C. 3501 note, if all of the identifiable private information collected, used, or generated as part of the activity will be maintained in systems of records subject to the Privacy Act of 1974, 5 U.S.C. 552a, and, if applicable, the information used in the research was collected subject to the Paperwork Reduction Act of 1995, 44 U.S.C. 3501 et seq.

Research and demonstration projects that are conducted or supported by a Federal department or agency, or otherwise subject to the approval of department or agency heads (or the approval of the heads of bureaus or other subordinate agencies that have been delegated authority to conduct the research and demonstration projects), and that are designed to study, evaluate, improve, or otherwise examine public benefit or service programs, including procedures for obtaining benefits or services under those programs, possible changes in or alternatives to those programs or procedures, or possible changes in methods or levels of payment for benefits or services under those programs. Such projects include, but are not limited to, internal studies by Federal employees, and studies under contracts or consulting arrangements, cooperative agreements, or grants. Exempt projects also include waivers of otherwise mandatory requirements using authorities such as sections 1115 and 1115A of the Social Security Act, as amended.

Human Subjects: Individuals whose physiologic or behavioral characteristics and responses are the object of study in a research project. Under the federal regulations, human subjects are defined as: living individual(s) about whom an investigator conducting research obtains: (1) data through intervention or interaction with the individual; or (2) identifiable private information.

Minimal Risks: 45 CFR references minimal risks as the probability and magnitude of harm or discomfort anticipated in the research are not greater in and of themselves than those ordinarily encountered in daily life or during the performance of routine physical or psychological examinations or tests.

Non-Human Subject Research (NHSR): This type of research refers to the use of data about individuals when that data is obtained (1) neither through intervention or interaction with the individual, (2) nor private and individually identifiable.

Research: A systematic investigation, i.e., the gathering and analysis of information, designed to develop or contribute to general knowledge, or to solutions to an applied problem that is not

specific (a) to teaching a University class within which the data are collected, or (b) to the duties of a University committee whose work directly serves the interests of the faculty, staff, or students from whom data are solicited.

Student means any individual who is enrolled as a student at The University of Guam.

Quorum is defined as a majority of the voting members. In the case of the Institutional Review Board (IRB), a quorum will consist of at least 51% of the voting IRB members. All members present have equal voting power. At meetings of the IRB, a quorum must be established and maintained throughout the entire meeting. A member with a conflict of interest cannot contribute to a quorum.

General Policies and Standard Operating Procedures:

Membership

The Committee on Human Research Subjects (CHRS) shall constitute the University's Institutional Review Board (IRB) for human research subjects. The CHRS shall be comprised of at least five (5) members appointed by the President upon the recommendation of the Vice Provost of Research & Sponsored Programs and Senior Vice President & Provost.

An effort will be made to appoint members so that the CHRS will be sufficiently qualified: through the experience and expertise of its members; the diversity of their racial and cultural backgrounds; and their sensitivity to community attitudes. CHRS member qualifications should insure respect for its advice and counsel in safeguarding the rights and welfare of human subjects.

At least one (1) member shall be a person whose primary training and research concerns are in nonscientific areas; for example, lawyers or members of the clergy. At least one (1) member shall be a person who is not otherwise affiliated with the University or part of the immediate family of a person who is affiliated with the University. When research is reviewed involving a category of vulnerable subjects, e.g., prisoners, children, individuals institutionalized as mentally disabled, the CHRS shall include at least one member who has as a primary concern the welfare of these subjects.

(Reference to above sections sourced from Title 45 CFR Applicable §46.107IRB membership)

Term of appointment

Ex-Officio Non-voting member

The Vice Provost of ORSP shall serve ex-officio, as a non-voting member.

CHRS-IRB Chair

The Chair shall be recommended by Vice Provost ORSP to the UOG President via the SVP & Provost based on expertise and experience from among current and former IRB members. Each IRB Chair serves a three-year term of service (with renewable terms of one to three years). The Chair of this committee shall receive a one-quarter load allocation per semester.

CHRS Members

Other CHRS members shall be appointed for two (2) years, renewable and for staggered terms. The CHRS shall not consist entirely of men, entirely of women, or entirely of members of one (1) profession.

External Reviewers

The UOG CHRS-IRB in consultation with the Vice Provost of ORSP may designate an alternate external reviewer to serve as an adjunct reviewer if the board requires expertise beyond the current capacity of the sitting members.

The UOG CHRS-IRB may invite individuals with competence or expertise in special areas to assist in the review of issues that require expertise beyond or in addition to that available on the IRB, such as special or vulnerable populations. These individuals serving as external reviewers may not vote with the IRB (45 CFR Subtitle A§46.107 IRB Membership).

Alternate IRB Members

The UOG CHRS-IRB in consultation with the Vice Provost of ORSP may designate an alternate member to replace a primary member on the board. Alternate members should have the experience, expertise, background, professional competence, and knowledge comparable or qualified based on the member being replaced. If in the event, the primary member is a sitting chair, the chair may recommend to the Vice Provost of ORSP a replacement that can come from current board appointees or recommend a new appointment should any sitting member decline the chair succession.

Conflict of Interest

To avoid conflicts of interest, a CHRS member shall not participate in the CHRS' review of any project in which the member is involved as a researcher or subject.

CHRS-IRB Training

All IRB members, alternates, and support staff will receive human subjects protections education related to federal regulations and guidance, and policies and procedures for IRB review processes. Minimal initial training in human subjects protection that include (e.g., Collaborative Institutional Training Initiative Modules, National Institute of Health Modules as appropriate).

CHRS-IRB Member Roles and Responsibilities

CHRS-IRB Chairs

The IRB Chairs have primary responsibility for the following:

- Providing leadership to the CHRS-IRB to help ensure the rights and welfare of human subjects participating in the research reviewed by the IRB
- Conduct convened meetings and reviewing and approving the minutes documenting IRB discussions and findings
- Leading discussions with Principal Investigators and/or administrators to resolve controversial and/or procedural matters relating to research approval
- Signing CHRS-IRB correspondence communicating and documenting IRB decisions
- Delegate review responsibilities as necessary and applicable.
- Maintain current knowledge of and assuring compliance with relevant regulations, laws, and policies related to human subjects
- Regularly consult with the Director of the ORSP and staff on IRB issues and concerns
- Prepares CHRS-IRB reports

CHRS-IRB Members

IRB member responsibilities include all the following:

- Attend convened meetings and participate in the review discussions and actions
- Provide timely written comments on research undergoing IRB review, when required
- Work with Principal Investigators to resolve matters relating to research approval and participate in educational efforts for investigators and new IRB members
- Review and provide comments when designated by the IRB chair to perform a review
- Serve as a primary or secondary reviewer to communicate and prepare approval determination recommendations

IRB Functions and Operations

In order to fulfill the requirements of this policy the CHRS-IRB shall:

- Have access to meeting space and sufficient staff to support the CHRS IRB review and recordkeeping duties;
 - Maintain current records of IRB members and period of appointments and reappointments; area of expertise and representation;
 - Establish and update review procedures for conducting reviews of research and reporting its findings to the investigator and the institution;
 - Conduct ongoing reviews of research studies;
 - Ensure prompt reporting should approved study procedures change;
 - Address any unanticipated problems involving risks to subjects or others;
- (Source: 45 CFR 46 §46.108)

CHRS-IRB Review of Research

An IRB shall review and have authority to approve, require modifications in (to secure approval), or disapprove all research activities covered by this policy, including exempt research activities under §46.104 for which limited IRB review is a condition of exemption.

An IRB shall require that information given to subjects (or legally authorized representatives, when appropriate) as part of informed consent is in accordance with §46.116. The IRB may require that information, in addition to that specifically mentioned in §46.116, be given to the subjects when in the IRB's judgment the information would meaningfully add to the protection of the rights and welfare of subjects.

An IRB shall require documentation of informed consent or may waive documentation in accordance with §46.117.

An IRB shall notify investigators and the institution in writing of its decision to approve or disapprove the proposed research activity, or of modifications required to secure IRB approval of the research activity. If the IRB decides to disapprove a research activity, it shall include in its written notification a statement of the reasons for its decision and give the investigator an opportunity to respond in person or in writing.

An IRB shall conduct continuing review of research requiring review by the convened IRB at intervals appropriate to the degree of risk, not less than once per year, except as described in §46.109(f).

Continuing Review. Unless an IRB determines otherwise, continuing review of research is not required in the following circumstances: (i) Research eligible for expedited review in accordance

with §46.110; (ii) Research reviewed by the IRB in accordance with the limited IRB review described in §46.104(d)(2)(iii), (d)(3)(i)(C), or (d)(7) or (8); (iii) Research that has progressed to the point that it involves only one or both of the following, which are part of the IRB-approved study: (A) Data analysis, including analysis of identifiable private information or identifiable biospecimens, or (B) Accessing follow-up clinical data from procedures that subjects would undergo as part of clinical care. (2) [Reserved] (g) An IRB shall have authority to observe or have a third party observe the consent process and the research.

(Source: [45CFR 46 §46.109](#))

Principal Investigator Responsibilities

Principal Investigators are responsible for ensuring that all forms and documents are filled out completely and included in the application packet. The following are the PI responsibilities and are not all inclusive:

- Submit protocols for IRB review and approval of proposed research activities prior to commencing the research activities.
- Employ sound study design and approval of proposed research activities prior to commencing the research activities.
- Ensure the rights, safety and welfare of the research subjects are upheld and protected.
- Disclose all conflicts of interest.

Investigator Responsibilities for Completed Study

Investigator upon completing all human subject interactions, data collection and analysis of the CHRS-IRB approved research plan should address the following:

- Submit a closeout report
- Address all approved methods related to data collected, reporting to research subjects or other conditions noted in the application.

Co-investigator or PI Roles and Responsibilities

- In addition to the roles identified for the Principal Investigator, identify the specific roles of the co-investigator
 - Interaction with subjects
 - Working with de-identified data
 - Working with identifiable data
 - Other- Include any other information that helps explain roles of the research team

Revisions to CHRS-IRB Research

Guidelines to modify an ongoing CHRS-IRB approved research:

- Submit a request to the CHRS-IRB and receive an CHRS-IRB approval before implementing the proposed modification.
- Expedited reviews can be allowed for revisions involving minor changes in previously approved studies (45 CFR 46.110(b)(2)).

Expiration of IRB Approvals and Renewals

If a research study expires before a CHRS-IRB approval is obtained, the investigators must stop all research activities involving human subjects to that study ([45 CFR 46.103\(b\)](#)).

Guidelines for renewal within the approval period may be submitted to the CHRS-IRB for consideration if there are no substantive change other than a study period extension.

Should a study exceed the (1) year study period, the PI will be required to submit a new application for review.

Use of Computer and Internet Based Human Participant Survey Research

Social Networking Sites or Mobile Devices for Human Participant Research

All studies, including those using computer and Internet technologies*, must:

1. Ensure that the procedures fulfill the principles of voluntary participation and informed consent;
2. Have appropriate safeguards addressing human participants privacy or confidentiality of information;
3. Address possible risks to participants, including psychosocial stress and related risks
(*Source: <https://www.irb.cornell.edu/policy>)

CHRS-IRB Administrative Functions:

Convened Meetings

At a minimum, the CHRS-IRB meetings are held on the last Friday of the month during the FAÑOMNĀKAN and FANUCHĀNAN semesters. No meetings are held during the Finakpo or Tinalo' intersession period.

Quorum

For convened meetings, the necessary number (i.e., more than half) of the IRB members listed on the membership roster are present.

Teleconference or videoconference

Any member may participate by teleconference or videoconference, provided the member has received all materials before the meeting and can equally participate in the discussion.

IRB Meeting Minutes

All documents and files, meeting agendas and minutes are maintained in a secure location.

Meeting agendas and minutes are required only for convened meetings of the membership.

IRB Reports

CHRS-IRB Application Summary Report. The summary report represents a profile of all applications submitted for review during each semester. This report is presented during convened meetings and submitted to the Research Council.

Approval Letters and Documents:

Approval Letters

Applications that have been reviewed during convened meetings or assigned to a lead reviewer, the Chair finalizes all reviews with the issuance of an approval letter or a conditional approval letter. Final approval letters represent that the committee and or the assigned lead reviewer(s) have reviewed the application and recommended approval. This includes applications that have been reviewed during convened meetings. The second type of approval letter involves a committee review and or a lead reviewer(s) requiring additional clarification or information. The Chair will issue a conditional approval letter requesting the additional information or clarification as noted during the review. The PI receiving a conditional approval letter is required to address the stipulated conditions and submit an updated application denoting the amendments. The Chair then determines if the conditions have been met and then issues a final approval letter.

University of Guam Research Manual (February 2, 2022)

All procedures and policies are subject to change and amendment. Refer to the UOG Policy and Procedure Library website (<https://www.uog.edu/policy-procedures-library/>) for the official, most recent version.

Duration of approval Letters

Approval letters are effective up to one year from date of issuance.

Research Project Time Extension.

Should the project extend beyond a 1-year period, the PI is required to submit an extension request prior to the expiration date of the approval period.

Amendment/Revisions to an IRB approved Study

Request for Modifications:

Should a PI encounter a situation during the active period of an approved research, the PI may submit a request to make modifications or procedures regarding change in the research or any part thereof. Any proposed modifications or changes to the research, will require informing the IRB committee of those changes. The IRB will review the amended procedures prior to implementation.

Reporting Study events and unanticipated problems

If a concern or situation regarding or relating to the research arises, the PI should contact the CHRS-IRB Chair or representative immediately for consultation or assistance to address the research concern.

CHRS Application Information:

Minimum Application Information

The Principal Investigator will be responsible to completely filled-in the current **Application for Approval of Studies Involving Human Subjects** (available from ORSP), with all sections of the form completed with specific and detailed information

1. Identify project team members and roles, Co-investigators
2. Select review type
 - Identify the appropriate basis for review type
3. Identify any collaboration roles
4. State the objective of the research study and summarize relevant background knowledge
5. What is the research question or questions to be addressed?
6. Research design (i.e., quantitative/qualitative, mixed methods, multi-phase, etc.)
7. Importance of knowledge to be obtained as a result of this research.
8. Identify any conflict of interest.
9. Define the target population
 - Age range
10. Describe the population of human subjects to be recruited.
11. Number of subjects
12. Describe the process as to how a subject may withdraw from the study if they no longer want to participate.
13. Recruitment procedures
14. Summary of data collection procedures
15. Compensation-Payments to Research Participants
16. Course Credit
17. Privacy, Confidentiality & Security
 - List all identifiers that will be collected during the study

University of Guam Research Manual (February 2, 2022)

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18. How is the privacy of the subject protected?
19. Describe provisions for data security and access control
20. Describe Data security storage
21. Accompanied by at least **two** (2) copies of the research abstract/prospectus and methodology;
22. All surveys to be used in the study;
23. Content of flyers to be used in participant recruitment
24. Cover letter;
25. Forms for informed consent and/or assent and the process for protecting confidentiality of subjects;
26. If the application packet is being considered by another IRB, include that application and approval letter;
27. For theses or dissertations, attach the methods section only and not the entire dissertation or thesis proposal;
28. For dissertation or thesis from another university, that IRB must give approval first and the approval letter must be included; and if applicable,
29. For **exempt** status, must be submitted to the Office of Research and Sponsored Programs. If it is clear that the proposal involves more than minimal potential risk to human subjects, the Chairperson of the CHRS shall require from the investigator one (1) copy of the entire proposal, less any appended materials not necessary to the understanding of the project, to aid in the review process.
30. Supplemental Forms: Audio Recording Consent Form
31. Monitoring/Verification of Compliance- An IRB shall conduct monitoring and continuing review of research requiring review by the convened IRB at intervals appropriate to the degree of risk, not less than once per year, except as described in §46.109(f).
32. Contacts for Questions, Concerns, Complaints or Input should be addressed to the CHRS-IRB Chair or the IRB designated representative

CHRS-IRB Student Class Project Guidelines

Student Class Project Criteria

Research qualifies for the designation of student class project if: It is an activity designed as part of a course requirement for purposes of learning research methods and; The results and data will not be presented, posted, or published outside of the classroom.

IRB Approval Not Required

- A student class project does not meet the definition of human subject research because the project is intended only for classroom purposes. The student cannot use the project for any presentation, conference, publication, thesis, dissertation, or report outside the course for which it is assigned. If the class projects (individual or group) that are designed for or relating to teaching purposes only, then the IRB approval is not required.

IRB Approval Required

- If student class assignments are intended to collect information systematically or to publish or disseminate data meet the federal regulatory definition of research.
- Independent research projects that collect data through interaction with living people or access to private information requires an IRB review. The student must submit an

IRB application if they intend to use the project outside the classroom. This application must be approved before the student starts the project.

Vulnerable Populations

Inclusion of Vulnerable Populations in Research Proposal

When some or all of the subjects that will be enrolled in a research study are likely to be vulnerable to coercion or undue influence, such as pregnant women, prisoners, children, and decisionally impaired adults, additional safeguards must be included in the study to protect the rights and welfare of these subjects. Plans for implementing additional safeguards must be described in the application to the IRB (45 CFR 460 Subpart B).

In addition to the responsibilities prescribed for the IRB under [45 CFR Part 46](#), Subpart A, the IRB shall follow special procedures with respect to pregnant women, fetuses, neonates of uncertain viability, prisoners, and children as specified in Subparts B, C, and D. Inclusion of other vulnerable populations as research subjects is considered by the IRB and is discussed in further detail in this section.

Determination Guidance

Should situations arise that are not clearly covered in any of the sections provided the CHRS-IRB shall defer to the applicable safeguards under [45 CFR 46](#) as needed.

Source:

<https://research.utexas.edu/ors/human-subjects/policies-and-procedures/>

Subpart B—Additional Protections for Pregnant Women, Human Fetuses and Neonates Involved in Research

IRB Review of Research Activities

Human Subjects Determination

Activities that meet the institutional definition of Human Subjects Research (HSR) require IRB review.

Types of Review:

Exempt Review

Proposed projects involve no more than minimal risk. Minimal risk means that the probability and magnitude of harm or discomfort anticipated in the research are not greater in and of themselves than those ordinarily encountered in daily life or during the performance of routine physical or psychological examinations or tests.

Certain categories of HSR can be determined to be exempt as long as they meet prescribed ethical criteria including the requirement for informed consent, minimal risk study procedures and considerations for participant privacy and data confidentiality. Any significant changes to an exempt project will need to be submitted to the IRB to ensure that the exempt determination still applies.

(Reference to above sections sourced from Title [45 CFR Applicable §46.104 Exempt research](#))

Expedited Review

Expedited review procedures for certain kinds of research involving no more than minimal risk, and for minor changes in approved research will be reviewed for compliance with the applicable regulations permitting expedited review ([45 CFR 46.110](#)).

Expedited Review Period

The review is generally completed within two weeks of receipt of the materials, and the review recommendation is sent to the Chair for final approval and or for further review and processing.

An IRB may use the expedited review procedure to review the following:

- a) CHRS-IRB Reviewer determines that the study involves more than minimal risk;
- b) Minor changes in previously approved research during the period for which approval is authorized; or
- c) Under an expedited review procedure, the review may be carried out by the IRB Chairperson or by one or more experienced reviewers designated by the chairperson from among the members of the CHRS-IRB. In reviewing the research, the reviewers may exercise all the authorities of the IRB except that the reviewers may not disapprove the research. A research activity may be disapproved only after review in accordance with the non-expedited procedure set forth in §46.108(b).
- d) Advise the CHRS-IRB members of research proposals that have been approved under the procedure.

(Source: 45 CFR 46 § 46.110)

Full Board Review

Studies that do not qualify for exempt or expedited review and/or present greater than minimal risk to participants must be reviewed at a fully convened IRB meeting. The full board meets once per month. Due to the frequency of full board meetings, the OIRB website lists deadlines for submission in order for items to be on the meeting agenda.

Examples of full board studies include but not limited to the following:

- Research in prisons
- Studies administering drugs or alcohol
- Research involving invasive interventions (e.g. biopsies, tDCS)
- Research including high risk or vulnerable populations

Approval Notification

The CHRS-IRB will notify investigators in writing of its decision to approve the proposed research activity, the risk level assigned, the consent requirements, approved documents and the continuing review within the final approval letter. A PDF file copy of the approval letter and approved documents will be forwarded to the investigator.

Administrative Review

Minor changes to study documents such as grammar corrections, addition or removal of project team members, phone number changes, etc. and study closures are reviewed administratively by OSRP staff.

Functions. It is the responsibility of the University to safeguard the rights and welfare of subjects at risk in any research, development, or related activity in accordance with the Code of

Federal Regulations (45 CFR part 46) which governs the protection of human subjects, and which forms a basis of University policy.

Authority of the University of Guam CHRS-IRB and Administrative Procedures and Support

The IRB board is responsible for ethical and regulatory oversight of research that involves human subjects and adheres to the Code of Federal Regulations (CFR) Title 45, Part 46 (Protection of Human Subjects). Guam Public Law No. 24-326 designates the University of Guam's Committee on Human Subjects in Research as the UOG-IRB for review and approval of research conducted on Guam regarding human subjects.

Applicable Regulations and Laws

Procedures.

All projects involving research with human subjects, as defined in [45 CFR 46:102\(f\)](#), require review by the CHRS. When it is not clear whether a project constitutes research as defined in [45 CFR 46:102\(f\)](#) and therefore requires review, the investigator should seek assistance from the CHRS or Vice Provost of Research & Sponsored Programs (ORSP). A decision will be made which rules that a research project is either **exempt** from review, or that it requires an **expedited** or **full** review under the provisions of [45 CFR 46](#). In the case of a revision to a previously approved research project involving human subjects, investigators have the responsibility to bring this revision to the attention of the CHRS and the same criteria for review will apply.

Requirements by Category:

Research Involving Children

Other applicable guidelines include provisions found under Subpart D—Additional Protections for Children Involved as Subjects in Research.

Research involving Children as subjects must meet one of the following categories:

- [45 CFR 46-401-409](#)

Assent: “Assent,” is defined as an “agreement by an individual not competent to give legally valid informed consent (e.g. a child or cognitively impaired person) to participate in research.” (IRB Guidebook: http://www.hhs.gov/ohrp/irb/irb_glossary.htm). Assent is required from subjects who are either: 1) minors between the ages of 7 and 17 years; or 2) subjects 18 years or older who are intellectually or emotionally impaired and not legally competent to give their informed consent. Note that children below the ages of 7 years are generally not asked to provide assent. Minor subjects who are able to read and understand the informed consent document (parent's permission form) may provide assent on that form with a separate signature line; however minor subjects (age 7 or older) who are too young or intellectually immature to read and understand the parent's permission form should be given the opportunity to provide written assent on a simplified assent form. Also, adult subjects (18 years or older) who are not legally competent to give their informed consent should be given the opportunity to provide written assent on a simplified assent form.

Child Assent

The IRB is responsible for deciding whether child assent is required in proposed research activities. Assent means a child's affirmative agreement to participate in research. Mere failure to object should not, absent affirmative agreement, be construed as assent ([45 CFR](#)

[46.402\(b\)](#)). Child assent is required, except in the following three circumstances described at [45 CFR 46.408\(a\)](#):

1. The capability of some or all of the children is so limited that they cannot reasonably be consulted;
2. The intervention or procedure involved in the research holds out the prospect of direct benefit to the health or well-being of the children and is available only in the context of the research;
3. The research meets the same conditions as those for waiver or alteration of informed consent in research involving adults, as specified in the regulations at either [45 CFR 46.116\(c\)](#) or [45 CFR 46.116\(d\)](#).

Source: <https://www.hhs.gov/ohrp/regulations-and-policy/guidance/index.html>
(Reference to the above sections sourced from Title 45 CFR 46 Subpart D. Protection of Human Subjects- Protections for Children involved as Subjects in Research)

Parental Permission & Assent Forms

Children less than 5 years of age

A simple oral explanation of the study should be offered to the child before study-related procedures are conducted. A signed Parental Permission form is required as well.

Children between the ages of 5 and 12 years

Informed voluntary assent should be obtained without pressure from parents or investigators. The protocol review package should include an example of the explanation to be offered to the child.

Children between the ages of 12 and 16 years

Investigators should submit a permission form for parents and a separate assent form for the child (i.e., at about a 6th grade reading level) to read and sign. An assent form should be written as simply as possible and cover the following points:

- What the study is about
- Why he/she qualifies for the study
- The voluntary nature of the study
- The procedures that will be done
- Potential benefits & potential risks
- An assurance that he/she will be treated the same whether or not he/she agrees to join the study
- An invitation to ask questions
- Assurance that he/she may withdraw from the study after discussing it with his/her parents

Children between the ages of 16 and 18 years

Investigators should submit both Parent Permission and Child Assent forms, written in language that is easily understandable for both the parents and the child (i.e., at 8th grade reading comprehension level), which covers the following points:

- What the study is about
- Why he/she qualifies for the study
- The voluntary nature of the study
- The procedures that will be done
- Potential benefits & potential risks

- An assurance that he/she will be treated the same whether or not he/she agrees to join the study
- An invitation to ask questions
- Assurance that he/she may withdraw from the study after discussing it with his/her parents

CHRS Administrative Procedures and Support

Role of the Administrative Support Staff:

Applications submitted to the CHRS-IRB will be reviewed in the order they are received. The CHRS-IRB staff will conduct a preliminary review of the submission packet to determine:

- a. The completeness of the packet;
- b. To request clarifications and/or additional materials to provide the reviewer with a complete application addressing regulations and institutional requirements.

Maintain and archive all CHRS-IRB Research Applications, Archival of approval letters, Reports and all administrative records in accordance with applicable retention policies and procedures as set forth by the UOG and or applicable provisions under Title 45 CFR 46

Report of CHRS Activities and documentation including the following:

1. Copies of all research proposals reviewed, approved sample consent forms, progress reports submitted by the PI's and reports of injuries to subjects.
2. Minutes of IRB meetings, detailing attendance at the meetings, actions taken by the IRB, the vote on actions, the types of support on actions (for, against, abstaining), basis for requiring changes in or disapproving research; written summary of discussions of issues and their resolution.
3. Records of continuing review activities,
4. Copies of all correspondence, communications between the IRB and the investigators.
5. Rationale for expedited reviewers determination

Maintain and updates to the following

1. UOG-CHRS-IRB Website
2. Provide announcements and updates on CHRS-IRB matters
 - a. Notices of meetings
 - b. Submission deadlines
3. Provide updates to the CHRS-IRB application forms, review protocols as approved by the CHRS-IRB convened board.

Archival and Storage of CHRS PI Data Series and Reports

1. File Retention Policies for the CHRS-IRB Committee
 - Records required by this policy shall be retained for at least 3 years
 - Records relating to research shall be retained for at least 3 years after completion of the research.
2. The UOG-CHRS-IRB may maintain the records in printed form, or electronically.
3. All records shall be accessible for inspection and copying by authorized representatives at reasonable times and in a reasonable manner.
(Source: §46.115 IRB Records)

Principal Investigator Responsibilities

CHRS Application Information.

1. A completely filled-in **Application for Approval of Studies Involving Human Subjects** (available from ORSP), with all sections of the form completed with specific and detailed information;
2. Accompanied by at least **two** (2) copies of the research abstract/prospectus and methodology;
3. All surveys to be used in the study;
4. Cover letter;
5. Forms for informed consent and/or assent and the process for protecting confidentiality of subjects;
6. If the application packet is being considered by another IRB, include that application and approval letter;
7. For theses or dissertations, attach the methods section only and not the entire dissertation or thesis proposal;
8. If it is a dissertation or thesis from another university, that IRB must give approval first and the approval letter must be included; and if applicable,
9. The rationale for **exempt** status, must be submitted to the Office of Research and Sponsored Programs. If it is clear that the proposal involves more than minimal potential risk to human subjects, the Chairperson of the CHRS shall require from the investigator one (1) copy of the entire proposal, less any appended materials not necessary to the understanding of the project, to aid in the review process.
10. Supplemental Forms: Audio Recording Consent Form

Elements of Informed Consent

The following elements should be a part of any and all informed consent forms for studies involving human subjects:

1. A statement that the study involves research, an explanation of the purposes for the research and the expected duration of the subject's participation, a description of the procedures to be followed and the identification of any procedures which are experimental.
2. A description of any reasonably foreseeable risks or discomforts to the subjects.
3. A description of any benefits to the subject or to others which may be reasonably expected from the research.
4. A disclosure of appropriate alternate procedures or courses of treatment, if any, that might be advantageous to the subject.
5. A disclosure of appropriate alternate procedures or courses of treatment, if any, to which confidentiality of records identifying the subject will be maintained.
6. For research involving more than minimum risk, an explanation as to whether compensation for medical treatments is available if injury occurs and, if so, what they consist of, or where further information can be obtained.
7. An explanation of whom to contact for answers to pertinent questions about the research, and an explanation of the research subject's rights and whom to contact in the event of research related injury to the subject.
8. A statement that the participation is voluntary, refusal to participate will involve no penalty or loss of benefits to which the subject is otherwise entitled, and the subject may discontinue participation at any time without penalty or loss of benefits to which the subject is otherwise entitled.

9. Any additional costs to the subject that may result from the participation in the research. A statement that significant new findings developed during the course of the research which may relate to the subject's willingness to continue participation will be provided to the subject.
10. The approximate number of subjects involved in the study.

Assent

"Assent," is defined as an "agreement by an individual not competent to give legally valid informed consent (e.g. a child or cognitively impaired person) to participate in research." (IRB Guidebook: http://www.hhs.gov/ohrp/irb/irb_glossary.htm). Assent is required from subjects who are either: 1) minors between the ages of 7 and 17 years; or 2) subjects 18 years or older who are intellectually or emotionally impaired and not legally competent to give their informed consent. Note that children below the ages of 7 years are generally not asked to provide assent. Minor subjects who are able to read and understand the informed consent document (parent's permission form) may provide assent on that form with a separate signature line; however minor subjects (age 7 or older) who are too young or intellectually immature to read and understand the parent's permission form should be given the opportunity to provide written assent on a simplified assent form. Also, adult subjects (18 years or older) who are not legally competent to give their informed consent should be given the opportunity to provide written assent on a simplified assent form.

The following should be included on the written assent form:

1. Study title
2. Study purpose – provide a brief explanation of the purpose of the study.
3. Procedures – describe what the subject is being asked to do
4. Withdrawal privilege – describe how a subject can stop participation later even if he/she agrees to start
5. Voluntary participation – include a statement that the subject does not have to participate
6. Confidentiality – indicate that the experimenter will not tell anyone (parents, teachers) what the subject says or does in the study
7. Signature lines – include a signature line for the subject and for the investigator. Be sure to include a date line as well.

Central Institutional Review Board and University of Guam Privacy Board

The University of Guam CHRS/IRB also serves as the "UOG Privacy Board". Please see Appendix "?" for more information.

References

<https://www.govinfo.gov/content/pkg/CFR-2018-title45-vol1/pdf/CFR-2018-title45-vol1.pdf>
<https://research-compliance.umich.edu/operations-manual-part-3-hrpp-policy>
<http://irb.unm.edu/>
<https://www.irb.cornell.edu/policy/>
<https://research.utexas.edu/ors/human-subjects/>

VII. INSTITUTIONAL ANIMAL CARE AND USE COMMITTEE

PURPOSE

The University of Guam Institutional Animal Care and Use Committee (IACUC) is responsible for overseeing the use of animals and animal facilities, and for the review of basic science and biomedical research, teaching, and extension activities involving animals conducted at, or in association with The University of Guam. Members of the IACUC are appointed by the Vice Provost of Research & Sponsored Programs on behalf of the President and SVP & Provost of the University of Guam.

The IACUC ensures that animal care and use is in compliance with all federal, territory, and local regulations. The basis of compliance is determined by the Federal Animal Welfare Act and Animal Welfare Regulations (AWAR), the Institute for Laboratory Animal Research (ILAR) Guide for the Care and Use of Laboratory Animals, the Guide for the Care and Use of Agricultural Animals in Research and Teaching, the Public Health Service (PHS) Policy on the Care and Use of Laboratory Animals, the Food and Drug Administration (FDA) Good Laboratory Practices, and other applicable regulations.

The IACUC is the principal advisory source on humane care and use of animals within the University and, as such, the appropriate body for reviewing and investigating concerns or complaints involving the appropriate care and use of animals. The Committee has the authority to negotiate modifications, suspend or terminate animal use that is not in compliance with these regulations.

The Committee shall review the University animal program semiannually, inspect all University animal facilities, and review and approve the care and use of all animals as described in animal use protocols. The Committee shall recommend to the designated Director of Research & Sponsored Programs changes or improvements to the University animal program or facilities necessary to maintain a high-quality animal use program that is in compliance with all appropriate regulations.

As stated in the PHS Assurance Document, the IACUC shall:

- Review the institution's program for humane care and use of animals at least once every twelve (12) months.
- Inspect all the institution's animal facilities, including satellite facilities at least once every twelve (12) months.
- Review concerns involving the care and use of animals at the institution.
- Make written recommendations to the appropriate Director of Research & Sponsored Programs regarding any aspect of the institution's animal program, facilities, or personnel training in their respective areas.
- Review and approve, require modifications, or withhold approval of protocols for the use of animals.
- Review and approve, require modifications, or withhold approval of proposed significant changes regarding the use of animals in ongoing activities.
- Notify investigators and the institution in writing of its decision to approve or withhold approval of those sections of protocols related to the care and use of animals or of modifications required to secure IACUC approval.
- Be authorized to suspend the use of animals.

MEMBERSHIP

The IACUC must be qualified through the experience, expertise, and diversity of its members to maintain oversight of the use of animals, animal facilities, and to provide review of basic science and biomedical research and teaching animal use conducted under the auspices of the University.

All members shall be appointed by the Director of Research & Sponsored Programs, or whomever has been appointed as the Authorized Official by the President of the University of Guam. The Committee will be composed of a Chairperson and at least two (≥ 2) other individuals, both from the following: a Doctor of Veterinary Medicine, a faculty member actively involved in animal research, one individual whose primary vocation is nonscientific in nature, and/or one public member nonaffiliated with the University who represents the general community. Of these, one individual will be elected as Vice-Chairperson. An individual who meets the requirements of more than one of the categories may fulfill more than one requirement. Excluding the laboratory animal veterinarian(s), no more than three members shall be from the same department.

As deemed necessary, the Committee may also call on consultants, with a special expertise in areas of interest to the Committee.

Officers and Responsibilities

- The **Chairperson** of the Committee is appointed by the Vice Provost of Research & Sponsored Programs in consultation with the President and Senior Vice President of Academic & Student Affairs. The Chair must be an individual with previous research involving vertebrate animals. The Chair shall preside over IACUC meetings, approve minutes, and upon agreement with the IACUC Committee members, approve animal research protocols. Approval letters from the IACUC Committee Chair may be issued to the Applicant via email, but in signed .pdf form, which is co-submitted to the Office of Research & Sponsored Programs, who will keep a copy of all IACUC records for the University.
- The **Vice-Chairperson** is an IACUC member elected by the IACUC committee. His or her role is to represent the IACUC when the IACUC Chair is unavailable or cannot function as Chair. As such, the Vice-Chairperson can convene and administer an IACUC meeting, attend administrative meetings, and direct IACUC inspections when the IACUC Chair is unavailable. Also, the Vice-Chairperson can act as Chair when there is a conflict of interest declared by the Chair. Examples of conflicts include review of protocols submitted by the Chair.
- An **attending veterinarian** shall serve as a voting member of the IACUC for an indefinite term. It is the responsibility of the veterinarian to provide veterinary review of protocols and to oversee the adequacy of all aspects of animal care and use for all animals. The attending veterinarian may appoint another veterinarian to the IACUC. The appointed veterinarian will be called the "alternate veterinarian" and will serve as a proxy voting member of the committee when the attending veterinarian is not in attendance or is otherwise unavailable. The alternate veterinarian will have delegated responsibilities for all activities involving animals, including protocol review, animal use program responsibilities, and care of animals when the attending veterinarian is unavailable due to either planned or unplanned circumstances.
- **Various University officials and specialists** may be asked to serve as nonvoting ex-officio members of the IACUC.

Terms and Appointment

Given the current, low volume of UOG IACUC Protocol applications (<10 new proposals per annum), all voting members of the Committee, as well as the Chair, are appointed for an indefinite period of time by the Vice Provost of Research & Sponsored Programs, via memorandum addressed to the Officer. It is recommended that if the protocol submission rate increases to ≤ 20 per annum, then an amendment to include UOG Faculty that satisfy the criteria of Article III in the member appointment process.

If a Committee member wishes to leave the Committee, either temporarily or permanently, they must do so in writing addressed to the Vice Provost of Research & Sponsored Programs prior to ceasing Responsibilities. When requesting for temporary replacement, the Committee member may suggest one (1) faculty eligible to serve as a temporary proxy voting member (as per Article III) to be considered by the Vice Provost of Research & Sponsored Programs.

Responsibilities of Members

The IACUC recognizes that University research scientists must conduct their research in a timely and responsible fashion. Therefore, to facilitate research while assuring animal welfare, the Committee must conduct its business as efficiently as possible.

This can only be accomplished when all Committee members participate fully in Committee activities.

Committee members should make every effort to attend and actively participate in all regularly scheduled meetings, promptly conduct complete reviews of assigned protocols, and participate in facility and program reviews. Committee members must also recognize the sensitive nature of Committee activities and maintain confidentiality.

All IACUC members are expected to:

- Complete the online [Collaborative Institutional Training Initiative \(CITI\)](#) modules on research involving animals. Required modules include:
 1. Working with the IACUC
 2. Working with the IACUC - Refresher Course
 3. Post-Procedure Care of Mice and Rats in Research: Minimizing Pain and Distress
 4. Essentials for IACUC Members
- Attend regularly scheduled meetings of the IACUC. Three or more absences from scheduled meetings per year (except under documented extenuating circumstances) are unsatisfactory.
- Review protocols and all other documents included in the meeting packet prior to scheduled Committee meetings.
- Members may elect to participate in program review and animal facility inspections or may be assigned.
- Maintain confidentiality about Committee activities.

The efficient operation of the IACUC depends on the full participation of its members. The name of any member who exhibits repeated unsatisfactory performance shall be submitted to the IACUC Chair. The Chair shall provide necessary documentation to the Vice Provost of Research & Sponsored Programs, or his/her designated representative, who shall make the final decision regarding dismissal from the Committee.

REGULARLY SCHEDULED MEETINGS

The IACUC shall schedule regular quarterly meetings during the Academic Calendar Year. The meeting may be cancelled if the IACUC has no current business and may be rescheduled in extenuating circumstances.

Emergency meetings and/or expedited reviews may be called by the Chair if required.

It is the University's policy that at least one (1) non-scientific committee member be present in order to conduct IACUC business.

Voting

A motion may only be passed at a convened meeting of a quorum of the IACUC if it receives the affirmative vote of a majority of the quorum present. A quorum means a simple majority of the members of the Committee. A tally of the numbers of members who vote for, against, or abstain from voting shall be recorded. Any minority views shall also be recorded in the minutes. All Committee members with the exception of the Authorized Official who serves in an Ex-Officio manner and the alternate veterinarian when the attending veterinarian is in attendance are voting members of the Committee.

Conflict of Interest

An IACUC member should not vote on protocols in which he/she, their student, spouse, or child is listed as a participant. The member may provide information to the Committee, if the Committee so desires.

However, the Chair shall excuse the member during these deliberations if no further information is required, or if another Committee member requests such action and before a vote is taken.

Sub-committees

The IACUC Chair may appoint sub-committees, as deemed appropriate, to facilitate the business of the Committee. All members of sub-committees shall consist of members in good standing. Sub-committees shall report directly to the IACUC with recommendations or reports. No actions may be taken by the subcommittee without prior approval of a majority of the quorum at a convened IACUC meeting.

PROTOCOL REVIEW PROCEDURES

The [Federal Animal Welfare Act and Animal Welfare Regulations](#) (AWAR), the [Institute of Laboratory Animal Resources \(ILAR\) Guide for the Care and Use of Laboratory Animals](#), the [Guide for the Care and Use of Agricultural Animals in Research and Teaching](#), and the [Public Health Service Policy on the Care and Use of Laboratory Animals](#) shall be used as basis for reviews.

A. Principal Investigators (PI)

The principal investigator conducting research, teaching, or extension/outreach involving live vertebrate animals shall submit a typed and signed protocol for the use of live vertebrate animals, with the two-page application cover form (contained in Appendix B) attached. Protocols requiring full review received less than five (5) working days before the scheduled IACUC meeting shall be reviewed the following scheduled meeting.

Animals may not be procured by the University of Guam or its Affiliates, regardless of fiscal support, until the protocol has been approved by the IACUC. Activities involving animals may not begin until the PI is notified in writing that the protocol has been approved. Research findings from data obtained prior to UOG IACUC protocol approval may not be included in peer-reviewed publications or any other method of public dissemination under the auspices of The University of Guam or its Affiliates.

Only those persons listed on the protocol are authorized to: maintain, care, and/or use animals or animal facilities; or conduct basic science, biomedical research, extension, outreach, or teaching activities involving animals conducted at, or in association with The University of Guam. Additions and/or substitutions to this participant list require a protocol amendment, and subsequent approval.

B. IACUC Committee Chair

The completed protocol application is submitted to the IACUC email account and is initially reviewed by the Office of Research & Sponsored Programs to ensure that all the components of the application have been completed. Once the application has been verified complete, The Office of Research & Sponsored Programs submits the new application to the IACUC Committee Chair and requests for the application to be reviewed. The IACUC Chair will then conduct an initial review and will work with the PI to identify additional information necessary for the IACUC reviewers. Once complete, the Chair shall electronically distribute the application to all Committee members for official review. The Chair will include a synopsis of their initial review and his/her position on the approval of the application. If the Chair deems that a formal meeting is needed to discuss an application(s), they shall inform and electronically distribute all pertinent documents at least five (5) days in advance of the next scheduled meeting in preparation for Committee discussion. If upon review the protocol is incomplete or unclear, the IACUC Committee Chair notifies the principal investigator of the clarifications/modifications that are required.

C. Veterinarian

The attending veterinarian, or the alternate veterinarian in his/her absence, will perform the veterinary review and present any concerns regarding the research either to the Committee at the scheduled IACUC meeting, or directly to the Chair via email.

D. Protocol Review

All research, instruction, and extension activities involving animals should be brought to the attention of the IACUC.

D. 1. Exemptions

There are areas of research that are exempt from IACUC protocol submission and review. Investigators do not make the determination that animal use is exempt from an IACUC protocol submission. The IACUC Committee Chair determines if a protocol is eligible for exemption or requires Full Committee Review (FCR). Using animals in teaching situations does not automatically exempt the activity from IACUC review and approval.

Some areas that may be exempt include but are not limited to: work with invertebrates not listed as Protected Species; observational field research involving no manipulation; and research on vertebrate eggs, commercially obtained tissues, or tissues from colleagues with approved animal protocols in place at their facility, and others.

If the Chair deems that a protocol qualifies for exemption, each IACUC committee member is provided with a copy of the cover page and the non-technical summary. Copies of the complete protocol shall be made available to all IACUC members upon request, and any committee member may request a full committee review within 5 days of receipt. If no requests for FCR are requested within 5 business days, the IACUC Committee shall issue a letter of exemption to the PI for that specific activity or area. The exemption letter is only valid for that specific situation. If the investigator changes or modifies the activity, then it is subject to reexamination by the IACUC, and the exempt status may change and necessitate a protocol and review.

The Chair does not have the authority to disapprove a research project. **Disapproval can only be done by a majority vote of a quorum at a convened meeting of the IACUC.**

D. 2. Full Review Committee

If full committee review (FCR) is required, full copies of the protocol are electronically submitted to all Committee members, who are given at least 5 business days to review the application. The Committee may discuss the proposed research project(s) electronically and determine if approval can be given or if modifications are needed before approval can be granted. A quorum of the Committee must respond before further action is taken. If the research project is ready for approval, an approval vote by the majority of the quorum present is required.

When substantive information is lacking from a protocol, the committee may have questions requiring a response from the PI. In such situations, the PI will be notified by the Chair that a revised protocol that includes all of the requested information is required to secure approval. The IACUC Committee Chair will communicate the required modifications directly to the researcher. Upon receipt, the revised protocol will be resubmitted to the IACUC Committee for review and approval.

Protocols are approved for a maximum of three years, although the PI will need to undergo annual review every twelve (12) months. After three years, the PI will rewrite and resubmit the protocol for review.

D. 3. *Procedures to Request an Expedited Review of Protocols*

Under unusual circumstances a PI may request an Expedited Review. An Expedited Review may be requested when any of the above review activities have to take place sooner than would occur under the normal review processes. This process must be justified beyond a convenience for the PI.

The Expedited Review (ER) process follows these steps:

Written Request – A completed protocol application to the IACUC must be submitted. In addition, the PI must formally request, in writing, an expedited review along with a clearly articulated justification for its need.

Determination – Upon receipt of an Expedited Review request, the IACUC Chair, the Veterinarian and another member of the IACUC will determine if the request has merit and notify IACUC and the PI of the determination. If the request for Expedited Review is not granted, the review activity will take place via the standard procedures.

Emergency Meeting/Expedited Review – If more than one ER request has merit and is granted, the IACUC Chair may either convene an emergency meeting of the IACUC, or request an expedited, Full Committee Review. The application and other relevant materials will be given to all IACUC members prior to the meeting. The proposal will then be reviewed in the Full Committee and undergo normal voting procedures.

E. Protocol Approval and Duration

If approved, an approval letter from the IACUC Committee Chair will be emailed to the principal investigator and the Director of the Office of Research & Sponsored Programs. The PI must countersign the issued permit and submit an original copy to the Office of Research & Sponsored Programs. No IACUC permit is valid until a signed copy is filed with ORSP.

Any proposal for animal use approved by the IACUC may be subject to further approval by the Director of the Office of Research & Sponsored Programs. However, the Director may not approve activities involving the care and use of animals that have not been approved by the IACUC.

Protocols are approved for a maximum of three years (≤ 3 years), or the remaining fiscal duration of a grant/contract, whichever is shorter. The PI will need to submit a report and undergo annual review every twelve (12) months.

It is important that the PI rewrite and resubmit the protocol for review at least four (4) weeks prior to its expiration date. No vertebrate animals may be procured, housed, or used for any University purpose on, or after the date of a protocol's expiration, and must immediately be removed from the University in a manner in compliance with all federal, territory, and local regulations. No exemptions or extensions may be granted for expired research protocols involving animals – all previously-authorized personnel must cease and desist until the PI is notified in writing that a protocol has been reapproved.

F. Authorized Personnel

Only those persons listed on the protocol are authorized to: maintain, care, and/or use animals or animal facilities; or conduct basic science, biomedical research, extension, outreach, teaching, or any other activities involving animals on University property, or in association with The University of Guam. Additions and/or substitutions to this participant list require a protocol amendment, and subsequent approval.

G. Procedures for the Annual Review of Protocols

Approved protocols must be reviewed at least annually. Therefore, at least four (4) weeks prior to the anniversary date of an approved protocol, the Office of Research & Sponsored Programs shall send to the principal investigator an Annual Review of Protocol for Use of Live Vertebrates Form (Appendix C) indicating that the annual review form must be completed and submitted to the IACUC Committee Chair before the first day of the anniversary month.

The annual reviews are approved by the IACUC Committee Chair on behalf of the Committee and will be listed on the agenda and minutes of the next quarterly meeting.

Annual reviews consisting of minor changes may be approved by the Chair or the Vice Provost of Research & Sponsored Programs with veterinary consult. Significant changes require a revision in writing and will be reviewed at the next convened meeting.

H. Procedures for the Review of Modifications of Approved Protocols

H. 1. Significant Changes

Significant changes to an IACUC-approved protocol must be reviewed and approved by the IACUC Committee before they occur. UOG interprets significant changes to mean those that have the potential to impact the health and well-being of experimental animals or authorized personnel substantially and directly. Examples of significant changes include, but are not limited to changes:

- from non-survival to survival surgery
- resulting in greater pain, distress or degree of invasiveness;
- in species;
- in study objectives;
- in Principal Investigator;
- in housing and/or use of animals in a location that is not part of the animal program overseen by the IACUC;
- in increases in animal numbers greater than 10% of the originally approved number; and
- that impact personnel safety.

Proposed significant changes require FCR and approval prior to initiation.

H. 2. Administrative Changes

UOG interprets administrative changes to mean those that do not have the potential to impact substantially and directly on the health and well-being of the experimental animals and personnel. Examples of non-significant changes include, but are not limited to changes:

- that correct typographical errors and/or grammar;
- in the funding source;
- in update contact information;
- in personnel (other than the PI); and
- in the use of a new vivarium housing location.

Proposed administrative changes may be approved by the Chair or Vice Provost of Research & Sponsored Programs with veterinary consult prior to initiation.

PROGRAM AND FACILITIES REVIEW

The IACUC shall review the Animal Care and Use Program and all UOG IACUC authorized animal facilities, as defined in the PHS Policy and the Animal Welfare Act, at least once every twelve (12) months. A sub-committee of the IACUC may conduct the inspection, but any member wishing to participate may not be excluded and the program review and inspection report must be reviewed and approved by a majority of a quorum of the Committee and include any minority views.

The sub-committee conducting the review and inspection must include at least two members. The sub-committee shall use the [ILAR Guide for the Care and Use of Laboratory Animals](#) as a standard for evaluating all laboratory animal facilities. Other guidelines and recommendations will be used as appropriate. The [Guide for the Care and Use of Agricultural Animals in Research and Teaching](#) shall be used as a standard for the non-PHS supported research and teaching activities involving production agricultural animals.

Program Review and Site Inspection Report

After review and inspection, a written report (including any minority views) shall be submitted to the Vice Provost of Research & Sponsored Programs. The report shall contain a description of the extent of each facility's adherence to the Federal Animal Welfare Regulations and shall distinguish significant deficiencies from minor deficiencies. A significant deficiency is one that, in the judgment of the IACUC and the appropriate Director of Research & Sponsored Programs and in accordance the Animal Welfare Regulations, may be a threat to the health or safety of the animals and personnel. The IACUC shall include a plan of action with specific dates for correcting any deficiencies. Any failure to adhere to this plan that results in a significant deficiency remaining uncorrected shall be reported within 15 business days through the Director of Research & Sponsored Programs to United States Department of Agriculture, Animal and Plant Health Inspection Service (APHIS), Office for Protection from Research Risks (OPRR) and any federal agency funding that activity.

ANNUAL REPORTS

A. USDA, Regulatory Enforcement of Animal Care

Annual reports shall be prepared by the IACUC according to the provisions of 9 CFR 2 (Subpart A, 2.36). The reports are submitted to APHIS on or before December 1.

B. PHS

Annual reports shall be prepared by the IACUC according to the requirements of the PHS Animal Welfare Policy (IV., F.) at least once every 12 months. Reports will be submitted to OPRR on or before January 31.

TRAINING

A. Committee Members

Committee members shall review these bylaws, the Animal Welfare Regulations, the PHS Policy, and other documents, as well as copies of individual policies developed by the IACUC regarding specific animal use issues. Committee members will complete the Collaborative Institutional Training Institute (CITI) courses including:

- 1) [Working with the IACUC](#)
- 2) [Post-Procedure Care of Mice and Rats in Research: Minimizing Pain and Distress](#)
- 3) [Essentials for IACUC Members](#)

In order to stay current with the ever-changing regulatory environment, Committee members will be required to complete the CITI Working with the IACUC – Refresher course at a minimum of once every three (3) years.

B. Scientists, Research Assistants, and Animal Technicians

All scientists, research technicians, animal technicians, and other personnel involved in animal care, treatment and use must be qualified to perform their duties. All scientists, research technicians, animal technicians, and other personnel will be required to take the [CITI Working with the IACUC Basic Course](#) and any other modules that can be identified at the time of protocol submission that align with their specific research project.

In order to stay current with the ever-changing regulatory environment, all scientists, research technicians, animal technicians, and other personnel involved in animal care and use will be

required to complete the CITI Working with the IACUC course at a minimum of once every three (3) years.

NONCOMPLIANCE

A. Procedures for Reporting Non-compliance

Everyone involved in animal care and use at the University shall be made aware of the procedures for reporting non-compliance. These procedures will be posted in all laboratory facilities and on the UOG IACUC webpage.

B. Procedure for Reporting Noncompliance with Laboratory Animal Care and Use Guidelines

Concerns or complaints regarding animal usage within The University of Guam should be brought directly to the attention of the people involved whenever possible. If the concern or complaint cannot be handled directly, it may be handled in one of two ways:

- If an emergency exists, the Veterinarian should be contacted immediately.
- If the situation is not an emergency, the concern or complaint should be submitted to the Office of Research & Sponsored Programs or the IACUC Chair. The Chair will assign an ad hoc committee consisting of at least two members to investigate the concern or complaint and prepare a report for the IACUC. The IACUC will review the concern or complaint during the next regularly scheduled meeting. The IACUC will determine what action will be taken and the Chair will notify the principal investigator of such action.

A written reply to those primarily involved and to the Vice Provost of Research & Sponsored Programs will follow each written concern or complaint submitted to the IACUC. No facility employee, student, IACUC member or laboratory personnel will be discriminated against, or be subjected to any reprisal for reporting suspected noncompliance. The IACUC may suspend an activity that it previously approved if it determines that the activity is not being conducted in accordance with an approved protocol or the applicable provisions of the Animal Welfare Act.

C. Suspension of Activity

If the IACUC suspends an activity due to continuing significant deficiencies in animal care and use, the Vice Provost of Research & Sponsored Programs in consultation with the IACUC shall review the reasons for suspension, take appropriate corrective action, and report the action with a full explanation to USDA, Regulatory Enforcement of Animal Care, OPRR, and any agency funding that activity.

D. Investigator Appeal

The principal investigator of any activity that has been disapproved or suspended by the IACUC may appeal that action to the IACUC and request another review based on the correction of misinformation or additional information not available at the time of the initial review.

AMENDMENTS

The IACUC may recommend amendment of these bylaws by a two-thirds vote at any meeting at which a quorum is present, providing that all IACUC members receive notification of the pending vote 10 working days prior to the meeting. Amendments will be subject to review by the Research Council and Vice Provost for RSP, and recommendation for Board of Regents Approval.

VIII. CONFLICTS OF INTEREST DISCLOSURES

A. PURPOSE

The University of Guam (University) is committed to promoting identification, disclosure, and elimination or management of conflicts of interest in operations of the University and activities of its employees. This includes institutional and individual financial, scholarly, and organizational conflicts of interest, as well as conflicts of commitment. These procedures are intended to delineate the process for addressing conflicts of interest and commitment

B. DEFINITIONS

1. **UNIVERSITY OF GUAM POLICY MANUAL (UPM)** is the new hub for all policies and manuals at UOG and is in alignment with the BOR/Faculty Union Agreement. The UPM is focused on items within the legal and operational purview of the University's nine member Board of Regents including: UOG Legal Authorities; UOG Board of Regents; Finance and Business Practices; Colleges, Schools, Research Units, and other educational Units; Administrative Support Units; Shared Governance; Academic and student Policies; Employment Policies: Employee Roles, Policies, and Expectations; Administrator Policies; Faculty Policies; Staff Employment Policies; Student Employees Policies; and Contractor Policies.
2. **AWARDING COMPONENT** refers to the organizational unit of the agency that funds the *Research*.
3. **COMPELLING CIRCUMSTANCES** are facts that convince the *University* that an individual with a *Significant Financial* or other *Conflict of Interest* should be permitted to conduct the activity (e.g., *Research*) in spite of a conflict. Circumstances that may be evaluated (when applicable) include:
 - a) Nature of the *Research/activity*,
 - b) Unique *Investigator* expertise, or unique institutional resources (e.g., equipment, facilities, personnel),
 - c) Magnitude of financial or other interest and the extent to which such interest is related to the *Research/activity*,
 - d) Magnitude of financial or other interest and the extent to which such interest is related to the *Research/activity*,
 - e) Magnitude of financial or other interest and the extent to which such interest is related to the *Research/activity*,
 - f) The degree of risk to human subjects that is inherent in the *Research* protocol,
 - g) Unique access to particular patient populations, and
 - h) Extent to which the interest is amenable to effective oversight and management
4. **CONFLICTS OF COMMITMENT** arise when non-University activities of an *Employee* are substantial and overly demanding of the *Employee's* time and attention and interfere with the *Employee's* obligations and responsibilities to the University.
5. **CONFLICTS OF INTEREST** refers to situations in which an employee's financial, professional, or other personal interests may influence, or appear to influence, the employee's judgment in fulfilling his or her responsibility to the University. Conflicts of interest may also include institutional or individual financial, scholarly, and organizational conflicts of interest, as well as conflicts of commitment.

6. **CONFLICTS OF INTEREST COMMITTEE (COIC)** consists of faculty, staff and administrators appointed to review and provide advice on management or elimination in cases concerning potential or real *Conflicts of Interest* or *Commitment*. Committee members are appointed by the *Senior Vice President & Provost (SVP&P)*. The *SVP&P* will consider all nominations from the University's Faculty Senate and will make the final selection of committee members in accordance with institutional policy and these procedures.
7. **CONTRACTOR** means "an entity that provides property or service under contract for the direct benefit or use" of the University. CFR 45 Part 94 Section 94.3.
8. **DEANS and DIRECTORS** refers to lead administrators of Schools, Colleges, and Organized Research Units within the University system.
9. **DECIDING OFFICIAL** refers to the Executive administrator. Unless otherwise designated by the University's President, the President will serve in this capacity.
10. **DISCLOSURE** refers to:
 - a) Notifying the appropriate Senior Administrator of any personal potential or actual Significant Financial or other Conflict of Interest or Commitment.
 - b) Providing a public statement as to the existence of any personal Significant Financial or other Conflict of Interest that may exist.
 - c) Notifying funding agencies of any personal potential or actual Financial or other Conflict of Interest.
11. **EMPLOYEE** means any person possessing either a full-time or part-time appointment at the University, whether compensated or not, also refers to positions of the Research Corporation of the University of Guam (RCUOG), postdoctoral fellows, and some students or trainees.
12. **ENTITY** means any corporation, partnership, sole proprietorship, firm, franchise, association, organization, holding company, joint stock company, receivership, business, real estate trust, or any other legal body organized for profit or nonprofit purposes.
13. **EQUITY** is a financial interest in a business representing an ownership interest, and may include stock, stock options, stock warrants, or any other security.
14. **HUMAN SUBJECTS RESEARCH** means a systematic investigation through experimentation, testing, evaluation, or observation performed on a living individual or group of individuals, about whom an *Investigator* obtains: (1) data through intervention or interaction with the individual(s); or (2) identifiable private information. 45 CFR 46.102.
15. **IMMEDIATE FAMILY** means the *Employee's* spouse, domestic partner, or reciprocal beneficiary and dependent children.
16. **INDIVIDUAL CONFLICTS OF INTEREST or INDIVIDUAL FINANCIAL CONFLICT OF INTEREST (FCOI)** refers to situations in which personal interests, particularly *Significant Financial Interests (SFI)*, cause competing loyalties that compromise, or have the appearance of compromising, an *Employee's* objectivity in meeting University duties or responsibilities. If an *Employee's* objectivity in designing, conducting, or reporting *Research*, or other scholarly work is directly or substantially biased by *Significant*

Financial Interests or other interests, his/her judgment in the collection, analysis, review and interpretation of data may be compromised, along with the decisions, for example, on the hiring of staff, procurement of materials or equipment, sharing of results, writing of protocols, safety of *Human Subjects in Research*, use of statistical methods, and mentoring of students.

- a) Examples of potential Financial Conflicts of Interest situations may include the acceptance of income from non- University of Guam sources, Equity, consulting fees, or royalty interest from an outside Entity which relates to the Employee's Institutional Responsibilities; income from seminars, lectures, or teaching engagements; income from service on advisory committees or review panels; legal partnerships; gifts to the Employee's unit/department; and other forms of payment to the Investigator, Key Personnel, or members of their Immediate Family.
- b) Other *Conflicts of Interest* situations may arise when an *Employee*, or a member of his/her *Immediate Family*, has loyalties to another *Entity*.
 - i. that may affect decision-making with respect to University teaching, *Research*, or administration;
 - ii. that may result in a material, financial or other personal benefit from the use or release of non- public information pertaining to the University.

17. **INSTITUTION** means "any domestic or foreign, public or private, entity or organization (excluding a Federal agency) that is applying for, or that received, research funding" (CFR 42 Part 50.603).
18. **INSTITUTIONAL FINANCIAL CONFLICTS OF INTEREST** may occur when the University, any of its senior management or trustees; a department, school, or other subunit; or an affiliated foundation or organization has a *Significant Financial Interest* in an outside *Entity* that itself has a *Financial Interest* in University *Research* or *Scholarly Activity*. *Senior Administrators* or Regents may also have conflicts when they serve on the boards of, or otherwise have an official relationship with, organizations that have significant commercial transactions with the University. The existence or appearance of such conflict can lead to actual bias, or perception of bias, in the review, administration, or conduct of *Research* at the University.
19. **INSTITUTIONAL RESPONSIBILITIES** (modified from CFR 42 Part 50.603) are defined as an *Employee's* professional responsibilities on behalf of the Institution, which may include activities such as research, teaching, consulting, professional practice, institutional committee memberships, or service on panels such as Institutional Review Boards or Data and Safety Monitoring Boards.
20. **INVESTIGATOR** may be an *Employee*, project director (PD), principal investigator (PI), co-PD, co-PI, and any other person who shares responsibility for the design, conduct, or reporting of *Research* or other *Scholarly Activity*. Included are clinical investigators who are directly involved in *Human Subjects Research* and share responsibility for obtaining the informed consent of human subjects. "**INVESTIGATOR**" can also include non-employees such as *Contractors*, sub-grantees, sub-recipients, sub-contractors, or investigators' collaborators, who are expected to adhere to the provisions of this policy if such agreement is established.
21. **MANAGE** means taking action to address *Conflicts of Interest (COI)*, and may include reducing or eliminating the *COI*, to ensure, to the extent possible, that the design,

conduct, and reporting of *Research* or other *Scholarly Activity* will be free from bias. CFR 42 Part 50.603 as modified herein.

22. **OFFICE OF RESEARCH & SPONSORED PROGRAMS (ORSP)** is the University's administrative office for extramural funded activities under the Vice Provost of Research & Sponsored Programs. ORSP is responsible for developing the infrastructure and policies and procedures to ensure that the University is in compliance with federal, state and sponsor requirements on extramural funded activities.
23. **ORGANIZATIONAL CONFLICTS OF INTEREST** means conflicts that arise when the University cannot provide an *Entity* with impartial advice. This arises when technical advice that is given is biased or gives the University an unfair advantage.
24. **RESEARCH** means “a systematic investigation, study or experiment designed to develop or contribute to generalizable knowledge...” “The term encompasses basic and applied research (e.g., a published article, book or book chapter) and product development.” CFR 42, Part 50.603.
25. **SCHOLARLY ACTIVITY** means “creative work” that is used in teaching, the creation or sharing of knowledge, the *Research* or “discovery” of new knowledge, or the development of new technologies, methods, materials, or uses.
26. **SCHOLARLY OR SCIENTIFIC CONFLICTS OF INTEREST** means conflicts that arise when a scholar or researcher’s impartiality is biased by the potential for professional or personal gain, as in the review and commenting on manuscripts, funding applications, tenure or promotion records, or other publications.
27. **SENIOR ADMINISTRATOR** is a member of the University administration above the organizational level of Dean/Director or the equivalent in non-academic units of the University.
28. **SENIOR/KEY PERSONNEL** means the PD/PI, and any other persons identified as primary and/or essential personnel by the University in a grant application, progress report, or any other report submitted to a funding agency. CFR 42 Part 50.603.
29. **SIGNIFICANT FINANCIAL INTEREST**
 - a) **SIGNIFICANT FINANCIAL INTEREST** [reference 42 CFR §50.603(1); 45 CFR §94.3(1)] refers to anything of monetary value or potential monetary value, to an *Employee* and his/her *Immediate Family*, which is, or appears to be, reasonably related to the individual’s *Institutional Responsibilities* with certain exclusions listed below in section CC.2. 42 CFR §50.603(1). *Significant Financial Interest* refers to a financial interest that arose **in the past 12 months** and includes but is not limited to the following:
 - i. With regard to any **publicly** traded entity, a significant financial interest exists if the value of any remuneration received from the entity...and the value of any equity interest in the entity, when aggregated, exceeds \$5,000. For purposes of this definition, remuneration includes salary and any payment for services not otherwise identified as salary (e.g., consulting fees, honoraria, paid authorship, travel reimbursement); equity interest includes any stock, stock option, or other ownership interest, as determined through reference to public prices or other

- reasonable measures of fair market value. 42 CFR §50.603(1.i) & 45 CFR, §94.3(1)(i).
- ii. With regard to any **non-publicly** traded entity, a significant financial interest exists if the value of any remuneration received from the entity, when aggregated, exceeds \$5,000, or in which the investigator holds any equity interest. 42 CFR §50.603(1) (ii) & 45 CFR §94.3 (1) (ii).
 - iii. Intellectual property rights and interests (e.g., patents and copyrights) upon receipt of income related to such rights and interests. 42 CFR §50.603(1) (III) & 45 CFR §94.3(1) (iii).
 - iv. Compensation or payments for service on boards or provision of executive advisory services to non- University of Guam *Entities*, excluded are Federal, State, local government agencies, or *Institutions* of higher education.
- b) **SIGNIFICANT FINANCIAL INTEREST** does not include:
- i. Salary, royalties, or other remuneration paid by the University to its *Employee*. If paid by another *Entity*, total remuneration is less than \$5,000 when aggregated for the *Employee* and the *Employee's Immediate Family*.
 - ii. *Equity* interests arising solely by reason of investment in a business by a mutual, pension, or other institutional investment fund over which the *Employee* does not exercise control.
 - iii. Income from seminars, lectures, or teaching engagements sponsored by Federal, State, local government *agencies*, or *Institutions* of higher education.
 - iv. Royalties or related remuneration paid by the University including intellectual property rights assigned to the University and agreements to share royalties related to those rights.
 - v. Income from service on advisory committees or review panels for Federal, State, or local governmental *Entities* or *Institutions* of higher education.
 - vi. Any ownership interests in the University, related to serving as a recipient under the Phase I Small Business Innovation Research (SBIR). SBIR is the extramural research program for small businesses established by the awarding components of the Public Health Service and certain other Federal agencies under Public Law 97-219. CFR 42 Part 50.603, or Small Business Technology Transfer Programs (STTR).
- c) Compensation or sponsorship of travel related to *Institutional Responsibilities* which are not reimbursed by a Federal, State, or local government agency, or *Institution* of higher education may be considered to be a *Significant Financial Interest*. *Employees* must disclose such benefits including the following details: purpose of the trip, identity of the sponsor/organizer, cost of travel, destination, and duration. In the determination as to whether there is a *FCOI*, the *Senior Administrator* to whom the *Employee* reports will determine whether additional information is needed.

C. POLICY IMPLEMENTATION AND ADMINISTRATIVE GUIDELINES

1. Disclosure Responsibilities Relating to Conflicts

a) Dissemination of Policy

Senior Administrators are responsible for ensuring that all *Employees* within their respective units are fully informed about UOG Research Policy IX: "Guidelines for Completing Annual Conflicts of Interest" and these procedures, upon initial appointment and reminded annually of the obligation to submit *Conflicts of Interest Disclosure* forms, unless exempt.

b) Conflicts of Interest Disclosure Forms

Forms must be submitted electronically to the appropriate administrative office. *Disclosure* forms will be considered confidential to the extent possible. An individual may be exempt from *Disclosure* depending upon the position to which the individual is assigned. An *Employee* may be exempt only if he or she is not responsible, directly or indirectly, for the design, conduct, or reporting of *Research* or other *Scholarly Activity*. Individuals should consult their immediate supervisors, departmental chairperson, *Dean*, or *Director* regarding exemptions; however, directives are listed below.

i. Individuals required to submit a disclosure form:

- Persons holding the faculty ranks of professor, associate professor, assistant professor and all persons whose appointments contain such terms as “researcher,” “adjunct,” “associate,” “assistant,” “visiting,” or “clinical”, extension specialist, instructor, lecturer, as well as specialists.
- Any staff member, student, trainee, postdoctoral research fellow, associate or assistant, and other individuals identified as *Investigators* or *Senior/Key Personnel* by the University. These individuals may be compensated or not and, on behalf of the University, are responsible for or in a position to influence the design, conduct, or reporting of *Research* or other *Scholarly Activity*.
- All administrators, including Executive and Managerial positions, such as President, Senior Vice President & Provost, Vice Provosts, Deans and Directors.
- Any individual who acts or appears to act as an agent of the University in using, controlling, or assigning to others the use of University facilities and resources as well as procurement of facilities and resources. Examples are individuals involved in auxiliary services and financial management

ii. Disclosure forms are to be submitted:

- Within 30 days of initial appointment to a University or Research Corporation of the University of Guam (RCUOG) position.
- At least once annually thereafter with submission by April 15 each year.
- At any time when an actual or potential *Conflict of Interest* or *Commitment* arises or when there are changes to, or elimination of a prior conflict
- **The *Disclosure statement* (Appendix 2)** is the primary vehicle through which actual and potential *Individual Financial* and other *Conflicts of Interest* can be identified and resolved through early, open review and discussion
- New *Conflicts of Interest* situations, relationships and/or activities that give rise to them should be disclosed promptly if not already part of the annual *Disclosure* statement. The *Disclosure* statement serves as a written acknowledgement that the *Employee* has reviewed and is complying with this document, “UOG Research Policy IX: Guidelines for Completing Annual Conflicts of Interest”. Accordingly, each *Employee* shall be required to declare explicitly whether he/she does or does not have such personal *Financial* and/or other *Conflicts of Interest*. The failure to report is an unacceptable violation of the “UOG Research Policy IX: Guidelines for Completing Annual Conflicts of Interest”.
- *Senior Administrators* are responsible for the review of *Disclosure* forms for each of their *Employees*. They are also responsible for providing a ***Conflicts of Interest Disclosure summary* (Appendix 3)** for their units annually to

their respective Vice President's Office. The deadline for submissions is June 30th of each year.

- All forms shall be collected by the Employees' respective *Deans, Directors, Senior Administrators*, Vice Provost or Senior Vice President & Provost, or supervisor and sent to the University's Human Resources Office which shall archive the forms. Updated forms must be submitted throughout the year if changes arise that may create a potential *Conflict of Interest*, alter the details of, or eliminate a previously disclosed conflict.
- c) Nature of Disclosures
- i. All personal *Significant Financial Interests* of an *Employee*, and their *Immediate Family*, and other *Conflicts of Interest* that are related to the *Employee's Institutional Responsibilities* must be disclosed.
 - ii. *Significant Financial Interests* required to be disclosed include:
 - Those which would reasonably appear to affect *Research* (funded or proposed for funding), scholarly, professional, administrative, or educational activities of the *Employees*.
 - In *Entities* where financial interests would reasonably appear to be affected by activities of the *Employee*.
 - iii. *Investigators* applying for funding, regardless of the funding *Entity*, must disclose any personal *Significant Financial Interests* or other potential *Conflicts of Interest* to the appropriate *Senior Administrator* prior to submission of a grant or contract application to the UOG's Office of Research and Sponsored Programs (ORSP). The *Disclosure* can take the form of Attachment A as required annually, or as required by ORSP for all proposals submitted to the National Science Foundation or Public Health Service (e.g., NIH, NCI, NIMHD, CDC, etc.). The following *Disclosure* requirements shall be met:
 - Before an application or proposal is submitted to the sponsor when *Significant Financial Interests* could potentially affect the *Research* for which funding is sought, and when involving *Entities* whose financial interests could appear to affect the *Research*.
 - At the time of the application or proposal submission. The University must certify to the sponsor that it has a written and enforced administrative process in place to identify and *Manage*, reduce, or eliminate *Conflicts of Interest* with respect to all *Research* for which funding is sought.
 - Prior to spending any funds under an award. The University must report to the *Awarding Component* the existence of any *Conflicts of Interest* and ensure that it has been *Managed*, reduced, or eliminated. Upon request the *Institution* will make available to the *Awarding Component* detailed *Conflicts of Interest* information and how those interests have been *Managed*, reduced, or eliminated to protect the *Research* from bias.

Include in the initial report to the Awarding component shall be the following:

- Project, Award or Grant/contract number, PD/PI name or contact PD/PI name
- Name of *Investigator* with a *COI*
- Name of the *Entity* with which the *Investigator* has a *COI*
- Nature of the *COI* (e.g., *Equity*, consulting fees, travel reimbursements, honoraria).

- Value of the financial interest \$0-4,999; \$5K- 9,999; \$10K-19,999; amounts between \$20K-100K by increments of \$20K; amounts above \$100K by increments of \$50K or a statement that a value cannot be readily determined and why.
- A description as to how the *Conflict of Interest* relates to the sponsor's *Research* interests and the basis for the University's determination that the interest conflicts with such *Research*.
- A statement as to whether the *COI* was *Managed*, reduced, or eliminated.
- If *Managed*, details of the University's management plan

Included in the Annual Report to the *Awarding Component* shall be the following:

- Status of the *COI*.
 - Changes in the management plan.
 - Other records of the University regarding *COI* will be provided to the *Awarding Component* upon request.
 - For any *Conflict of Interest* that the University identifies subsequent to an initial report under an award, a follow up report will be made, and the conflicting interest *Managed*, reduced, or eliminated – at least on an interim basis – within sixty days of that identification.
 - When *COI* are identified actions taken by the University to eliminate, reduce or *Manage* the *COI* will be publicly disclosed by display of information on the web site of the University's Office of Research & Sponsored Programs
- iv. *Investigators* who receive Federal funding and who assume the role of marketing consultants as defined in 48 CFR, Part 9, Subpart 9.501 are subject to additional *Conflict of Interest* regulations as set forth in Subpart 9.5.

2. Review of Disclosure Statements

- a) *Senior Administrators* shall be responsible for the initial review of all *COI Disclosures* filed by the *Employees* assigned to their respective units, determination of whether a *Conflict of Interest* exists, and identification of any conditions or restrictions that may be necessary to reduce or eliminate such *Conflict of Interest*. **All *Disclosures* containing potential *FCOI*, and other *Conflicts of Interest* should be forwarded to the *Office of Research & Sponsored Programs* for further review and possible referral to the *Conflict of Interest Committee (COIC)* or *Deciding Official*.** Approval of a *Research* proposal for *Investigators* that have a *FCOI* or other *COI* shall not be granted until an appropriate management plan has been developed. In reviewing *Disclosure* statements, the following assessment criteria should be used
- A potential for a *Conflict of Interest* exists when it is determined that a *Significant Financial Interest* could directly and significantly affect the design, conduct, or reporting of the *Research* or *Scholarly Activity*
 - Conflicts of Interest* should be considered in relation to the impact of the *Scholarly Activity* on:
 - Integrity of *Research* data or teaching activity.
 - Risks to the rights and welfare of *Human Research Subjects*.

- Risks to the rights and obligations of students and trainees participating in the activity.
 - Availability of *Research* results to the scientific community and public interest.
 - Public perception of a *Conflict of Interest*.
- iii. *Investigators* conducting, or proposing to conduct, *Human Subjects Research* must disclose all *Conflicts of Interest* and *FCOI* in accordance with the applicable Committee on Human Research Subjects (CHRS/IRB) policies and procedures of UOG. The CHRS/IRB may consult with the *COI Committee* and develop a management plan when necessary
 - iv. All *Conflicts of Interest* related to *Research* shall be reviewed and *Managed* by the same *Conflicts of Interest* standards and procedures described here, regardless of funding status or funding source (Federal, State or other)
- b) *Senior Administrators* may request that the *Conflict of Interest Committee (COIC)* review *Disclosure* statements and make recommendations on the determination of and/or management of any *Conflicts of Interest*

3. Subrecipient Responsibilities

Subrecipients (e.g., subcontractor, sub awardee, consortia) shall agree to terms of compliance and may be required to comply with the policy of the University of Guam as the awardee institution. The Office of Research & Sponsored Programs (ORSP) shall obtain a certification from the subrecipient as to whether the University of Guam's *COI* policy or the subrecipient's institutional *COI* policy will be utilized for compliance.

D. UNIVERSITY CONFLICTS OF INTEREST COMMITTEE

1. Purpose. The UOG *Conflicts of Interest Committee (COIC)* is established to review cases of potential or real *Conflicts of Interest or Commitment*. As appropriate, the COIC will prepare written recommendations for management or elimination of *Conflicts of Interest*.
2. Appointment and Membership. The Deciding Official will consider nominations from the University's Faculty Senate and will appoint 5 members, including a Chair. The *Conflicts of Interest Committee*:
 - a) May invite individuals with expertise in special areas to assist in the review process.
 - b) May include qualified members not employed at the University, should community membership be considered appropriate or necessary.
 - c) May confidentially consult with administrators, faculty, and others involved in the Research or administrative matter, the academic discipline in question, or the nature of administrative decision- making in question in order to make a fully informed recommendation.
 - d) When University faculty Conflicts of Interest issues are referred to the COIC, committee members assigned will hail predominantly from the University faculty and staff, with the intention of conducting a peer-review evaluation.
3. Responsibility. The *COIC* transmits a report to the *Deciding Official* to make recommendations regarding the following: the disposition of cases involving potential *Conflicts of Interest*, determination as to whether real or potential conflicts exist; how such conflicts should be eliminated, reduced, or *Managed*, and the progress of cases being *Managed*. In some instances, the Committee may decide that a case would be more appropriately referred to the *Deciding Official*, or the Vice Provost for Research and Sponsored Programs.

The *COIC* shall provide the *Employee* with an opportunity to respond to the issues raised in the course of such review. Any such responses will be appended to the Committee's report for review by the *Deciding Official*

4. Confidentiality. The proceedings of the *COIC* including all documents, drafts, and discussions will be kept confidential to the extent possible.

E. CONFLICT RESOLUTION – INDIVIDUAL CONFLICTS OF INTEREST

1. The *COIC* will review cases referred by *Senior Administrators* and determine the appropriate action for conflict resolution. The *COIC* may require a management plan that includes the following:
 - a) Description of the potential conflict.
 - b) Delineation of criteria that may lead to risk.
 - c) Justification for proceeding with management (vs. eliminating the conflict).
 - d) Management strategies addressing each of these criteria and the requirements for plan modifications.
2. Conditions or restrictions that may be imposed to *Manage*, reduce, or eliminate *Conflicts of Interest* include, but are not limited to the following:
 - a) Public *Disclosure* of the *COI* on the ORSP web site, and additionally may include *Disclosures*.
 - i. In all relevant publications and presentations.
 - ii. To the appropriate co-*Investigators*, members of the laboratory or *Research* group, students or trainees.
 - iii. On *Human Research Subjects (CHRS/IRB)* consent forms. In addition, the appropriate Institutional Review Board (IRB) for *Human Research Subjects* may consult the *COIC* to review *Investigator* Financial Interest *Disclosures* and determine an appropriate management plan when necessary
 - b) Monitoring of *Research* by the *COIC* and the *Office of Research & Sponsored Programs*, which may include measures such as:
 - i. Reviewing of notebooks, publications, and presentations for accurate *Disclosure* and/or data integrity.
 - ii. Meeting regularly with the PD/PI of the *Research* project and the scientific collaborators as well as the responsible department chair.
 - iii. Reporting to the *Deciding Official*, at least annually with respect to the management of conflicts.
 - iv. Reporting any significant concerns to the *Deciding Official*, immediately, including recommendations for revisions to the management plan or any mitigation concerns.
 - c) Modification of the *Research* plan of a *Research* project as originally conceived.
 - d) Prohibition from contributing to any *Research* activity that could be influenced because of *Significant Financial Interests*. For example, the *Investigator* may be prohibited from serving as the PD/PI, analyzing data, determining whether potential subjects are eligible for enrollment, or soliciting consent.
 - e) Divestiture of *Significant Financial Interests*; i.e., allow work to progress contingent upon the sale or disposal of specified financial interests.
 - f) Severance of relationships that create conflicts; e.g., relinquishing a seat on a board of an outside *Entity*.
 - g) Exception—*Compelling Circumstances*; i.e., facts that convince the *Conflicts of Interest Committee* that an *Investigator*/individual is uniquely positioned and should be permitted to participate in a specific project, activity, or clinical trial under appropriate management despite a *Significant Financial Interest*.

- i. The *COIC* may also advise that the potential for significant scientific progress, important technology transfer, and benefits to society or public health and welfare outweigh concerns over *Significant Financial Interests*. In such a case, the *Deciding Official* will make a final determination.
- F. Approval and Execution of Conflict Management Plan. When the *COIC* recommends a *Conflict of Interest* management plan, it is to be reviewed and approved by the *Deciding Official* before implementation.
- G. Sanctions. Allegations of violations of the UOG Research Policy IX: “Guidelines for Completing Annual Conflicts of Interest” may be forwarded to the Office of Research & Sponsored Programs, which will investigate the circumstances and take appropriate action.
 - 1. The failure of an *Employee* to disclose a personal *COI*; failure or refusal to respond to requests for additional information; providing incomplete, misleading, or knowingly inaccurate information; failure to comply with directives from the *Deciding Official*; failure to cooperate with appointed project monitoring persons; or failure to eliminate a conflict when so directed may be grounds for disciplinary action up to and including termination for cause.
 - 2. Agreements may be terminated with sub-grantees, sub-recipients, contractors, or collaborators (e.g., consortia) who either fail to file a complete *Disclosure* or fail to comply with directives of the UOG Research Policy IX: “Guidelines for Completing Annual Conflicts of Interest”.
 - 3. In addition, the University is required to report to Federal sponsors any violation of Federal *Conflicts of Interest* regulations.
- H. COI Inquiries. Questions or concerns related to potential COI should be brought to the Office of Research & Sponsored Programs, Compliance section, preferably in writing. Questions or concerns may be raised anonymously. Confidentiality will be maintained to the greatest extent possible.
- I. Conflicts for Committee Members. A Committee member shall not participate in the evaluation of a case when the following conditions apply:
 - 1. The *COIC* member has a personal interest because of personal or professional relationships, such as collaboration with the individual whose case is under consideration.
 - 2. Then *COIC* member has a financial interest in the case under discussion.
- J. The *COIC* may make exceptions to the above by majority vote.
- K. CONFLICT RESOLUTION – INSTITUTIONAL CONFLICTS OF INTEREST
 With respect to *Senior Administrators* and their roles as representatives of the University in initiation and management of interactions with *Entities* outside of the University community, the University will honor the guiding principles and objectives as stated in the UOG Research Policy IX: “Guidelines for Completing Annual Conflicts of Interest”, and herein. The procedures to be followed in addressing possible *Institutional Conflicts of Interest* are the same as when considering the activities of individual faculty, *Investigators*, and staff, but some differences may apply.

Like all other *Employees*, *Senior Administrators* must file yearly *Conflicts of Interest Disclosures* of personal/individual activity. If *Senior Administrators* disclose an activity or interest as a representative, or on behalf, of the University, then these *Disclosures* must be reviewed by the Administrator’s supervisor and/or referred to the *Deciding Official*. If determined that the activity or interest could potentially give rise to an *Institutional Conflict* and require management or elimination, the *Conflicts of Interest Committee* may be asked to evaluate the *Disclosure* and make recommendations to the *Deciding Official*. In such cases the procedures described in section V. above will apply. By involving the

Conflicts of Interest Committee, representatives of the faculty and the central administration will evaluate the institutional activity and the appropriate University response.

L. CONFLICT RESOLUTION –SCHOLARLY AND SCIENTIFIC CONFLICTS OF INTEREST

A scholar should not allow the potential for personal, financial, or professional gain to influence his or her judgments in reviewing, evaluating, and commenting on the writings of other individuals. Knowledgeable scholars are routinely called upon to conduct peer review of documents and manuscripts that are under consideration for publication or that may be used in facilitating effective decision-making by governmental agencies or businesses, that may be used in deciding whether there will be an award of a contract or grant, or that may be used in arriving at decisions regarding promotion and/or tenure. If a reviewer is in competition with the author(s) of a document under review or has an undisclosed personal bias, then a *Conflict of Interest* exists and must be disclosed to the person or organization requesting the review, or the reviewer must excuse him or herself. Likewise, *Disclosure* must be made by a scholar to the editors of periodicals or other publications who are asked by the scholar to publish his or her unsolicited editorial comments regarding a publication. After *Disclosure*, the decision as to whether to proceed with a review or commentary would be made by the requestor of the review.

If an individual observes what appear to be violations of these expectations in scholarship on the part of a University *Employee*, allegations should be filed with the Research Integrity Officer, following the procedures stated in the UOG Research Policy IX: “Guidelines for Completing Annual Conflicts of Interest”.

M. CONFLICT RESOLUTION – CONFLICTS OF COMMITMENT

For the benefit of the University, *Employees* are expected to commit their work efforts to the tasks specified in their job descriptions.

Faculty are hired to perform teaching, *creative scholarly activity and research, extension and outreach, library services*, and service; however, in that context administrators have a special agreement with the University in that they are allowed to devote one workday per week at their discretion to the pursuit of outside activities that are relevant to the University’s and their own professional interests and faculty are permitted up to 50% FTE overload with Dean/Director approval (Agreement Article VI, E. Faculty Endeavors Beyond a Full Workload). *Conflicts of Commitment* most often arise when the time commitment of a faculty member to outside interests quantitatively exceeds what is expected as a direct commitment to the University and/or qualitatively differs from the interests and functions of the University.

Commitment issues are to be initially addressed by the immediate *Senior Administrator*, communicating directly with the faculty member. This is to be regarded as an administrative matter not requiring involvement of the *COIC* unless there are substantive issues that cannot be resolved.

N. RETROSPECTIVE REVIEWS

When the University discovers a *Conflict of Interest* not disclosed according to the UOG Research Policy IX: “Guidelines for Completing Annual Conflicts of Interest”, it will be reported to the appropriate *Senior Administrator* for evaluation. If determined that there is a need to *Manage*, reduce, or eliminate the conflict, then the matter shall be addressed by the *Senior Administrator* or referred to the *COIC*. The *Deciding Official* will make final decisions

if the *COI* cannot be resolved. The retrospective review and resulting action may be reportable to *Awarding Components*. Retrospective reviews should be completed within 120 days from discovery of the conflict

O. RECORDS RETENTION

All records relevant to issues of *Conflicts of Interest*, including personal *Disclosure* forms, whether or not a conflict exists, will be retained by the University's Human Resources. Records shall be retained for a minimum of three years. For *Disclosure* records related to a funded award, these shall be retained for a minimum of three years after acceptance of the final grant or contract report by the funding *Entity*. If a *Conflict of Interest* matter was addressed, and all requirements were adequately satisfied upon acceptance of the final report, these records will be retained for three years after all conflicts are resolved.

P. TRAINING

It is important that *Senior Administrators* be adequately trained in identifying *Conflicts of Interest*, how to resolve conflicts that are identified, or when to refer a case for evaluation to his or her supervisor. This training may be provided in the form of the Collaborative Institutional Training Initiative's (CITI) online *Conflicts of Interest* educational training modules, or a tutorial provided by the National Institutes of Health. In addition, interactive sessions in a classroom or video-conference setting may be provided by the *Office of Research & Sponsored Programs*. These sessions are to be designed for *Senior Administrators* to help them meet their obligations as described in this document. For the rest of the University's *Employees*, the same training may be provided using an interactive session designed to assist *Employees* in understanding and identifying *Conflicts of Interest* and University policy and procedures.

IX. RESEARCH INTEGRITY & MISCONDUCT POLICY

Policy

It is the policy of the University of Guam to foster a research environment that discourages misconduct in all research, research training or research related activities pursued at the University or under the sponsorship of the University. It is also the policy of the University of Guam to pursue the highest standards of research and academic integrity.

Misconduct in research means: fabrications, falsification, plagiarism, or other practices that seriously deviate from those that are commonly accepted within the academic and scientific community for proposing, conducting, exhibiting, or reporting research. It does not include honest error or honest differences in interpretations or judgments of data.

Integrity in research means active adherence to the ethical principles and professional standards essential for the responsible practice of research. These practices include: honesty and fairness in proposing, performing, and reporting research; accuracy and fairness in representing contributions to research proposals and reports; proficiency and fairness in peer review; collegiality in scientific interactions, communications and sharing of resources; disclosure of conflicts of interest; protection of human subjects in the conduct of research; humane care of animals in the conduct of research; and adherence to the mutual responsibilities of mentors and trainees.

In the event of allegations of such misconduct, it is the policy of the University to: (1) initiate a preliminary inquiry into such allegations; (2) conduct an investigation, if warranted; and (3) impose appropriate sanctions, which may include initiation of adverse action procedures, if warranted; and, if appropriate, to report to the federal Office of Scientific Integrity (OSI), a component of the Office of the Director of the National Institutes for Health, or to the Office of the Inspector General (OIG) of the National Science Foundation.

These actions will be undertaken in accordance with [42 CFR Part 93](#), and [45 CFR Part 689](#) following procedures and with due consideration to the rights and reputation of the accuser and accused. A finding of research misconduct is not, in and of itself, an adverse action. Any adverse action will follow the BOR-Union Agreement process found in Article X.

It is the responsibility of all persons at the University involved in research, research training or related research activities to familiarize themselves with these policies and procedures. Copies of [42 CFR Part 93](#), and [45 CFR Part 689](#) are available online.

Acts of retaliation against those who, in good faith, make allegations of misconduct shall be investigated on their own merit. Allegations that are determined to have been made in bad faith shall be deemed to be misconduct in research. In the interest of protecting the reputation and privacy of those who may be involved, it is important that allegations be treated with confidentiality.

Definitions

1. **Adverse action** – can include written censure, reduction in salary, suspension without pay, demotion, denial or curtailment of emeritus status and/or dismissal. For student discipline, can include probation, delay of graduation, or revocation of degree. A finding of research misconduct under this policy does not constitute adverse action.
2. **Allegation** – a report of possible research misconduct through any means of

communication to the RIO.

3. **Cognizant Federal Sponsor or Federal sponsor** – the federal sponsoring agency of the research project, for example, PHS, NIH, NSF, DOE, NASA, DOD and FDA.
4. **Conflict of interest** – the real or apparent interference of one person’s interests with the interests of another, where potential bias may occur due to prior or existing personal, professional, or economic relationships.
5. **Deciding official** – the Senior Vice President & Provost or designee. The Deciding Official will not be the same individual as the RIO and should have no direct prior involvement in the preliminary assessment, inquiry, or investigation.
6. **Employee** – any person paid by, under the control of, or affiliated with the University of Guam. For the purpose of this policy, “employee” also includes independent contractors and guest researchers.
7. **Experts** – may be appointed or carried over from the inquiry to advise the committee on scientific or other issues.
8. **Fabrication** – making up data or results and recording or reporting them.
9. **Falsification** – manipulating research materials, equipment or processes or changing or omitting data or results such that the research is not accurately represented in the research record.
10. **Good faith allegation** – an allegation made with the honest belief that research misconduct may have occurred.
11. **Immediate health hazard** – a condition that exists or has the potential to exist which should be abated or corrected immediately to prevent imminent or ongoing danger of serious damage to human or animal health or the environment.
12. **Investigation** – the formal examination and evaluation of all relevant facts to determine if research misconduct has occurred and, if so, to determine the responsible person and the seriousness of the misconduct.
13. **Legal Counsel** – the UOG legal counsel is responsible for advising the RIO, the investigation committee, and the Deciding Official on relevant legal issues. Legal Counsel does not represent the Respondent, the Reporter or any other person participating during the assessment, inquiry, investigation, or any follow-up action, except the officials responsible for managing or conducting the research misconduct process as part of their official duties.
14. **Office of Research Integrity (ORI)** – the Federal agency responsible for overseeing and investigating research integrity and misconduct issues as they relate to federally funded research.
15. **Official** – RIO or Deciding Official.
16. **Plagiarism** – the appropriation of another person’s ideas, processes, results, or words without giving appropriate credit.
17. **Remedial action** – actions necessary to protect research funds. These actions are not disciplinary but are intended to ensure the appropriate expenditure of research funds and to protect the integrity of the research.
18. **Reporter** – anyone who makes an allegation of research misconduct.
19. **Research** – a systematic experiment, study, evaluation, demonstration, or survey designed to develop or contribute to general knowledge (basic research) or specific knowledge (applied research).
20. **Research Integrity Officer (RIO)** – the Vice Provost of Research and Sponsored Programs or the person delegated this responsibility.

21. **Research misconduct** – fabrication, falsification, or plagiarism in proposing, performing, or reviewing research or in reporting research results. It does not include honest error, differences of opinion, or authorship disputes.
22. **Research record** – the physical and/or electronic record of data or results that embody the facts resulting from scientific inquiry, including but not limited to, research proposals, laboratory records, progress reports, abstracts, theses, oral presentations, internal reports, journal articles and any documents and materials provided to the United States Department of Health and Human Services (DHHS) or a University official by a Respondent in the course of a research misconduct proceeding.
23. **Respondent** – the person(s) against whom an allegation of research misconduct is directed or the subject(s) of a preliminary assessment, inquiry or investigation.

Requirements

Time limits

Federal law imposes specific time limits upon many of the steps described below including:

- Complete inquiry process within 60 days of the first meeting of the inquiry committee unless a delay is clearly warranted.
- Initiate investigation within 30 days of completion of inquiry if investigation is indicated.
- Submit investigation report to the federal sponsor within 120 days of initiation of investigation.

This policy applies only to research misconduct occurring within six years preceding the date an allegation of research misconduct is received. The exceptions to the six-year statute of limitations are as follows:

- If, for the potential benefit of the Respondent, the Respondent continues or renews any incident of alleged research misconduct that occurred before the six-year limitations period through the citation, republication or other use of the research record that is alleged to have been fabricated, falsified or plagiarized.
- The alleged misconduct, if it occurred, would possibly have a substantial adverse effect on the health or safety of the public.

Evidentiary standards

The University has the burden of proving research misconduct.

Standard of proof

A finding of research misconduct must be established by a preponderance of the evidence, which means that the evidence demonstrates that it is more likely than not that the Respondent committed research misconduct as defined in this policy.

A finding of research misconduct requires:

- A significant departure from accepted practices of the relevant research community; and
- The misconduct is committed intentionally, knowingly or recklessly.

The destruction, absence of, or Respondent's failure to provide research records documenting the questioned research may be considered evidence of research misconduct where the preponderance of the evidence establishes the Respondent intentionally, knowingly or recklessly had research records and destroyed them, had the opportunity to maintain the

records but failed to do so, or maintained the records and failed to produce them in a timely manner and that the Respondent's conduct constitutes a significant departure from accepted practices of the relevant research community.

For purposes of this policy, misconduct is committed recklessly when an individual makes a false, fabricated or plagiarized representation with callous disregard as to whether or not it is true or requires attribution to another. Such callous disregard can be demonstrated by evidence that shows the representation is:

- In fact, false, misleading, or plagiarized; and
- The individual had a high degree of awareness of the probable falsity or misleading nature or source of the representation or in fact entertained serious doubts as to the truth of the representation. This subjective awareness of the falsity or misleading nature of a representation can be inferred from evidence indicating that there were obvious reasons to doubt the accuracy of the representation and the individual did not act reasonably in dispelling those doubts.

General Rights and Responsibilities

Duty to report misconduct

All employees or individuals associated with UOG should report, either in writing or orally, observed, suspected or apparent misconduct in research to the RIO. If an individual is unsure whether a suspected incident falls within the definition of research misconduct, he or she may discuss the suspected misconduct with the RIO informally.

At any time, an employee or individual may have confidential discussions and consultations about concerns of possible research misconduct with the RIO and will be counseled about appropriate procedures for reporting allegations.

If the RIO receives any allegations of misconduct that do not meet the definition of research misconduct, the RIO will refer the reporting individual or the allegation to the appropriate office or administrator for further handling. When a report of research misconduct also contains allegations of other misconduct that does not meet the definition of research misconduct, the allegations will be severed and handled separately.

Duty to cooperate

Employees shall cooperate with the RIO or other individuals delegated responsibility in the review of research misconduct allegations and the conduct of preliminary assessments, inquiries, and investigations. Employees shall provide relevant evidence to the RIO or other officials responsible for reviewing an allegation of research misconduct.

Protection from retaliation

Employees who receive or learn of an allegation of research misconduct will treat the Reporter who makes a good faith allegation of research misconduct and others involved in the preliminary assessment, inquiry or investigation of research misconduct who act in good faith with fairness and respect. The RIO will take reasonable steps to protect the position and reputation of such individuals and protect them against retaliation. Employees shall immediately report any alleged or apparent retaliation to the RIO, who will review instances of alleged retaliation for appropriate action.

Confidentiality

The RIO will take all reasonable steps to protect the confidentiality of the preliminary assessment, inquiry and investigation process and to protect the identities of those who participate in these processes. If a Reporter requests anonymity, an effort will be made to honor the request during the preliminary assessment or inquiry to the greatest extent possible and in compliance with applicable policies, regulations, and federal, state and local laws. The Reporter will be advised that if the matter is referred to an investigation committee and the Reporter's testimony is required, anonymity may no longer be guaranteed.

Employees who make, receive, or learn of an allegation of research misconduct will protect, to the greatest extent possible, the confidentiality of information regarding the Reporter, the Respondent and other affected individuals. The RIO may establish reasonable conditions to ensure the confidentiality of such information.

Restoration of Reputation

If neither UOG nor the Federal Sponsor finds research misconduct, and if requested by the Respondent, the University will work with the Respondent to develop a plan to undertake reasonable and practical efforts to protect or restore the Respondent's reputation. Similar efforts will be employed when requested and when necessary to protect or restore the reputation of a Reporter, witness and/or committee member.

Duties and Responsibilities of Officials

Research Integrity Officer (RIO)

The RIO, also known as the Vice Provost of Research and Sponsored Programs or the person delegated this responsibility, in addition to the rights and responsibilities set forth above, the RIO is responsible for:

- Implementation of the procedures set forth in this policy and for ensuring that any preliminary assessment or investigation is conducted in a fair, timely, objective, thorough and competent manner.
- With the Vice Provost for Academic Excellence, Graduate Studies & Online Learning, form the inquiry and investigation committees and ensure that necessary and appropriate expertise is secured, if needed, to carry out a thorough and authoritative evaluation of the relevant evidence in an inquiry or investigation.
- Providing the Respondent with written notification regarding the inquiry within seven days of the decision to conduct an inquiry.
- Taking reasonable precautions to ensure that the individual(s) who conduct(s) the inquiry or investigation is/are unbiased and free of any conflict of interest.
- Assisting the inquiry and investigation committees and other involved personnel in complying with these procedures and with applicable standards imposed by government or external funding sources.
- Serving as the recorder of the record during research misconduct proceedings, maintaining files of all relevant documents and evidence, and maintaining the confidentiality and the security of the files.
- Reviewing the preliminary assessment, inquiry and investigation reports and delivering the reports to the Deciding Official.
- Reporting any allegation not made in good faith to the Deciding Official for appropriate action.

- Communicating with Federal and non-Federal Sponsors as required by federal law and this policy.

The RIO's role may be delegated to one of the remaining vice provosts.

Reporter

In addition to the rights and responsibilities set forth above, the Reporter is responsible for making allegations in good faith.

The Reporter is entitled to testify before the inquiry and investigation committees, to review portions of the inquiry and investigation reports pertinent to his/her allegations or testimony, to receive information about the results of the inquiry and investigation, and to be protected from retaliation. Also, if the RIO has determined that the Reporter may be able to provide pertinent information on any portions of the draft report, these portions will be given to the Reporter for comment. The reports may be redacted as deemed necessary to protect confidentiality and to prevent the Reporter from accessing information not pertinent to his/her participation in the review of the allegation.

If the Reporter is a person charged with oversight of some aspect of the research integrity process, he or she should not participate in the inquiry or investigation of the issue other than to provide relevant information to the RIO and inquiry or investigation committees. In the event that the Reporter who is charged with oversight responsibilities has pertinent work products or information predating the allegation, that material may be reviewed by the individuals and/or committees charged with reviewing the allegation.

Respondent

In addition to the rights and responsibilities set forth above, the Respondent is entitled to:

- Receive written notification regarding the opening of an inquiry or investigation and the final determinations and resulting actions.
- The opportunity to challenge the membership of the committee and experts based on bias or conflict of interest.
- The opportunity to be interviewed by and present evidence to the inquiry and investigation committees.
- The opportunity to receive information about the results of an inquiry or investigation, to review the draft inquiry and investigation reports, and to provide written comments regarding the reports.
- Retain and consult with legal counsel or a non-lawyer personal adviser (who is not a principal or witness in the case) to seek advice and bring the counsel or personal adviser to represent him/her during interviews or meetings regarding the allegation.

Deciding Official

In addition to the rights and responsibilities set forth above, the Deciding Official is responsible for:

- Receiving the inquiry report and any written comments made by the Respondent and/or the Reporter to the draft report, consulting with the RIO or other appropriate individuals, and determining whether to conduct an investigation.
- Receiving the investigation report and any written comments made by the Respondent and/or the Reporter on the draft report, consulting with the RIO or other appropriate individuals, and determining whether research misconduct occurred.

University of Guam Research Manual (February 2, 2022)

All procedures and policies are subject to change and amendment. Refer to the UOG Policy and Procedure Library website (<https://www.uog.edu/policy-procedures-library/>) for the official, most recent version.

- Notifying the Respondent of the finding(s) of an investigation.

If the Deciding Official determines that the alleged misconduct is substantiated by the findings, he or she may take any remedial actions which are deemed necessary to protect research funding and integrity. These remedial actions may include:

- Notifying publishers of the findings so that publishers may withdraw or correct all pending or published abstracts and papers emanating from the research where research misconduct was found.
- Coordinating with Dean/Directors and the project/grant Principal Investigator (if applicable) to redirect University funds by removing the Respondent from the particular project, and to institute mechanisms for special monitoring of future work.

If research misconduct is found, the Deciding Official will inform the President who will then notify the appropriate office responsible for discipline or administrative action pursuant to the appropriate policies and procedures.

Securing Pertinent Records

Pertinent research records should be secured before or at the time the Respondent is notified that an investigation has begun. The need for records may occur for any number of reasons.

Immediate securing of records

If the relevant research records have not been obtained at the assessment stage, the Investigation Committee Chair will immediately locate, collect, inventory and secure them to prevent the loss, alteration or fraudulent creation of records.

Institutional access

Employees cannot interfere with UOG's right of access to research records produced under federal grants and cooperative agreements. Under contracts, certain research records may belong to federal sponsors, but UOG will be provided access to contract records in the custody of UOG for purposes of reviewing research misconduct allegations.

Original records

The documents and materials to be secured will include all the original items (or copies if originals cannot be located) that may be relevant to the allegations. These include, but are not limited to, research records as defined in this policy.

Securing records from the Respondent

The RIO should notify the Respondent that an inquiry is being initiated simultaneously with the securing of records so that the Respondent can assist with location and identification of the research records. The RIO should obtain the assistance of the Respondent's supervisor and Campus Counsel in this process, as necessary. If the Respondent is not available, securing of the records may begin in the Respondent's absence.

The Respondent should not be notified in advance of securing of research records to prevent questions being raised later regarding missing documents or materials and to prevent accusations against the Respondent of tampering with or fabricating data or materials after the notification.

In addition to securing records under the control of the Respondent, the RIO may need to secure records from other individuals, such as co-authors, collaborators or Reporters.

A copy of each secured record will be provided, within 10 working days, to the individual from whom the record was taken.

Inventory of the records

A dated receipt and inventory list of what has been taken will be signed by the securing official and the person from whom an item is collected, and a copy of the receipt will be given to the person from whom the record is taken at the time of the securing and taking of the record.

Security and chain of custody

The RIO will lock records and materials in a secure place. Where feasible, the person from whom original records were collected will have access to his or her own original items under the direct and continuous supervision of a UOG official. This will ensure that a proper chain of custody is maintained and that the originals are kept intact and unmodified. Questions about maintaining the chain of custody of records should be referred to University General Counsel.

Notification of the Respondent

The Respondent will be notified as soon as reasonably possible after the determination is made to open an investigation. The notification should include:

- The specific allegations;
- The sources of federal funding;
- The definition of research misconduct;
- The procedures to be followed in the investigation, including the appointment of the Investigation Committee and experts;
- The opportunity for the Respondent to be interviewed, to provide information, to be assisted by counsel, to challenge the membership of the committee and experts based on bias or conflict of interest and to comment on the draft report;
- Anticipated timelines.

Procedures for Determining Misconduct in Research

The University employs a two-step review process. The first level of review, a preliminary assessment of allegations, will be undertaken by the RIO. The second level of review, if warranted, will be a full investigation.

Step 1 — Preliminary assessment of allegations

The RIO will initiate a preliminary assessment of allegations. The accused party will have an opportunity to respond to the charges during the inquiry, as specified in procedures. The preliminary inquiry will be performed by Vice Provosts to review if: (1) evidence presented is accurate; (2) parties have attempted to communicate and resolve the situation informally; (3) the appropriate administrators are aware of the actions; and (4) the situation merits a full misconduct in research investigation. The Vice Provosts will issue a finding to the appropriate parties whether a full investigation will be conducted.

The findings of a preliminary assessment are not an adverse action.

Allegation assessment

Upon receiving an allegation of research misconduct, the RIO will assess the allegation to determine whether there is sufficient evidence to warrant an investigation, whether federal support or federal applications for funding are involved, and whether the allegation falls under the definition of research misconduct. The RIO may consult with others whom the RIO determines have the appropriate technical expertise. Before proceeding to an inquiry, the RIO will consult with scientific peers who have the appropriate technical expertise to determine whether or not the allegation falls under the definition of research misconduct.

Sufficient evidence to proceed

There is not always sufficient evidence or information to permit further inquiry into an allegation. For example, an allegation that a scientist's work should be subjected to general examination for possible research misconduct is not sufficiently substantial or specific to initiate an inquiry. In case of such a vague allegation, an effort should be made to obtain more information before initiating an investigation. This information may be sought from any reasonable source, including the Reporter, if known.

Referral of other issues

Regardless of whether it is determined that a research misconduct investigation is warranted, if the allegation involves federal support and concerns possible failure to protect human or animal subjects, financial malfeasance or criminal activity, the allegation should be referred to the appropriate Federal Sponsor.

Additional allegations received during the inquiry or investigation

When allegations of research misconduct are received during the investigation that were not previously evaluated during the preliminary assessment, the RIO will determine if the allegations should be reviewed as part of the inquiry or investigation, or whether a separate preliminary assessment must be conducted.

Leave

When the Respondent is an academic employee, the President may impose an involuntary or administrative leave with pay on the Respondent, pending the completion of the inquiry and/or investigation pursuant to this policy, and/or applicable disciplinary procedures, if such action is appropriate according to the applicable academic personnel or administrative policies. The President shall immediately give the Respondent written notice of the interim leave, specifying the rule or rules allegedly violated.

Termination of employment or resignation prior to completing inquiry or investigation

The termination of the Respondent's employment, by resignation or otherwise, before or after an allegation of possible research misconduct has been reported, will not preclude or terminate the research misconduct procedures. If the Respondent, without admitting to the research misconduct, elects to resign his/her position prior to the initiation of an investigation but after an allegation has been reported, or during an inquiry or investigation, the investigation will proceed. If the Respondent refuses to participate in the process after resignation, the committee will use its best efforts to reach a conclusion concerning the allegations, noting in its report the Respondent's failure to cooperate and its effect on the committee's review of all the evidence.

Step 2 — Formal Investigation

Decision not to conduct investigation

If the Deciding Official determines that an investigation is not warranted, ORI and the Federal Sponsor will generally not receive notification. However, the RIO will provide ORI and/or the Federal Sponsor with a copy of the preliminary assessment upon request.

If ORI or a Federal Sponsor that has been informed of a decision not to proceed with an investigation is performing an oversight review of the determination not to proceed to an investigation, the RIO, if so requested, will provide ORI or the Federal Sponsor with the assessment file including, but not limited to, secured evidence, analyses, and transcripts of interviews. The RIO will keep all records secure until ORI or the Federal Sponsor makes its final decision on its oversight of the inquiry.

Decision to conduct investigation

If the Deciding Official decides to initiate an investigation, and the situation merits, the RIO will provide ORI and/or the Director of the Cognizant Federal Sponsor with written notification on or before the date the investigation begins. At a minimum, the notification will include the name of the person(s) against whom the allegations have been made, the general nature of the allegation as it relates to the definition of research misconduct and the Federal Sponsor applications or grant number(s) involved. The RIO will also provide ORI and/or the Cognizant Federal Sponsor with a copy of the assessment report and the policies and procedures when an investigation is conducted. ORI and/or the Cognizant Federal Sponsor will be notified of the final outcome of the investigation and will be provided with a copy of the investigation report. Any significant variations from the provisions of this policy will be explained in any reports submitted to ORI and/or the Federal Sponsor.

The Vice Provost of Research and Sponsored Programs with the Vice Provost for Academic Excellence, Graduate Studies & Online Learning, (with the Vice Provost for Institutional Effectiveness as an alternate), a representative selected by the Faculty Union President, and a representative selected by the Faculty Senate President will form the core investigation committee. They will identify if additional members of appropriate expertise are needed. They will then carry out a thorough and authoritative evaluation of the relevant evidence in the investigation process. Reasonable steps will be taken to ensure that the members of the committee and the experts have no bias or personal or professional conflicts of interest with the Respondent, Reporter or the case in question.

Objection by Respondent

The Committee Chair will notify the Respondent of the proposed committee membership within 10 days. If the Respondent submits a written objection to any appointed member of the Investigation Committee or expert based on bias or conflict of interest within 10 days, the Chair will determine whether to replace the challenged member or expert with a qualified substitute.

Confidentiality

Members of the committee and experts will agree in writing to observe the confidentiality of the proceedings and any information or documents reviewed as part of the investigation. Outside of the official proceedings of the committee, they may not discuss the proceedings with the Respondent, Reporter, witnesses or anyone not authorized by the Chair to have knowledge of

the investigation.

Closeout of Investigation

Before terminating an investigation for any reason without completing all relevant requirements of this policy, the RIO will submit a report of the planned termination to ORI and/or the Federal Sponsor, including a description of the reasons for the proposed termination. ORI and/or the Federal Sponsor will review the information provided and advise whether a further investigation should be undertaken.

When an admission of research misconduct is made, the RIO will contact ORI and/or the Federal Sponsor for consultation and advice. Normally, the individual making the admission will be asked to sign a statement attesting to the occurrence and extent of research misconduct. When the case involves federal funds, an admission of research misconduct is not an acceptable basis for closing a case or failing to undertake an investigation without prior approval from ORI and/or the Federal Sponsor.

If the investigation cannot be completed in 120 days, the RIO will submit to ORI and/or the Federal Sponsor a written request for an extension that explains the delay, reports on the progress to date, estimates the date of completion of the report, and describes other necessary steps to be taken. If the request is granted, the RIO will file periodic progress reports as requested by ORI and/or the Federal Sponsor.

The RIO will report to ORI and/or the Federal Sponsor(s) as required by regulation and keep them apprised of any developments during the course of the investigation that may affect current or potential funding for the individual(s) under investigation or that ORI and/or the Federal Sponsor needs to know to ensure appropriate use of federal funds and otherwise protect the public interest.

The RIO will notify ORI and/or the Federal Sponsor at any stage of this process if:

- There is an immediate health hazard involved;
- There is an immediate need to protect Federal funds or equipment;
- There is an immediate need to protect the interests of the person(s) making the allegations or of the individual(s) who is (are) the subject of the allegations as well as his/her co-investigators and associates, if any;
- It is probable that the alleged incident is going to be reported publicly;
- The allegation involves a public health sensitive issue, e.g., a clinical trial;
- There is a reasonable indication of a possible Federal criminal and civil violation. In this instance, ORI and/or the Federal Sponsor must be informed within 24 hours of obtaining that information.

Notifying Non-Federal Sponsors

Non-Federal Sponsors will be informed of investigations and outcomes of research misconduct proceedings based on contractual obligations. The Deciding Official, after consulting appropriate University officials and Faculty Senate President, may inform non-federal sponsors even if notification is not contractually required.

Institutional Review and Decision

Acceptance of investigation report

The Deciding Official will make the final determination whether to accept the investigation report and its findings based on a preponderance of the evidence. If the Deciding Official's determination varies from that of the investigation committee, the Deciding Official will explain in detail the basis for rendering a decision different from that of the investigation committee in a letter transmitting the report to the Federal Sponsor. The Deciding Official's explanation will be consistent with the definition of research misconduct, these policies and procedures, and the evidence reviewed and analyzed by the investigation committee.

Request for further fact finding

The Deciding Official may also return the report to the investigation committee with a request for further fact-finding or analysis. The Deciding Official's determination together with any revised report prepared by the investigation committee constitutes the final investigation report for purposes of the Federal Sponsor's review.

Notification of final determination

In addition to notifying those persons entitled to notification under this policy, the Deciding Official will determine whether law enforcement agencies, professional societies, professional licensing boards, editors of journals in which falsified reports may have been published, collaborators of the Respondent in the work, or other relevant parties should be notified of the outcome of the case.

Administration of Adverse Action

Employment Status

The BOR-Union Contract, the University Policy Manual, Student Handbook, and Interim Rules & Procedures Manual set forth expectations for high standards of ethical behavior for faculty and students, respectively, and provide procedures for administration of discipline. Other relevant procedures for administration of adverse action should be adhered to base on the Respondent's employment status. No adverse action may be imposed other than as provided in applicable policies and procedures regarding disciplinary actions. Specifically, if Respondent is:

- An academic employee, the matter will be referred to the employee's supervisor for review under applicable personnel policies;
- A student, the matter will be referred to Dean of Enrollment Management and Student Success for review under applicable student policies;
- A staff member, the matter will be referred to the Chief Human Resources Officer for review under applicable staff policies.

Appeals

The determination of the Deciding Official with respect to research misconduct shall be binding. The appeal of any disciplinary determination shall be handled in accordance with the applicable academic or staff personnel policy or collective bargaining agreement.

Record Retention

After completion of a case and all ensuing related actions, the RIO will prepare a complete file, including the records of any inquiry or investigation and copies of all documents and other

materials furnished to the RIO or investigation committees. The RIO will keep the file for at least seven (7) years after completion of the case.

X. INTELLECTUAL PROPERTY POLICY

A. Purpose

The University of Guam (UOG) fosters the development of Intellectual Property as well as the unrestricted dissemination of research activities. UOG works actively to ensure that its academic community may freely publish the results of scholarly research. In conformance with this principle, all concerned shall cooperate so that essential rights to Intellectual Property shall not be lost.

UOG recognizes that the three primary missions of an educational institution are teaching, research, and public service. UOG further recognizes that, in the course of performing its mission, patentable inventions and copyrightable products will be developed under its auspices. UOG encourages such innovation and will take appropriate steps to aid Creators and to ensure that the public receives the benefit of such innovation in accordance with its public service mission. Appropriate steps include securing research support, identifying and encouraging disclosure of the Intellectual Property, securing appropriate protections, marketing Intellectual Property through licensing and other arrangements, and managing royalties and other related income, such as litigation proceeds. These activities are undertaken in a spirit of cooperation with governmental agencies and private industry as part of UOG's contribution to the economic well-being of the island and surrounding region.

All Net Proceeds realized from the commercialization or other monetization of UOG Intellectual Property, after payment of the Creator's share as defined in *Section (E)* of this Policy and other appropriate costs associated with the evaluation, marketing, development, protection, maintenance, or enforcement of Intellectual Property, shall be used for the support of UOG research programs in a manner consistent with the *Bayh-Dole Act* and its implementing regulations. Net Proceeds shall be applied in a manner consistent with Intellectual Property Procedures. Upon the request of a Creator, UOG shall provide an accounting of the distribution of royalties earned from Intellectual Property of the Creator.

B. Definitions

1. **Affiliate** – For purposes of this Policy, Affiliates include The Research Corporation of the University of Guam, all campus auxiliary units, and all campus foundations.
2. **Created** – Having conceived, researched, authored, reduced to practice, designed, developed, or otherwise having contributed to the making of Intellectual Property.
3. **Creative and Course Content** – Academic course content and materials Created by Personnel including, but not limited to these examples of Intellectual Property: syllabi, course materials and textbooks; other scholarly or creative works of authorship; instructional, dramatic, musical, and artistic works; and manuscripts, articles, poetry, prose, short stories, digital shorts, novels, plays, screenplay.
4. **Creative Content of Grants and Grant Proposals** – The research agendas, applications, proposals, protocols, and/or results of grant proposals submitted and/or awarded.
5. **Creator** – One who has Created Intellectual Property, in whole or in part.

6. **Incidental Use of UOG Resources** (“Incidental Use”) – Any use of publicly or routinely-available UOG resources, such as residence halls, common areas, meeting rooms, Research & Education Centers, laboratories, cafeterias, gymnasiums, libraries, office spaces, furnishings, office supplies, photocopiers, telephones, fax machines and other standard office equipment, personal-type computers, and commercially available software in use on such computers, computer and communications networks, including internet access and data storage, that is nonessential to the creation of Intellectual Property, and any use of UOG resources by a Student in accordance with assigned coursework pursuant to that Student’s academic curriculum.
7. **Intellectual Property** – Copyrightable Creative and Course Content and Patentable Inventions such as: tangible research materials, computer software, and any unique or novel innovation in the technical arts or any new and useful improvements thereof, including methods or processes for creating an object or result (a way of doing or making things), machines, devices, products of manufacture, product designs, or composition, layout designs for printed circuit boards or integrated circuits, compositions of matter, materials, any variety of plant, and any know-how essential to the practice or enablement of such innovations and improvements, whether or not patentable or patented.
8. **Intellectual Property Procedures** – A set of guidelines for interpreting and following the Intellectual Property Policy. A supplement to the policy, this document is provided to personnel and students and maintained by the Office of Research and Sponsored Programs. The procedures are periodically reviewed and revised by the Research Council or other duly appointed committee, under the authority of the President.
9. **Inventor** – One who contributes to the conception of a Patentable Invention under the patent laws of the United States or other relevant jurisdiction.
10. **Net Royalty** – Royalty less reasonable expenses incurred by UOG and not reimbursed by licensees for the evaluation, marketing, development, protection, maintenance, and enforcement of the subject Intellectual Property.
11. **Partner** – Any entity or individual who is neither Personnel nor Student, who engages with UOG or a UOG Affiliate through a contract or other business transaction that facilitates the research, teaching, or public service missions of UOG.
12. **Patentable Invention** – Any art or process (way of doing or making things), machine, manufacture, design, or composition of matter, or any new and useful improvement thereof, or any variety of plant, which is or may be patentable under the patent laws of the United States or other relevant jurisdiction, and the patent applications or patents that embody them.
13. **Personnel** – All full-time and part-time employees of UOG and UOG Affiliates, Student employees (including, but not limited to, research assistants/associates, teaching assistants, extension assistants/associates, fellows, post-doctoral scholars, and Students providing services under sponsor agreements), and other persons holding any paid appointment or position with UOG. Contract Employees are not Personnel in this case.

14. **Royalty** – Cash, equity, or other value received by UOG as consideration for use of rights to UOG Intellectual Property.
15. **Students** – Individuals enrolled in UOG, including, but not limited to, continuing education, undergraduate, graduate, and professional students, non-degree students, and not-for-credit students.
16. **Substantial Use of UOG Resources** (“Substantial Use”) – Any use of UOG resources that is more than Incidental Use, including, but not limited to, use of: financial support, funds and grants administered by UOG or a UOG Affiliate; inter-institutional collaborations facilitated by UOG; equipment, facilities, services, laboratories, or space; computers and computer or communications networks not publicly or routinely-available; research, clinical, or other scientific instruments; time spent by Personnel, including secretarial, clerical, administrative staff, and research/extension assistants/associates and teaching assistants; confidential information; Inventions and other proprietary or intellectual property owned by UOG; and any privileged access as a result of a person’s affiliation with UOG.
17. **The University of Guam** (“UOG”) – References to “UOG” in this Policy may include Affiliates where appropriate under the contexts, whether or not specifically stated. In addition, at the request of UOG, UOG Ownership of Intellectual Property, *Section (E)1* of this Policy, may include ownership, management, promotion, licensing and other transfers, commercialization, and monetization of certain Intellectual Property by the Research Corporation of the University of Guam.

C. Scope

1. This Policy applies to Intellectual Property Created, in whole or in part, by UOG Personnel, Students, Affiliates, and Partners using UOG resources.
2. This Policy sets forth the rights and responsibilities of UOG and UOG Personnel, Students, Partners, and Affiliates in the development, creation, ownership, protection, maintenance, dissemination, marketing, licensing, and monetization of Intellectual Property.
3. Copyrightable products are covered in *Section (I)* of this policy.

D. Ownership of Intellectual Property

1. UOG Ownership: Subject to the exceptions of *Section (D)2* of this Policy, UOG shall own, and Creator shall promptly disclose and assign to UOG, Intellectual Property Created, in whole or in part:
 - a. Within the scope of the Creator’s employment by UOG; or
 - b. Through the Substantial Use of UOG Resources, unless otherwise agreed upon in writing prior to the undertaking of the project.
2. Creator Ownership: Ownership rights to Creative and Course Content shall be governed by *Section (I)* of this Policy. A ‘creator’ who is personnel, may retain ownership rights to Intellectual Property that is not Creative and Course Content if:
 - a. The Intellectual Property was Created exclusively outside the scope of the Creator’s employment by UOG; and
 - b. The Intellectual Property was Created through no more than Incidental Use of

- UOG Resources; and
- c. Creators of Intellectual Property satisfying *Section (D)2. a* and *Section (D)2.b* [above] shall submit a disclosure form as prescribed in UOG's Intellectual Property Procedures.

Student Ownership: A Creator who is a student, and not also Personnel, may retain ownership rights to Intellectual Property Created through no more than Incidental Use of UOG resources, subject to those restrictions that may be required by an external sponsor, if any. A Student shall own the copyright to his or her thesis unless an agreement supporting the underlying work specifies otherwise. Under all circumstances, UOG shall have an unrestricted royalty-free license to reproduce and disseminate Student theses.

For Students who conduct a thesis project that is tied to a faculty member's ongoing research/outreach (through a grant, funded project, or institutional grant or contract) authorship of publications generated as a result of this research/outreach may be subject to institutional and Principal Investigator (PI) prerogative as well as conditions established by funding agency/agencies. Any thesis project that is supported fully, or in part, by institutional and or federal funds is subject to joint authorship and other conditions. Prior to embarking upon a thesis that is fully, or in part, funded by UOG and or federal grant funds, considerations regarding authorship and other conditions must be agreed upon in writing by the Office of Research and Sponsored Programs, the PI/Thesis Chair, Dean, and the student.

Students are strongly encouraged to publish their thesis research. However, there may be occasions when a student who conducts independent research, without any funding from UOG or through federal funds, is not interested in publishing their own research findings. In this case, a student may, in writing, grant permission to their faculty chair and/or other committee member(s) to publish findings from the research project/thesis. The resulting publication(s) must acknowledge the student.

Partner Ownership: Where UOG intends that a Partner engage in Substantial Use of UOG Resources, the ownership of Intellectual Property Created by, or for the Partner, in connection with the use or sponsorship of UOG Resources, shall be formalized in a written agreement between the Partner and UOG or an Affiliate prior to commencement of the project.

Joint Ownership: Intellectual Property may be subject to exercise of ownership rights by two (2) or more parties, including UOG Affiliates, Personnel, Students, and Partners, in which case joint ownership, may be appropriate.

Questions as to Ownership: Where any dispute is raised as to ownership of Intellectual Property, patents, or patent applications under these provisions, the matter shall be referred to the Innovation Policy Board in a manner consistent with UOG's Intellectual Property Procedures.

E. Royalty Income

1. Patentable Inventions: With respect to any Patentable Invention obtained by, or through, UOG or assigned to or as directed by UOG in accordance with the foregoing provisions, UOG, in recognition of the meritorious services of the Inventor and in consideration of the Inventor's assignment of the Patentable Invention to UOG, will

make provision entitling the Inventor and the Inventor's heirs or legatees to share in the proceeds from the management and licensing of such Patentable Invention to the extent of forty-five percent (45%) of the first \$100,000 of Net Royalty received by UOG and forty percent (40%) of Net Royalty thereafter, unless the Inventor and UOG agree otherwise in a written and duly executed instrument, or if these amounts exceed the limits fixed by applicable regulations of the relevant sponsoring agency; which will control in such cases.

2. Computer Software and Intellectual Property Other Than Patentable Inventions: With respect to any Intellectual Property that is not a Patentable Invention, including Computer Software that is not a Patentable Invention nor subject to copyright, Created in the performance of academic or research/outreach activities and obtained by, or through, UOG or assigned to or as directed by UOG in accordance with the foregoing provisions, UOG, in recognition of the meritorious services of the Creator and in consideration of the Creator's assignment to UOG, will make provision entitling the Creator and the Creator's heirs or legatees to share in the proceeds from UOG's management and licensing to the extent of forty-five percent (45%) of the first \$100,000 of Net Royalty received by UOG and forty percent (40%) of Net Royalty thereafter, unless:
 - a. The Intellectual Property is a work for hire or subject to a conflicting obligation to a sponsor or a Partner; or
 - b. The Creator and UOG agree otherwise in a written and duly executed instrument; or
 - c. This distribution amount exceeds limits fixed by applicable regulations of the relevant sponsoring agency; sponsoring agency regulations will take precedent in such cases.

F. Release and Waiver

1. UOG shall make decisions regarding evaluation, marketing, development, protection, maintenance, or enforcement of Intellectual Property in consultation with the Creator(s). At the Creator's (or Creators') written request, UOG may release its ownership rights to the Intellectual Property to the Creator(s), subject to those restrictions that may be required by an external sponsor, if any.
2. UOG shall make an initial determination regarding whether to retain title to Intellectual Property within one (1) year of UOG's acceptance of the Creator's fully disclosed, assigned, and properly executed disclosure statement. UOG shall proceed with patenting, developing and marketing of the Intellectual Property by UOG as soon as practicable thereafter. If UOG elects not to retain title or fails to make such an election within one (1) year, all of the UOG's rights to the Intellectual Property shall be released upon written request to the Creator, subject to those restrictions that may be required by an external sponsor, if any.
3. For any Intellectual Property so released to its Creator(s), UOG shall receive ten (10) percent of the Net Proceeds (paid) to the Creator(s), in recognition of the contribution of UOG and the people of Guam to the support of the research that resulted in the Intellectual Property. "Net Proceeds" as referenced in this subpart, *Section (F)3*, means income realized by the Creator from commercialization or other monetization of the Intellectual Property, less reasonable costs incurred directly by the Creator for the evaluation, marketing, development, protection, maintenance, or enforcement of

the subject Intellectual Property.

G. Innovation Policy Board

1. The UOG President shall establish and appoint an Innovation Policy Board of the University of Guam and designate the chair thereof in accordance with UOG's Intellectual Property Procedures. The Innovation Policy Board shall have full powers of the organization to undertake periodic review of this Policy and to create, revise and enhance guidelines, procedures, and forms to interpret and implement this Policy.

H. Applicability

1. Intellectual Property which is fully disclosed and assigned in a properly executed disclosure statement before the effective date of these regulations shall be subject to UOG's prior Intellectual Property Policy.

I. Copyright

1. Title 17 of the U.S. Code on copyrights is the foundation for this section. Where jurisdictional disputes arise, private international law may apply. Copyright may be subject to terms and conditions of external funding agencies and those conditions supersede UOG policy.
2. This section shall apply to all publishable materials, including academic course content and materials, as well as materials created for online delivery using technology adopted by UOG. Creators must not copyright items, in whole or in part, in the public domain or for which there is existing copyright owned by another party.
3. In general, UOG *does not* claim copyright (i.e., the tangible expression) of Intellectual Property defined in *Section (D)*2. This means that Creators of scholarly or creative works may research, craft, publish, reproduce, distribute, perform, and display their works without prior authorization of, or interference by, the University, assuming that any non-UOG use is Incidental and reasonable and does not place an unreasonable burden on UOG resources or the employee's time. Faculty time equivalent to a one-semester load allocation or course release or less would be considered incidental use.
4. UOG *does* claim ownership of said content, as listed above, if a Creator has been paid to produce a specific product, including through "Substantial Use" of UOG resources, unless otherwise stated in writing and approved by the UOG President.
5. Course or other salable materials produced by personnel and commercialized by an outside institution are subject to a 5-percent return to the University on gross sales or as otherwise negotiated with the University. Whenever possible, any commercialization is encouraged via the UOG Press and in-house technologies.
6. The Dean of the respective unit from which the course content or materials arises shall manage intellectual property issues related to this section. The Senior Vice President, or designee, shall serve as the appellate authority.

Intellectual Property Committee

The University of Guam encourages and supports the development of intellectual property. The current *Intellectual Property Policy* was enacted by BOR 18-017. These procedures align with the Policy. The Intellectual Property Committee may conduct revisions to the procedures, subject to the approval of Research Council, Director of Research and Sponsored Programs, Senior Vice President of Academic & Student Affairs, and President.

Purpose

The Intellectual Property Committee (IPC) shall have full powers of the organization to undertake periodic review of Policy and to create, revise and enhance guidelines, procedures, and forms to interpret and implement intellectual property Policy. Where any dispute is raised as to ownership of Intellectual Property, patents, or patent applications under these provisions, the matter shall be referred to the Intellectual Property Committee.

Authority

Intellectual Property Committee is a sub-committee of the Research Council. The Research Council will serve as an advisory body on matters pertaining to University intellectual property, under the management of the Office of Research and Sponsored Programs.

Co-Chairs

- Vice Provost of Research and Sponsored Programs
- Vice Provost for Academic Excellence, Graduate Studies & Online Learning

Membership

- Faculty Senate Vice President
- Chair, Faculty Senate Standing Committee on Faculty Excellence
- Executive Director, RCUOG
- Director, UOG Press
- UOG General Counsel
- Associate Budget and Planning Officer

Procedures

The Intellectual Property Committee will meet at least annually to review IP policy and procedures, and to make recommendations to Research Council before the last meeting of the academic year. The agenda will be set by the co-chairs.

Disclosure

Creators have an obligation to disclose all new intellectual property to the University via their supervisors or directly to the Office of Research and Sponsored Programs. Disclosure is required whenever something unique has been discovered or created that might have commercial value, solve a significant problem, or could be made into a product or service by an industry partner.

This should be done before any presentations of the discovery through publications, poster sessions, conferences, press releases, or other communications – ideally several months before doing so, at the draft manuscript stage – and before talking to any external parties, especially prospective investors.

Disclosure starts a process that could lead to the commercialization of your discovery or creation. This may involve initiating the IP protection process for inventions and working to identify outside development partners. If industry or government funds were used for the research, there may be obligations and reporting requirements to the funding party.

Claims of intellectual property ownership will be disclosed to the Office of Research and Sponsored Programs. The Intellectual Property Disclosure will describe the IP in detail, along with comparisons with alternative or competing solutions. It will list all collaborating sources of support that might be relevant to the ownership of the IP. It will include all necessary information for TLS to determine the intellectual property's ownership and commercialization potential; and with your input to begin pursuing protection, marketing, and commercialization activities, if the decision is made to do so. The Intellectual Property Disclosure will be treated as confidential.

Upon receipt of an IP Disclosure form, ORSP will:

- Check the form to ensure completeness of the submission;
- Email all listed University contributors to the Invention to notify them of the disclosure and to ensure that they are satisfied with the content and accuracy of the submission; and
- Ask the Director to conduct a formal assessment of the disclosure.

Timelines for Response

After the disclosure to the ORSP of the nature of a creation, the Vice Provost shall, within forty-five (45) business days, advise the creator whether the University wishes to take initial steps to register, develop, patent, and market the creation. If the creator agrees, the IPC will be convened.

UOG shall make an initial determination regarding whether to retain title to Intellectual Property within one (1) year of UOG's acceptance of the Creator's fully disclosed, assigned, and properly executed disclosure statement. UOG shall proceed with patenting, developing, and marketing of the Intellectual Property by UOG as soon as practicable thereafter. If UOG elects not to retain title or fails to make such an election within one (1) year, all of UOG's rights to the Intellectual Property shall be released upon written request to the Creator, subject to those restrictions that may be required by an external sponsor, if any.

The University shall be responsible for providing adequate funding, shall provide for the promotional work, and is empowered to enter into negotiations with outside agencies to accomplish this work. If after three years the creator is dissatisfied with or questions the development efforts of the University, he or she may review such dissatisfaction with the IPC. In such cases the IPC shall respond within sixty (60) business days by finding the complaints to be unwarranted, by assuring the creator that corrective steps will be taken or by returning all intellectual property rights to the creator.

Notwithstanding any language to the contrary, the time deadlines set forth above may be expanded by the President for the good of the University.

Campus Net Proceeds

Campus net proceeds shall be applied in a manner consistent with university policies and procedures. Upon the request of a Creator, UOG shall provide an accounting of the distribution of royalties earned from Intellectual Property of the Creator.

Procedures


The Vice Provost of Research and Sponsored Programs will propose the unit and administrator to manage the IP funds, subject to the approval of the Senior Vice President, Vice President of Administration and Finance, and the President.

The managing administrator will establish an account with the university for the intellectual property and ensure that all government laws, university policies and business office procedures are followed correctly.

Net Proceeds will be distributed on an annual (or quarterly) basis from this account.

APPENDIX 1

APPLICATION FOR APPROVAL OF STUDIES INVOLVING VERTEBRATE ANIMALS

	UNIVERSITY OF GUAM <i>Animal Care and Use Committee</i> Office of the Graduate School and Research	ACUC no. <div style="border: 1px solid black; height: 20px; width: 80px;"></div>
APPLICATION FOR APPROVAL OF STUDIES INVOLVING VERTEBRATE ANIMALS		
PRINCIPAL INVESTIGATOR: _____	DATE: _____	
TITLE & DEPARTMENT: _____	PHONE: _____	
PROJECT TITLE: _____		
PROPOSED SPONSORING AGENCY/COLLEGE: _____	PROJECT START DATE: _____	
Check One: <input type="checkbox"/> New Proposal <input type="checkbox"/> Old Proposal <input type="checkbox"/> Old Proposal without Changes		
1.) Summarize your Proposed Research, OUTLINE OBJECTIVES and METHODS. <u>Append proposal abstract and methodology.</u>		
_____ _____ _____		
List species to be used: _____		
Describe the biological characteristics for the species: _____ _____		
List the total number of species to be used each year: _____		
List source of animals: _____		
Is there a breeding colony for this animal in-house:	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Will the animal(s) undergo surgical procedures?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
If YES, is anesthesia required?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
If YES, who will monitor this procedure?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Will there be a restriction of food or water?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Will there be environmental stress or restraint?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
If YES, what, how? _____ _____ _____		
Will hazardous or radioactive agents be used in the study <input type="checkbox"/> Yes <input type="checkbox"/> No		

If YES, what precautions have been taken?

Has the study death of the animal(s) as an endpoint? Yes No
Will euthanasia of the animal be required by the study? Yes No
If YES, which method will be employed?

Are the investigator and other project personnel adequately trained
in handling the research animal(s)? Yes No
Are there any foreseeable hazards to the animal handler(s): Yes No
If YES, what are these hazards?

PLEASE NOTE:

Persons having any nonhuman primates, sheep, dogs or cats, or having 8 hours or more contact with other species should be listed and are required to participate in the University Occupational Health Service Program. Women, pregnant or attempting to conceive, that are exposed to cats should also be listed.

ASSURANCE

The policies and procedures of the University of Guam, AWA and the US PHS apply to all activities involving live vertebrate in this institution. No activities involving the use of these animals animals used for research are to be initiated without prior written approval by the UOG Animal Care and Use Committee (ACUC).

The undersigned is familiar with the AWA and the PHS Policy on Humane Care and Use of Laboratory Animals by Awardee Institutions, the NIH Guide for the Care and Use of Laboratory Animals and the University Guidelines, and agrees to abide by the Principles for the Utilization and Care of Vertebrate Animals Used in Testing, Research, and Training contained in this document. Any change in the care and use of animals involved in this protocol that would affect their welfare will be promptly forwarded to the ACUC for review. Such changes will not be implemented until the Committee's approval is obtained. Animals will not be transferred between investigators without prior approval.

(Signature of Principal Investigator)
("Per" Signature not acceptable)

Date

APPENDIX 2

UNIVERSITY OF GUAM CONFLICTS OF INTEREST DISCLOSURE FORM

This form must be completed by all employees (defined in Section B.11. of Section IX GUIDELINES FOR COMPLETING ANNUAL CONFLICTS OF INTEREST in the UOG Research Procedures, Regulations, and Policies Manual). Disclosures must be provided:

1. Annually by April 15;
2. Immediately when a new relationship or financial situation arises;
3. When a previous disclosure or conflict status is modified;
4. Within 30 days of new hire or appointment;
5. That exist at the time of filing; and
6. That existed during the previous 12 months;
7. For the employee and members of the employee's immediate family¹.

Part I and Part II (if applicable) must be completed, signed, dated, and given to your supervisor for their review and signature. If assistance is needed Supervisors will forward Part II completions to the Office of Research & Sponsored Programs (ORSP). Please contact ORSP if you have any questions.

PART I - Conflicts of Interest Disclosure Form

Name: _____ Title: _____ Date: _____

Campus: _____ Department: _____

School/College/ Unit: _____

1. Ownership Interests

Do you or any member(s) of your immediate family own or control any equity interest (e.g., stock, stock options) in an entity² that could appear to be related to your institutional responsibilities?

YES

NO

2. Offices and Positions

Are you or any member(s) of your immediate family a director, board member, officer, trustee, partner, employee, agent, or hold any other position for an entity outside the University of Guam that could appear to be related to your institutional responsibilities?

YES

NO

3. Remunerative Activities

Do you or any member(s) of your immediate family receive income or compensation for services (e.g., fees, honoraria, loans, gifts, royalty payments, cash or in-kind compensation) that could appear to be related to your institutional responsibilities from any entity outside the University that when aggregated exceeds \$5,000.00 per year?

YES

NO

¹"Immediate family" signifies the employee's spouse, domestic partner, or reciprocal beneficiary and dependent children.

²"Entity" signifies any corporation, partnership, sole proprietorship, firm, franchise, association, organization, holding company, joint stock company, receivership, business, real estate trust, or any other legal body organized for profit or nonprofit purposes.

PART II - Conflicts of Interest Disclosure Form
 Detailed statement of Outside Interests and Activities COMPLETE

PART II IF YOU ANSWERED "YES" TO ANY OF THE PART I QUESTIONS.

1. Equity/Ownership Interests

Provide details of ownership or equity interest for yourself and any member(s) of your immediate family (including stock, stock options, or other securities) in an entity that appears to be related to your institutional responsibilities.

Entity name	Description of entity	Individual holding the interest	Amount of annual income/compensation (if when aggregated exceeds \$5,000) <u>or</u> ownership percentage

Do you use UOG resources to conduct business for any of these entities (e.g., University office or laboratory, phone, computer, stationery, or other supplies)? If so, please indicate resource(s) used and for which entity.

2. Associations, Memberships, Positions

Please provide details for any position(s) you or any member of your immediate family hold as director, board member, officer, trustee, partner, employee, agent, or any other position in an entity outside of the University that appears to be related to your institutional responsibilities.

Entity name	Amount of annual income/ compensation received (if over \$5,000)	Position, individual holding the interest & description of activity (in detail)	Time dedicated to activity (days/month, days/year)

Do you use UOG resources to conduct business for any of these entities (e.g., University office or laboratory, phone, computer, stationery, or other supplies)? If so, please indicate resource(s) used and for which entity.

3. Remunerative Activities

Provide details of income or compensation you or any member of your immediate family receives (e.g., consulting fees, honoraria, lecture fees, salary, loans, gifts, royalty payments, cash or in kind) from any entity outside the University that appears to be related to your institutional responsibilities and that when aggregated exceeds \$5,000 per year.

Entity name	Amount of annual income/ compensation received (if over \$5,000)	Individual holding the interest & description of activity (in detail)	Time dedicated to activity (day/month, days/year)

Do you use UOG resources to conduct business for any of these entities (e.g., University office or laboratory, phone, computer, stationery, or other supplies)? If so, please indicate resource(s) used and for which entity.

4. Outside Employment of Students or Staff

Do you or any member of your immediate family employ or plan to employ any of your students or staff member(s) in an entity outside of the University? **OR** do any students or staff participate in your non- University activities? If so, please describe below:

Entity name	Name of student(s) or staff	Describe activity performed (in detail)	Time dedicated to activity (hrs/day, days/mo.)

5. Sponsored Travel

Please provide details about travel (for yourself or members of your immediate family) reimbursed or sponsored by an entity NOT considered to be a federal, state, or local government agency, an institution of higher education or affiliated with an institution of higher education [as defined by 20 U.S.C 1001(a)], which appears to be related to your institutional responsibilities.

Entity/Sponsor/ Organizer name	Purpose of trip	Travel destination and duration of trip	Total travel costs

6. Goods and Services

Please provide details of your or any member of your immediate family's interest(s) in any contract, sale, or other transaction to which the University of Guam or one of its affiliates is a party.

Entity name	Relationship to entity	Individual holding the interest and role in transaction (in detail)	Amount of transaction

7. Other Situations or Facts

Are there other situations, not listed above, that you believe may create a conflict of interest or commitment? Please describe such situations, including nature, parties, subject matter, income or compensation received.

PART II: SIGNATURE AND CERTIFICATION

By signing this form, I certify the following: 1) I have read and understand the University of Guam Policy and Procedures on Conflicts of Interest and Commitment; 2) the information in this disclosure form is an accurate and complete statement of my outside interests and activities; and 3) I understand my continuing obligation to disclose any change(s) to my significant financial interests and other conflicts of interests that may arise after submission of this form.

Signature: _____ Date: _____

Supervisor's Certification

I certify that the person named above reports to me and I have reviewed this disclosure form. To the best of my knowledge, full disclosure of significant financial and other interests have been reported. I understand that further review may be conducted by other Senior Administrators, ORS, the Conflicts of Interest Committee or the Deciding Official, and a COI management plan may be implemented.

Based on my review of the completed disclosure(s):

Potential conflict(s) of interest exist?

Potential conflict(s) of commitment exist?

If yes, select one:

- Conflict(s) have been eliminated.
- No management plan is necessary/no further action required. An
- appropriate management plan is/will be in place.
- A management plan will be developed and submitted for review.
- Additional assistance is requested.

Print Name: _____ Date: _____

Signature: _____

APPENDIX 3

ANNUAL SUMMARY REPORT OF DISCLOSURES OF CONFLICTS OF INTEREST

Each Dean or Director of an academic unit or department, or other Senior Administrator, shall compile an annual report to submit to their respective Vice Provost or Senior Vice President & Provost by June 30 of each year. The report shall include the following:

1. A list of individuals, if any, who did NOT submit the required disclosure form.
2. The number of department/unit faculty, staff, or administrators who were required to submit disclosure forms, AND the number and percentage of those who actually submitted disclosure forms.
3. The number of department/unit faculty, staff, or administrators who completed Part II disclosures.
4. The number and percentage of department/unit faculty, staff, or administrators whose outside interests and activities were found to conflict with their University and/or professional commitments, but for whom conflicts were resolved by the Dean/Director or the Conflicts of Interest Committee.
5. Pertaining to question #4 (above), list the details regarding corrective actions recommended and taken to resolve conflicts.
6. The number and percentage of department/unit faculty, staff, or administrators whose conflicts of interest were not resolved and summarize the recommendations or plan for each unresolved case.

APPENDIX 4

RECOMMENDED INVESTIGATION PROCEDURES for Research Integrity and Research Misconduct Allegations

Purpose of the Investigation

The investigation is to explore in detail the allegations, to examine the evidence in depth and to determine specifically whether misconduct has been committed, by whom and to what extent. The investigation will also determine whether there are additional instances of possible misconduct that would justify broadening the scope beyond the initial allegations.

Investigation Process

The investigation, whether conducted by a committee or an individual, will follow each procedural step set forth below. The investigation must be completed within 120 days from the first Investigation Committee meeting unless an extension of time is obtained. For research funded by federal sponsors, extensions may be granted by ORI or the sponsor for good cause. For all other sponsored research, an extension may be granted by the RIO for good cause.

Charge to the Committee and the First Meeting

Charge to the committee

The Chair will define the subject matter of the investigation in a written charge to the committee that describes the allegations and related issues identified during the inquiry, define misconduct and identify the name of the Respondent. The charge will state that the committee is to evaluate the evidence and testimony of the Respondent, Reporter, and key witnesses to determine whether, based on a preponderance of the evidence, research misconduct occurred and, if so, to what extent, who was responsible, and its seriousness.

During the investigation, if additional information becomes available that substantially changes the misconduct subject matter of the investigation or would suggest additional Respondents, the Chair will determine whether it is necessary to notify the Respondent of the new subject matter or to provide notice to additional Respondents.

The first meeting

The Chair, with the assistance of Legal Counsel, will convene the first meeting of the Investigation Committee to review the charge, and the prescribed procedures and standards for the conduct of the investigation, including the necessity for confidentiality. The Investigation Committee will be provided with a copy of these instructions and, where federal funding is involved, the applicable federal regulation.

Reviewing the Evidence

The Investigation Committee will obtain and review all relevant documentation and perform or cause to be performed necessary analyses of the evidence, including scientific, forensic, statistical, or other analyses as needed.

Conducting Interviews

Either the Chair or the entire committee may conduct interviews. The interviews should be in-

depth and all significant witnesses should be interviewed. Each witness should have the opportunity to respond to inconsistencies between his or her testimony and the evidence or other testimony, subject to the need to take reasonable steps to maintain the confidentiality of the testimony of the Respondent and other witnesses.

Preparing for interviews

All relevant documents and research data should be reviewed in advance and specific questions or issues that the committee wants to cover during the interview should be identified. If significant questions or issues arise during an interview that require committee deliberation, the committee should take a short recess to discuss the issues. Committee deliberations should never be held in the presence of the interviewee.

Objectivity

The Investigation Committee will conduct all interviews in a professional and objective manner, without implying guilt or innocence on the part of any individual.

Transcribing interviews

Any interview with the Respondent, Reporter, or any witness will be transcribed.

Recording admissions

If the Respondent admits to the research misconduct, he or she should be asked to sign a statement attesting to the occurrence and extent of the misconduct, acknowledging that the statement was voluntary and stating that the Respondent was advised of his or her right to seek the advice of counsel. The committee should consult with General Counsel on the specific form and procedure for obtaining this statement. An admission may be used as evidence in compiling an Investigation Report.

Committee Deliberations

Burden and standard of proof

In reaching a conclusion on whether there was research misconduct and who committed it, the burden of proof is on the institution to support its conclusions and findings by a preponderance of the evidence.

Official Definitions

The committee will consider BOR-approved definitions for research misconduct or research integrity when making determinations.

Sufficient Evidence

The committee will consider whether there is sufficient evidence of intent such that the institution can meet its burden, of proving research misconduct by a preponderance of the evidence. The committee will also consider whether the Respondent has presented substantial evidence of honest error or differences in interpretations or judgments of data such that research misconduct cannot be proven by a preponderance of the evidence.

The Investigation Committee Report

The following annotated outline may be used, unless an external sponsor or exceptional

circumstances suggest a different approach.

Background

Include sufficient background information to ensure a full understanding of the issues including those that would concern ORI and/or the Federal Sponsor under the definition of research misconduct. This section should include a chronology of events, detail the facts leading to the inquiry and include a description of the research at issue, the persons involved in the alleged research misconduct and the role of the Reporter.

Allegations

List all the allegations of research misconduct raised by the Reporter and any additional research misconduct allegations that arose during the inquiry and investigation. The source and basis for each allegation or issue should be cited except to the extent that the confidentiality of a Reporter requesting anonymity is compromised or where the identity of the source is irrelevant or unnecessary. The allegations identified in this section will form the structure or context in which the subsequent analysis and findings are presented.

External Support

For each allegation of misconduct under the definition, identify any application or external support for the research or report (e.g., publication) at issue containing the alleged fabrication, falsification or plagiarism.

Investigation Process

Summarize the investigation process, including the composition of the committee (names, degrees, departmental affiliation, and expertise) and the charge to the committee. List the persons interviewed, how the interview was conducted and by whom, the evidence was secured and reviewed by; and the measures taken to ensure its security, the policies and procedures used, and any other factors that may have influenced the proceedings.

Presentation of Findings

For each allegation, include:

Background

- Describe the matter (e.g., experiment or component of a clinical protocol) in which the alleged research misconduct occurred and why and how the issue came to be under investigation.

Analysis

- The analysis should include all relevant statements, claims (e.g., a claim of a significant positive result in an experiment), rebuttals, documents and other evidence including circumstantial evidence related to the issue. The source of each statement, claim or other evidence should be cited (e.g., laboratory notebook with page and date, medical chart documents and dates, relevant manuscripts, transcripts of interview, etc.).
- Any use of additional expert analysis should be noted (forensic, statistical or special analysis of the physical evidence, such as similarity of features or background in contested figures).
- Summarize accurately or quote relevant statements, including rebuttals, made by the Reporter, Respondent and other pertinent witnesses and reference/cite the appropriate sources.

- Summarize each argument that the Respondent raised in his or her defense against the research misconduct allegation and cite the source of each argument. Any inconsistencies among the Respondent's various arguments should be noted.
- The analysis should be consistent with the terms of the definition of research misconduct. It should describe the relative weight given to the various witnesses and pieces of evidence, noting inconsistencies, credibility and persuasiveness.
- Describe any evidence that shows that the Respondent acted with intent, that is, any evidence that the Respondent knowingly engaged in the alleged fabrication, falsification, or plagiarism.
- Describe the evidence supporting the possibility that honest error or differences of scientific opinion occurred with respect to the issue.

Conclusions

- A finding of research misconduct must be supported by a preponderance of the evidence.
- Concisely state the Investigation Committee's finding for each identified issue.
- If the Investigation Committee finds research misconduct on one or more issues, the report should identify the type of misconduct for each issue (fabrication, falsification, or plagiarism) and should indicate the extent and seriousness of the fabrication, falsification, or plagiarism, including its effect on research findings, publications, research subjects, and the laboratory or project in which the research misconduct occurred.

Recommended Actions

Identify any remedial actions that should be taken to ensure the appropriate expenditure of research funds and to protect the integrity of the research. If applicable, the final investigation report should include any sanctions or disciplinary action undertaken during the inquiry or investigation.

Attachments

Copies of all significant documentary evidence referenced in the report should be appended to the report, if possible (relevant notebook pages or other research records, relevant committee or expert analyses of data, transcripts or summary of each interview, Respondent and Reporter responses to the draft report(s), manuscripts, publications or other documents, including grant progress reports and applications, etc.). It is also helpful to include a "List of Attachments" and a side-by-side comparison that identifies the allegedly false statement, misrepresentation or area of plagiarism with the actual data or material that is alleged to have been falsified/fabricated/plagiarized.

Documenting the Investigative File

Index of evidence

The investigation committee should maintain an index of all the relevant evidence it secured or examined in conducting the investigation, including any evidence that may support or contradict the report's conclusions. Evidence includes, but is not limited to, research records, transcripts or recordings of interviews, committee correspondence, administrative records, grant applications and awards, manuscripts, publications, and expert analyses.

Purpose of documentation

The purpose of the documentation is to substantiate the investigation's findings.

Record retention

After completion of a case and all ensuing related actions, the RIO will prepare a complete file, including the records of any inquiry or investigation and copies of all documents and other materials furnished to the RIO or committees. The RIO will keep the file for seven years after completion of the case to permit later assessment of the case. ORI and/or the Federal Sponsor will be given access to the records upon request.

Comments on the draft report

Respondent

The Chair will provide the Respondent with a copy of the draft Investigation Report for comment and rebuttal. The report may be redacted to protect the privacy of the Reporter or others interviewed during the investigation. The Respondent will be allowed 28 calendar days to review and comment on the draft report. The Respondent's comments will be attached to the final report. The findings of the final report should consider the Respondent's comments in addition to all other evidence.

Reporter

The Chair may provide the Reporter, if he or she is identifiable, with those portions of the draft investigation report that address the Reporter's role and opinions in the investigation.

General Counsel

The draft investigation report will be transmitted to the General Counsel for a review of its sufficiency. Counsel's comments should be incorporated into the report as appropriate.

Confidentiality

In distributing the draft report, or portions thereof, to the Respondent, the Chair will inform the recipient of the confidentiality under which the draft report is made available and may establish reasonable conditions to ensure such confidentiality. For example, the RIO may request the recipient to sign a confidentiality statement or to come to his or her office to review the report.

The report initially submitted to the Deciding Official will not include sanctions or disciplinary action unless some administrative action occurred to prevent harm to subjects. The investigation report will be amended to include sanctions or disciplinary action once the appropriate body has made final decisions on those actions. If the report must be submitted to ORI or an external sponsor, a description of any sanctions imposed, and administrative actions taken by the University will be included in an amended report once the action has been recommended.

Disciplinary actions, including adverse actions, will follow the policy in the University Policy Manual in accordance with the BOR-Union Agreement.

APPENDIX 5

INTELLECTUAL PROPERTY DECLARATION FORM

Intellectual Property Details	
Title	
Primary Creator	
Primary Creator's Position	

Contributors							
Please list all contributors to the IP regardless of whether they are considered to have been creators.							
Creator	Name	Position	Department / School	External Affiliations (please list all)	Email/ Contact No.	Student	External
<input type="checkbox"/>						<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>						<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>						<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>						<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>						<input type="checkbox"/>	<input type="checkbox"/>

Intellectual Property Description
<p>What is the problem solved by this IP?</p> <p>Do not describe the IP but instead focus on the problem found with existing technology, processes or services, or a recognized problem not adequately solved by existing technologies, processes or services.</p>

What is the stage of development of the IP? Please tick all that are appropriate from the following options:

- idea / concept (target identification)
- early stage (target assay development and screening)
- proof of concept (target validation)
- bench prototype
- industry interest / use

Summary of the IP

Describe the IP in detail. Consider the commercial applications of the technology and how they might be applied to a product, process or service. Importantly, please describe what aspects of the IP have been proven experimentally and what is shown by the data. Also describe what materials or prototypes have been created in relation to the IP. Attach any technical documents of IP including (submitted or draft) manuscripts, posters, theses and grant applications.

What date(s) did you make the IP?

The date is when the inventor(s) devised the essential concepts of the IP - but without necessarily having proved that it would work or having built a prototype.

How has the IP been documented?

Identify whose laboratory notebook(s) the experimental data for this IP has been recorded in and note any reference numbers.

Competitive Advantage

Describe the competitor technologies, processes or services which attempt to address the problem. What is the closest existing or known technology – please provide links to the related companies’ products or service websites. What are the advantages and benefits of your IP over these competitor approaches – have you experimentally compared your IP to the “gold standard” competitor technology or process?

Future Research

What further research will be conducted over the next 12 months to demonstrate proof of concept or further validate the IP? For example, for platform technologies the demonstration of an advantageous application and comparisons to “gold standard” commercial technologies or products.

Public Disclosures

Public Disclosures

Provide details of any public disclosures of this IP by contributors including publications, theses, posters, presentations, abstracts, submitted manuscripts and patents. Please also attach copies or transcripts of these disclosures. In most countries a patent application must be filed before an oral or printed publication is made available to the public. Publication means the first time any person, without restriction of confidentiality, would have been able legally to gain access to your description. This can include where external people attend a UOG internal presentation. ‘Oral disclosure’ means lectures, seminars, conference presentations, any talk to external research groups, or in general conversation with people outside the University - except where these activities were covered by a documented obligation of confidentiality.

Consider whether any details of any of your research have been disclosed publicly and provide brief details of the disclosure subject matter:

- In a journal (online or in print)
- At a conference or seminar, as an abstract, poster, etc. (including online before the conference)
- In any other publicly disclosed communication, including conversation
- In a PhD, Master’s thesis or project write up

For any noted disclosures:

- Attach any relevant disclosure documents
- If students were involved, please include details of any material or presentations made for examination

Provide details of **previous** disclosures of this IP

Date	Type of disclosure	Aspects of the IP disclosed	Details or reference of the Journal/Conference/Seminar/Thesis	Copy attached
				<input type="checkbox"/>
				<input type="checkbox"/>

Provide details of any **upcoming** disclosures of this IP

				<input type="checkbox"/>
				<input type="checkbox"/>

Provide details of any public disclosures **that are closely related to this IP**

				<input type="checkbox"/>
				<input type="checkbox"/>

Sources of Funding

Was the IP developed using any research grants/contract funds?
Please answer Yes or No

If Yes, provide details:

Give the applicable contract/grant, project title(s) and the project start/end dates on the project(s) in the table below if the IP was made in connection with research funding. Also consider funding used by all **contributors** including **students**. Please note any non-University of Melbourne collaborators who are grant co-applicants, sub-contractors or are otherwise supported under the grant. We need to ensure that we fulfil our obligations under research grants and contracts.

Please attach any relevant contract.

Grant Ref	Title	Sponsor	Collaborators	Start and End Dates

Obligations to sponsors

Are you aware of any obligations to any sponsors e.g. disclosure of IP, final project reports, or commercial grant of rights (option/licenses)?

--

Details of external collaborators who have contributed to the IP

Please provide details of non-funded collaborations with non-UoM collaborators which have been conducted through a research project relating to the IP.

Start Date / End Date	Collaborator	Affiliation	Contribution of collaborator

Use of Information [Complete if applicable]

Was any aspect of the IP made possible, in whole or in part, using Information obtained from individuals other than contributors listed above or from organizations other than the University of Melbourne?

Date	Information provider	Affiliation of provider	Details of information provided

Materials [Complete if applicable]

Was any aspect of the IP made possible, in whole or in part, using tangible Materials obtained from individuals other than contributors listed above or from organizations other than the University of Melbourne?

Date	Materials provider	Affiliation of provider	Details of Material provided	Was a Material Transfer Agreement (MTA) signed in respect of receipt of the materials? If yes, please provide a copy.
				<input type="checkbox"/> Yes or <input type="checkbox"/> No

				<input type="checkbox"/> Yes or <input type="checkbox"/> No
<p>In the course of creating the IP have you developed any Materials that may be of commercial value? Please provide details. Such materials are often of a biological nature e.g. cell lines, antibodies, plasmids, disease models and assay but can include any non-biological material or prototypes.</p>				
<p>Were any of Materials received from external organizations used in the development of or incorporated into the Material(s) described above? Please provide details.</p>				

Software [Complete if applicable]				
<p>Was any aspect of the IP made possible, in whole or in part, using Software obtained from individuals other than contributors listed above or from organizations other than the University of Melbourne?</p>				
Date	Information provider	Affiliation of provider	Details of Software provided	
Has any software been developed?				
Please answer <input type="checkbox"/> Yes or <input type="checkbox"/> No				
If yes, please list the authors of the software's source and executable code.				
Name	Author's contributions to the code	Department/ School/ Affiliations	Student	Email/Contact No.
			<input type="checkbox"/>	
			<input type="checkbox"/>	
Please provide further information in respect of the involvement of any external authors:				

Third party code in software

Please complete the list of all third-party code embedded in or accessed by the disclosed software when such software is run. This list must include, without limitation, all open source code, free executable code, public domain code, library code, and all other executable or source code not written by any of the Authors listed in this form, whether such code is directly embedded in the software or accessed by the software when it is executed. ALL AUTHORS MUST DISCLOSE ALL OF THE THIRD-PARTY CODE AND MATERIALS THAT HAVE BEEN EMBEDDED IN THE SOFTWARE. Software code and related materials easily available for download and available without cost are NOT free. These codes and related materials are restricted by licensing terms that must be reviewed and complied with. Also list any code or related materials with which the software automatically links, executes, or integrates that may not be embedded in the software.

Name of third party code	Web page to download code	Web page location of third party license
Further relevant information:		

Prior Art

Please provide details of literature and patent searches

Please list publications that are closely related to your IP. Please also list closely related patents (conduct a patent search using keywords at <https://patentscope.wipo.int/search/en/search.jsf> and/or <https://www.lens.org/lens/>) and attach a list of the keywords used and results obtained.

Publication details	Relevance to the IP

Commercialization

Market Information

Please list companies you have contacted, those you think are active in the area, or who want to develop a new product line. When possible please give contact information (we'll consult you before we get in touch with them).

Company	Contact details	Scope of interest and/or relevance to IP

Declaration

- I have discussed this intellectual property with the Office or Research and Sponsored Programs
- I have discussed the content of this intellectual property disclosure and obtained consent for its submission with my co-inventor/s and co-contributor/s

APPENDIX 6

CENTRAL INSTITUTIONAL REVIEW BOARD AND UNIVERSITY OF GUAM PRIVACY BOARD

(Privacy Board provisions adapted from the University of Hawai'i Privacy Board)

Central Institutional Review Board (CIRB)

The NCI Central Institutional Review Board is dedicated to protecting the rights and welfare of participants in cancer clinical trials. Institutions across the country rely on our national experts to ensure that clinical trials are reviewed efficiently and with the highest ethical and quality standards. We play a critical role in helping the National Cancer Institute accelerate scientific discovery and improve cancer prevention, treatment and care

Approval of Cancer Clinical Trials on Guam-Ceding to the CIRB

On matters pertaining to cancer clinical trials review, the Guam CHRS-IRB acknowledges and approves the ceding of its review to the CIRB for the National Cancer Institute for approval of cancer clinical trials in Guam.

Guam Privacy Review Board Purpose

The UOG Privacy Board (UOG-PRB) is charged with reviewing all clinical trials submitted to the CIRB in order to assess the need for and provide authorization to conduct limited screening of protected health information preparatory to research. Members are qualified and demonstrate the qualities required to protect human subjects.

Privacy Review Board Appointments/The Vice Provost of the ORSP roles:

- Solicits nominations and referrals
- Nominates and appoints all members
- Appointment letters
- Designates the Chair of the Privacy Review Board or may assign the IRB Chair to serve concurrently as the Privacy Board Chair.
- Provides administrative support to the Privacy Review Board related to maintaining all files for the Privacy Board

Board Composition

The UOG Privacy Review Board consists of a minimum of three members at all times.

Protected Health Information (PHI)

Individually identifiable health information is information that is a subset of health information, including demographic information collected from an individual, and (1) is created or received by a health care provider, health plan, employer, or health care clearinghouse; and (2) relates to the past, present, or future physical or mental health or condition of an individual; the provision of health care to an individual; or the past, present, or future payment for the provision of health care to an individual; and (i) that identifies the individual; or (ii) with respect to which there is a reasonable basis to believe the information can be used to identify the individual.”

The UOG PRB may use an expedited review procedure if the research involves no more than minimal risks to the privacy of individuals.

If an expedited review is chosen as the review procedure, the review and approval may be carried out by the chair or by a member designated by the chair. Issues requiring a vote will be passed by a simple majority at a convened meeting of the membership.

Other Provisions and Guidelines. As part of the UOG-PRB collaboration, if any of the above provisions do not address a particular issue or concern, the UOG-PRB may consider the established provisions of the UH-Privacy Review Board policies and guidelines to resolve and guide the business of the UOG-PRB and intended only as interim guideline.

***** END OF MANUAL *****



UNIVERSITY OF GUAM
UNIBETSEDÁT GUÅHAN
Board of Regents

Resolution No. 22-06

**RELATIVE TO AWARDING EMERITUS PROFESSOR OF PLANT PATHOLOGY
STATUS TO DR. ROBERT L. SCHLUB**

WHEREAS, the University of Guam (UOG) is the primary U.S. Land Grant institution accredited by the Western Association of Schools and Colleges Senior College and University Commission serving the post-secondary needs of the people of Guam and the Western Pacific region;

WHEREAS, the authority to bestow the title of Emeritus Professor is vested in the Board of Regents (BOR) resolution 1987 and the criteria and procedures were revised by BOR resolutions in 1999, 2001, and 2019;

WHEREAS, Dean Lee Yudin of the College of Natural and Applied Sciences has nominated Dr. Robert Schlub for the title of Emeritus Professor;

WHEREAS, the *Rules, Regulations, and Procedures Manual*, Article V, Chapter A. Faculty Input, Section 13. Emeritus(a) Professor provides the criteria for Professors Emeritus, to include 15 years of service as a faculty member, attainment of tenure at the Associate Professor or Professor rank; and significant contributions to the University of Guam;

WHEREAS, Dr. Schlub has 27 years of service as a faculty member at UOG;

WHEREAS, Dr. Schlub attained the rank of tenured, Extension Specialist V;

WHEREAS, Dr. Schlub has distinguished himself through his research, securing extramural funding in excess of two million dollars, serving as the local and regional Integrated Pest Management coordinator, consulting and delivering workshops on ironwood decline, soil fertility, plant disease diagnostics, fungal leaf pathogens and diseases; and his extensive publication record and contributions to agricultural study, phytopathology, and disease prevention on Guam, the Commonwealth of the Northern Mariana Islands, and throughout Micronesia;

WHEREAS, the enclosed nomination was reviewed and recommended for approval by the Senior Vice President & Provost and the President; and


WHEREAS, the Academic, Personnel and Tenure Committee has reviewed the enclosed nomination and recommends to the BOR to award the title of Emeritus Professor of Plant Pathology status to Dr. Schlub.

NOW, THEREFORE, BE IT RESOLVED, that the BOR hereby bestows the title of Emeritus Professor of Plant Pathology status to Dr. Robert Schlub, effective the date of this resolution.

Adopted this 24th day of February, 2022.


Liza J. Provido, Chairperson

ATTESTED:


Thomas W. Krise, Ph.D., Executive Secretary



Emeritus Professor Nomination Form

Please refer to the University of Guam (UOG) Board of Regent's Bylaws Booklet of Appendices for full criteria, deadlines, and processes. A current curriculum vitae describing nominee's endeavors in research, teaching, and/or community service **must** be submitted with this form.

Nominee Information

Name of Nominee: Robert Schlub

Title (at Retirement): Professor Emeritus of Plant Pathology
Unit: Cooperative Extension and Outreach

Faculty Start date: 1 / 16 / 1995 Date of Retirement: 01 / 22 / 2022

Mailing Address: P.O. Box 5206, UOG Station, Mangilao, Guam 96923

Email address: rlschlub@gmail.com Contact Number(s): (671) 734-3346 & (671) 735-2089

Emergency Contact or Next of Kin Information

Name: Joanne Schlub

Mailing Address: P.O. Box 5206, UOG Station, Mangilao, Guam 96923

Email address: joannediluccaschlub@gmail.com Contact Number(s): (671) 734-3346 & (671) 735-2089

Nominator Information

(Complete this section only if you are not the nominee.)

In addition to self-nominations, a nomination must originate from any full-time faculty member, the Dean or Director of the Unit, or a member of the Society of Emeritus Professors and Retired Scholars (SEPRS).

Name of Nominator: Lee Yudin

Relationship to the Nominee: Dean

Email address: lyudin@triton.uog.edu

Contact Number(s): 671 735-5331

Criteria for Emeritus(a) Professor

(Nominee *must* meet all three (3) criteria for eligibility)

1. Tenured faculty at the minimum rank of Associate Professor/Extension Agent IV or Professor/Extension Specialist at UOG at the time of retirement.
2. Has at least fifteen (15) years of service as a full-time faculty member or a combination of said years of service as a full-time faculty and academic administrator at UOG.
3. Has been reviewed using the following procedures to confirm that he/she has made significant contributions to UOG

Nomination Procedures for Emeritus(a) Professor

1. The faculty nomination process for the status of Emeritus(a) Professor may begin during the last year of employment prior to retirement from UOG, provided that said status, if granted before retirement, shall only become effective the day after the date of official retirement from the University.
2. Nominations for Emeritus(a) Professor status may originate from any full-time faculty member, the individual being nominated, the Dean or Director of the Unit, or a member of the Society of Emeritus Professors and Retired Scholars (SEPRS)
3. Nominations for the titled status of Professor Emeritus(a) shall begin with the submission of the nomination form, with a current curriculum vitae (CV) attached, to the Dean or Director of the Unit from which the nominee is serving or has retired.
4. Dean or Director Review. Upon receipt of the nomination form and the current CV, the Dean or Director may notify and solicit remarks from the college or unit concerning the nominee. The recommendation of the Dean or Director and all the documents pertaining thereto, shall be forwarded within ten (10) business days from receipt of the nomination package to the Senior Vice President of Academic & Student Affairs (SVP-ASA). In the event that a Dean or Director does not take action by the specified deadline for review, the nomination shall proceed forward to the next stage of review with the nominator or nominee providing the SVP-ASA with a copy of the nomination package.
5. SVP-ASA Review. The SVP-ASA shall have fifteen (15) business days to review the nomination package. Upon receipt of the nomination package, the SVP-ASA will notify the President of SEPRS of an application under review. During this review period, the SVP-ASA may notify and solicit remarks from the university community concerning the nominee. The recommendation of the SVP-ASA and all documents pertaining thereto, shall be forwarded to the President. In the event that the SVP-ASA does not take action by the specified deadline for review, the nomination shall proceed forward to the next stage of review with the nominator or nominee providing the President a copy of the nomination package.
6. UOG President Review. The President shall have up to ten (10) business days from the recommendation receipt date to review and submit a recommendation for approval, if applicable, to the appropriate BOR committee before submission to the BOR for action.

7. The BOR shall have the final determination concerning the granting of the Emeritus(a) status. It is the responsibility of the Executive Secretary of the BOR to notify both the newly granted Emeritus(a) Professor and the President of the SEPRS of the conferred status. The newly granted Emeritus(a) Professor shall be presented with a certificate of recognition of status by the UOG President.
8. Emeritus(a) Professor status is permanent. Emeritus Professors who are deceased shall have their name in the Catalog and Bulletin in perpetuity. However, the BOR shall have the authority to withdraw the Emeritus(a) Professors status with just cause.
9. It is the responsibility of the Emeritus(a) Professor to maintain contact on at least a yearly basis with SEPRS. The President of SEPRS will submit an annual report of activities to the SVP-ASA. This annual report will be distributed to the UOG President, BOR, deans, directors, and university community.

Nomination Letter

October 20, 2021

TO: Dr. Lee S. Yudin
Dean/Director
CNAS/WPTRC

FROM: Robert L. Schlub
Professor Emeritus of Plant Pathology

RE: Professor Emeritus Nomination for Dr. Robert L. Schlub

I would like to nominate myself for Professor Emeritus at the University of Guam. I joined the University of Guam faculty in 1995, achieved the rank of Extension Specialist V in 2004 and plan to retire in January 2022. Areas of concentration over the past 27 years include extension and university education, off-island collaboration, publishing extension and research manuals and articles, university service, research, and extramural funding. Time dedicated to these areas of concentration fall into 5 Comprehensive Faculty Evaluation System roles (CFES): Extension, Instruction, Creative/Scholarly, Service, and Research. My application to the Society of Emeritus Professors is not simply based on number of activities and years of service but also on my dedication, commitment, and productivity while a faculty member at the University of Guam.

As a 100% extension faculty appointee, at least 60% of my CFES has been dedicated to extension activities. Over the years I have been directly involved with the diagnoses of hundreds of plant samples and the writing of over 30 fact sheets and 12 newspaper articles. I have been Guam's Integrated Pest Management (IPM) coordinator at the local and regional level for the past 20 years.

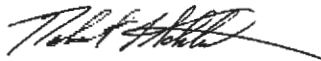
My participation in university and extension instruction began in my first year at UOG and continued into 2021. Though university instruction was considered a secondary role for me, I taught roughly 250 students over the course of 135 credit hours. Lecture and laboratory sections were taught for AL 101 Introduction to Agriculture, AL 340 Pest Management, and AG 425 Plant Diagnostics. Extension instruction consisted mainly of one-on-one consultations with clients, with occasional guest speaker appearances at high school or university classes, field days, and workshops. Major workshops which were funded by extramural sources and which involved participants and instructors from off island included: 2009, Ironwood Decline Conference; 2011, Soil Fertility and Nutrient Management workshop; 2016, Plant Disease Diagnostics Training for Agricultural Professionals; and 2021, Training for Agricultural Professionals on the Identification of Prevalent Fungal Leaf Pathogens and their Diseases.

The process of creative/scholarly inquiry has been the cornerstone of activities that lead to the writing of extensive production guides and reference manuals: 1998, Guam Cucurbit Guide; 2013, Gago, Guam ironwood tree, *Casuarina equisetifolia*: past, present, future; 2011, Soil Fertility and Nutrient Management for Guam and the Northern Mariana Islands; 2016, Eggplant, Pepper, and Tomato Production Guide for Guam; and 2018, Index of Plant Diseases in Guam.

My contributions to the service of UOG and the community included chairing and membership on various university and college committees. Highlights of my university service include: 1997 Chair, College of Agriculture Academic Master Plan Committee; 2001 Chair of the Agriculture and Natural Resources Unit; 2001 Secretary of the University Faculty Senate; 2004 Chair of the Agriculture Degree Program; 2004 Member of the University Promotion and Tenure Committee;

and 2020 Graduate faculty of the Sustainable Agriculture, Food, and Natural Resources program. My contribution to the community of Guam is centered around being an active member of the Guam Territorial Band for the past 23 years. In addition to supporting the band, I have played in numerous musicals and Guam Symphony concerts.

Of all my accomplishments, perhaps the most distinguishing are my successes of securing extramural funding and research. During the course of my career, I have been awarded PI on over 30 projects totaling over 2 million dollars. Grants of exceptional merit include: 2001-2003 grant for \$159,450 on management practices for watermelon in tropical climates; 2003-2005 grant for \$163,150 on the impact of invasive weeds on the occurrence of the target spot leaf pathogen; 2004-2007 grant for \$241,815 on the characterization of the species *Corynespora cassiicola* and its impact on quarantine regulations; 2019-2022 grant for \$304,263 on restoring *Casuarina equisetifolia* as an agroforestry species in Guam through replacement of bacterial wilt infected tree and research into bacterial microbiomes and associated termites. During my tenure at UOG, I have authored or co-authored over 45 abstracts, proceedings, and refereed journal articles. Journal articles of note include: 2009, Host Specialization and Phylogenetic Diversity of *Corynespora cassiicola*. *Phytopathology* 99:1015-1027; 2015, Identification and Characterization of Bacteria Associated with Decline of Ironwood (*Casuarina equisetifolia*) in Guam. *Australasian Plant Pathol.* 44:225-234; 2015, Specific Detection of *Klebsiella variicola* and *Klebsiella oxytoca* by Loop-mediated Isothermal Amplification. *Plant Pathol Microbiol* 6:271; 2019, *Ralstonia solanacearum*, *Ganoderma australe*, and Bacterial Wetwood as Predictors of Ironwood Tree (*Casuarina equisetifolia*) Decline in Guam. *Australasian Plant Pathol.* 48, 625–636; and 2019, Morphological and Molecular Species Identification of Termites Attacking Ironwood Trees, *Casuarina equisetifolia*, in Guam. *J. Econ Entomol.* Aug 3:112(4):1902-1911.



Sincerely,
Robert L. Schlub, PhD
Extension Specialist

Dean/Director Recommendation

Nominee's Name: Lee Yudin

Based on the attached nomination form and current curriculum vitae, the applicant has distinguished himself/herself by making significant contributions to the UOG in research, teaching, and/or service.

YES [] NO

Therefore, awarding the status of Emeritus(a) Professor to this nominee is:

RECOMMENDED [] NOT RECOMMENDED


Lee Yudin (Nov 23, 2021 17:33 GMT+10)

Director/Dean/Other

11 /23 /2021
Date

Comments:

I think Dr. Schlub is more than worthy to be one of CNAS Emeritus Professor. Many productive years of service and is thought quite highly locally, regionally and nationally. His work with Guam's Iron Wood decline has brought special attention to many reseachers worldwide.

Orana Elagiron

Senior Vice President for Academic and Student Affairs (SVP-ASA) Recommendation

Nominee's Name: Robert L. Schlub, Ph.D.

The President of SEPRS was notified of this application. Date: 11 /24 /21 /

Based on the attached nomination form and current curriculum vitae, the applicant has distinguished himself/herself by making significant contributions to UOG in research, teaching, and/or service.

YES [] NO

Awarding the status of Emeritus(a) Professor to this nominee is:

RECOMMENDED [] NOT RECOMMENDED


Anita Borja Enriquez (Nov 24, 2021 15:39 GMT+10)
SVP-ASA

11 /24 /21 /
Date

Comments:

Alabago

President's Recommendation to the Board of Regents

Nominee's Name: Robert Schlub

Based on the attached nomination form and current curriculum vitae, the applicant has distinguished himself/herself by making significant contributions to UOG in research, teaching, and/or service.

YES [] NO

Awarding the status of Emeritus(a) Professor to this nominee is:

RECOMMENDED [] NOT RECOMMENDED


Thomas Krise [Jan 6, 2022 14:44 GMT+10]

President

01 /06 /21 /
Date

Comments:

Whole-heartedly endorsed

Curriculum Vitae

Robert L. Schlub
University of Guam Cooperative Extension
College of Natural and Applied Sciences
Mangilao, Guam 96923
rlschlub@triton.uog.edu
Phone 1-671-735-2089

Education and Related:

- 2004: First International Workshop for the Morphological Molecular Characterization of the Stramenopiles: *Phytophthora* and *Pythium*
- 1979-1980: Soilborne Diseases Laboratory, Beltsville, Maryland
- 1976-1979: Michigan State University
Doctor of Philosophy, major Plant Pathology
Dissertation: Etiology and epidemiology of *Pythium ultimum* pre-emergence damping-off of soybean and of *Fusarium* species as secondary pathogens
- 1973-1975: Ohio State University
Master of Science, major Plant Pathology
Thesis: Effects of soybean seed coat cracks on seed exudation and seedling vigor in *Pythium ultimum* infested soil.
- 1969-1973: Ohio State University
Bachelor of Science, major Plant Pathology

Employment and Responsibilities:

- 2004-Present: University of Guam: Extension Specialist / Professor, overall responsibilities remain the same at UOG with the addition of membership in the Western Plant Diagnostic Network.
- 1999-2004: University of Guam: Extension Agent IV / Associate Professor, over all responsibilities remain the same at UOG with the addition of IPM coordinator.
- 1995-1999: University of Guam: Extension Agent III / Assistant Professor, conduct educational programs and provide technical assistance to various clientele on issues related to plant pathology and horticulture. The position is

100% extension funded with extension as the primary endeavor. Research, teaching, and university service are required secondary endeavors.

- 1984-1995: Self-employed: Assistant Director and part owner, teach and develop math and science curriculum and assist in general operations of the school.
- 1980-1984: Louisiana State University: Assistant Professor / Extension Plant Pathologist, screen sugarcane varieties for disease tolerance, serve as extension plant pathologist for sugarcane industry, conduct research on sugar cane and assist with graduate program.
- 1979-1980: USDA Soilborne Diseases Laboratory: Post-Doctoral Research Scientist, research the ecology and epidemiology of *Phytophthora* blight of bell pepper and assess current cultural and chemical recommendations.
- 1976-1978: Michigan State University; Graduate Assistant, develop slide-tape presentations on ornamental, vegetable, fruit tree, and turf diseases for use in Botany and Plant Pathology classes.
- 1973-1974: Ohio State University: Graduate Assistant, assist with diagnosing diseases and clientele notification for the Ohio State Disease Clinic.

Research Activities:

- 2019-current: Foliar leaf pathogens in Guam
- 2017-current: *Phellinus noxius* in Guam
- 2010-current: Ralstonia, Ganoderma, wetwood bacteria as predictors of *Corynespora cassiicola* decline
- 2004-current: Termites of *Casuarina equisetifolia* in Guam
- 2004: *Corynespora cassiicola* as a bioherbicide for *Stachytarpheta jamaicensis*.
- 2002-2004: Host range of *Corynespora cassiicola* and its occurrence on weeds,
- 2002-current: Etiology of *Casuarina equisetifolia* (Austrian Pine) decline on Guam
- 2002 Cultivar evaluation of vegetable soybeans on Guam
- 1998-2000: Occurrence and severity of diseases of eggplant, pepper, and tomato on Guam
- 1995-current: Plant diseases in Guam
- 1995-1997: Occurrence and severity of cucurbit diseases on Guam
- 1980-1984: Disease evaluation of Sugarcane in Louisiana
- 1984: Survival of *Ustilago scitaminea* chlamydospores in soil
- 1982: Use of Hot water and aerated steam for the control of ratoon stunt
- 1982: Epidemiology and control of *Phytophthora capsici*
- 1976-1979: Etiology of soybean seedling rot
- 1973-1975: Role of seed exudation in *Pythium ultimum* seed rot

Journal Publications / Articles / Published Proceedings:

- 2020: Paudel, S., Dobhal, S., Lowe-Power, T., Schlub, R.L., Allen, C., Alvarez, A.M., Arif, M. (2020a) PCR multiplex to differentiate *Ralstonia solanacearum* species complex, including *R. solanacearum*, *R. pseudosolanacearum* and Select Agent R3bv2 strains. On-line APS Annual meeting Aug 10-14.
- 2020: Paudel, S., Dobhal, S., Stulberg, M.J., Rascoe, J., Nakhla, M.K., Seo, H.N., Schlub, R.L., Alvarez A.M. Arif, M. (2020b) Field deployable recombinase polymerase amplification assay for rapid and accurate detection of *Ralstonia solanacearum* species complex. On-line APS Annual meeting Aug 10-14.
- 2020: Stewart, J.E., Kim, M., Ota, Y., Sahashi, N., Hanna, J.W., Akiba, M., Ata, J.P., Atibalentja, N., Brooks, F., Chung, C., Dann, E., Farid, A.M., Hattori, T., Lee, S.S., Otto, K., Pegg, G., Schlub, R.L., Shuey, L., Tang, A.C., Tsai, J., Cannon, P.G., & Klopfenstein, N. (2020). Phylogenetic and population genetic analyses reveal three distinct lineages of the invasive brown root-rot pathogen, *Phellinus noxius*, and bioclimatic modeling predicts differences in associated climate niches. *European Journal of Plant Pathology*, 156, 751 - 766. DOI: [10.1007/s10658-019-01926-5](https://doi.org/10.1007/s10658-019-01926-5)
- 2019: Ayin, C.M., Alvarez, A.M., Awana, C., Schleinzer, F.M., Marx, B.D., Schlub, R.L (2019) *Ralstonia solanacearum*, *Ganoderma australe*, and bacterial wetwood as predictors of ironwood tree (*Casuarina equisetifolia*) decline in Guam. *Australasian Plant Pathol.* 48, 625-636
doi:10.1007/s13313-019-00666-8.
- 2019: Jong-Seok Park, Claudia Husseneder, Robert L Schlub (2019) Morphological and Molecular Species Identification of Termites Attacking Ironwood Trees, *Casuarina equisetifolia* (Fagales: Casuarinaceae), in Guam, *Journal of Economic Entomology*, toz097, <https://doi.org/10.1093/jee/toz097>
- 2017: Schlub, R.L. 2017. Pathogens linked to the decline of *Casuarina equisetifolia* (ironwood) on the Western Pacific tropical island of Guam. 2017 The 56th Meeting of the APS Caribbean Division was held February 26 - March 2, 2017 in San Jose Costa Rica.
- 2017: Schlub, R.L. 2017. Plant diseases of the Western Pacific tropical island of Guam. The 56th Meeting of the APS Caribbean Division was held February 26 - March 2, 2017 in San Jose Costa Rica.

- 2017: Schlub, R.L., Marutani, M., Padmanabhan, C., Zhangium, F., and Ling, K. 2017, Survey and identification of viruses infecting tomato crops in Guam. APS Annual meeting San Antonio, TX. Phytopathology 617-P.
- 2016: J. Stewart (1), N. Sahashi (2), T. Hattori (2), Y. Ota (2), L. Shuey (3), R. Schlub (4), N. Atibalentia (5), F. Brooks (6), A. Tang (7), R. Lam (7), M. Leung (8), L. Chu (9), H. Kwan (9), A. Mohd Farid (10), S. Lee (10), C. Chung (11), H. Lee (11), Y. Hua. 2016. Phylogenetic and population analyses of the brown root-rot pathogen (*Phellinus noxius*) highlight the existence of two distinct populations. APS Annual meeting Tampa, Florida. Phytopathology 106: 78-0.
- 2016: Klopfenstein, N.B.; Pitman, E.W.I.; Hanna, J.W.; Cannon, P.G.; Stewart, J.E.; Sahashi, N.; Ota, Y.; Hattori, T.; Akiba, M.; Shuey, L.; Schlub, R.L.; Brooks, F.; Atibalentja, N.; Tang, A.M.C.; Lam, R.Y.C.; Leung, M.W.K.; Chu, L.M.; Kwan, H.S.; Farid bin Ahmad, M.; Lee, S.S.; Lee, H.-H.; Tsai, J.-N.; Huang, Y.-C.; Chung, C.-L.; Liou, R.-F.; Kim, M.-S. 2016. A preliminary bioclimatic approach to predicting potential distribution of *Phellinus noxius* and geographical areas at risk from invasion. pp. 137-139 in: Ramsey, A.; Palacios, P., compilers. Proceedings of the 63rd annual Western International Forest Disease Work Conference. 21-25 September 2015, Newport, OR.
- 2015: Yasuhara-Bell J, Ayin C, Hatada A, Yoo y, Schlub RL, Alvarez AM (2015) Specific detection of *Klebsiella variicola* and *Klebsiella oxytoca* by loop-mediated isothermal amplification. Plant Pathol Microbiol 6:271.
- 2015: Ayin, C.M., Schlub, R.L Yasuhara-Bell, J., Alvarez, A.M. 2015 Identification and characterization of bacteria associated with decline of ironwood (*Casuarina equisetifolia*) in Guam. Australasian Plant Pathol. (2015) 44:225-234.
- 2015: Cannon, P.G., Klopfenstein, N.B., Schlub, R.L., Kim, M., Ota, Y., Sahashi, N., and S.M. 2015. DNA-based characterization of wood, butt and root rot fungi from the western Pacific Islands. Poster.
- 2014: Ashiglar, S.M., Cannon, P.G., Schlub, R.L., Kim, M., Ota, Y., Sahashi, N., and Klopfenstein, N.B. (2014) DNA-Based Characterization of Wood-Butt and Root-Rot Fungi from the Western Pacific Islands. In 2014 Proceedings of the 62nd Annual Western International Forest Disease Work Conference; September 8-12, Cedar City, UT. pp-41-44.
- 2014: Schlub, R., Schlub, K., Brown, R., and Cannon, P.G. 2014. Early results of *Casuarina equisetifolia* provenance trial in Guam and advances in

research on its decline. 2014 APS annual meeting Minneapolis, Minnesota, *Phytopathology* 104: 207-P.

- 2013: Ayin, C.M., Schlub, R.L., and Alvarez, A.M. 2013. Identification of bacteria associated with decline of ironwood trees (*Casuarina equisetifolia*) in Guam. Poster in proceedings of 2013 APS annual meeting Austin, Texas, *Phytopathology* 103:P422.
- 2013: Schlub, R.L., Schlub, K.A., Alvarez, A.M., Aime, M.C., Cannon, P.G., and Persad, A. 2013. Integrated Perspective on Tree Decline of Ironwood (*Casuarina equisetifolia*) on Guam. In: Brown, J., Comp. 2013 Proceedings of the 60th Annual Western International Forest Disease Work Conference; 2012 October 8-12, Lake Tahoe, CA. pp. 51-60. <http://www.cnr.usu.edu/quinney/htm/publications/wifdwc>
- 2012: Schlub, R.L., Mendi, R.C., Aiseam, C.C., Mendi, R.C., Davis, J.K., and Aime, M.C. 2012 Survey of wood decay fungi of *Casuarina equisetifolia* (ironwood) on the islands of Guam and Saipan. Poster, APS Society Annual meeting Providence, Rhode Island, USA.
- 2012: Schlub, R.L., Bamba, j., and Brown, R. 2012 Investigating a tomato virus on Guam. Poster, 7th International IPM Symposium, Memphis, Tennessee, USA.
- 2011: Schlub, R.L., Moorc, A., Marx, B., Schlub, K., Kennaway, L., Quintanilla, M., Putnam, M., Mersha, Z., 2011. Decline of *Casuarina equisetifolia* (ironwood) trees on Guam: Symptomatology and explanatory variables. *Phytopathology* 101:S216.
- 2010: Mersha, Z., Brown, R.W., and Schlub, R. L. 2010. Enhancing Guam's agriculture professionals' knowledge of ecological disease management. Poster in proceedings of 2010 APS annual meeting Charlotte, North Carolina: *Phytopathology* 100:S82.
- 2010: Mersha, Z., Schlub, R. L., Spaine, P.O., Smith J.A., and Nelson, S.C. 2010. Visual and quantitative characterization of ironwood tree (*Casuarina equisetifolia*) decline on Guam. Poster in proceedings of 2010 APS annual meeting Charlotte, North Carolina: *Phytopathology* 100:S82.
- 2010: Mersha, Z., Schlub, R.L., Spaine, P., Smith, J., Nelson, S., Moore, A., McConnell, J., Pinyopusarerk, K., Nandwani, D., and Badilles, A., 2010. Fungal Associations and Factors in *Casuarina equisetifolia* decline. Poster in proceedings of 9 th International Mycological Congress Edinburgh, UK: IMC9: P3.268.

- 2010: Schlub, K.A., Marx, B.D., Mersha, Z., Schlub, R.L. 2010. Investigating the ironwood tree (*Casuarina equisetifolia*) decline on Guam using applied multinomial modeling. Poster in proceedings of 2010 APS annual meeting Charlotte, North Carolina: Phytopathology 100:S115.
- 2010: Schlub, R.L., Mersha, Z., Aime, C.M., Badilles, A., Cannon, P.G., Marx, P.G., McConnell, J., Moore, A., Nandwani, D., Nelson, S.C., Pinyopusarerk, K., Schlub, K.A., Smith, J.A., and Spaine, P.O. 2010. Guam Ironwood (*Casuarina equisetifolia*) Tree Decline Conference and Follow-up. Proc. 4th International Casuarina Workshop, March 22-25, 2010 Haikou, China.
- 2009: Dixon, L. J. Schlub, R.L., Pernezny, K. L., and Datnoff, L. E. 2009. Host Specialization and Phylogenetic Diversity of *Corynespora cassiicola*. Phytopathology 99:1015-1027.
- 2009: Mersha, Z. and R. L. Schlub. 2009. The state of ironwood (*Casuarina* subsp. *equisetifolia*) decline on the Pacific island of Guam. Phytopathology 98: P474.
- 2009: Smith, L. J., Datnoff, L. E., Pernezny, K. L., Rollins, J. A., Schlub, R. L., 2009. Phylogenetic analyses of diverse *Corynespora cassiicola* isolates indicate an evolutionary correlation with host not geography, 9th European Conference on Fungal Genetics, April 5-8, Meeting Abstracts, Edinburgh, Scotland. p. 238.
- 2009: Schlub, R., K. Pernezny, L.E. Datnoff, L. Smith. 2009. An overview of target spot of tomato caused by *Corynespora cassiicola*. Acta Hort. (ISHS) 808:25-28.
- 2009: Smith, L. J., L. E. Datnoff, J. A. Rollins, K. L. Pernezny, and R. L. Schlub. 2007. High Genetic Diversity within *Corynespora cassiicola* based on Multilocus Sequence Data, Pathogenicity, and Growth Rate. Acta Hort. (ISHS) 808:51-56.
- 2007: Smith, L. J., L. E. Datnoff, J. A. Rollins, K. L. Pernezny, and R. L. Schlub. 2007. Phylogenetic Analysis of *Corynespora* Isolates from Diverse Hosts and Locations. Phytopathology 97:S109.
- 2007: Smith, L. J., R. L. Schlub, L. E. Datnoff. 2007. Diagnostic features of *Corynespora cassiicola* and its associated diseases. National Plant Diagnostic Network Meetings, Jan 28-31.
- 2005: Marutani, M., J. Tuquero, R. Schlub and J. McConnell. 2005. Response of vegetable crops to mycorrhizal inoculation in a calcareous soil in the

- tropics. HortScience 40:1000. (Abstract) Presented at the 102nd Annual Conference of the American Society for Horticultural Science.
- 2005: L. J. Smith, L. Datnoff, K. Pernezny, P. Roberts, J. Rollins, R. L. Schlub, J. Scott 2005. Characterization, host-range, and resistance of tomato cultivars to the tomato target spot fungus, *Corynespora cassiicola*. Florida Tomato Institute Proceedings.
- 2005: Smith, L.J. and Schlub, R.L. 2005. Foliar fungi on weeds of Guam and the potential for *Corynespora cassiicola* as a bioherbicide for *Stachytarpheta jamaicensis*. Phytopathology 95:S93.
- 2005: McConnell, J. Marutani, M., R. Schlub, L. Raulerson, L. Gutierrez and G. Perez. 2005. Production of the print-on-demand publication "Weeds of Guam." HortScience 40: 1028. (Abstract)
- 2004: Smith, L.J. and Schlub, R.L. 2004. Host range of *Corynespora cassiicola* and its occurrence on weeds, ornamentals and crops of Guam. Phytopathology 94:S97.
- 2003: Schlub, R.L. 2003. The need for diagnostic keys in production guides. 4th National Integrated Pest management Symposium abstracts.
- 2002: Marutani, M. and Schlub, R.S., 2002. Cultivar evaluation of vegetable soybeans on Guam. Micronesica Supplement 7:93-100.
- 2002: Schlub, R.L. 2002. Occurrences and severity of diseases of eggplant, pepper, and tomato on Guam. Phytopath. Vol:92-6, S73.
- 1985: Schlub, R.L., Grenlen, L.B. and Kamso-Pratt, J.M. 1985. Germination of *Ustilago scitaminer* chlamydospores in soil. Indian J. Agr. Sci. 55:110-114.
- 1983: Schlub, R.L. 1983. Epidemiology of *Phytophthora capsici* on bell pepper. J. Agri. Sci. 100:7-12.
- 1983: Schlub, R.L. and Grelen, L.B. 1983. Influence of hot water and aerated steam treatments on sugarcane germination. The Sugar Journal 46:4-5.
- 1982: Schlub, R.L., and Johnson, S.A. 1982. Control of *Phytophthora* on pepper using captafol and methalaxy. The Philippine Agriculturist 65:215-219.
- 1981: Schlub, R.L., and Lockwood, J.L. 1981. Etiology and epidemiology of *Pythium ultimum* seedling rot of soybean. Phytopathology 71:134-138

- 1981: Schlub, R.L., and Lockwood, J.L, and Komada, H. 1981. Colonization of soybean seeds and plant tissue by *Fusarium* species in soil. *Phytopathology* 71:693-696.
- 1979: Schlub, R.L., and Main, J.W. 1979. Portable recorder for the continuous monitoring of soil moisture resistance blocks. *J. Agr. Engng. Res.* 24:319-323.
- 1978: Schlub, R.L., and Schmitthenner, A.F. 1978. Effects of soybean seed coat crack on seed exudation and seedling quality in soil infested with *Pythium ultimum*. *Phytopathology* 68:1186-1191.
- 1977: Schlub, R.L., and Schmitthenner, A.F. 1977. Disinfecting soybean seed by fumigation. *Plant Dis. Rep.* 61:470-473.

Manuals for the University of Guam:

- 2019: Schlub, R. L. (2019) Gago, Guam ironwood tree, *Casuarina equisetifolia*: past, present, future. (Original 2013), Guam Cooperative Extension Service Publication, available from <https://cnas-re.uog.edu/wp-content/uploads/2019/07/WSARE-Updated-ironwood-manual-06082019.pdf>
- 2018: Schlub R.L. (2018) Index of Plant Diseases In Guam, http://cnas-re.uog.edu/wp-content/uploads/2018/07/Submitted_Index-of-Plant-Diseases-in-Guam-Version-2-07142018.pdf
- 2016: Schlub RL (2016) Plant Disease Diagnostic Manual for Agricultural Professionals In Guam and the Northern Mariana Islands [Online Manual] Retrieved from <https://cnas-re.uog.edu/expertise/plant-pathology/2016-plant-disease-diagnostic-training-online-manual/>
- 2002: Schlub RL and Yudin L (2002) Eggplant, pepper, and tomato production guide for Guam, (2nd ed 2016), University of Guam, UOG Station: Mangilao, Guam, 79-104 <http://cnas-re.uog.edu/wp-content/uploads/2016/06/Eggplant-Pepper-and-Tomato-Production-Guide-on-Guam-2nd-E-Web.pdf>
- 1998: Yudin L and Schlub R eds. (1998) Guam cucurbit guide, (2nd ed 2014), University of Guam UOG Station: Mangilao, Guam 20-33 <http://cnas-re.uog.edu/wp-content/uploads/2016/06/Guam-Cucurbit-Guide-2014-2nd-Edition-optimized.pdf>

2011: Schlub, R.L. 2011. Soil Fertility and Nutrient Management for Guam and the Northern Mariana Islands. Guam Cooperative Extension Service Publication.
<https://www.dropbox.com/s/v9z7zn9rjpi3cel/resoil%20fertility%20nutrient%20management%202012.pdf>

Grants:

- 2020-2022: Schlub, R.L., Principal Investigator, \$66,013: USDA WSARE PDP: Fungal leaf spots: field, lab, and online tutorial for professionals in Guam and the Northern Mariana Islands
- 2019-2022: Schlub, R.L. Principal Investigator, \$304,263, WSARE Research and Education: Restoring *Casuarina equisetifolia* as an agroforestry Species in Guam through replacement of bacterial wilt infected tree and research into bacterial microbiomes and associated termites
- 2019-2020: Schlub, R.L., Principal Investigator, \$38,000: USDA Farm Bill APHIS grant: Solanaceous/Tomato Commodity Survey – GU
- 2017-2020: Schlub, R.L. Principal Investigator, \$62,000: USDA Forestry Service: Casuarina seed nursery and *Phellinus noxius* awareness and tree evaluation program
- 2020-2022: Schlub, R. L. Principal Investigator, \$70,00 USDA Hatch: Collection, isolation and characterization of the bacterial wilt pathogen, *Ralstonia solanacearum* species complex on the island of Guam
- 2018-2020: Schlub, R. L. Principal Investigator, \$64,000 USDA McIntire-Stennis: Strengthening ironwood tree populations on Guam through genetic diversification, research and public awareness
- 2017-2022: Schlub, R.L., Principal Investigator 2012-2016. \$60,000: Renewable Resources and Education Act grant.
- 2015-2019: Schlub, R.L., Principal Investigator 2015-2019 \$50,000: McIntire-Stennis: Refinement and mitigation of *Casuarina equisetifolia* decline components responsible for tree loss in Guam.
- 2017-2018: Schlub, R.L., Principle Investigator 2017-2018. \$38,200: USDA Farm Bill APHIS grant: Solanaceous/Tomato Commodity Survey GU
- 2016-2017: Schlub, R.L., Principle Investigator 2016-2017. \$38,200: USDA Farm Bill APHIS grant: Solanaceous/Tomato Commodity Survey – GU

- 2015-2016: Schlub, R.L., Principle Investigator 2015-2016. \$38,200: USDA Farm Bill APHIS grant: Solanaceous/Tomato Commodity Survey – GU
- 2014-2017: Schlub, R.L., Principle Investigator 2014-2017. \$97,500: USDA NIFA CPPM-EIP: Extension Implementation Program Area (EIP) For Guam
- 2014-2017: Schlub, R.L., Principle Investigator 2014-2017. \$49,500: USDA WARE Professional Producer grant: Screening tomato varieties for suitability on Guam in response to the arrival of Tomato leaf curl Guam virus in the Western Region.
- 2014-2017: Schlub, R.L., Principle Investigator 2014-2017. \$63,900: USDA WSARE Professional Development grant: Plant Disease Diagnostic Training for Agricultural Professionals in Guam and the Northern Mariana Islands.
- 2012-2016: Schlub, R.L., Principal Investigator 2012-2016. \$60,000: Renewable Resources and Education Act grant.
- 2012-2016: Schlub, R.L., Principal Investigator 2012-2016. \$130,000: USDA Forest Service grant: Guam Casuarina Project.
- 2009-2011: Schlub, R.L., Principal Investigator, \$140,680: Decline of *Casuarina equisetifolia*: a loss to Pacific island agroforestry. USDA-WSARE-Research and Education
- 2009-2011: Schlub, R.L., Principal Investigator, \$49,962: Enhancing Guam's agriculture professional's knowledge of ecological disease management through soil nutrients.
- 2005-2008: Schlub, R.L., Principal Investigator, 2005-2008. \$241,815: Characterization of the Species *Corynespora cassiicola* and its impact on Quarantine Regulations. USDA/CSREES/T-STAR
- 2004: Schlub, R.L., Datnoff, L.E. and Pernezny, K. Characterization of the Species *Corynespora cassiicola* and its impact on Quarantine Regulations. \$241,815 USDA/CSREES/T-STAR
- 2003: Wusstig, E, and Schlub, R.L. (Advisor) 2003. Decreasing dependence on man made fertilizers for crop production in tropical limestone soils. \$5,200 USDA/CSREES/WSARE/FRG
- 2003: Schlub, R.L., Marutani, M., Raulerson, L, 2003-2005. The Impact of Invasive seeds on the Occurrence of the Target Spot Leaf Pathogen. \$163,150 USDA/CSREES/T-STAR

- 2002: Schlub, R.L. Technical Advisor, 2002, \$5,200: Decreasing dependence on man-made fertilizers for crop production in tropical limestone soils. USDA/CSREES/SARE
- 2001-2003: Schlub, R.L. Co-Principal Investigator \$159,450: Field determination of optimal wetted soil volume, irrigation scheduling and nutrient management for watermelon in tropical, shallow, calcareous soils. USDA/CSREES/T-STAR
- 2001: Marutani, M. and Schlub, R.L. 2001-2004. Response of Vegetable Crops to Mycorrhizal Inoculation in a Tropical Limestone Soil. \$125,000 USDA/CSREES/T-STAR
- 1999: Marutani, M., Wescom, R. and Schlub, R.L. 1999-2001 Evaluation and implementation of nitrogen fixing species in hedgerow intercropping in Marianasas. \$139,000 USDA/CSREES/T-STAR
- 1996: Schlub, R.L., and Yudin, L. Strengthening through education the sustainability of Solanaceous crop production in the Western Pacific Region. \$16,000 USDA/CSREES/WSARE
- 1995: Yudin, L. and Schlub, R.L. Guam Cucurbit Guide. Supplemental Plan of work for State/Territory. \$25,000 USDA/CSREES/IPM

Service to the University of Guam:

- 2004-2006: Member of the University Promotion and Tenure Committee.
- 2004-2006: Chair of the Agriculture Degree program
- 2002-2004: Chair of the College Curriculum committee
- 2000-2002: Secretary of the University Faculty Senate
- 2001-2002: Chair of the Agriculture and Natural Resources Unit
- 2000: Member of the University's response committee to the Western Association of Schools and Colleges
- 1999-2000: Member of the University's Program Review Committee.
- 1997-1999: Member of the University's General Education Committee.
- 1997: Chair, University Vision Statement subcommittee of the University of Guam General Education Committee.
- 1997: Chair, College's Academic Master Plan Committee

Service to Regional Agriculture:

- 2004-Present: Western Plant Diagnostic Network subcontractor
- 2001-2005: Steering committee member of the American Pacific Pest Management Information Network

2000-2005: Guam's contact for Distance Diagnostics by Digital Imaging Project
1998-current: Guam's IPM coordinator
2000-2003: Member and Chair of WCC-206 Pacific Basin Tropical Agriculture
Committee.

University Instruction:

2010-current: Pest Management, AG 340, lecture and lab
1995-current: Introduction to Agriculture, AG 101, lecture and lab
2003: Plant Diagnostics, AG 425, lecture and lab

Advisement:

1018-2020: Co-advisor for Master student Sujan Paudel at the University of Hawaii
2004-2008: Co-advisor for Doctoral student Ms. Smith at the University of Florida
2003: Co-advisor for a Master Degree Student Mr. Tuquero in Environmental
Sciences at the University of Guam
1984: Co-advisor for Doctoral Degree Student Mr. Kamso-Pratt at Louisiana
State University

Affiliations:

1997-Present: American Phytopathological Society
2000-2002: Epsilon Sigma Phi
1980-1984: Southern Association of Agricultural Scientists
1980-1984: American Society of Sugar Cane Technologists
1977: Sigma Xi

5.3 PHYSICAL FACILITIES (PF) COMMITTEE

5.3.1 Committee Update



**UNIVERSITY OF GUAM
UNIBETSEDÁT GUÅHAN
Board of Regents**

Resolution No. 22-07

**RELATIVE TO APPROVING THE CREATION OF A STUDENT SECURITY FORCE
FOR THE CAMPUS**

WHEREAS, the University of Guam (UOG) is the primary U.S. Land Grant institution accredited by the Western Association of Schools and Colleges Senior College and University Commission serving the post-secondary needs of the people of Guam and the region;

WHEREAS, the governance and well-being of the University is vested in the Board of Regents (BOR);

WHEREAS, safety concerns have consistently shown up as a student concern on recent student surveys;

WHEREAS, currently, the University has outsourced most of the security function to a private contractor who, due to UOG's budget limitations, provides a single security officer to serve the campus;

WHEREAS, the University has been exploring utilizing a student security force to augment and serve under the private contractor;

WHEREAS, the University has developed a Student Security Handbook to govern the extent of activities of the student security force which includes portraying a security presence to the campus, escorting students to vehicles, checking for locked doors, and other low risk activities;

WHEREAS, the University is planning to do a pilot project with five students paid for with work-study funds and then slowly expanding the program after the concept is proven;

WHEREAS, the President has reviewed this resolution and recommends its approval by the BOR; and

WHEREAS, this Student Security Handbook has been reviewed and endorsed by the Physical Facilities Committee and the Student Affairs, Scholarship, Alumni Relations, and Honorary Degree Committee, and recommend approval by the BOR.

NOW, THEREFORE, BE IT RESOLVED, that the attached Student Security Handbook is hereby approved by the BOR.

Adopted this 24th day of February, 2022.

Liza J. Provideo, Chairperson

ATTESTED:

Thomas W. Krise, Ph.D., Executive Secretary

University of Guam

Student Security Program

Organization

The Safety Administrator is in charge of campus security which means providing a safe and secure environment in which student learning can be achieved. The Safety Administrator is responsible for maintaining a contract with a professional security provider. The Safety Administrator is also authorized to maintain a Student Security Force to augment the professional security provider staff.

Purpose

The University has had the presence of a single contracted security personnel most times throughout the day. The requests for student escorts have been increasing (before the pandemic). Student surveys have indicated that students desire an increased security presence on campus. The development of a Student Security Force is a way of addressing these two issues. The purpose of this program is to meet these needs while providing an employment opportunity and potentially a career development opportunity to students of the University.

Contracted Security

The University primarily maintains security over the campus through the use of a private security firm. The Student Security Force will work under and through the contracted security firm. The Safety Administrator will evaluate the students with input from the contracted security firm.

Observe and Report Only

The Student Security Force is given an Observe and Report mission. The students will be provided with body cameras to record as they move about the campus

Duties and Responsibilities

The first duty of the Student Security Force is to remain safe. If a member of the Security Force feels threatened or in danger in any way, the first priority is to find a safe position.

The Student Security Force may be tasked with any of the following:

- Roam the campus and let their presence be known
- Check to ensure doors are properly locked at the end of the day.
- Escort students to cars
- Make a note of campus lighting that is in need of repair
- Other duties assigned by the Safety Administrator

Training

The Safety Administrator is responsible for ensuring that students are properly trained and outfitted before beginning any assigned work.

Qualifications

The Student Security Force program is to be made up of students of the University of Guam. In order to serve in the Student Security Force program, a student must have been a registered student of the University within one semester of the time the service is provided.

Payment

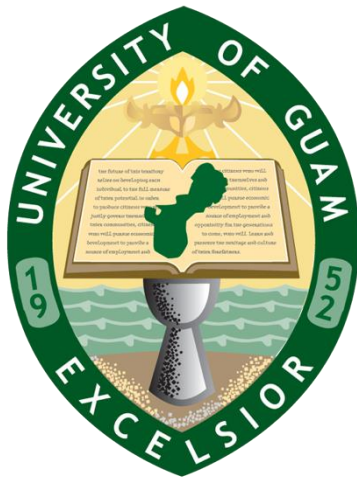
The students employed in the Student Security Force will be paid at the prevailing wage rate of \$11.00/hour . For the initial cadre of students – the “pilot” – funding will come from the work-study program. The pilot project will consist of five students. As the program grows, funding will be augmented or replaced by non-appropriated funding (NAF).

Procedures

Procedures for the program are included in the University of Guam Student Security Handbook which is adopted with this policy.

UOG Board of Regents

Student Security Handbook



University of Guam Student Security Handbook

University of Guam Policy / Procedure Face Sheet Template

Policy Type	<input checked="" type="checkbox"/> Board; <input type="checkbox"/> Board-approved; <input type="checkbox"/> President; <input type="checkbox"/> President-approved; <input type="checkbox"/> Other				
Policy/Procedure Manual Name	University of Guam Student Security Handbook				
Article No.		Article Title			
Insert Policy / Procedure in		_____			
Approval Authority	Board of Regents	Effective	02/24/2022	Most Recent Review	_____
Responsible Executive	VPAF	Resolution No (or other tracking no).	22-__	Date of Next Required Review (date set by Board)	__/__/__
Responsible Office	Safety and Security Office	Revision Tracking			
Policy/Procedure Contact & Website where document is maintained	671.735-2372; garridoa3216@triton.uog.edu https://www.uog.edu/life-at-uog/safety-security				
Who Should Review (not in specific order)	<input type="checkbox"/> Creating group; <input type="checkbox"/> Unit Administrator(s); <input type="checkbox"/> Unit Academic Affairs Committee; <input type="checkbox"/> Human Resources Office; <input type="checkbox"/> Business Office; <input type="checkbox"/> Facilities & Maintenance; <input type="checkbox"/> Institutional Safety Committee; <input type="checkbox"/> Faculty Senate; <input type="checkbox"/> Faculty Union; <input type="checkbox"/> Student Government Association; <input type="checkbox"/> Administrative Council; <input type="checkbox"/> Academic Officers Council; <input type="checkbox"/> Vice President Administration & Finance; <input type="checkbox"/> Senior Vice President & Provost for Academic & Student Affairs; <input type="checkbox"/> UOG General Counsel; <input type="checkbox"/> UOG President; <input type="checkbox"/> UOG Board of Regents; <input type="checkbox"/> Guam Legislature; <input type="checkbox"/> Governor of Guam				
Initiation / Review / Consultation / Approval History	Created by working group: _____, reviewed by _____				

NOTE: All approved changes to policy/procedures need to be made on the hardcopy of this document within 5 workdays and posted on <https://www.uog.edu/policy-procedures-library/> within 10 workdays from the date approved.

University of Guam Student Security

Mission Statement:

The University of Guam (UOG) Safety & Security Student Security Division acts as a bridge between the University and its students. Members of the Student Security Services serve as ambassadors for UOG. Student Security Officers help keep the campus and the student body safe. The purpose of Student Security is to make the UOG Safety & Security Services Office more approachable to university students. By maintaining a security division comprised of peers, students can attach a familiar face to their campus safety. Our goal is to have university students feel more comfortable reaching out for help. Students who work for the Student Security Division will also gain valuable skills to prepare them for careers in fields such as law enforcement, public relations, and sociology.

Student Security Officer: Starting Salary \$ 11.00/hour.

The Student Security Officer position is to help with the performance and supervision of security services on Campus. The primary focus is to provide public safety in a variety of fixed post and patrol assignments, such as: patrolling residence halls, UOG campus buildings, and sporting events.

Requirements:

- Employees must work a minimum of one (1) four-hour shift a week.
 - They must actively check for and read department emails.
 - They must be vigilant while on duty.
 - They must perform assignments as instructed.
 - Residence Hall Patrols
 - Fire Watch
 - Sporting Event Logistics
 - Lost and Found
-

I. CURRENT RESPONSIBILITIES

The UOG Student Security Force is part of the University's Safety & Security Services Office. They are supervised by the UOG Safety & Security Services Office and work closely with the UOG Security Contractor. Student Security Officers provide services such as traffic control and general security.

Current assignments include:

- Residence Hall Patrols
- Student Escorts
- Campus Parking Lot Patrols (including lighting checks)
- Campus Building Patrols
- UOG Athletic Events
- Special events or any other instances where our services may be requested

II. REPORTING EXPECTATIONS

The UOG Student Security Force is the eyes and ears of the campus community. They report all illegal or suspicious activity and UOG rule to either the UOG Safety & Security Office or the UOG Security Contractor.

Reportable activity includes, but is not limited to:

1. All incidents perceivable as misconduct, criminal behavior, or potential risk to life or property
2. All incidents involving substance abuse, including alcohol
3. All incidents that involve injury while on-duty
4. All incidents involving unsecured university property
5. All incidents involving physical damage to university property
6. All incidents involving mistreatment of other individuals

III. WORK RULES, ATTENDANCE AND DISCIPLINE

III.1 WORK RULES

The following are rules pertaining to students who are employed as Student Security Officers. This is not all-inclusive as all policies and procedures constitute a "Work Rule". Violation of these rules, and other policies, will subject employees to disciplinary procedures.

III.1.1. Department Vehicle Safety and Driving Standards

1. Always operate Department and/or University vehicles in an appropriate manner and in accordance with standards of safe, defensive driving.
2. Maintain a driving record that meets University standards.

3. Never smoke or use electronic cigarettes in any department or University vehicles.
4. Always observe traffic laws.
5. Always report accidents and incidents, regardless of severity, to your supervisor as soon as possible.
6. Always perform proper walk-around procedures before operating the vehicle.
7. Always report any vehicle defects to a supervisor immediately.
8. Always comply with UOG rules and regulations and the Code of Conduct.

III.1.2. Public Relations

1. Always be professional and display respectful and helpful behavior toward the public.
2. Never use profanity toward any member of the public or over the radio.
3. Always report conflict or safety concerns to the UOG Security in a timely manner.
4. Always use judgment and discretion in the interest of providing good service to the public.
5. Talking to the media is strictly prohibited unless cleared by the Safety & Security Administrator.

III.1.3. Employee Relations and Workplace Environment

1. Always display respectful, appropriate, non-threatening and non-harassing behavior toward fellow employees and others in the workplace – including electronic communication and social media.
2. Never make reports or statements that are knowingly untrue, dishonest or misleading.
3. Never publicly or through social media, as a UOG employee, negatively represent the organization, its employees or customers.
4. Always maintain confidentiality.
5. Remain neutral in any racial, political, or social issues while in uniform and on duty.

III.1.4. Attendance, Time Records, and Work Hours

1. Never falsify, or allow to be falsified, time records.
2. Unauthorized compensation is not accepted.
3. Always observe attendance policies and requirements.
4. Maintain a minimum schedule of 1 shift per week.
5. Always observe the maximum total hours allowed per week unless prior authorization is given.
6. Only exchange work assignments with proper authorization.

III.1.5. Performance of Duties and General Conduct

1. Duties within the job description are complied with fully.
2. Always maintain appropriate, professional and non-disruptive behavior in the workplace and always enter the workplace in a sober state both on and off the clock.
3. Always follow work orders, including reassignment of duties, and never be intentionally insubordinate or disobedient.
4. Always complete work assignments as required.
5. Accurately record all required information and activity on duty logs.

6. Personal business does not interfere with work performance.
7. Always be available and ready for duty when clocked in.
8. Do not accumulate an excessive amount of work rule violations.
9. Use personal electronic devices (cell phones, tablets, e-readers, etc.) for work purposes only.
10. The use of earbuds is prohibited while on duty.
11. Work appearance must be in accordance with the department uniform policy.

III.1.6. Use of Department Property

1. Always use the department vehicles and facilities as authorized and only for University-related purposes.
2. Always use equipment as authorized and for university-related purposes.
3. Always use, remove or dispose of the property as authorized.
4. Always use keys and card access for authorized and appropriate purposes
5. Uniform and ID badges remain property of UOG and must be returned at the end of employment.

IV. RADIO USAGE

General Rules:

All shifts require students to carry a radio.

When communicating over the radio, keep your traffic as concise and informative as possible. Only one transmission can be conveyed per channel at a given time, so do not eat up radio traffic that someone else might need to be using. Think about exactly what you plan to say before keying in to avoid any pauses. Try to avoid redundancy.

When trying to contact a specific person say the number of the person you are trying to contact (or “Campus” if you’re trying to reach dispatch) followed by your own number and then release the button to receive a response. Once you receive a go-ahead, clearly convey your message.



UNIVERSITY OF GUAM
UNIBETSEDÁT GUÅHAN
Board of Regents

Resolution No. 22-08

**RELATIVE TO APPROVING THE UNIVERSITY OF GUAM BOARD OF REGENTS FACILITY
AND PROGRAM NAMING POLICY**

WHEREAS, the University of Guam (UOG) is the primary U.S. Land Grant institution accredited by the Western Association of Schools and Colleges Senior College and University Commission serving the post-secondary needs of the people of Guam and the Western Pacific region;

WHEREAS, the governance and well-being of UOG is vested in the Board of Regents (BOR);

WHEREAS, the UOG Endowment Foundation (UOGEF) is a private, not-for-profit corporation organized exclusively for charitable, scientific, and educational purposes within the meaning of Section 501(c)(3) of the Internal Revenue Code of 1954 and operates exclusively for the benefit of UOG;

WHEREAS, UOG's Charter (17 GCA, Chapter 16, §16104.8) authorizes the BOR to designate by appropriate name, buildings and facilities on the University campus and any buildings and facilities under its jurisdiction not located on the University campus, and shall develop a policy for the naming of buildings and facilities;

WHEREAS, this policy also include the naming or renaming of activities, programs, awards, spaces, virtual spaces, or other assets and items, as well as provide guidance on whether to accept and how to handle and categorize donations, gifts and bequests, and how to recognize Donors, including protocols for determining permanent or limited term recognitions;

WHEREAS, UOG and UOGEF worked cooperatively in updating the UOG BOR Facility and Program Naming Policy and planning for facilities and program improvements and developments to benefit the University, and recommend approval of the enclosed policy; and

WHEREAS, the enclosed policy was reviewed by the Physical Facilities Committee and Budget, Finance, and Audit Committee, and recommend approval by the BOR.

NOW, THEREFORE, BE IT RESOLVED, that the BOR approves the enclosed UOG BOR Facility and Program Naming Policy; and


BE IT FURTHER RESOLVED, that the enclosed UOG BOR Facility and Program Naming Policy supersedes BOR Resolution No. 07-40 and all other policies related to facility and program naming for UOG.

Adopted this 24th day of February, 2022.



Liza J. Provideo, Chairperson

ATTESTED:



Thomas W. Krise, Ph.D., Executive Secretary

UOG Board of Regents

Facility and Program Naming Policy



University of Guam Facility and Program Naming Policy

University of Guam Policy / Procedure Face Sheet Template

Policy Type	<input type="checkbox"/> Board; <input type="checkbox"/> Board-approved; <input type="checkbox"/> President; <input type="checkbox"/> President-approved; <input type="checkbox"/> Other				
Policy/Procedure Manual Name	University of Guam Facility and Program Naming Policy				
Article No.		Article Title	Policies of the UOG Board of Regents		
Insert Policy / Procedure in		_____			
Approval Authority	Board of Regents	Effective	__/__/2021	Most Recent Review	_____
Responsible Executive	Secretary of the Board of Regents	Resolution No (or other tracking no).	21-__	Date of Next Required Review (date set by Board)	__/__/__
Responsible Office	Office of the Secretary of the Board of Regents	Revision Tracking			
Policy/Procedure Contact & Website where document is maintained	671.735-2586; analistan@triton.uog.edu ; Need web address				
Who Should Review (not in specific order)	<input type="checkbox"/> Creating group; <input type="checkbox"/> Unit Administrator(s); <input type="checkbox"/> Unit Academic Affairs Committee; <input type="checkbox"/> Human Resources Office; <input type="checkbox"/> Business Office; <input type="checkbox"/> Facilities & Maintenance; <input type="checkbox"/> Institutional Safety Committee; <input type="checkbox"/> Faculty Senate; <input type="checkbox"/> Faculty Union; <input type="checkbox"/> Student Government Association; <input type="checkbox"/> Administrative Council; <input type="checkbox"/> Academic Officers Council; <input type="checkbox"/> Vice President Administration & Finance; <input type="checkbox"/> Senior Vice President & Provost for Academic & Student Affairs; <input type="checkbox"/> UOG General Counsel; <input type="checkbox"/> UOG President; <input type="checkbox"/> UOG Board of Regents; <input type="checkbox"/> Guam Legislature; <input type="checkbox"/> Governor of Guam				
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NOTE: All approved changes to policy/procedures need to be made on the hardcopy of this document within 5 workdays and posted on https://www.uog.edu/policy-procedures-library/ within 10 workdays from the date approved.					

Policy Objective

1. Policy Purpose

The purpose of this policy/procedure is for the University of Guam and the UOG Endowment Foundation's to:

- a. Provide the Donor with a professional, pleasant and uncomplicated experience while donating to the University of Guam.
- b. Define the process that governs the recognition of Donors to University of Guam, including protocols for determining permanent or limited-term recognition through the naming of University of Guam activities, programs, awards, spaces, virtual spaces, or other assets.
- c. Appropriate public recognition and consistent institutional appreciation of Donors.
- d. Public evidence of philanthropic activity that demonstrates that University of Guam benefits from considerable external support and encourages others to invest in University of Guam's future.
- e. Appropriate utilization of the limited number of naming opportunities.
- f. Clear guidelines for those involved in discussions with Donors.
- g. Facilitation of increased and ongoing support from existing supporters.
- h. Provide guidance on whether to accept and how to handle and categorize donations, gifts and bequests, and how to recognize Donors, including protocols for determining permanent or limited term recognition through the naming or renaming of University facilities, activities, programs, awards, spaces, virtual spaces, or other assets and items.

2. Scope of Policy/Procedure and Exclusions

All current and prospective Donors to University of Guam and University of Guam Endowment Foundation will be affected by this policy.

3. Who Should Read this Policy

University of Guam and Guam Endowment Foundation employees who work in the areas of development and fundraising.

4. Responsibilities

Policy implementation:

- University of Guam Endowment Foundation will manage the implementation, compliance, and review of this policy.
- University of Guam Endowment Foundation will implement and manage a real-time database.
- University of Guam Office of Development and Alumni Affairs will provide education, monitoring, and amendments concerning awareness and changes to it.

Records management:

- University of Guam Endowment Foundation is the custodian of all signed Donor agreements. University of Guam Endowment Foundation will be responsible for maintaining and updating an inventory of all gifts, named facilities, and funds, and will maintain a real-time database with read-only capability for University of Guam Office of Development and Alumni Affairs.

- The University of Guam Financial Aid Office will be able to access University of Guam Endowment Foundation's student awards' database on a read-only basis.

5. Acronyms

- University of Guam (UOG)
- University of Guam Board of Regents (UOG BOR)
- University of Guam Business Office (UOG BO)
- University of Guam Endowment Foundation
- University of Guam Endowment Foundation (UOGEF)
- University of Guam Endowment Foundation Board of Directors (UOGEF BOD)
- University of Guam Endowment Foundation Finance and Investment Committee (UOGEF FIC)
- University of Guam Endowment Foundation Gift Acceptance Committee (UOG GAC)
- University of Guam Financial Aid Office (UOG FAO)
- University of Guam Office of Development and Alumni Affairs (UOG ODAA)

6. Feedback

Anyone may provide feedback about this policy by emailing: UOG ODAA - ODAA@triton.uog.edu

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University of Guam Facility and Program Naming Policy

Introduction

The University of Guam (UOG) welcomes expressions of interest and financial support that are consistent with UOG's mission from any individual, family, business, corporation, granting organization or similar source. All donations to UOG should be directed to the University of Guam Endowment Foundation (UOGEF). UOGEF may solicit, accept, administer and disburse gifts, grants, and bequests of property of every kind or to hold said property in trust in such a manner as UOG deems appropriate for the benefit of the University. UOGEF will accept, deposit, provide receipt, and acknowledge all contributions in accordance with Internal Revenue Service (IRS) policies and the documented wishes of the Donor.

Purpose

The purpose of this policy is to define the process that governs the recognition of Donors to UOG, including protocols for determining permanent or limited-term recognition through the naming of UOG activities, programs, awards, spaces, virtual spaces, or other assets. This policy formalizes Donor recognition in order to provide:

- a. Provide the Donor with a professional, pleasant and uncomplicated experience while donating to the UOG.
- b. Define the process that governs the recognition of Donors to UOG, including protocols for determining permanent or limited-term recognition through the naming of UOG activities, programs, awards, spaces, virtual spaces, or other assets.
- c. Appropriate public recognition and consistent institutional appreciation of Donors.
- d. Public evidence of philanthropic activity that demonstrates that UOG benefits from considerable external support and encourages others to invest in UOG's future.
- e. Appropriate utilization of the limited number of naming opportunities.
- f. Clear guidelines for those involved in discussions with Donors.
- g. Facilitation of increased and ongoing support from existing supporters.
- h. Provide guidance on whether to accept and how to handle and categorize donations, gifts and bequests, and how to recognize Donors, including protocols for determining permanent or limited term recognition through the naming or renaming of University facilities, activities, programs, awards, spaces, virtual spaces, or other assets and items.

The naming of a facility, space, activity, or program reflects the importance of the Donor to the realization of UOG's vision and mission:

Vision

Transforming Lives, Advancing Communities

Mission

Ina, Deskubre, Setbe: The University of Guam empowers the region by uniting island wisdom with universal sources of enlightenment to support exceptional education, discovery, and service that respect and benefit local and global communities.

This manual updates and supersedes UOG Board of Regents (UOG BOR) Resolution 07-40, *Relative to Approving UOG Buildings and Facilities Naming Policy*, and any other policy related to Donor recognition and facilities naming.

University of Guam

UOG is the primary U.S. Land Grant Institution accredited by the Western Association of Schools and Colleges (WASC) Senior College and University Commission (WSCUC) serving the post-secondary needs of the people of Guam and the Western Pacific region. The governance and well-being of UOG is vested in the UOG BOR.

UOG was founded in 1952 as an educational institution of higher learning within Guam. UOG's officers, agents and employees, have the power, via the UOG BOR's Articles of Incorporation 17 GCA Chapter 16 Section 16104.08) to:

- Acquire property, both real and personal, by purchase, lease, gift, devise, bequest, or otherwise and to hold, invest, use, lease, operate, improve, develop, sell, mortgage or otherwise encumber, and in every way control, manage and deal in personal property and real property, both improved and unimproved, for all appropriate corporate purposes.
- UOG, through its UOG BOR, may name UOG buildings and facilities.
- UOG shall make and perform contracts in furtherance of the purposes of the Corporation and to act as a trustee under any trust incidental to the principal objectives of the Corporation and receive, hold, administer and expend funds and property subject to such trust.

The UOG Office of Development and Alumni Affairs (UOG ODAA) will provide education, monitoring, and amendments concerning awareness and policy changes. UOG ODAA will also make a referral or liaise with the UOGEF, as needed.

University of Guam Endowment Foundation

In 1982, the University of Guam Endowment Foundation, Inc. (UOGEF) was organized exclusively for charitable, scientific, and educational purposes within the meaning of Section 501(c) (3) of the Internal Revenue Code of 1954. The corporation operates exclusively for the benefit of the BOR or any organization that may be established to succeed the BOR of UOG in the operation of any of the facilities of UOG. The affairs of the UOGEF are managed by the Board of Directors (BOD). The UOGEF BOD shall be constituted and elected in the manner provided in the By-laws and as provided in 18 G.C.A. Chapter 28.

The UOGEF shall have the following specific powers:

- To promote and enhance the physical facilities of UOG.
- To aid in the fulfillment of the research, teaching, and servicing functions of UOG.
- To make grants and loans of any corporate property for the purposes of furthering the scientific, charitable or educational purposes of the corporation.
- To solicit, accept, administer and disburse gifts, grants, and bequests of property of every kind or to hold said property in trust in such a manner as the corporation deems appropriate for the furthering of the purposes of the corporation.
- To provide or assist in providing facilities for scientific research by which discoveries, inventions, and publication of the advancement of man and his environment may be developed and to determine the public use of such discoveries, inventions and publications.
- To receive grants from government or any other sources and to disburse such grants for the support of scientific, educational and medical research.
- To make distribution to UOG, or any organization organized to support UOG that is exempt from federal income tax under Section 501 (c) (3) of the Internal Revenue Code of 1954.
- To solicit gifts, to receive gifts, devise or bequest, to purchase or otherwise acquire real and personal property of every kind and nature, including shares of stock, bonds, and securities

- of other corporations, and to hold, own, manage, and administer the same.
- To act as trustee under any trust incidental to the purposes of this corporation, and to receive, hold, administer and expand funds and property subject to such trust.
- To sell, assign, convey, exchange, lease as lessor or lessee, mortgage, and convey, transfer upon trust, or otherwise dispose of all property, real or personal.
- To invest and reinvest funds of the UOGEF in real or personal property of every kind and nature, including bonds, corporate, common or preferred stocks, or securities of any type or character.
- To borrow money, contract debts, guarantee the payment of indebtedness, and issue bonds, notes and debentures, and secure the payment of performance of its obligations.

UOGEF shall collaborate with UOG to mutually agree on a comprehensive list of naming opportunities during a campaign or otherwise (Appendix 1, University of Guam – Donation Naming Pricing Guide).

Ethical Practice

All recognition of private support will be independent of all appointment, admission, and curriculum decisions at UOG in keeping with ethics regulations of the UOG Procurement Policy and the federal Ethics in Government Act (Amended by Ethics Reform Act and Honest Leadership and Open Government Act of 2007).

Delegation of Authority for Naming of Facilities and Programs

The UOG BOR delegates the following authorities to the UOG President and UOGEF to:

- Review and evaluate the merits of naming requests and proposals.
- Make decisions on naming requests and proposals as outlined in this policy.
- Ensure payments are made based on terms agreed to in the Donor agreement.
- Ensure signage is installed and maintained based on UOG and UOGEF standards.
- Resolve any issues pertaining to renaming, relocating, or revoking Donor names on facilities, programs and virtual spaces.

The UOG President will provide a report on naming of facility and program activities at UOG BOR meetings. UOG ODAA will provide this report to the UOG President.

General Policies and Guidelines for the Acceptance of Charitable Contributions

Gifts of immediate cash or negotiable securities are the forms of Donor support which will have the greatest immediate impact on UOG and its plans for the immediate future, and therefore that type of giving is encouraged.

UOG or UOGEF staff are available to meet with any prospective Donor and their financial advisors, without obligation, to discuss areas of interest, UOG's funding priorities, types of charitable contributions, options for payment, estate planning, tax planning consequences of a possible gift commitment, and appropriate stewardship and recognition for gifts to provide every possible assistance to a prospective Donor.

Gifts and Sponsored Awards are subject to different accounting, oversight and reporting requirements. Although staff will provide all appropriate assistance, the ultimate responsibility regarding asset valuations, tax deductibility, or similar federal, state or local legal compliance issues rests with the Donor or with such financial advisors as the Donor shall secure, as mandated by the IRS. All Donors should utilize competent financial and legal advisors. Staff will always recommend that potential Donors obtain such assistance.

UOG, or UOGEF, will not knowingly seek, nor accept any commitment regardless of size, designation or other condition, which it believes not to be in the potential Donor's best interest or that of UOG.

Availability of Naming Opportunities

An updated list of opportunities is available on the UOGEF website at: <https://give.uog.edu>.

Non-facility and Program Giving

All naming of student scholarships fall under the purview of the UOGEF BOD. Donations in the categories below, related to naming or renaming opportunities, are covered under this policy.

Charitable Gift Types

There are two different acceptable gift types, Outright Gifts and Deferred Gifts which will be explained in this section. UOGEF will evaluate a prospective gift and categorize it. The use of the gift may be further classified as Restricted or Unrestricted. Restricted gifts are donations intended for a specific purpose such as scholarships, visiting professors, endowed chairs/faculty, building needs, programs, or other similar. Unrestricted gifts are donations with no limitations on how the gifts may be used. Thus, these types of gifts may most likely be used towards general expenditures or capital campaign priorities. Unrestricted funds will be maintained and managed in an investment account. In consultation with the UOG President, decisions for the utilization of such funds rests with the UOGEF BOD.

Donations through the UOGEF should be done without encumbering UOG or UOGEF with gifts which may prove to generate more cost than benefit, or which are restricted in a manner which is not in keeping with the goals of the University. The UOGEF BOD may assemble an *ad hoc* Gift Acceptance Committee (GAC) comprised of its members, consistent with the UOGEF Articles of Incorporation and By-Laws and the laws of Guam. This committee shall include the UOG ODAA. The UOGEF GAC recommendation authority to the UOGEF BOD Chair and UOG President.

Some gift situations can be complex, and decisions will only be made after careful consideration of a number of interrelated factors. In some instances, these policies will require that the merits of a particular gift be considered by the UOGEF GAC and the UOG President. A final decision will be made by the UOGEF BOD.

Outright Gifts

Outright Gifts are the most straight-forward types of gifts. It simply involves the outright transfer of something of value through the UOGEF.

Cash

Gifts in the form of cash and checks shall be accepted regardless of amount unless, as in the case of all gifts, there is a question as to whether the Donor has sufficient title to the assets or is mentally competent to legally transfer the funds as a gift to the UOGEF.

All checks must be made "payable to the UOGEF" and shall in no event be made payable to an employee, agent, or volunteer for the credit of the UOGEF.

Publicly Traded Securities

Securities which are traded on the New York or American Stock Exchanges, or other readily marketable securities, shall be accepted by the UOGEF. It may be anticipated that such securities will be immediately sold by the UOGEF. In no event, shall an employee or volunteer working on behalf of the UOGEF commit to a Donor that a particular security will be held by the UOGEF unless authorized to do so by an officer of the UOGEF.

Closely Held Securities

Non-publicly traded securities may only be accepted after approval of the UOGEF GAC. Such securities may be subsequently disposed of only with the approval of the UOGEF GAC. No

commitments shall be made for the repurchase of such securities by the UOGEF prior to completion of a gift of securities.

Real Property

No gift of real estate shall be accepted without prior approval of the UOGEF GAC. No gift of real estate shall be accepted without first being appraised by a party chosen by the UOGEF who shall have no business or other relationship to the Donor.

In general, any real estate with value will be accepted, unless the UOGEF GAC shall determine that the property is not suitable for acceptance as a gift.

In general, residential real estate located in areas not acceptable to the UOGEF will not be accepted as a gift unless there is reason to believe it is highly marketable. The UOGEF GAC may make exceptions to this policy if conditions warrant.

Tangible Personal Property

Jewelry, artwork, collections, and other personal property shall not be accepted unless the employee, agent, or volunteer working on behalf of the UOGEF shall have reason to believe the property is highly marketable or usable by UOG. Such property can only be accepted by the UOGEF GAC or such other person or persons authorized to do so by the UOGEF GAC in writing.

No personal property shall be accepted by the UOGEF unless there is a reason to believe the property can be liquidated in a timely manner (i.e., 1-7 years). No personal property shall be accepted that obligates the UOGEF to ownership of it in perpetuity. No perishable property or property which will require special facilities or security to properly safeguard will be accepted without prior approval of the UOGEF GAC. All properties must have clear title and no or little owed taxes and no liens.

Notwithstanding the foregoing, personal property may only be accepted after receipt and review by the UOGEF GAC or those empowered to act on its behalf in writing, of an appraisal qualified under terms of the internal revenue code governing gifts of property of this type.

Only the UOGEF GAC, or persons authorized by the UOGEF GAC in writing, may present to a Donor that the property will or will not be held by the UOGEF for a specific period of time or for purposes related to its tax-exempt status. Donor should be notified at the time of receipt of a gift that the UOGEF will, as a matter of corporate policy, cooperate fully in all matters related to IRS investigations of non-cash charitable gifts.

Other Property

Other property of any description including mortgages, notes, copyrights, royalties, easements, whether real or personal, shall only be accepted by action of the UOGEF BOD.

Appropriate inquiry shall be made, and special consideration shall be given to, the nature of any gift property and whether it is in keeping with the purposes of UOG and UOGEF, prior to the acceptance of any property by the UOGEF.

Deferred Gifts

Deferred gifts are decided upon or given at the present but received by UOG and UOGEF at some time in the future, often at the end of the Donor's life.

Bequests

The most common deferred gift is a bequest. The Donor makes a provision now in his or her will to benefit UOG, but the gift is not received until after the Donor's death. Gifts through wills and bequests are actively encouraged by the UOGEF.

In the event of inquiry by a prospective legator, representations as to the future acceptability of property proposed to be left to the UOGEF in a will or through any other deferred gift arrangement shall only be made in accordance with the terms and provisions outlined above.

Gifts from the estates of deceased Donors consisting of property which is not acceptable shall be rejected only by action of the UOGEF GAC. The legal counsel of the UOGEF shall expeditiously communicate the decision of the UOGEF GAC to the legal representatives of the estate. If there is any indication that the representatives of the estate, or any family member of the deceased, is dissatisfied with the decision of the UOGEF GAC, this fact shall be communicated in writing to the UOGEF GAC, or to the appropriate member of the UOGEF staff, as quickly as possible.

Attempts shall be made to discover bequest expectancies as soon as and wherever possible in order to reveal situations which might lead to unpleasant Donor relations. Where possible, intended bequests of property, other than cash or marketable securities, should be brought to the attention of the UOGEF and every attempt be made to encourage the Donor involved to conform his or her plans with this policy.

Charitable Remainder Trusts

In general, the UOGEF will not serve as sole trustee of a charitable remainder trust for the benefit of the UOG. This policy may only be waived by a written resolution of the UOGEF GAC which is subsequently recommended by the Finance and Investment Committee (UOGEF FIC) of the UOGEF BOD.

The UOGEF FIC will identify a number of corporate fiduciaries nationwide in which it has confidence. Only with the recommendation of the UOGEF GAC may any corporate fiduciary be recommended to a Donor. The fees for management of a charitable remainder trust will only be paid by the UOGEF upon approval of the UOGEF and may be subtracted from the gross charitable donation.

The UOGEF GAC and other employees and volunteers, acting on behalf of the UOGEF, should become familiar with the types of property generally accepted by corporate fiduciary as suitable contributions to charitable remainder trusts and employees or others acting on behalf of the UOGEF shall not encourage Donors to make gifts of any property to charitable remainder trusts which are not in keeping with such guidelines.

No representations shall be made by any employee or other persons acting on behalf of the UOGEF as to the manner in which charitable remainder trust assets will be managed or invested by a corporate fiduciary who may be recommended by the UOGEF without the prior approval of such representation by the fiduciary.

Charitable remainder trusts and all other deferred gifts shall be encouraged as a method of making gifts to the UOGEF while retaining income which may be needed by the Donor or other persons chosen by the Donor for any number of personal purposes. Such trusts shall not be marketed as tax avoidance devices or as investment vehicles, as it is understood such activity may violate federal and/or local securities regulations.

The GAC shall make the determination if a Charitable Remainder Trust for which the UOGEF serves as a co-trustee may be established.

Pooled Income Funds

UOGEF has pooled income funds, a gifting device established by Congress under the terms of section 642 of the Internal Revenue Code and regulations promulgated thereunder. A corporate fiduciary will be selected to manage the fund.

The UOGEF will pay the administrative fees of managing the pooled fund out of the pooled fund, until such time as the appropriate officers of the UOGEF shall determine otherwise. The UOGEF GAC shall determine acceptance of establishing a pooled income fund on a case-by-case basis with consideration given to the initial and additional contribution, in addition to the age of the youngest beneficiary. There shall be no more than two (2) income beneficiaries allowed in connection with each contribution to the fund.

Charitable Gift Annuities

The UOGEF GAC shall determine acceptance of establishing a Gift Annuity on a case-by-case basis with consideration given to the initial and additional contribution, in addition to the age of the youngest beneficiary. There shall not be more than two (2) income beneficiaries for each Gift Annuity.

Life Estate Gifts

Donors shall generally not be encouraged to make gifts of real property to the UOGEF under which they maintain life interest in the property. This policy is based on the fact that such transfers are often not in the best interest of the Donor involved, and there is potential for negative publicity for the UOGEF and UOG, should a Donor have a need to sell the property to generate funds, only to find that at relatively small portion of the proceeds would be available to the Donor as owner of the life estate.

Such gifts may be accepted by approval of the UOGEF GAC in situations where the asset involved appears to be a minor portion of the Donor's wealth, and the committee is satisfied that there has been full disclosure to the Donor of the possible future ramifications of the transaction.

Gifts of Life Insurance

The UOGEF will encourage Donors to name the UOGEF to receive all, or a portion of, the benefits of life insurance policies which they have purchased on their lives. The UOGEF will not, however, as a matter of course, agree to accept gifts from Donors for the purpose of purchasing life insurance on the Donor's life. Exceptions to this policy will be made only after researching relevant state laws to assure that the UOGEF has an insurable interest under applicable Guam law. No insurance products may be endorsed for use in funding gifts without UOGEF BOD approval.

In no event, shall lists of the UOGEF Donors be furnished to anyone for the purpose of marketing life insurance for the benefit of Donors and/or the UOGEF. This policy is based on the fact that this practice represents a potential conflict of interest, may cause Donor relations problems, and may subject the UOGEF to state insurance regulation should the activity be construed as involvement in the marketing of life insurance.

Restrictions on Use and Investment of Gifts

No restrictions on how gifts may be used by the UOGEF will be honored without prior approval

of the UOGEF GAC in the case of current gifts or subsequent approval by the UOGEF GAC. In the case of gifts received by will or other gift which is effective at death which has not been previously approved by the UOGEF GAC no restrictions will be imposed.

The corporate fiduciary shall furnish guidelines governing the acceptance of property other than cash as contributions to the UOGEF Pooled Income Fund. Such guidelines shall be adopted by the UOGEF GAC and shall be incorporated by reference in these gift acceptance policies.

No representation of the fund shall be made which could be construed as marketing the fund as an investment or security of any type. All disclosures required by state and federal regulatory agencies shall be made in a thorough and timely manner. No commercial real estate shall be accepted by anyone on behalf of the UOGEF without prior approval of the UOGEF GAC.

Real estate shall not be accepted to fund a charitable gift annuity without seeking a legal or accounting opinion as to the permissibility of this action under the laws of Guam or of the state in which such real estate is located. The UOGEF GAC shall review the opinion and it may accept or reject such real estate based on this review.

Special attention shall be given to the receipt of real estate encumbered by a mortgage because the ownership of such property may result in unrelated business income for the UOGEF, and the disqualification of certain split interest gifts unless handled in a proper manner.

The following items are not considered charitable contributions:

- Gifts of time or services are not tax-deductible for Donors. Generally, Donors are prohibited from deducting the value of their time, the value of their services, or the value of their income lost while they worked as an unpaid volunteer for a qualified organization. See I.R.S. Publication 526, *Charitable Contributions*, page 8. UOG and UOGEF do not generally accept gifts of services. However, exceptions may be made on a case-by-case basis and only with the approval of UOG's President and the UOGEF GAC.
- Inter-organizational transfers between UOG entities will not be recorded as philanthropic commitments and will not be included in fundraising totals.
- Gifts from UOG employees, faculty and UOG-affiliated constituents (e.g. contracted personnel or vendor representatives located in UOG entities) or their immediate family members that are credited to any account that is directly or indirectly controlled by the Donor. Indirect control occurs when the Donor has a supervisory relationship over the individual controlling the account. Unrestricted gifts from the aforementioned Donors, or gifts designated to accounts that are not directly or indirectly controlled by the Donor are permitted as charitable contributions with no conditions attached.

Contributions of Property (Non-Real Estate)

- Contributions of Property are donations of non-real property and non-cash assets such as clothing, household items, vehicles, boats, business inventory, or a patent or other intellectual property. Contributions of Property will be considered on a case-by-case basis.
- As a general rule, the value of Contributions of Property is the fair market value of the property at the time of the contribution and may be subject to special rules applicable to specific types of property. See I.R.S. Publication 526, *Charitable Contributions*, page 8.
- Contributions of property may be used, surplus, brand new, or loaned to UOG or UOGEF.

Gift vs. Sponsored Award Determination

Gifts are any items of value given through UOGEF by a Donor who expects nothing significant

of value in return, other than recognition and disposition of the gift in accordance with the Donor's wishes. A sponsored award is funding from an external entity such as a private foundation, corporation or governmental agency for an activity with a defined scope and purpose undertaken by UOGEF with the expectation of an outcome that directly benefits the provider. Sponsored Awards which include grants, cooperative agreements and contracts, bind UOGEF to a set of specific terms and conditions and indicate a reciprocal transfer of something of value to the sponsor.

Solicitation, Processing, and Acknowledgement Requirements

In general, gifts to UOG should be directed to the UOGEF office. UOGEF will accept, deposit, receipt, and acknowledge all contributions in accordance with IRS policies and the documented wishes of the Donor. UOG's policy is that gifts will be deposited, recorded in a dedicated database and receipted as expeditiously as possible. UOGEF will specifically record: the Donor's name, the purpose of the contribution (as specified by the Donor, not UOG), the amount, the date, pay-out schedule for pledges as appropriate, and any other pertinent information, to include but not limited to whether the Donor wishes to remain anonymous. UOGEF will ensure safe, accountable, and appropriate deposit of cash gifts into a UOG account and will provide detailed records of all gift transactions to UOG ODAA and UOG Business Office (UOG BO) upon request. UOGEF will collaborate with UOG ODAA and UOG BO to reconcile receipts.

UOG ODAA and UOGEF staff will coordinate appropriate acknowledgment to the Donor in the form of thank you letters and phone calls, consistent with industry best practices. They will coordinate timely and regular stewardship of gifts and work collaboratively with the Donor and UOG program staff, faculty and leadership. The UOG ODAA and UOGEF may hold Donor recognition events, in coordination with the UOG Office of the President (OTP) to promote Donors and express appreciation.

In-Kind Contributions

In instances where a contribution exceeds \$75 and there is a *quid pro quo* (something of value provided to the Donor in return), the UOGEF will provide the Donor with a written statement informing them that their charitable contribution is limited to the amount given in excess of the value of the goods or services furnished in return. A good faith estimate of the fair market value of the goods or services will be stated.

For the purpose of current income tax deductions such gifts will be receipted by the UOGEF at the charitable deduction value as established by law and the Donor shall be so informed.

UOGEF accepts gifts subject to policies in place at the time the gift is made. Gifts will be recorded as unrestricted, restricted, or temporarily restricted, by purpose or time as directed and documented by the Donor. In the event the Donor does not indicate a restriction, the gift will be recorded as unrestricted.

Evaluation of Proposed Naming/Renaming Opportunities

Decisions to name facilities, rooms, programs, and awards shall be compatible, to the extent reasonably ascertainable, with UOG's vision and mission. Decisions for naming recognition shall be in alignment with the strategic directions of UOG with consideration given to other factors relevant to the Donor.

In evaluating proposed naming/renaming opportunities, consideration will be given for individuals or families providing evidence of significant academic achievement, significant

monetary contributions or exemplary service to UOG, and for names of individuals of historical significance to UOG. Naming opportunities may be assigned for a living person, in memory of a person, or after a family, foundation, association, service club, business or corporation. The naming for a benefactor may also apply for a third party at the wish of the benefactor and must be agreed upon by the honoree, if living.

No naming opportunity shall be approved if it is likely to have a negative impact on the image or reputation of UOG. It will not be approved if it would call into serious question the public respect for UOG or UOGEF and/or implies endorsement of a partisan political or ideological position. This does not preclude use of the name of an individual who has previously held public office and/or could imply endorsement of a specific commercial product. This does not preclude using the name of an individual or company that manufactures or distributes commercial products.

In cases where philanthropic contributions include a specific naming opportunity, the recognition will follow the generally accepted UOG standards regarding size, placement, etc. These gifts will be distinguished from non-philanthropic partnership agreements which may have a branding or co-branding component. Naming recognition in these cases is determined by the terms of the gift agreement.

This policy guides the extent of Donor recognition and naming procedures at UOG for:

- Chairpersons, special lecture series
- Contributions of curriculum-related equipment
- Cultural property (i.e., collections of art)
- Endowed programs of research and teaching
- Endowed programs of service or recreation
- Facilities or substantial parts of facilities (wings, classrooms, laboratories, libraries) or other locations on campuses such as lobbies, atriums, and common areas
- Green space, sitting areas, bicycle and walking paths and streets
- Library collections of books or other materials
- Scholarships, bursaries, prizes and other student awards and funds
- Special research, teaching, recreational, service, or other facilities
- Such other entities as the UOG may from time to time see fit to name in order to recognize gift contributions.

UOG reserves the right to rename facilities, and such, in the event that a negative event or events in the Donor's past history has been discovered and it is deemed that continuing the naming would harm UOG's reputation.

Naming an Academic Program

The naming of an academic program will normally require a donation sufficient to offset fifteen percent (15%) of the annual operating budget of that program. The UOGEF Chairman will refer academic naming opportunities to the UOG President and Senior Vice-President and Provost.

Other Naming Opportunities **Endowments**

Endowed gifts are donations made to the UOGEF on the understanding that the principal amount of the donation will be invested for a minimum three- (3) year period, with the interest earnings to be used to advance specific educational purposes of the unit, such as the establishment of a scholarship, endowed chair, endowed professorship, or the funding of a

particular program or activity. Earnings may also be used towards debt service payments.

Donations of \$20,000, or more, to create endowed support for student scholarships will have the opportunity for naming according to an agreement established between the Donor and the UOGEF. Matching gifts obtained as a result of the endowed contribution will be included in the cumulative total, for all public recognition purposes.

One-Time Awards

Expendable gifts are donations or grants given to UOG or UOGEF that the Donor has directed to be used immediately. An expendable gift in the amount of \$500, or more, may be used to create a named one-time student award as per agreement between the Donor and the UOGEF.

Multi-Year Awards

An expendable contribution to provide a multi-year student award (to a maximum of five (5) years) that provides a total donation of \$5,000, or more, will have a naming opportunity as per agreement between the Donor and the UOGEF.

General/Fixed Time Period

Normally, the name shall remain in place for a period not to exceed twenty five (25) years from the time the signage is installed. Renaming of facilities shall be done at a time within the BOR's discretion subject to the most current form of this policy, unless renaming is otherwise governed by agreements established in the original naming. Existing names and/or commitments shall be honored as of the approval date of this policy, unless revoked or removed, for cause.

All assets named subsequent to the implementation of this policy shall be named for a maximum period of twenty five (25) years from the date of recognition signage installation/unveiling except for the name recognition for physical assets such as facilities. The naming of facilities shall be named as long as UOG operates on the same land. Any additional assets named in perpetuity are on an exception basis and must be approved by the UOG President and the BOR. Time beyond twenty five (25) years may be considered within the University of Guam – Donation Naming Pricing Guide (Appendix 1) applied at the time of the extension.

UOG reserves the right to demolish, retrofit, add or maintain the named area as UOG's property and planning needs evolve. In such event, UOG will undertake to represent the Donor in other appropriate venues on campus. UOG may place a plaque in, or on, a new space to indicate that it occupies the site of a facility formerly known by another name. If the Donor's naming term is not complete, UOG shall provide the Donor with an alternate naming opportunity of comparable value for the pro-rated balance of the naming term.

In the case of a naming that is part of an agreement to provide non-philanthropic support, the naming will be for the period provided in the agreement. In the case of an endowment, the naming will continue for the life of the endowment. All agreements with Donors for named recognition shall be recorded in writing, through a signed pledge form or gift agreement with the UOGEF.

A signed Donor recognition signage form shall be completed for all naming opportunities, which is completed after receipt of the twenty (20)% of the total pledge commitment, cash gift, or as agreed upon by the UOGEF and Donor. UOG and/or UOGEF shall honor naming in accordance with the gift agreement and Donor recognition signage form which is made with the Donor.

Naming and Renaming Assignments

Naming associated with a particular facility or endowment shall not preclude further naming within the same facility/program/functional area/service. All naming decisions shall be supported by appropriate and complete documents including written documentation stipulating rationale and conditions underlying the naming and filed with the UOGEF.

All proposed changes in utilization or relocations of named facilities or rooms must be reviewed and approved by the UOGEF GAC and communicated by UOGEF to the Donor in writing. Included in this review process are instances when it is proposed that a facility or room within a building be relocated within the same building, or to a different building, and when the new facility or room will serve the same original purpose and be commensurate in size. The UOG President will update the UOG BOR.

UOG is responsible for maintenance and associated costs of all facilities and for discussing changes with the UOGEF prior to changes taking effect. The UOGEF is responsible for notifying applicable Donors of any changes to named locations. UOG may seek supplemental funding for regular maintenance of wear and tear related to the Donor's contract negotiated.

Procedure for Evaluating Naming Opportunities

1. Requests for new naming/renaming opportunities may be made in writing to the UOGEF through the UOGEF office. The UOGEF Executive Director will consult with the UOG President.
2. Prior to submitting a request for naming/renaming to the BOR Physical Facilities Committee, the President and the UOGEF Chairperson shall:
 - a. Exercise due diligence in evaluating the merit of the request; and
 - b. Determine the significance of associated monetary gift(s), if any.
3. A request that is found to have merit and/or includes significant monetary gift(s), shall be submitted to the BOR Physical Facilities Committee by the President, or, upon the approval of the UOGEF's Board of Directors, through the UOGEF Chairperson.
4. Upon the recommendation of the BOR Facilities Committee, the BOR may entertain requests or nominations for the naming/renaming of UOG buildings or facilities for approval.

Naming approval resides with the following individuals with thresholds specified:

Roles and Responsibilities for Deciding Naming Opportunities

Role	Responsibility
UOGEF BOD Chair + UOG President	Consider and approve proposals for new naming opportunities up to \$1M.
UOG President + Chair UOG BOR + Treasurer UOG BOR	Consider and approve proposals for new naming opportunities on more than \$1M.

Every nomination approved, which is to result in the naming/renaming of a facility shall be followed by a written agreement which outlines the expectations and conditions under which the naming/renaming is to occur. Such agreement shall be executed by the UOG President prior to a public event at which the naming/renaming takes place.

Establishing Monetary Value of Naming Opportunities

Naming opportunities for new or existing facilities/programs/functional areas/services shall be

assigned a monetary value in consultation with the UOGEF. Facilities; schools, programs, outreach, and virtual spaces are supported through private gifts may be named after a Donor/Donor per the "University of Guam – Donation Naming Pricing Guide" - Appendix I. The cost for fabricating and installing the name on a facility or room, will be funded by the donation.

The naming opportunity values for new or existing facilities/programs/functional areas/services shall take into consideration the function, usage, size, marketability and financial requirements (replacement and/or operational costs) of the opportunity.

Appendix 1 – University of Guam - Donation Naming Pricing Guide - contains a list of known and available naming opportunities at the time of the creation of this Policy and is adjusted as the policy is updated. This list of assigned monetary values is meant to be used only as a reference. The decision to accept a donation amount for a naming opportunity may be adjusted with consideration given to other factors relevant to the Donor and UOG. Every five (5) years, or more frequently if required, the UOG and UOGEF shall re-evaluate the naming opportunity guide to ensure listed values reflect the market value of the naming opportunity. Changes affecting this policy will be presented to the BOR for approval.

Procedure to Determine Value

The following is the process undertaken by the UOGEF in consultation with UOG when determining the value for new naming opportunities:

1. Evaluate the space, considering the square footage, purpose and use of the space, cost to build and equip, location of the space, public profile and prestige of the opportunity.
2. Determine an appropriate value for the new opportunity.
3. The UOGEF Chairperson will consider and make recommendations for all new naming opportunities.
4. Recommendations will be presented to the UOG President for review.
5. If President is in agreement with the recommendation, he/she may approve it or refer it to the appropriate BOR Committee which would forward to the BOR, if merited.

For naming opportunities involving virtual spaces, which are online environments in which participants interact, or digital libraries, which are collections of documents that have been digitally preserved and are accessible on the Internet or through software, the same procedures for determining values shall apply.

Roles and Responsibilities for Establishing Donor Minimum Payment and Recognition

Role	Responsibility
UOGEF GAC	Review and recommend non-standard requests, standard is 20% cash, for initial minimum amount of a total pledge commitment that must be received prior to recognizing the Donor's gift
UOGEF Executive Director	<ul style="list-style-type: none"> • Consider and respond to all requests for naming or renaming based on this policy • Act as the primary liaison between the Donor and UOG President for naming/renaming recommendations/requests
UOGEF BOD Chair + UOG President	Decisions on up to \$1M
UOG President + UOG BOR Chairperson + UOG BOR Treasurer	Decisions on more than \$1M

Procedure

The UOGEF will discuss various options of recognition with Donors. Recognition may be in the form of naming opportunities and/or public recognition. The following is the process undertaken by the UOGEF and Donor when determining a naming opportunity to recognize gift(s) to the UOGEF:

1. Determine the value of the naming opportunity.
2. Determine the proposed terms of the gift agreement, if applicable.
3. Determine the proposed rights and benefits.
4. Draft and sign the gift agreement or pledge form.
5. Receive at minimum twenty percent (20%), in cash, of the total pledge commitment, or as agreed upon by the UOGEF and UOG.
6. At the Donor’s request, the UOGEF GAC may entertain a proposal to accept an in-kind contribution as partial payment towards the value of the naming opportunity.
7. In-kind contributions may not exceed fifteen percent (15%) of the value of the naming opportunity, or as agreed upon by the UOGEF and UOG.
8. The value of the in-kind contribution is based on the fair market value of the property at the time of the contribution and may be subject to special rules applicable to specific types of property.
9. Confirmation of selected naming opportunity and/or recognition benefits
10. Draft and sign a Donor recognition signage form which includes a signage proposal and acknowledgement/recognition plan.

Documentation with respect to the naming decision, stipulating rationale and conditions underlying the naming decision and all other supporting documentation shall be maintained by the UOGEF.

Naming, Subject to Raising Full Amount

When the gift contribution does not meet the full cost of the project, the naming is subject to satisfactory completion of the Donor agreement. If UOG is unable to proceed with the project, the potential benefactor(s) will be invited to redirect their contribution(s) and/or to curtail future pledge payments.

Roles and Responsibilities for Establishing Gift Agreements

Role	Responsibility
UOGEF GAC	Review and recommend non-standard requests (standard is 20% cash) for minimum amount of a total pledge commitment that must be received prior to recognizing the Donor’s gift.

UOGEF BOD Chair	<ul style="list-style-type: none"> • Negotiate, approve and sign gift agreements in compliance with this policy • Protect the confidentiality of gift agreements to the extent practicably possible • Seek advice from the UOGEF's legal counsel regarding the proposed gift agreement as required • Provide information to Donors/applicants on the interpretation of this policy • Ensure the Foundation receives the necessary documentation and information from the Donor • Ensure the Donor fulfills their gift commitment as outlined in their pledge form or gift agreement and as outlined in this Policy
UOG President	Review and approve gift agreements to ensure that UOG's interests are adequately protected as required. Present to BOR for approval.

Recognition of Naming Opportunities

Content of naming signage is the responsibility of the Foundation with the consent of the Donor. The fabrication and installation of the signage will be funded through the donation. The UOGEF Chair will consult with the UOG President to get approval before proceeding. Signage shall be in compliance with UOG's and UOGEF's visual identity standards. In recognizing Donors, the UOGEF will be guided as follows:

Donor naming signage may only be procured for a named physical asset after:

- Approval has been granted by the UOG President or the UOG BOR, per approval level tables;
- A signed gift agreement or pledge form and Donor recognition signage form;
- Receipt of twenty percent (20%) of total pledge commitment, or as agreed upon by the UOGEF, UOG, and the Donor.

Donor logos shall not be used on assets and external UOG facility signage, unless otherwise approved by the UOGEF, in consultation with the UOG. Donor taglines or marketing terms shall not be included in Donor recognition names, unless otherwise approved by the UOGEF, in consultation with UOG. If a corporation or business name changes, signage and other naming devices may be changed at the cost to the Donor's contribution with the approval of the original approving authority.

Publicity surrounding the naming of an asset shall be coordinated by the UOGEF.

Announcements regarding the naming or to publicize a donation shall only be done after:

- Receipt of a signed gift agreement or pledge form;
- Receipt of twenty percent (20%) of the total pledge commitment or at the discretion of the UOGEF FC and UOG;
- Approval of the proposed naming by the BOR;
- and in agreement with the Donor.

Initial signage and installation costs will be funded by the donation. If or when there is a change in company ownership and/or Donor recognition name, the signage may be adjusted to the new name. Revised signage and installation costs are at the Donor's expense, provided it meets the

approval of UOG and UOGEF.

Roles and Responsibilities for Erecting Signage

Role	Responsibility
UOGEF GAC	Review and recommend non-standard requests (suggested amount is 20%) for minimum amount of a total pledge commitment that must be received prior to recognizing the Donor's gift
UOGEF BOD Chair	Consult on recognition signage for donations as required Approve proposals for recognition signage that are outside of the recognition signage standards, consulting with the UOG President as appropriate
UOG President	Consider proposals for recognition signage as brought forward by the UOGEF Chairperson

Renaming, Adding, Removing or Revoking Names

If a name is deemed to no longer be in the best interest of UOG or the Donor, it is possible to have a name changed, removed or revoked. The Donor must be informed, and the name change must be approved by the UOG BOR, in consultation with UOG General Counsel.

A request to rename, add, remove or revoke a name from a facility/program/functional area/activity/awards shall conform to the following principles:

When the function of an asset is changed due to the asset being sold, demolished, substantially renovated, rebuilt or designated for another use, UOG may continue to use the name, transfer the name to another comparable asset, or discontinue the use of the name. (It may be appropriate to place a plaque in, or on, a new space to indicate that it occupies the site of a building formerly known by another name.) If the Donor's naming term is not complete (naming term normally does not exceed twenty (25) years for a building or facility), the UOGEF shall provide the Donor with an alternative naming opportunity of comparable value for the prorated balance of the naming term.

A name shall be revoked and removed from an asset if it is determined that the actions or deeds of the individual or corporation it is named for are not aligned with the mission, vision or standards of UOG and/or UOGEF or failure of a named or honored Donor/person to fulfill agreed upon obligations.

A naming right for any facility or program may be revoked at any time by the original approving authority upon a request, investigation, recommendation and decision:

- UOGEF may obtain legal counsel to advise on how to proceed, where appropriate.
- The UOGEF Chair and UOG President shall consider and recommend revocation of naming rights, and consult with the BOR as deemed appropriate;
- The BOR shall approve revocation of naming rights;

When a named facility has reached the end of its useful life and will be replaced or substantially renovated, the replaced or renovated facility may be renamed in recognition of a new Donor or honoree. If the Donor's naming term is not complete (naming terms is twenty (25) years for all assets, except naming of the college or campus and applicable honorary naming opportunities), the UOGEF shall provide the Donor with an alternative naming opportunity of comparable value

for the prorated balance of the naming term. Appropriate recognition of earlier Donors or honorees shall be included in the new, renovated or redeveloped facilities at the discretion of the UOGEF Chairperson, in consultation with the UOG President as appropriate.

Roles and Responsibilities for the Revocation of Naming Rights

Role	Responsibility
UOGEF	In conjunction with the UOG President, consider and recommend revocation of naming rights to the BOR.
UOGEF Board of Directors	Record decisions of revocation Consider appeals of established naming rights as required and present to UOG President for consideration.
UOG President	Consult on proposals for revocation of naming rights, as deemed appropriate
UOG BOR	Review and approve proposals for revocation of naming rights, as deemed appropriate

Procedure

Submit recommendation for revocation of naming right to approving authority. Any recommendation for revocation put forward must provide the following information:

1. Description of the naming right involved
2. Documentation pertaining to the original approval and subsequent name
3. The value of the naming right
4. The name of the Donor
5. Reasons for recommending the revocation of the naming right
6. Names of the original approval authority that do not support revocation of the naming right, the reasons for dissent, and the financial impact, if any

The BOR shall review the recommendation and make a decision. A copy of that decision (Resolution) shall be provided to UOGEF for implementation and record. All public communication surrounding the revocation of a naming right involving buildings shall be handled by the UOG Marketing and Communications Office and the UOGEF.

Procedure for Unfulfilled Pledge Payments

As defined in the Donor agreement, the UOGEF shall communicate with Donors who have not fulfilled their gift commitment in a timely manner with the following timeline:

Years of Unfulfilled Pledge Payments	Action
1 year	UOGEF staff engage in period of consultation, in writing, with the Donor to re-establish the pledge payment schedule. UOGEF Chair shall notify UOGEF Finance Committee Chair of gift status.

2 years	UOGEF staff shall continue to engage in period of consultation with the Donor, in writing, to determine alternative payment plans and if required, a new naming opportunity based on the amount of the gift that has been received. UOGEF Chair shall notify UOGEF Executive Committee and UOGEF Finance Committee Chair of gift status.
3 years	The naming rights for the original naming opportunity expire and a case for revocation is presented to the BOD. The UOGEF shall offer the Donor an alternative naming opportunity whose value is based on the received gift amount. Naming rights term for the new naming opportunity shall be the naming term less the period of time the Donor has received physical recognition for the initial naming opportunity. UOGEF Chair shall notify UOGEF Executive Committee and Finance Committee Chair of gift status.

First Right of Refusal

- The naming term of UOG facility or programs is twenty (25) years from the date of the signage installation/unveiling; the date of installation or unveiling will be put in writing and attached to the contract, and a copy will be provided to the Donor.
- The naming of UOG properties and programs shall be named as long as UOG operates on the same land. UOG assets named in perpetuity are on an exception basis and must be approved by the UOG President;
- The original Donor will be notified by the UOGEF about the expiration of the naming term, and the Donor should respond within a reasonable time not to exceed ninety (90) days;
- The original Donor has the right to make another gift (on the entity already named) before a naming opportunity is made available to others;
- It is expected that a renewing Donor to a named space will provide a gift that reflects the current value of the space, not the original value.

Procedure

1. UOGEF will re-evaluate the value associated with the identified named space at the end of each time period to keep current with comparables in the market;
2. If the existing Donor wishes to renew their gift, the Donor shall be required to complete a new gift agreement or pledge form with terms appropriate at the renewal time;

APPENDIX 1

**UNIVERSITY OF GUAM - DONATION NAMING PRICING GUIDE
FACILITIES**

Ref #	Donation	Subscription Rights	No. of Offerings	Projected Total Amts
Administration Building				
1	\$ 1,000,000	Administration Building	1	\$ 1,000,000
2	\$ 200,000	Open Floor Office Area	1	\$ 200,000
3	\$ 150,000	Conference Room	1	\$ 150,000
4	\$ 150,000	Open Floor Offices	2	\$ 300,000
5	\$ 50,000	Lounge	1	\$ 50,000
6	\$ 25,000	Office - Large	3	\$ 75,000
7	\$ 25,000	Reception Area	1	\$ 25,000
8	\$ 20,000	Office - Mid-sized	11	\$ 220,000
9	\$ 15,000	Office - Small	4	\$ 60,000
Administration Building Annex - Procurement Office				
10	\$ 300,000	Administration Building Annex - Procurement Office	1	\$ 300,000
11	\$ 200,000	Open Floor Offices	1	\$ 200,000
12	\$ 50,000	Conference Room	1	\$ 50,000
Annex - Warehouse A				
13	\$ 300,000	Global Learning & Engagement: Annex - Warehouse A	1	\$ 300,000
14	\$ 200,000	Classroom - Large	1	\$ 200,000
15	\$ 150,000	Classroom - Mid-size	1	\$ 150,000
16	\$ 100,000	Classroom - Small	1	\$ 100,000
17	\$ 75,000	Laboratory - Small	1	\$ 75,000
18	\$ 25,000	Safety Office	1	\$ 25,000
19	\$ 300,000	CNAS: Annex - Warehouse B	1	\$ 300,000
20	\$ 150,000	Classroom - Mid-size	2	\$ 300,000
21	\$ 150,000	Computer Room - Mid-sized	1	\$ 150,000
22	\$ 20,000	Office - Mid-sized	7	\$ 140,000
23	\$ 20,000	Technical Room	1	\$ 20,000
Agriculture and Life Sciences (ALS) Building Complex				
24	\$ 5,000,000	College of Agriculture and Life Sciences (CALS) Building Complex	1	\$ 5,000,000
25	\$ 1,000,000	ALS - Wing A	1	\$ 1,000,000
26	\$ 200,000	Open floor offices	1	\$ 200,000
27	\$ 200,000	CNAS Museum	1	\$ 200,000
28	\$ 200,000	Classroom - Large	2	\$ 400,000
29	\$ 150,000	Classroom - Mid-size	7	\$ 1,050,000
30	\$ 150,000	Laboratory - Large	2	\$ 300,000
31	\$ 75,000	Conference Room	1	\$ 75,000
32	\$ 50,000	Office - Large	2	\$ 100,000
33	\$ 25,000	Office - Mid-sized	3	\$ 75,000
34	\$ 1,000,000	ALS - Wing B	1	\$ 1,000,000
35	\$ 200,000	Laboratory - Large (Aqua Lab, Plant Pathology, or Horticulture)	3	\$ 600,000
36	\$ 150,000	Classroom - Mid-size	4	\$ 600,000
37	\$ 150,000	Laboratory - Mid-sized (Pomology Lab, Soil Lab, or Horticulture Lab)	1	\$ 150,000
38	\$ 100,000	EFNEP & SNAP Main Office	1	\$ 100,000
39	\$ 100,000	Reception Area	1	\$ 100,000
40	\$ 75,000	Laboratory - Small (Turf Lab)	1	\$ 75,000
41	\$ 50,000	Office - Large	3	\$ 150,000
42	\$ 25,000	Office - Small	9	\$ 225,000
43	\$ 1,000,000	ALS - Wing C	1	\$ 1,000,000
44	\$ 200,000	Laboratory - Large	2	\$ 400,000
45	\$ 200,000	Open floor offices	1	\$ 200,000
46	\$ 150,000	Dean's Conference Room	1	\$ 150,000

Ref #	Donation	Subscription Rights	No. of Offerings	Projected Total Amts
47	\$ 150,000	Laboratory - Mid-sized	1	\$ 150,000
48	\$ 100,000	Dean's Office	1	\$ 100,000
49	\$ 75,000	Conference Room	1	\$ 75,000
50	\$ 75,000	Laboratory - Small	1	\$ 75,000
51	\$ 75,000	Reception Area - ANR Office	1	\$ 75,000
52	\$ 50,000	Fiscal Office	1	\$ 50,000
53	\$ 50,000	Office - Large (Assoc. Deans, WPTRC, or Admin Office)	7	\$ 350,000
54	\$ 25,000	Office - Small	12	\$ 300,000
English Language Institute				
55	\$ 500,000	English Language Institute Building	1	\$ 500,000
56	\$ 100,000	Main office	1	\$ 100,000
57	\$ 100,000	Classroom - Small	8	\$ 800,000
58	\$ 25,000	Office - Mid-sized	4	\$ 100,000
59	\$ 20,000	GLE Marine Lab Tour Room	1	\$ 20,000
60	\$ 20,000	Middle Display Room	1	\$ 20,000
61	\$ 20,000	Second Display Room	1	\$ 20,000
62	\$ 10,000	Break Room	6	\$ 60,000
63	\$ 10,000	Supply room	6	\$ 60,000
Enrollment Management Student Success (EMSS) KUBRE Building				
64	\$ 250,000	Building	1	\$ 250,000
65	\$ 150,000	EMSS Annex	1	\$ 150,000
66	\$ 150,000	UOG Americorps Volunteer Center	1	\$ 150,000
67	\$ 50,000	EMSS Behavioral Counseling Office	1	\$ 50,000
68	\$ 50,000	EMSS Behavioral Counseling Office Workshop Room	1	\$ 50,000
69	\$ 25,000	UOG Americorps Volunteer Center Staff Office	1	\$ 25,000
Facilities Management & Services (FMS)				
70	\$ 250,000	Facilities Management & Services (FMS) Maintenance Building	1	\$ 250,000
71	\$ 150,000	Facilities Management & Services (FMS) Maintenance Storage	1	\$ 150,000
72	\$ 100,000	Main office-Property & Maintenance	1	\$ 100,000
73	\$ 75,000	FMS Workshop	2	\$ 150,000
74	\$ 50,000	Office - Large	4	\$ 200,000
75	\$ 25,000	Office - Mid-sized	5	\$ 125,000
76	\$ 10,000	Kitchen	1	\$ 10,000
Fadian - Guam Aquaculture Development and Training Center (GADTC)				
77	\$ 1,000,000	Fadian - Guam Aquaculture Development and Training Center (GADTC)	1	\$ 1,000,000
Fine Arts Theater				
78	\$ 500,000	Fine Arts Theater	1	\$ 500,000
79	\$ 300,000	Auditorium	1	\$ 300,000
80	\$ 200,000	Stage	1	\$ 200,000
81	\$ 150,000	Classroom - Large	6	\$ 900,000
82	\$ 100,000	Classroom - Small	5	\$ 500,000
83	\$ 75,000	Stage Media & Light Room	1	\$ 75,000
84	\$ 25,000	Office - Mid-sized	4	\$ 100,000
85	\$ 15,000	Office - Small	2	\$ 30,000
86	\$ 10,000	Lounge	1	\$ 10,000
87	\$ 10,000	Locker/Storage Room	1	\$ 10,000
Humanities & Social Science (College of Liberal Arts & Social Sciences)				
88	\$ 2,000,000	Humanities & Social Science Building (HSS)	1	\$ 2,000,000
89	\$ 200,000	Humanities & Social Science Atrium	1	\$ 200,000
90	\$ 150,000	Online Learning Room	1	\$ 150,000
91	\$ 150,000	Psych Lab Work Room	1	\$ 150,000
92	\$ 150,000	Classroom - Large	18	\$ 2,700,000
93	\$ 100,000	Classroom - Small	7	\$ 700,000
94	\$ 100,000	Social Work Division Multipurpose Room	1	\$ 100,000
95	\$ 75,000	Conference Room - Large	3	\$ 225,000
96	\$ 75,000	Laboratory - Animal Lab	2	\$ 150,000

Ref #	Donation	Subscription Rights	No. of Offerings	Projected Total Amts
97	\$ 75,000	Computer Room - Small	1	\$ 75,000
98	\$ 50,000	Conference Room - Small	1	\$ 50,000
99	\$ 50,000	Office - Large	3	\$ 150,000
100	\$ 50,000	Isa Psychological Services - Lobby	1	\$ 50,000
101	\$ 30,000	Isa Psychological Services - Offices	5	\$ 150,000
102	\$ 25,000	Faculty Lounge	1	\$ 25,000
103	\$ 25,000	Office - Mid-sized	16	\$ 400,000
104	\$ 20,000	Office - Small	40	\$ 800,000
Ija Research & Education Center				
105	\$ 250,000	Ija Research & Education Center	1	\$ 250,000
Inarajan Research & Education Center				
106	\$ 1,000,000	Inarajan Research & Education Center	1	\$ 1,000,000
Jesus & Eugenia Leon Guerrero School of Business & Public Administration (SBPA)				
107	\$ 1,000,000	SBPA Library	1	\$ 1,000,000
108	\$ 750,000	North Wing-Level 1	1	\$ 750,000
109	\$ 750,000	North Wing-Level 2	1	\$ 750,000
110	\$ 750,000	South Wing-Level 1	1	\$ 750,000
111	\$ 750,000	South Wing-Level 2	1	\$ 750,000
112	\$ 500,000	Executive Offices Admin Offices	1	\$ 500,000
113	\$ 300,000	Computer Room - Large	3	\$ 900,000
114	\$ 300,000	Accounting Computer Lab	1	\$ 300,000
115	\$ 300,000	SBPA IT Ops/Computer Lab	1	\$ 300,000
116	\$ 300,000	President's Office	1	\$ 300,000
117	\$ 250,000	Sr. Vice President Office	1	\$ 250,000
118	\$ 250,000	Small Business Development Center Main Office	1	\$ 250,000
119	\$ 200,000	Classroom - Large	6	\$ 1,200,000
120	\$ 200,000	President's Conference Room	1	\$ 200,000
121	\$ 200,000	Senior Vice President Admin Office	1	\$ 200,000
122	\$ 200,000	Vice President Office	1	\$ 200,000
123	\$ 200,000	Dean's Office Admin Offices	1	\$ 200,000
124	\$ 150,000	Classroom - Mid-size	3	\$ 450,000
125	\$ 150,000	SBPA-Main Conference Room	1	\$ 150,000
126	\$ 100,000	Legal Counsel Office	1	\$ 100,000
127	\$ 75,000	Office - Large	1	\$ 75,000
128	\$ 50,000	Lounge	1	\$ 50,000
129	\$ 50,000	Office - Mid-sized	40	\$ 2,000,000
130	\$ 20,000	SBPA Student Organization Room	1	\$ 20,000
131	\$ 20,000	Breastfeeding Room	1	\$ 20,000
132	\$ 10,000	Break Room	2	\$ 20,000
133	\$ 10,000	Resource Room	1	\$ 10,000
Lecture Hall (College of Liberal Arts & Social Sciences)				
134	\$ 1,000,000	Lecture Hall (College of Liberal Arts & Social Sciences)	1	\$ 1,000,000
135	\$ 500,000	Auditorium	1	\$ 500,000
136	\$ 200,000	Stage	1	\$ 200,000
137	\$ 100,000	Reception Area	1	\$ 100,000
138	\$ 20,000	Media Room - Small	1	\$ 20,000
139	\$ 20,000	Audio Visual Room	1	\$ 20,000
Dr. Lucio Tan Student Success Center				
140	\$ 750,000	Dining Area	1	\$ 750,000
141	\$ 500,000	Bookstore (2 floors)	1	\$ 500,000
142	\$ 300,000	HS Student/Regional/Int'l Student Support	1	\$ 300,000
143	\$ 300,000	Hall - Lower Ground Level	1	\$ 300,000
144	\$ 250,000	Hall - 2nd Floor	1	\$ 250,000
145	\$ 200,000	Admission/Registrar's Office	1	\$ 200,000
146	\$ 200,000	EEO/DIS	1	\$ 200,000
147	\$ 200,000	EMSS Office	1	\$ 200,000

Ref #	Donation	Subscription Rights	No. of Offerings	Projected Total Amts
148	\$ 200,000	Financial Aid Services	1	\$ 200,000
149	\$ 200,000	Student Government Assoc. Office	1	\$ 200,000
150	\$ 200,000	Student Lounge	1	\$ 200,000
151	\$ 150,000	Classroom - Mid-size	1	\$ 150,000
152	\$ 150,000	EMSS Grant Activity Office	1	\$ 150,000
153	\$ 150,000	Graduate School/Office Sponsored Program	1	\$ 150,000
154	\$ 150,000	Post Office	1	\$ 150,000
155	\$ 150,000	Vault Record Room	1	\$ 150,000
156	\$ 100,000	Dental Clinic	1	\$ 100,000
157	\$ 100,000	EMSS Grant Office	1	\$ 100,000
158	\$ 100,000	KUOG Student Radio Station	1	\$ 100,000
159	\$ 100,000	Medical Clinic	1	\$ 100,000
160	\$ 100,000	Service Hallway - Lower Ground Level	1	\$ 100,000
161	\$ 100,000	Student Counseling Services Office	1	\$ 100,000
162	\$ 100,000	Vendor Spaces	3	\$ 300,000
163	\$ 75,000	Reception Area	1	\$ 75,000
164	\$ 50,000	Nurse Station/Waiting/Hallway	1	\$ 50,000
165	\$ 50,000	Prep Room	1	\$ 50,000
166	\$ 50,000	Record	1	\$ 50,000
167	\$ 50,000	Treatment/Exam Room	1	\$ 50,000
168	\$ 20,000	Office - Mid-sized	2	\$ 40,000
Marine Laboratory Building				
169	\$ 1,000,000	Marine Laboratory Building	1	\$ 1,000,000
170	\$ 200,000	Classroom - Large	1	\$ 200,000
171	\$ 200,000	Laboratory - Large	1	\$ 200,000
172	\$ 150,000	Faculty Office/Lab	10	\$ 1,500,000
173	\$ 150,000	Laboratory - Small	2	\$ 300,000
174	\$ 100,000	Main office-Marine Lab	1	\$ 100,000
175	\$ 50,000	Conference Room	1	\$ 50,000
176	\$ 50,000	Marine Technician Office	1	\$ 50,000
177	\$ 30,000	ML Workshop	1	\$ 30,000
178	\$ 25,000	Lounge	1	\$ 25,000
179	\$ 25,000	Office - Mid-sized	1	\$ 25,000
180	\$ 20,000	Shop	1	\$ 20,000
181	\$ 15,000	Office - Small	9	\$ 135,000
182	\$ 10,000	Dive Locker Room	1	\$ 10,000
183	\$ 250,000	Marine Lab (Boat Shop)	1	\$ 250,000
184	\$ 200,000	Marine Laboratory-Visitor's Housing	1	\$ 200,000
Office of Information Technology (OIT)				
185	\$ 2,000,000	Computer Center Building	1	\$ 2,000,000
186	\$ 200,000	Computer Room - Large	2	\$ 400,000
187	\$ 150,000	Classroom - Mid-size	2	\$ 300,000
188	\$ 150,000	Computer Room - Small	1	\$ 150,000
189	\$ 75,000	Conference Room	1	\$ 75,000
190	\$ 75,000	OIT Reception Office	1	\$ 75,000
191	\$ 75,000	Reception Area	1	\$ 75,000
192	\$ 50,000	Office - Large	4	\$ 200,000
193	\$ 15,000	Office - Small	2	\$ 30,000
Richard F. Taitano Micronesia Area Research Center (MARC)				
194	\$ 300,000	Reception Area (A)	1	\$ 300,000
195	\$ 200,000	Reading Room/Spanish Documents	1	\$ 200,000
196	\$ 75,000	Conference Room	1	\$ 75,000
197	\$ 50,000	Office - Large	1	\$ 50,000
198	\$ 30,000	Reading Room	1	\$ 30,000
199	\$ 30,000	Pacific Collection	1	\$ 30,000
200	\$ 25,000	Staff Lounge	1	\$ 25,000
201	\$ 25,000	Office - Mid-sized	14	\$ 350,000

Ref #	Donation	Subscription Rights	No. of Offerings	Projected Total Amts
202	\$ 20,000	Graduate Scholars Research	1	\$ 20,000
203	\$ 20,000	Publication Room	1	\$ 20,000
204	\$ 15,000	Office - Small	2	\$ 30,000
School of Education Building				
205	\$ 2,000,000	School of Education Building	1	\$ 2,000,000
206	\$ 250,000	SOE East Wing-Level 1	1	\$ 250,000
207	\$ 250,000	SOE East Wing-Level 2	1	\$ 250,000
208	\$ 250,000	SOE West Wing-Level 1	1	\$ 250,000
209	\$ 250,000	SOE West Wing-Level 2	1	\$ 250,000
210	\$ 150,000	Classroom - Large	7	\$ 1,050,000
211	\$ 100,000	Classroom - Small	6	\$ 600,000
212	\$ 100,000	Certification Office	1	\$ 100,000
213	\$ 25,000	Office - Mid-sized	9	\$ 225,000
214	\$ 20,000	Student Room	1	\$ 20,000
215	\$ 15,000	Office - Small	35	\$ 525,000
School of Engineering Building				
216	\$ 2,000,000	School of Engineering Annex	1	\$ 2,000,000
217	\$ 300,000	Hydrology Laboratory	1	\$ 300,000
218	\$ 300,000	Soil Mechanics Laboratory	1	\$ 300,000
219	\$ 300,000	Computer Room - Large	1	\$ 300,000
220	\$ 200,000	Structure Laboratory	1	\$ 200,000
221	\$ 200,000	Classroom - Large	2	\$ 400,000
222	\$ 75,000	Conference Room	1	\$ 75,000
223	\$ 25,000	Faculty Office	6	\$ 150,000
School of Health				
224	\$ 1,000,000	School of Nursing & Health Sciences Building	1	\$ 1,000,000
225	\$ 200,000	Admin Staff Office	1	\$ 200,000
226	\$ 200,000	Computer Room - Large	1	\$ 200,000
227	\$ 200,000	Classroom - Large	4	\$ 800,000
228	\$ 150,000	Classroom - Mid-size	2	\$ 300,000
229	\$ 150,000	GWEP Lab	1	\$ 150,000
230	\$ 150,000	Learning Resource Center	1	\$ 150,000
231	\$ 150,000	Skills Lab	1	\$ 150,000
232	\$ 150,000	Computer Build Lab	1	\$ 150,000
233	\$ 100,000	APNLC Admin Office	1	\$ 100,000
234	\$ 100,000	Rotunda	1	\$ 100,000
235	\$ 75,000	Conference Room	1	\$ 75,000
236	\$ 50,000	Office - Large	5	\$ 250,000
237	\$ 50,000	Student Nurse Association of Guam (SNAG) Room	1	\$ 50,000
238	\$ 30,000	Fitness Center	1	\$ 30,000
239	\$ 25,000	Office - Mid-sized	15	\$ 375,000
240	\$ 25,000	PICCAH Office	1	\$ 25,000
241	\$ 20,000	Pacific Islands Cohort of College Students (PICCS)	1	\$ 20,000
242	\$ 20,000	Break Room	1	\$ 20,000
243	\$ 20,000	AV Room	1	\$ 20,000
244	\$ 20,000	Breastfeeding Room	1	\$ 20,000
245	\$ 15,000	Office - Small	2	\$ 30,000
246	\$ 10,000	Utility Rooms	4	\$ 40,000
Science Building				
247	\$ 2,000,000	Science Building	1	\$ 2,000,000
248	\$ 200,000	Classroom - Large	3	\$ 600,000
249	\$ 200,000	Laboratory - Large	5	\$ 1,000,000
250	\$ 150,000	Classroom - Mid-size	8	\$ 1,200,000
251	\$ 150,000	Laboratory - Mid-sized	1	\$ 150,000
252	\$ 100,000	Classroom - Small	6	\$ 600,000
253	\$ 25,000	Office - Mid-sized	14	\$ 350,000

Ref #	Donation	Subscription Rights	No. of Offerings	Projected Total Amts
254	\$ 15,000	Lab Tech Office	1	\$ 15,000
255	\$ 250,000	Science Building Annex - Math & Science	1	\$ 250,000
256	\$ 200,000	Classroom - Large	2	\$ 400,000
257	\$ 200,000	Laboratory - Large	2	\$ 400,000
258	\$ 200,000	Science Building, Chemical Storage	1	\$ 200,000
Tan Lam Pek English & Communication				
259	\$ 200,000	English Communications Atrium	1	\$ 200,000
260	\$ 200,000	Computer Room - Large	1	\$ 200,000
261	\$ 200,000	Writing Center	1	\$ 200,000
262	\$ 150,000	Media Room - Large	1	\$ 150,000
263	\$ 150,000	Classroom - Mid-size	12	\$ 1,800,000
264	\$ 150,000	Reading & Writing Room	1	\$ 150,000
265	\$ 100,000	Classroom - Small	3	\$ 300,000
266	\$ 100,000	Communication & Fine Arts Office	1	\$ 100,000
267	\$ 75,000	Conference Room	1	\$ 75,000
268	\$ 75,000	Media Room - Small	4	\$ 300,000
269	\$ 75,000	Mass Media Reception Area	1	\$ 75,000
270	\$ 50,000	Faculty Lounge	1	\$ 50,000
271	\$ 20,000	Office - Small	36	\$ 720,000
Tan Siu Lin/RFK Memorial Library				
272	\$ 200,000	Main Entrance Lobby	1	\$ 200,000
273	\$ 200,000	AV Room - Large	1	\$ 200,000
274	\$ 200,000	Open Floor Office Area	1	\$ 200,000
275	\$ 150,000	Lobby	1	\$ 150,000
276	\$ 150,000	Dean of Libraries Office	1	\$ 150,000
277	\$ 150,000	AV Room - Small	3	\$ 450,000
278	\$ 150,000	Listening Lab	3	\$ 450,000
279	\$ 150,000	Computer Room - Mid-sized	2	\$ 300,000
280	\$ 150,000	Periodicals/Reserve Collection	1	\$ 150,000
281	\$ 150,000	Circulating Collection	2	\$ 300,000
282	\$ 150,000	Reader/Printer/Study Area	1	\$ 150,000
283	\$ 150,000	Documents/CALS Collection	1	\$ 150,000
284	\$ 150,000	Study Area	1	\$ 150,000
285	\$ 150,000	The Quiet Room	1	\$ 150,000
286	\$ 100,000	Circulation Desk	1	\$ 100,000
287	\$ 100,000	Reference Desk	1	\$ 100,000
288	\$ 100,000	Study Area	1	\$ 100,000
289	\$ 50,000	Conference Room	9	\$ 450,000
290	\$ 50,000	Lounge	1	\$ 50,000
291	\$ 50,000	Office - Large	5	\$ 250,000
292	\$ 25,000	Office - Mid-sized	7	\$ 175,000
293	\$ 20,000	AV Service Desk	1	\$ 20,000
294	\$ 20,000	Typing Word Processing	1	\$ 20,000
295	\$ 20,000	Service Desk	1	\$ 20,000
296	\$ 20,000	The Quiet Room Service Desk	1	\$ 20,000
297	\$ 20,000	Study Area	1	\$ 20,000
298	\$ 20,000	After Hours Study Room	1	\$ 20,000
299	\$ 15,000	Office - Small	1	\$ 15,000
UOG Calvo Field House				
300	\$ 1,000,000	Triton Arena (3 basketball courts & 1 side court)	1	\$ 1,000,000
301	\$ 500,000	UOG Soccer/Football/Rugby Field	1	\$ 500,000
302	\$ 400,000	Fitness Center - Weight Room	1	\$ 400,000
303	\$ 300,000	Admissions & Records Main Office	1	\$ 300,000
304	\$ 200,000	Fitness Room	1	\$ 200,000
305	\$ 200,000	UOG Tennis Courts	1	\$ 200,000
306	\$ 150,000	Classroom - Mid-size	1	\$ 150,000
307	\$ 100,000	Upward Bound	1	\$ 100,000

Ref #	Donation	Subscription Rights	No. of Offerings	Projected Total Amts
308	\$ 100,000	Financial Aid Office	1	\$ 100,000
309	\$ 100,000	TRIO Main Office	1	\$ 100,000
310	\$ 100,000	Concession Room - Large	1	\$ 100,000
311	\$ 100,000	Admissions & Records Vault	1	\$ 100,000
312	\$ 75,000	Financial Aid Main Office Lobby	1	\$ 75,000
313	\$ 75,000	Admissions & Records Main Office Lobby	1	\$ 75,000
314	\$ 50,000	FAO Conference Room	1	\$ 50,000
315	\$ 50,000	Office - Large	2	\$ 100,000
316	\$ 50,000	Box Office Room	1	\$ 50,000
317	\$ 50,000	Locker Room	2	\$ 100,000
318	\$ 25,000	Office - Mid-sized (TRIO or A&R)	7	\$ 175,000
319	\$ 25,000	Bleacher Section	8	\$ 200,000
320	\$ 20,000	Locker/Shower Room	2	\$ 40,000
321	\$ 15,000	Office - Small (TRIO, A&R, or FAO)	18	\$ 270,000
Water & Energy Research Institute (WERI)				
322	\$ 1,000,000	Water & Energy Research Institute (WERI) Building	1	\$ 1,000,000
323	\$ 200,000	Laboratory - Large	2	\$ 400,000
324	\$ 150,000	Laboratory - Mid-sized	3	\$ 450,000
325	\$ 150,000	Open Floor Offices	1	\$ 150,000
326	\$ 100,000	Director's Office	1	\$ 100,000
327	\$ 75,000	Conference Room - Mid-sized	1	\$ 75,000
328	\$ 75,000	Laboratory - Small	4	\$ 300,000
329	\$ 50,000	Office - Large	1	\$ 50,000
330	\$ 20,000	Office - Small	9	\$ 180,000
331	\$ 200,000	Water & Energy Research Institute, Storage Building	1	\$ 200,000
Yigo Research & Education Center				
332	\$ 1,000,000	Yigo Research & Education Center	1	\$ 1,000,000
Outdoor spaces				
333	\$ 1,000,000	Center Courtyard	1	\$ 1,000,000
334	\$ 500,000	House of Knowledge - Canoe House	1	\$ 500,000
Dean Circle				
335	\$ 400,000	#1 CNAS - Agriculture	1	\$ 400,000
336	\$ 400,000	#2 CNAS - Agriculture	1	\$ 400,000
337	\$ 400,000	#3 MARC - Guampedia - Micronesian Language Institute (MLI)	1	\$ 400,000
338	\$ 400,000	#4 Marine Lab - EPSCoR Office	1	\$ 400,000
339	\$ 400,000	#5 WERI Hydrogeology and Climatology Office	1	\$ 400,000
340	\$ 400,000	#6 TADEO/PEACESAT/Office of Online Learning	1	\$ 400,000
341	\$ 500,000	#7 Office of Research & Sponsored Programs - Guam Cancer Research Center	1	\$ 500,000
342	\$ 500,000	#8 CNAS - WERI Bio Reactor Library	1	\$ 500,000
343	\$ 500,000	#9 School of Engineering (SENG)	1	\$ 500,000
344	\$ 500,000	#10 UOG Endowment Foundation	1	\$ 500,000
345	\$ 500,000	#11 CEDDERS	1	\$ 500,000
346	\$ 500,000	#12 School of Engineering (SENG)	1	\$ 500,000
347	\$ 500,000	#13 KPRG Public Radio for Guam	1	\$ 500,000
348	\$ 500,000	#14 CLASS Isla Center for the Arts - Classroom	1	\$ 500,000
349	\$ 500,000	#15 CLASS Isla Center for the Arts - Gallery & Office	1	\$ 500,000
350	\$ 500,000	#16 College of Natural & Applied Sciences (CNAS)	1	\$ 500,000
351	\$ 500,000	#17 CEDDERS	1	\$ 500,000
352	\$ 500,000	#18 CEDDERS	1	\$ 500,000
353	\$ 500,000	#19 CEDDERS - Guam System for Assistive Technology (GSAT)	1	\$ 500,000
354	\$ 500,000	#20 CEDDERS - GSAT Model Home	1	\$ 500,000
355	\$ 500,000	#21 UOG Sea Grant	1	\$ 500,000
356	\$ 500,000	#22 CEDDERS	1	\$ 500,000
357	\$ 500,000	#23 CEDDERS	1	\$ 500,000
358	\$ 500,000	#24 RCUOG	1	\$ 500,000

Ref #	Donation	Subscription Rights	No. of Offerings	Projected Total Amt
359	\$ 500,000	#25 Sea Grant Office	1	\$ 500,000
360	\$ 500,000	#26 Sea Grant & Guam Sympohony	1	\$ 500,000
361	\$ 500,000	#27 ORSP	1	\$ 500,000
362	\$ 500,000	#28 School of Engineering (SENG)	1	\$ 500,000
363	\$ 500,000	#29 CEDDERS	1	\$ 500,000
364	\$ 500,000	#30 CEDDERS	1	\$ 500,000
365	\$ 500,000	#31 SOH Social Work	1	\$ 500,000
366	\$ 500,000	#32 Center for Island Sustainability	1	\$ 500,000
367	\$ 500,000	#33 GLE and OIA	1	\$ 500,000
368	\$ 500,000	#34 CNAS	1	\$ 500,000
369	\$ 500,000	#35 CNAS	1	\$ 500,000

UNIVERSITY OF GUAM - DONATION NAMING PRICING GUIDE
SCHOOLS, PROGRAMS, & OUTREACH

Ref #	Donation	Subscription Rights	Category
College of Liberal Arts & Social Sciences			
1	\$ 3,000,000	College of Liberal Arts & Social Sciences	School/College
2	\$ 1,000,000	CLASS Annual Research Conference	Outreach
3	\$ 1,000,000	English Language Institute	Programs/Departments
4	\$ 500,000	CHamoru Language Competition	Outreach
5	\$ 500,000	Communications, Media & Fine Arts	Division
6	\$ 500,000	English & Applied Linguistics	Division
7	\$ 500,000	Humanities	Division
8	\$ 500,000	Isla Psychological Services Center	Outreach
9	\$ 500,000	Isla Center for the Arts	Outreach
10	\$ 500,000	Language Arts Conference	Outreach
11	\$ 500,000	Social & Behavioral Science	Division
12	\$ 500,000	UOG Fine Arts	Outreach
13	\$ 500,000	UOG Theatre	Programs/Outreach
14	\$ 500,000	Violence Against Women Prevention Program	Outreach
College of Natural & Applied Sciences			
15	\$ 3,000,000	College of Natural & Applied Sciences	School/College
16	\$ 1,000,000	Cooperative Extension & Outreach	Research Centers
17	\$ 1,000,000	Marine Laboratory	Research Centers
18	\$ 1,000,000	Western Pacific Tropical Research Center (WPTRC)	Research Centers
19	\$ 500,000	4H Summer Workshops	Outreach
20	\$ 500,000	Agriculture & Life Sciences	Division
21	\$ 500,000	Army ROTC	Division
22	\$ 500,000	Guam Aquaculture Development & Training Center	Outreach
23	\$ 500,000	Mathematics & Computer Science	Division
24	\$ 500,000	Natural Sciences	Division
25	\$ 500,000	Pre-Engineering	Division
26	\$ 500,000	UOG Herbarium	Outreach
Global Learning & Engagement			
27	\$ 500,000	Adventure Sports Camp	Outreach
University Libraries			
28	\$ 500,000	UOG Press	Programs/Departments
29	\$ 500,000	Guam & Micronesia Collection	Library Resources
30	\$ 500,000	Spanish Documents Collection	Library Resources
31	\$ 500,000	Other MARC Collections	Library Resources
Office of Information Technology			
32	\$ 500,000	TADEO/PEACESAT	Outreach
School of Business & Public Administration			
33	\$ 3,000,000	School of Business & Public Administration	School/College
34	\$ 500,000	Center for Entrepreneurship and Innovation (C4EI)	Outreach
35	\$ 500,000	Guam Economic Report	Outreach
36	\$ 500,000	Guam Procurement Technical Assistance Center	Outreach
37	\$ 500,000	Pacific Islands Small Business Development Center	Outreach
38	\$ 500,000	Pacific Small Business Development Center	Outreach
39	\$ 500,000	Regional Center for Public Policy (RCPP)	Outreach
40	\$ 500,000	SOH-Learning Resources Center (LRC)	Outreach
School of Education			
41	\$ 3,000,000	School of Education	School/College
School of Engineering			
42	\$ 3,000,000	School of Engineering	School/College

Ref #	Donation	Subscription Rights	Category
School of Health			
43	\$ 3,000,000	School of Health	School/College
UOG Athletics			
44	\$ 500,000	Triton Athletics Summer Camps	Outreach
Other Areas			
45	\$ 2,000,000	Cancer Research Center	Research Centers
46	\$ 2,000,000	Center for Excellence in Development Disabilities Education, Research & Service (CEDDERS)	Research Centers
47	\$ 2,000,000	Center for Island Sustainability (CIS)	Research Centers
48	\$ 2,000,000	Water and Environmental Research Institute (WERI)	Research Centers
49	\$ 500,000	2018 Survey of Compact of Free Association (COFA)	Outreach
50	\$ 500,000	Guam Cancer Trust Fund	Programs
51	\$ 500,000	Guam EPSCOR	Programs/Departments
52	\$ 500,000	Guam System for Assistive Technology (GSAT)	Outreach
53	\$ 500,000	Micronesia Educator	Academic Journals
54	\$ 500,000	Micronesica	Academic Journals
55	\$ 500,000	NASA Guam Space Grant	Programs/Departments
56	\$ 500,000	Pacific Asia Inquiry	Academic Journals
57	\$ 500,000	Pacific Islands Climate Adaptation Science Center (PI-CASC)	Programs/Departments
58	\$ 500,000	Pacific Islands Cohort on Cardiometabolic Health (PICCAH)	Programs/Departments
59	\$ 500,000	Research Corporation of UOG	Programs/Departments
60	\$ 500,000	Storyboard	Academic Journals
61	\$ 500,000	UOG Sea Grant	Programs/Departments

UNIVERSITY OF GUAM - DONATION NAMING PRICING GUIDE
VIRTUAL SPACES

Ref #	Donation	Subscription Rights	No. of Offerings	Projected Total Amt
Micronesia Area Research Center				
1	\$ 1,000,000	MARC Digital Library	1	\$ 1,000,000
2	\$ 750,000	MARC Digital-Guam & Micronesia Collection	1	\$ 750,000
3	\$ 750,000	MARC Digital-Spanish Documents Collection	1	\$ 750,000
4	\$ 500,000	MARC Digital-Other Collections	1	\$ 500,000
UOG Triton Esports				
5	\$ 1,000,000	Triton Esports Arena	1	\$ 1,000,000

5.4 INVESTMENT COMMITTEE

5.4.1 Committee Update



UNIVERSITY OF GUAM
UNIBETSEDÁT GUÅHAN
Board of Regents

Resolution No. 22-09

RELATIVE TO RECOGNIZING THE ACHIEVEMENT OF THE TRITON INVESTMENT CLUB

WHEREAS, the University of Guam (UOG) is the primary U.S. Land Grant institution accredited by the Western Association of Schools and Colleges Senior College and University Commission serving the post-secondary needs of the people of Guam and the Western Pacific region;

WHEREAS, the governance and well-being of the University is vested in the Board of Regents (BOR);

WHEREAS, about 10 years ago, the UOG BOR Investment Committee entrusted \$50,000 to the Triton Investment Club (TIC) (formerly known as the Student Investment Club) to provide an opportunity for real world investment experience in order to develop skills and abilities in managing an investment portfolio;

WHEREAS, in October 2017, the Committee authorized the removal of approximately \$22,000 from the portfolio;

WHEREAS, as of the September 2021 meeting and with the guidance and supervision of Dr. Leila Kabigting, the balance in the fund had reached more than \$102,000 which represents more than 100% increase in less than four years; and

WHEREAS, the original funds have been returned to the University and all funds in the portfolio are the result of the outstanding performance of the TIC.


NOW, THEREFORE, BE IT RESOLVED, that the BOR desires to recognize the outstanding achievement of Dr. Kabigting and the TIC in their stellar investment performance in enabling the TIC investment portfolio to double in less than four years and to commend Dr. Kabigting and the TIC for this exceptional achievement.

Adopted this 24th day of February, 2022.



Liza J. Provido, Chairperson

ATTESTED:



Thomas W. Krise, Ph.D., Executive Secretary



**UNIVERSITY OF GUAM
UNIBETSEDÁT GUÅHAN
Board of Regents**

Resolution No. 22-10

**RELATIVE TO APPROVING THE REVISIONS TO THE UNIVERSITY OF GUAM
INVESTMENT POLICY STATEMENT**

WHEREAS, the University of Guam (UOG) is the primary U.S. Land Grant institution accredited by the Western Association of Schools and Colleges Senior College and University Commission serving the post-secondary needs of the people of Guam and the Western Pacific region;

WHEREAS, the governance and well-being of UOG is vested in the Board of Regents (BOR);

WHEREAS, UOG adopted an Investment Policy Statement (IPS) in February, 1989 governing the role of the Investment Committee in managing UOG's investments, especially the Land Grant Endowment Fund;

WHEREAS, since that time there have been several amendments to the policy;

WHEREAS, UOG's Investment Advisor, Raymond James & Associates, has recommended the IPS be updated with current information; and

WHEREAS, the Administration and the Investment Committee recommend the revised UOG IPS to the BOR for approval.


NOW, THEREFORE BE IT RESOLVED, that the BOR hereby approves the revised UOG IPS to be effective immediately.

Adopted this 24th day of February, 2022



Liza A. Provido, Chairperson

ATTESTED:



Thomas W. Krise, Ph.D., Executive Secretary

THE UNIVERSITY OF GUAM UNIBETSEDÅT GUAHAN

Investment Policy Statement



Adopted: February 1989

Amended: 1990, 1991, 1992, 1995, 1997, 2003, 2008, 2011, 2014, 2016, 2017, 2020, 2021 & 2022

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EXECUTIVE SUMMARY

Name of Fund: University of Guam Investment Fund

Current Market Value: \$31.1 Million (as of December 2021)

Planning Time Horizon: Greater than 20 years

Expected Return: Nominal rate of 6.24%

Asset Allocation:

	<u>Lower Limit</u>	<u>Strategic Allocation</u>	<u>Upper Limit</u>
US Equities	20%	30%	40%
<i>Large Cap Growth</i>		10%	
<i>Large Cap Value</i>		10%	
<i>Mid Cap Value</i>		2.5%	
<i>Mid Cap Growth</i>		2.5%	
<i>Small Cap Value</i>		2.5%	
<i>Small Cap Growth</i>		2.5%	
Non-U.S. Equities	10%	20%	30%
<i>Developed Markets Value</i>		10%	
<i>Developed Markets Growth</i>		10%	
Fixed Income	20%	30%	40%
<i>U.S. Core/ Intermediate</i>		20%	
<i>U.S. High Yield</i>		5%	
<i>Non-U.S.</i>		5%	
Alternatives	10%	20%	30%
<i>U.S. REITS</i>		5%	
<i>Low Duration Fixed Income</i>		5%	
<i>Global Listed Infrastructure</i>		5%	
<i>Private Markets</i>		5%	

I. STATEMENT OF PURPOSE

The purpose of this Investment Policy Statement (“IPS”) is to assist the Board of Regents (“Regents”) of the University of Guam, and its Investment Committee (“Committee”), in effectively supervising, monitoring and evaluating the investment of the University of Guam Internal Endowment Fund (“Fund”) assets. The Fund’s investment program is defined in the various sections of the IPS by:

- Stating in a written document the Regents’ attitudes, expectations, objectives, and guidelines in the investment of all Fund assets
- Setting forth an investment structure for managing all Fund assets. This structure includes various asset classes, investment management styles, asset allocation, and acceptable ranges that, in total, are expected to produce a sufficient level of overall diversification and total investment return over the long-term.
- Providing guidelines for each investment portfolio that controls the level of overall risk and liquidity assumed in that portfolio so that all Fund assets are managed in accordance with stated objectives
- Encouraging effective communications between the Regents, the Committee, the registered investment advisor (“RIA”), and the investment managers (“Investment Managers”)
- Establishing formalized criteria to monitor, evaluate and compare the performance results achieved by the Investment Managers on a regular basis
- Complying with all fiduciary, prudence and due diligence requirements that experienced investment professionals would utilize.

This IPS has been arrived at upon consideration by the Regents of the financial implications of a wide range of policies, and describes the prudent investment process that the Regents deem appropriate.

II. BACKGROUND

The Fund consists of a number of sub-funds, with the largest being the UOG Land Grant Endowment Fund. The University of Guam Land Grant Endowment Fund was established by a payment from the United States Federal Government with the sum of \$3 million (i.e., the corpus). This payment was given in lieu of a donation of public land or land scrip for the endowment and maintenance of colleges for the benefit of agriculture & mechanical arts normally provided in similar situations. The Fund sub-funds that will be managed by the Vice President of Administration and Finance (VPAF). The sub-funds will be updated quarterly. An accounting of the sub-funds can be found in Appendix D of this document.

Key Information

Name: University of Guam Investment Fund

Sponsor: University of Guam

Oversight: The President has delegated administrative responsibility for the University's investments to the VPAF. The Investment Committee, Board of Regents, University of Guam, has oversight. The voting members of the Investment Committee are the Board of Regents' Chair and three additional Regent members, one of which will be elected Chair of the Committee. Ex Officio members of the Investment Committee include the University President, VPAF, Comptroller, and ABAPO.

III. STATEMENT OF OBJECTIVES

The objectives of the Fund have been established in conjunction with a comprehensive review of the current and projected financial requirements. The objectives are:

- To attain a 6.24% annual rate of return or a rate of return at least four percent over the rate of inflation over a market cycle, whichever is greater. It is expected that this objective will be met within the levels of economic risk that a prudent man would take under various economic conditions. This objective may be modified periodically in light of changing rates of inflation.
- It is acknowledged that the rate of return outlined above may not be achieved each and every year. It is the goal of the Fund to meet this objective over a complete market cycle.
- To control costs of administering the Fund and managing the investments.

IV. SPENDING POLICY

University of Guam has the following funds available for investment:

A. Land-Grant Endowment Fund (\$3,000,000 corpus)

Public Law 19-40 established this Fund, requiring that the value of the original \$3 million corpus remain unimpaired and preserved. This is a permanent endowment. Given this, the Regents direct that the value of the corpus be adjusted annually for inflation using the U.S. Consumer Price Index-Urban ("Inflation-Adjusted Value") as follows (the Committee is directed to make this calculation at the beginning of each fiscal year):

$$\text{Corpus} \times \frac{\text{Current CPI-U (i.e., Consumer Price Index-Urban)}}{1974 \text{ CPI-U}}$$

In Board of Regents Resolution No. 21-12, rules for withdrawing funds from the Board governed funds are set forth as well as the potential authorized uses of the funds.

The Board and the Guam Legislature must approve the expenditure budgets from this Fund. Spending of funds cannot be for any building-related expenditure.

B. Planetarium Fund

Based upon Public Law 20-221 the University established a revolving fund for the Planetarium instrument. The University is authorized to spend from this Fund for the purposes of maintenance and parts for the Planetarium instrument. With the closure of the Planetarium, UOG counsel advised that remaining funds may be spent for science related purposes. The Board must approve the expenditure budgets from this Fund.

C. Current Account

The Current Account is an auxiliary account to the UOG General Fund. Unrestricted advances of monies from Internal Endowment accounts will be credited to the scholarship and other account and will be debited to this account. As the Current Account is utilized to reimburse monies drawn to pay the advances. The Account allows the University to avoid making frequent withdrawals to the Internal Endowment Fund

and selling in a disadvantageous market. The University is authorized to transfer periodically to reimburse the General Fund subject to the rules laid out in Resolution No. 21-12.

D. Faculty and Staff Development Fund

Per Board of Regents Resolution 93-17, the University is authorized to spend \$30,000 per year for faculty development and \$13,000 per year for staff development. Any amount over that shall be reinvested.

E. Campus Maintenance Fund (\$952,984 corpus)

It is the policy of the Regents and Committee to spend up to 4% of the moving average of the market value of the Fund for the trailing three years, ending each September 30 for the purposes of renovation and maintenance projects and replacement of major components for all campus buildings to sustain the highest levels of student learning and academic quality. The Board must approve the expenditure budgets from this Fund. To the extent that the total of this annual calculation is not withdrawn and expended, such excess shall be added to the corpus of the Fund.

As unanticipated additional funding requirements for the Fund may arise suddenly, the Fund will be invested in such a way that adequate funds can be made available within a short period of time should the need arise.

F. Dorm Renewal and Replacement Fund (\$150,000 corpus)

The Fund and spending authority were originally established to comply with the covenants of the Dorm Student Union Bond. As the bond is now fully paid, the bond covenants are no longer in force. From FY2009 forward, the University is authorized to spend from this Fund for the purposes of renovation and maintenance projects and replacement of major components for all dorms. The Board must approve the expenditure budgets from this Fund.

G. Self-Insurance Fund

Per Board Resolution 96-29, the University is authorized to spend from this fund for damages and loss prevention measures, as approved by the Investment Committee.

H. Scholarship Funds (Siu Lin Tan, Maman Ling-R. Taitano, Macs Corporation, DeLeon, Chinn Ho, J. Guthertz, Gov. Bill Daniel)

The University is authorized to spend from these funds for the specific purposes and in the manner established in each gift. The Chinn Ho Fund and the Governor Bill Daniel Fund have been set aside for the planned Last Mile program.

V. BROKERAGE POLICY

It is the policy of the Regents to instruct the Investment Managers to direct transactions to designated broker-dealers. The direction of trading shall be “subject to the best price execution” as it relates to all transactions effected for the Fund.

The Regents have entered into an asset-based fee arrangement, where it may instruct the Investment Managers to direct securities transactions to designated broker/dealers.

For transactions under this arrangement, executions will be done by designated broker/dealers without commission expense, or other forms of compensation that may have been paid for asset placement. The Investment Managers, exercising full discretion, must attempt to obtain “best available price and best execution” with respect to transactions effected for the Fund.

VI. SUSTAINABLE, RESPONSIBLE & IMPACT INVESTING POLICY

University of Guam is a recognized leader in the educational community. UOG has also been recognized for its financial stability and good governance, and has therefore amplified its international leadership and emphasized the importance of regional and global partnerships.

The University of Guam Board believes that as fiduciaries with oversight over valuable assets of the education of Guam’s future leaders, it is their duty to take a “Sustainable” investment approach to the management of the Fund. Sustainable investing integrates prudent Environmental, Social, and Governance (ESG) practices into the management of its financial assets. The challenge the Board faces is how to take ESG factors into account, but to still look at it through the lens of performance-based duty.

A growing body of research has demonstrated that poorly managed ESG risks, such as natural resource efficiency, human capital/labor management, and board independence can have a material impact on asset values. Therefore, the Board will adopt a policy of “integration” in addressing ESG factors. Under this approach, ESG issues are explicitly and systematically integrated into traditional investment analysis and decisions, to better manage risks and improve returns. Quite often this is implemented as a best-in-class approach by identifying and investing in companies that are the highest ESG performers within a sector or industry group. According to a recent CFA Institute study, Integration is the commonly used method of implementation of Sustainable investing.

Therefore, it is the policy of the Board to seek and retain Investment Managers that incorporate Sustainable investing criteria in their investment processes. To assist the Board in verifying that this is being done, all Investment Managers employed are preferred to be signatories of the United Nations Principles for Responsible Investment (“PRI”). The PRI is a global organization that encourages and supports the uptake of responsible investment practices in the investment industry.

VII. GUIDELINES AND INVESTMENT POLICY

Time Horizon

Investment guidelines are based upon an investment horizon of greater than twenty years, so that interim fluctuations should be viewed with appropriate perspective. Similarly, the Fund’s strategic asset allocation is based on this long-term perspective.

Risk Tolerances

The Regents recognize the difficulty of achieving the Fund’s investment objectives in light of the uncertainties and complexities of contemporary investment markets. The Regents also recognize that some risk must be assumed to achieve the Fund’s long-term investment objectives. However, it is the intent to monitor the risk being assumed by each individual Investment Manager and by the Fund as a whole. To that end, risk will be evaluated by:

- Over a market cycle, risk associated with any Investment Managers portfolio, as measured by the variability of quarterly returns (standard deviation) must not exceed that of the Investment Manager's respective performance benchmark, without a commensurate increase in return.
- Over a market cycle, risk associated with the total Fund, as measured by the variability of quarterly returns (standard deviation) must not exceed that of the blend of indices representing the strategic asset allocation of the Fund, without a commensurate increase in return.
- During market cycles the risk measures, as indicated herein, will be reviewed periodically by the Committee.

Performance Expectations

The investment objective is a long-term nominal rate of return on assets that is at least equal to 6.24%. This target rate of return for the Fund has been modeled by the RIA based upon the assumption that future real returns will approximate the long-run rates of return experienced for each asset class in the IPS.

The investment objective of the Fund is to strive for positive real rates of return (note: the U.S. Consumer Price Index - Urban (CPI) will be used when determining the real rate of return). It is acknowledged that the target rate of return may not be achievable each and every year. The Fund's objective is to meet the target rate of return over a complete market cycle.

The Committee realizes that market performance varies and that a 6.24% nominal rate of return may not be meaningful during some periods. Accordingly, relative performance benchmarks for the Investment Managers are set forth in Appendix B.

The Committee will consider risk-adjusted performance as well. Over market cycles, Investment Managers will be expected to provide returns with a positive Alpha, as measured against their respective benchmark index; as well as have a higher Sharpe Ratio than the index. The Fund as a whole will be measured in the same manner against an index composite in the same allocation as the Funds strategic allocation.

Asset Allocation Constraints

The Committee believes that the Fund's risk and liquidity posture are, in large part, a function of asset class mix. The Committee has reviewed the long-term performance characteristics of various asset classes, focusing on balancing the risks and rewards inherent in the marketplace.

Four asset classes have been selected:

1. U.S. Equities
2. Non-U.S. Equities
3. Fixed Income
4. Alternatives

Given the Fund's time horizon, risk tolerances, performance expectations & asset class preferences; an efficient (optimal) portfolio was identified (Appendix A).

Re-balancing of Strategic Allocation

The percentage allocation to each broad-asset class may vary as much as plus or minus 10% of target. The Fund's asset allocation will be reviewed for compliance by the Committee after the end of each fiscal quarter. If, after a fiscal quarter end where any particular broad asset class is either above its maximum limit, or below its minimum limit, and the Committee has not taken any corrective action within sixty (60) days, a member of the Board of Regents Executive Committee will be consulted by the University's Vice President for Administration and Finance in the event that no response was made by the Committee Chair. After such consultation, the Vice President for Administration and Finance may direct the RIA to take action to rebalance within policy compliance (after first sending notification of pending action to the Committee), and they are held harmless for doing so.

When necessary and/or available, cash inflows/outflows will be deployed in a manner consistent with the strategic asset allocation of the Fund. The allocation of the Fund will be reviewed by the Committee quarterly.

When cash flows are insufficient to bring the Fund within the strategic allocation ranges, the Committee shall determine the appropriate course of action to be taken. The Investment Managers will then be instructed to execute such action required to bring the strategic allocation within the pre-specified ranges.

Custodial Credit Risk

Custodial credit risk will be mitigated by requiring that: 1) All securities held in custody be protected by deposit insurance, bond, or pledged collateral; and 2) Securities held in custody be in the University's name or in the name of the University's custodian for the benefit of the University.

Ethics Guidelines

The Regents, Committee and University employees are subject to the standards found in the University's Procurement Regulations, Chapter 11, Ethics in Public Contracting, in the performance of their duties under the Investment Policy Statement.

The Regents, Committee, University employees and RIA must avoid conflicts of interest and should be sensitive to even the appearance of a conflict. A conflict of interest occurs when outside activities or personal interests interfere, or appear to interfere, with the ability to objectively perform a job or act in the best interests of the University.

All financial, business and other activities must be lawful and free of conflicts or even the appearance of a conflict with the responsibilities to the University. If there are potential conflicts of interest or even if there is a possibility that a conflict may exist or appear to exist, it should be disclosed to the Committee in writing. All fiduciaries will annually acknowledge the University's ethics policies and agree to disclose any potential conflicts of interest accordingly.

VIII. SECURITIES GUIDELINES

Every Investment Manager selected to manage Fund assets must adhere to the following guidelines.

General:

- Any pertinent restrictions existing under the laws of Guam with respect to the Fund, that may exist now or in the future, will be the governing restriction.
- U.S. and non-U.S.: equities; ADRs (American Depository Receipts); convertible bonds; preferred stocks; fixed-income securities; mutual funds; and other asset classes deemed prudent by the Regents, are permissible investments.
- No individual security of any issuer, other than that of the United States Government, shall constitute more than 5% (at cost) of the Total Fund or 10% (at cost) of any Investment Manager's portfolio.
- No investment may be made in the securities of a single corporate entity in excess of 15% (at market) of any individual Investment Manager's portfolio, without prior Committee approval.
- Holdings of any issuer shall constitute no more than 5% of the outstanding securities of such issuer.
- Investments in a registered mutual fund managed by any Investment Manager is subject to the prior approval of the Committee.
- The following securities and transactions are not authorized without prior written Committee approval: letter stock and other unregistered securities; non-negotiable securities; commodities or other commodity contracts; options; futures; short sales; and margin transactions.
- As some of following investments may be in equities or mutual funds, the RIA will determine the appropriate asset class for reporting purposes, updating the Committee whenever a change in reporting occurs.

Core Fixed Income:

- Except for high yield fixed income funds, all fixed income securities held in the Core Fixed Income portfolio shall have a Moody's, Standard & Poor's and/or a Fitch's credit quality rating of no less than broad investment grade "BBB" or it's equivalent. U.S. Treasury and U.S. Government agencies, which are unrated securities, are qualified for inclusion in the portfolio and will be considered to be of the highest rating.
- No more than 20% of the market value of the portfolio shall be rated less than single "A" quality, unless the Investment Manager has specific prior written authorization from the Committee.
- Total portfolio quality (cap weighted) shall maintain an "A" minimum rating.

High Yield Fixed Income

- Investments are authorized in High yield fixed income funds to include US and non-US-dollar-denominated securities carrying a below investment grade quality rating. High yield bonds carry a Moody's/Standard & Poor's credit quality rating of Ba1/BB+ or lower.

Equities:

- Consistent with the desire to maintain broad diversification, allocations to any economic or industry sector should not be excessive.
- Equity holdings shall be restricted to readily marketable securities of corporations that are actively traded on the major exchanges and over the counter.
- The Investment Managers shall have the discretion to invest a portion of the assets in cash reserves when they deem appropriate. However, the Investment Managers will be evaluated against their peers on the performance of the total funds under their direct management.
- Common stock and preferred stock of any institution or entity created or existing under the laws of the United States or any other country are permissible investments.

Cash/Cash Equivalents:

- Cash equivalent reserves shall consist of cash instruments having a quality rating of A-1, P-1 or their equivalent. U.S. Treasury and Agency securities, Bankers Acceptances, Certificates of Deposit (CD), and Collateralized Repurchase Agreements are also acceptable investment vehicles.
- Custodial Sweep Accounts must be, in the judgment of the Investment Managers, of credit quality equal or superior to the standards described above.
- CD's must be issued by FDIC insured institutions. Deposits in institutions with less than \$10,000,000 in assets may not be made in excess of prevailing FDIC insurance limits unless it is fully collateralized by U.S. Treasury Securities.
- No single issue shall have a maturity of greater than two (2) years.
- Custodial Sweep Account portfolios must have an average maturity of less than one (1) year.

Real Estate Investment Trusts (REITS):

- Investments in REITS are authorized that represent ownership interests in commercial real estate properties, including office buildings, apartment buildings, hotels, and shopping centers. They may also include publicly traded companies engaged in the ownership, development, and/or management of real estate.

Non-Traditional/Alternative Investments:

- Definition: Non-Traditional/Alternative Investments are often structured as private investments and are generally formed as limited partnerships or limited liability companies and, in many cases, organized in low or no tax jurisdictions. The managers of these investments generally are allowed to operate with greater flexibility than most traditional investment managers and their compensation usually includes substantial performance incentives.
- Objective: Investment in alternatives may be considered by this organization within the context of an overall investment plan. The objective of such investments will be to seek to diversify the portfolio, complementing traditional equity and fixed-income investments and improving the overall performance consistency of the portfolio. It is acknowledged that there is no guarantee that this objective will be realized.

- **Transparency and Liquidity:** It is acknowledged that these investments are less transparent than traditional investments and that liquidity in such investments is usually significantly limited. Liquidity constraints, including lockup provisions and redemption or withdrawal fees, must be taken into consideration when making allocations to such investments.
- **Allowable Strategies:** Since alternative investments generally seek to provide diversification by investing in strategies that do not correlate directly with traditional equity and/or fixed-income investments, investments strategies may include, but are not limited to, the following:
 - Statistical Arbitrage
 - Distress Securities
 - Bayesian Modeling
 - Merger Arbitrage
 - Momentum Trading
 - Fixed Income Arbitrage
 - Debt/Equity Financing
 - Equity Long/Short
 - Leveraged Buyouts
 - Global macro
 - Venture Capital
 - Short Selling
 - Mezzanine Debt
 - Commodities and Futures
 - Equity Market Neutral
 - Structured Credit Products
 - Convertible Arbitrage
 - Infrastructure
 - Real Estate (Public & Private)

The foregoing allowable strategies may be pursued in any manner including through collective investment vehicles such as hedge funds, funds of hedge funds, private equity (i.e. LBO, Venture, Mezzanine Debt, etc.) funds and funds of funds, real estate funds and funds of funds, commodity pools, and structured credit products such as equity CDOs.

- **Allowable Investments:** The above referenced strategies may include, but are not limited to, investments (directly or indirectly) in the following: common and preferred stocks, options, warrants, convertible securities, foreign securities, foreign currencies, commodities, commodity futures, financial futures, derivatives, mortgage-backed and mortgage-related securities, real estate, bonds (both investment-grade and non-investment-grade, including high-yield debt, distressed or other securities) and other assets. Strategies may utilize short-selling and leverage.
- **Risk Acknowledgement:** The Regents and the Committee acknowledge that: (1) alternative investments can be highly illiquid and may engage in leveraging and other speculative investment practices, which may involve volatility of returns and significant risk of loss, including the potential for loss of the principal invested; (2) that there is no secondary market currently available for interests in most alternative investments and that there may be restrictions imposed by the fund on transferring such interests as stated in the fund's private placement memorandum or prospectus; (3) that investing in alternative investments is only suitable for experienced and sophisticated investors who are willing to bear the high economic

risks of the investment and that this organization qualifies as such an investor; (4) that it will carefully review and consider all potential risks before investing including the following specific risks:

- loss of all or a substantial portion of the investment due to leveraging, short-selling, or other speculative practices;
- lack of liquidity as there may be no secondary market for the investments;
- volatility of returns;
- restrictions on transferring interests in the investments;
- potential lack of diversification and resulting higher risk due to concentration of trading authority when a single advisor is utilized;
- absence of information regarding valuations and pricing;
- less regulation and higher fees than mutual funds, and
- Investment advisor risk

IX. SELECTION OF INVESTMENT MANAGERS

The Committee, with the assistance of the RIA, will select appropriate investment managers to manage Fund assets. Investment Managers selected will execute written contracts with the University or the RIA, particularly where the RIA has a master contract with Investment Managers, whereby they can be retained by the University at preferential fees and at substantially reduced minimums. The University may subcontract with them through its contract with the RIA. Investment Managers must meet the following minimum criteria:

- Be a bank, insurance company, investment management company, or investment adviser as defined by the Investment Advisers Act of 1940.
- Must claim compliance to GIPS® standards and provide independent verification by a qualified third-party verifier.
- Provide historical quarterly performance numbers calculated on a time-weighted basis, based on a composite of all fully discretionary accounts of similar investment.
- Provide detailed information on the history of the firm, key personnel, key clients, fee schedule, and support personnel.
- Clearly articulate the investment strategy that will be followed and document that the strategy has been successfully adhered to over time.
- Must have been continuously engaged as an investment manager for five years.
- Must have at least two hundred million dollars under management.
- Assets that are to be placed in an investment management organization shall not exceed 20% of the organization's total asset under management.
- Selected firms shall have no outstanding legal judgments or past judgments, which may reflect negatively upon the firm.
- Preferred if manager is a PRI Signatory.

The University's relationship with the Investments Mangers will be subject to ongoing periodic review, benchmarked against the criteria set forth in the IPS. The term of the relationships will be at the discretion of the Committee, as they deem necessary. It is noted that having fixed or arbitrary time frames may lead to Investment Manager behavior that is not necessarily driven by the best interests of the University.

X. SELECTION OF REGISTERED INVESTMENT ADVISOR

The Committee will select an appropriate, registered investment management consulting firm as a Registered Investment Advisor ("RIA") to assist in the prudent investment and monitoring of the Fund. The RIA selected will execute a written contract with the University. The RIA must meet the following minimum criteria:

- The RIA must be a Registered Investment Advisor (RIA) registered with the Securities Exchange Commission.
- Consultants must be recognized as expert in Investment Management Consulting, with an emphasis in institutional/endowment funds and must be able to provide unbiased fiduciary and financial advice.
- Consultants must demonstrate experience in the breadth and depth of their professional staff. The specific individual providing advice to the Fund must provide evidence of specialized training in the field of Investment Management Consulting, such as the Certified Investment Management Analyst (CIMA) designation, or its equivalent.
- The specific individual providing advice to the Fund shall not have any awards or judgments against him or her either by the Securities Exchange Commission (SEC) or Financial Industry Regulatory Authority (FINRA).
- RIA must maintain its own independent investment manager database and have its own investment manager due diligence capabilities, as well as its own investment performance monitoring system to ensure quality and accuracy of data and which tasks should not have to be either subcontracted out or purchased from third party vendors.

The University's relationship with the RIA will be subject to ongoing and annual review, benchmarked against the criteria set forth in the IPS. The term of the relationship will be at the discretion of the Committee, as they deem necessary. It is noted that having fixed or arbitrary time frames may lead to RIA behavior that is not necessarily driven by the best interests of the University.

XI. SELECTION OF SECURITIES CUSTODIAN

The Committee with RIA advice will select an appropriate securities custodian ("Custodian") to safe keep Fund assets and to provide timely reporting of assets and activity. The Custodian must meet the following minimum criteria:

- Must be a U.S financial institution regulated by the Federal Reserve, a state banking authority, the Comptroller of the Currency or the appropriate equivalent, depending upon the nature of the given institution.
- Must have a minimum net worth in excess of \$1 billion.
- Must have direct access to the Depository Trust Company I.D. System.

- Must have at least 10 years experience as a custodian of similar funds.
- Must have at least \$1 billion in custodial assets.
- Must offer electronic access to account information, to include statements.

XII. CONTROL PROCEDURES

Duties and Responsibilities of the Investment Managers

The duties and responsibilities of each Investment Manager retained include:

- Exercising investment discretion over the Fund assets under its care and control in accordance with the IPS objectives and guidelines set forth herein.
- Promptly informing the Committee in writing, all significant or material matters pertaining to the investment of Fund assets, including, but not limited to: investment strategy; portfolio structure; tactical approaches; ownership; organizational structure; financial condition; professional staff; and, any material, legal or regulatory agency proceedings affecting the firm.
- Promptly voting all proxies and related actions in a manner consistent with the long-term interests and objectives of the Fund set forth herein.
- Utilize the same care, skill, prudence and due diligence under the circumstances then prevailing that experienced, investment professionals acting in a like capacity and fully familiar with such matters would use in like activities for like funds with like aims in accordance and compliance with all applicable laws, rules and regulations from local, state and federal entities as it pertains to fiduciary duties and responsibilities.
- Acknowledge, and agree in writing to, their fiduciary responsibility.
- If a PRI Signatory, provide a current year PRI Transparency Report upon request.

Duties and Responsibilities of the Registered Investment Advisor

The duties and responsibilities of the RIA retained by the Committee include, but are not limited to, the following:

- Assist in with the development of investment strategies for Fund's assets
- Analyze existing investments
- Assist with asset allocation
- Select relevant performance benchmarks for each investment management style, updating Appendix B as needed in consultation with the Committee
- Assist in the IPS development/ongoing review
- Recommend replacement of Investment Managers when warranted by qualitative or quantitative factors set forth herein
- Provide investment manager search services
- Monitor the performance of Fund assets and Investment Managers to include reporting against relevant performance benchmarks

- Report on Investment Managers' adherence to the IPS guidelines
- Provide educational forms, as requested
- Provide quarterly on-site reviews
- Assist with special projects.

Duties and Responsibilities of the Securities Custodian

The duties and responsibilities of the Custodian include, but are not limited to, the following:

- Keep safe assets entrusted to the care of the Custodian;
- Collect, and credit, on a timely basis, all income due to the Fund;
- Provide on a timely basis, monthly accounting statements for all Fund accounts;
- Provide web access to all account information, including activity and statements.

Performance Objectives

Investment performance will be reviewed at least quarterly to determine the continued feasibility of achieving the investment objectives and the appropriateness of the IPS for achieving those objectives. It is not expected that the IPS will change frequently. In particular, short-term changes in the financial markets should not require adjustments to the IPS.

Monitoring of the Registered Investment Advisor

On a timely basis, but not less than once a year at the end of each fiscal year, the Committee will meet concerning:

- RIA's adherence to the IPS guidelines and applicable laws
- Consultants continuing qualifications per IPS requirements
- Material changes in the RIA's organization and/or personnel
- Timeliness, completeness and accuracy of reporting
- Review of RIA relative to advice given in regards to investment strategy development, asset allocation & Investment Manager selection/replacement.
- Quality of educational programs, quarterly reviews and special projects
- Fees paid.

Monitoring of Investment Managers

On a timely basis, but not less than four times a year, the Committee will meet concerning:

- Investment Manager's adherence to the IPS guidelines and applicable laws
- Material changes in the Investment Managers' organization, investment philosophy and/or personnel
- Review of Investment Manager performance relative to the established performance benchmarks

- Fees paid.

The appropriate performance benchmarks are detailed under each Investment Manager's specific objectives and guidelines as presented in Appendix B.

Performance Measurement Periods

The measurement period for complete evaluation will be cumulative annual periods and complete market cycles. Market cycles will be loosely defined as periods of at least two consecutive quarters of rising stock prices/interest rates or two consecutive quarters of declining stock prices/interest rates.

Quarterly performance will be evaluated to test progress toward the attainment of longer-term targets. It is understood that there are likely to be short-term periods during which performance deviates from market indices. During such times, greater emphasis shall be placed on *peer*-performance comparisons with investment managers employing similar styles.

The Committee will utilize the services of the RIA to assist in their evaluation and complete performance measurement duties.

The performance of the Fund's Investment Managers will be monitored on an ongoing basis and it is at the Committee's discretion to take corrective action by placing an Investment Manager on a "Watch List", or terminating an Investment Manager, if they deem it appropriate at any time.

Watch List

The Consultant shall maintain a Watch List, which provides a means to communicate developments of potential concern. Placement on the Watch List initiates a probationary period that allows time to better assess the effects — negative or positive — stemming from the development in question. Upon placement on the Watch List, the Committee may notify the Investment Manager in writing and may require a countersignature upon receipt upon inception of Watch List notification.

The Committee, with the assistance of the Consultant, will attempt to resolve Watch List assignments as soon as possible. These attempts are balanced with a goal of making more informed judgments that are consistent with maintaining a long-term investment perspective.

More common reasons for Watch List assignments include:

- Major ownership changes
- Significant firm and/or product asset declines
- Excessive asset growth in products with limited capacity
- Concerns regarding changes to key service providers
- Professional turnover
- Notably altered incentive structures for key professionals
- Questionable changes in investment decision-making authority
- Material changes in investment approach

- Extended period of unexplainable or unanticipated relative underperformance

If the Investment Manager improves and satisfies the concerns over a reasonable time period (often 6 months to 18 months) the Investment Manager is upgraded off of the Watch List. For example, if Watch is caused by two to three years of underperformance, combined by excessive analyst turnover, performance improvement and personnel stability can cause the upgrade, and vice versa. If concerns are not satisfied, the Committee will terminate the Investment Manager, or if not, provide in Board Minutes, the rationale for not terminating the Investment Manager.

Termination

The Committee may replace an Investment Manager at any time for any reason the Board deems appropriate and in the long-term best interest of the fund, including, but not limited to:

- Failure to meet investment goals delineated herein.
- Deviations from permitted investments listed herein.
- Failure to adhere to stated investment philosophy and style.
- Violating applicable laws and regulations. Special emphasis will be placed upon adherence to "best price and execution" guidelines as well as adherence to the "Prudent Expert Rule".
- For any other reason the Committee deems appropriate and in the long-term best interest of the Fund.

It is the Committee's policy that if the need arises to replace an investment manager, a notice will be placed in appropriate publications soliciting proposals from qualified investment managers. The Board, in conjunction with its investment consultant, will develop the credentials and qualifications desired to be able to evaluate the responding managers.

Safe Harbor

As the University's investment decisions are committee-directed, five generally recognized "safe harbor" requirements will be followed:

- Investment decisions must be delegated to a "prudent expert(s)" (registered investment adviser [including mutual funds], bank or insurance company).
- The Committee must demonstrate that the prudent expert(s) was selected by following a due diligence process.
- The prudent expert(s) must be given discretion over the assets.
- The prudent expert(s) must acknowledge their co-fiduciary status in writing (mutual funds are exempted from this requirement – the prospectus is deemed to serve as the fund's fiduciary acknowledgement).
- The Investment Committee must monitor the activities of the prudent expert(s) to ensure that the expert(s) is properly performing the agreed upon tasks using the agreed upon criteria.

Monitoring of Fiduciary Responsibilities and Prudent Practices

On a timely basis, but not less than once a year, the Committee will meet to address:

- Appropriate policies and procedures are in place to address all fiduciary obligations;
- Policies and procedures are effectively implemented and maintained
- The IPS is up-to-date.

The Committee will utilize the services of an AIF® certified consultant to assist in their evaluation. This role will fall to the Vice President for Administration and Finance when so qualified. The consultant shall not be an employee of a financial services provider to the University.

University of Guam Investment Policy Statement - Appendix A

Asset Allocation Review and Optimization Analysis

Based on formal asset allocation studies conducted in 1994, 1997, 2003, 2008, 2011, 2014, 2016, 2019, 2020 & 2021 the Regents and Committee, with the assistance from the Fund’s RIA, identified an optimal broad asset class mix based on the Fund’s time horizon, risk tolerances, performance expectations, and asset class preferences. The optimizer will be provided upon request.

The Committee further augmented the diversification of the Fund by implementing the strategic asset allocation with complementary styles of asset management. The Committee has reviewed the characteristics of various styles of investment management, focusing on balancing the risks and rewards of style behavior. The Committee specifically noted how investment styles go in and out of favor and the Committee understands the prudence of diversifying among several styles of investment management.

The following strategic asset allocation for the Fund was selected:

	<u>Lower Limit</u>	<u>Strategic Allocation</u>	<u>Upper Limit</u>
US Equities	20%	30%	40%
<i>Large Cap Growth</i>		10%	
<i>Large Cap Value</i>		10%	
<i>Mid Cap Value</i>		2.5%	
<i>Mid Cap Growth</i>		2.5%	
<i>Small Cap Value</i>		2.5%	
<i>Small Cap Growth</i>		2.5%	
Non-U.S. Equities	10%	20%	30%
<i>Developed Markets Value</i>		10%	
<i>Developed Markets Growth</i>		10%	
Fixed Income	20%	30%	40%
<i>U.S. Core/ Intermediate</i>		20%	
<i>U.S. High Yield</i>		5%	
<i>Non-U.S.</i>		5%	
Alternatives	10%	20%	30%
<i>U.S. REITS</i>		5%	
<i>Low Duration Fixed Income</i>		5%	
<i>Global Listed Infrastructure</i>		5%	
<i>Private Markets</i>		5%	

University of Guam Investment Policy Statement - Appendix B

Investment Manager Performance Objectives

(Note: RIA updates Performance Benchmarks, when needed in consultation with Committee)

Management Style:	U.S. Large Cap Growth Equity
Performance Benchmark:	Russell 1000 Growth Index
Management Style:	U.S. Large Cap Value Equity
Performance Benchmark:	Russell 1000 Value Index
Management Style:	U.S. Mid Cap Growth Equity
Performance Benchmark:	CRSP U.S. Mid Cap Growth Index
Management Style:	U.S. Mid Cap Value Equity
Performance Benchmark:	CRSP U.S. Mid Cap Value Index
Management Style:	U.S. Small Cap Growth Equity
Performance Benchmark:	Russell 2000 Growth Index
Management Style:	U.S. Small Cap Value Equity
Performance Benchmark:	Russell 2000 Value Index
Management Style:	Non-U.S. Developed Markets Equity
Performance Benchmark:	MSCI EAFE Index
Management Style:	U.S. Core Fixed Income
Performance Benchmark:	BC U.S. Aggregate Bond Index
Management Style:	U.S. High Yield Fixed Income
Performance Benchmark:	ICE BofAML BB-B US High Yield Cash Pay Index
Management Style:	Non-U.S. Fixed Income
Performance Benchmark:	FTSE World Government Bond ex US Index
Management Style:	Real Estate Investment Trusts
Performance Benchmark:	Wilshire U.S. REIT Index
Management Style:	Low Duration Fixed Income
Performance Benchmark:	ICE BofA ML 1-5 Year US Treasury & Agency Index
Management Style:	Global Infrastructure
Performance Benchmark:	MSCI World Infrastructure USD Net Index
Management Style:	Private Markets
Performance Benchmark:	HFRI FOF Index

University of Guam Investment Policy Statement - Appendix C

Acknowledgement of the Investment Policy Statement

Receipt of the University of Guam Investment Policy Statement is acknowledged:

Signature

Printed Name

Title

Date

Signature

Printed Name

Title

Date

Signature

Printed Name

Title

Date

University of Guam Investment Policy Statement - Appendix D

Accounting of Sub-Funds

The UOG Main Endowment fund consists of the following sub-funds as of September 30, 2019. All percentages will be updated quarterly under the supervision of the office of the Vice President of Administration and Finance.

<u>Sub Fund</u>	<u>Approximate Percent</u>
True Endowment	
Land Grand Endowment	56.4%
Planetarium	1.3%
Current Account	
SBPA	5.1%
UOG Common	10.7%
Quasi Endowment	
Faculty/ Staff Development	10.6%
Campus Maintenance	5.7%
Dorm Renewal/ Replacement	3.5%
Self-Insurance	<1%
Scholarship Trust	
Siu Lin Tan	3%
Maman Ling/ Taitano Nursing	<1%
Deleon	<1%
Chin Ho	<1%
Gov. Bill Daniel	<1%
J. Guthertz	<1%

5.5 BUDGET, FINANCE, AND AUDIT (BFA) COMMITTEE

FY 2021 ALLOTMENT REPORT
Allotment 12.31.21

Programs	Fund Source	P.L. 36-054 Appropriation	Net Appropriation	Amount Requested	Amount Paid	Unpaid from Amount Requested (Q = K - N)	Unpaid from Total Appropriations (R = E - N)
UOG Operations (10-2A)							
DOA Payments							
Total for DOA Payments	General Fund	25,056,761.00	25,056,761.00	6,264,193.00	6,264,193.00	-	18,792,568.00
Total UOG General Operations		25,056,761.00	25,056,761.00	6,264,193.00	6,264,193.00	-	18,792,568.00
					100%	0%	75%
Special Appropriations (10-30/51/61/67)							
Student Financial Assistance Program (67)	General Fund	3,565,285.00	3,565,285.00	891,319.00	891,319.00	-	2,673,966.00
First Generations Trust Fund Initiative (90-902061)	General Fund	250,000.00	250,000.00	62,504.00	62,504.00	-	187,496.00
Aquaculture Development and Training Center (61)	General Fund	109,661.00	109,661.00	27,417.00	27,417.00	-	82,244.00
WERI - Guam Hydrologic Survey (10-30)	General Fund	159,956.00	159,956.00	39,988.00	39,988.00	-	119,968.00
WERI - Comprehensive Water Resource Monitoring Program (10-30)	General Fund	136,262.00	136,262.00	34,060.00	34,060.00	-	102,202.00
UOG Capital Improvements Fund - Debt Service (51)	Guam Educational Facilities Fund	500,000.00	500,000.00	125,001.00	-	125,001.00	500,000.00
Guam Cancer Trust Fund (10-30)	Healthy Futures Fund	3,000,000.00	3,000,000.00	750,000.00	331,676.00	418,324.00	2,668,324.00
Total Special Appropriations		7,721,164.00	7,721,164.00	1,930,289.00	1,386,964.00	543,325.00	6,334,200.00
					72%	28%	82%
Agency Funds (90)							
Northern & Southern Soil and Water Conservation Districts (90-902059)	General Fund	133,466.00	133,466.00	33,371.00	33,371.00	-	100,095.00
KPRG (Public Radio) (90-902002)	General Fund	109,442.00	109,442.00	27,365.00	27,365.00	-	82,077.00
Guampedia Foundation (90-902003)	General Fund	150,000.00	150,000.00	37,505.00	37,505.00	-	112,495.00
Total Agency Funds		392,908.00		98,241.00	98,241.00	-	294,667.00
Grand Total PL 36-054		33,170,833.00		8,292,723.00	7,749,398.00	543,325.00	25,421,435.00
Total		33,170,833.00		8,292,723.00	7,749,398.00	543,325.00	25,421,435.00
Difference		-		-	93%	7%	77%

UNIVERSITY OF GUAM			
Statement of Revenues, Expenses, and Changes in Net Position			
For the month ending Decembe 31, 2021 (UNAUDITED)			
	12/31/2021	12/31/2020	Variance
A - OPERATING REVENUES			
Student tuition and fees, net	13,246,179	14,736,013	(1,489,834)
Scholarship Discounts and Allowances	(3,124,617)	(2,977,617)	(147,000)
Federal grants/contracts	16,750,922	8,690,957	8,059,965
GovGuam grants & contracts	358,298	235,675	122,623
Nongovt. grants & contracts	587,224	85,688	501,536
Sales & services of education dept.	66,309	56,809	9,500
Auxiliary enterprises	129,893	73,641	56,252
Other revenues	<u>4,810,728</u>	<u>1,496,929</u>	<u>3,313,799</u>
Total operating revenues	<u>32,824,936</u>	<u>22,398,096</u>	<u>10,426,840</u>
B - OPERATING EXPENSES			
Educational and general:			
Instruction	4,955,273	4,907,249	48,024
Research	3,956,988	2,945,119	1,011,869
Public service	2,356,524	2,196,337	160,187
Academic support	2,321,117	2,606,321	(285,204)
Student services (net of allowance)	4,340,297	758,189	3,582,108
Institutional support	5,991,740	3,198,311	2,793,429
Operations and maintenance plant	1,633,816	938,288	695,528
Depreciation	1,158,735	684,632	474,103
Scholarships & fellowships	1,807,275	2,432,780	(625,505)
Auxiliary enterprises	309,410	204,707	104,703
Total operating expenses	<u>28,831,175</u>	<u>20,871,933</u>	<u>7,959,242</u>
Operating income (loss)	<u>3,993,761</u>	<u>1,526,163</u>	<u>2,467,598</u>
C - NON-OPERATING REVENUES (EXPENSES)			
GovGuam appropriations FY 2022	7,463,658	7,064,139	399,519
Net investments gain (loss)-net of expense	1,244,242	2,621,117	(1,376,875)
Interest on capital assets - debt related	(113,333)	(187,515)	74,182
Net nonoperating revenues	<u>8,594,567</u>	<u>9,497,741</u>	<u>(903,174)</u>
Income before other revenues/expenses	12,588,328	11,023,903	1,564,425
D - OTHERS			
Expended for plant facilities, net	(1,670,034)	(10,859)	(1,659,175)
Total other revenues/expenses	<u>(1,670,034)</u>	<u>(10,859)</u>	<u>(1,659,175)</u>
Change in net position	10,918,294	11,013,044	(94,750)

UNIVERSITY OF GUAM				
Statement of Revenues, Expenses, and Changes in Net Position				
For the month ending Decembe 31, 2021 (UNAUDITED)				
	12/31/2021	12/31/2020	Variance	
E - NET POSITION				
Net Position beginning	(96,490,604)	(103,117,272)	6,626,668	
Net Position ending	(85,572,310)	(92,104,228)	6,531,918	
SCH-B				
Note 1:				
\$11.0M INCREASE in net assets using CASH BASIS; GOV GUAM is \$543K in arrears for FY 2022 allotment.				
APPROPRIATION				
Breakdown of General Operations				
Appropriation Request:	PL 36-054	Requested	Received Pd.	Balance Due
General Operations (from General Fund)*	25,056,761	6,264,193	6,264,193	0
Capital Improvement Fund - Debt Service	500,000	125,001	0	125,001
Special Appropriations (excludes CIP, KPRG & Guampedia & Soil, NSSW, First Generation,	6,971,164	1,742,784	1,324,460	418,324
Total Appropriations	32,527,925	8,131,978	7,588,653	543,325

UNIVERSITY OF GUAM
Statement of Net Position
Unaudited

	Cash Basis (Unaudited) 12/31/2021	Accrual Basis (Audited) 09/30/20	Variance
ASSETS			
Cash in Bank/On Hand	11,326,391	17,023,740	-5,697,349
Short Term Investments*	15,126,246	2,916,025	12,210,221
Accounts Receivable, tuitions net	5,746,799	8,338,479	-2,591,680
Accounts Receivable, others- net	274,379	749,652	-475,273
Accounts receivable grants/contracts	9,436,376	4,590,671	4,845,705
Inventories	666,236	886,274	-220,038
Investment**	18,795,749	6,859,298	11,936,451
Investments, endowments***	16,868,890	28,432,528	-11,563,638
Capital assets, net	66,230,022	65,027,741	1,202,281
Other current assets	1,424,655	749,918	674,737
Deferred Outflows from pension	46,926,316	46,926,316	0
Total assets	192,822,059	182,500,642	10,321,417
LIABILITIES			
Current portion of long term	288,646	288,646	0
Accounts payable & accrued liabilities	6,329,100	5,333,760	995,340
Unearned Revenue	213,557	8,533,936	-8,320,379
Advances from the Univeristy of Guam Endowment Foundation	1,400,000	1,400,000	0
Deferred revenue GovGuam Appro	-	-	0
Current portion of accrued annual leave	785,677	851,498	-65,821
Accrued annual leave, net of current portion	1,608,391	1,349,525	258,866
Deposits agency	301,683	266,744	34,939
Net pension liability	95,692,772	95,692,772	0
Long Term debt	9,897,746	10,252,441	-354,695
DCRS sick leave liability	2,211,627	1,983,422	228,205
Net OPEB liability	125,958,216	125,958,216	0
Deferred inflows of Resources	33,706,954	33,706,954	0
Total liabilities and deferred inflows of Resources	278,394,369	285,617,914	-7,223,545
FUND BALANCES			
Invested capital assets, net related debts	56,043,631	54,486,654	1,556,977
Restricted	3,155,000	9,143,228	-5,988,228
Non expendable:			0
Institutional support			0
Capital project maintenance			0
Scholarships and fellowships			0
Student service			0
Expendable	16,820,563	23,638,686	0
Institutional support			0
Capital proj maintenance			0
Scholarships and fellowships			0
Student services			0
Research and public service			0
Loans			0
Capital projects			0
Debt service			0
Others			0
Unrestricted	(161,591,504)	(190,385,840)	0
Total fund balance end, 12.31.21	(85,572,310)	(103,117,272)	0
Total liabilities and fund balances	192,822,059	182,500,642	

INVESTMENT DETAILS as of DECEMBER 31, 2021

Short Term Investments

Bank of Guam

Savings I	SOH	\$ 1,025,384.40
Savings II	Fund 10	-
BOG Money Concepts	Fund 10	2,967,303
BOG Money Concepts	Tobacco Settlement	2,293,733
Investment Account	Fund 10	\$ 1,346,820
TCD	ISLA	129,699

\$ 7,762,940

Coast 360

6 months Jumbo Share	Fund 10	\$ 1,053,356
6 months Jumbo Share	Fund 10	528,564
6 months Jumbo Share	Fund 10	1,265,983

2,847,904

Bank Pacific	IAI	4,278,772
First Hawaiian Bank	Auxilliary (SGA)	49,975
Bank of Guam	Auxilliary (SGA)	12,459

FHB	Debt Service Fund	1,600,000
Community First	Guam Cancer Trust Fund	3,085,922
	Other Investment	-
	Interest	-

Subtotal \$ 19,637,971

Raymond James Investment

True Endowment	LRGE (Land Grant)	\$ 18,795,749
Current Fund Unrest	UOG-CPBA	1,664,056
Current Fund Unrest	UOG-Common Faculty & Staff, Dorm, Campus Maintenance, Self- Insurance	2,041,932
QUASI Endowment	Planetarium Maintenance	6,771,569
True Endowment		12,612
Trust Endowment	Student Scholarship (Tan, Taitano, MACS SNAH, DeLeon, Ho, Daniel, Guthertz)	1,866,997

Subtotal \$ 31,152,915

TOTAL INVESTMENTS \$ 50,790,886

50,790,886

University of Guam
Budget to Actual Statement
 FY 2022 General Operations Local Appropriation
 As of December 31, 2021

	Budget	Actual	Variance
	Total	as of 12/31/21	
Revenues			
GovGuam Appropriations (cash)	25,056,761	6,264,193	18,792,568
Tuition, net (accrual)	14,848,118	4,315,007	10,533,111
Recovery from HEERF	5,748,953	2,322,349	3,426,604
Federal Matching Funds	1,719,376	429,844	1,289,532
NAF Contributions	674,067	168,517	505,550
Total Revenues	48,047,275	13,499,910	34,547,365
General Operations Expenses			
Personnel Expenses	\$ 38,828,247	8,284,300	30,543,947
Operating (Non-Personnel) Expenses			
Travel (faculty search)	80,000	6,072	73,928
Contracts	2,064,267	864,845	1,199,422
Supplies	250,000	195,818	54,182
Equipment	-	7,992	(7,992)
Repairs		8,860	(8,860)
Capital Outlay	168,000	-	168,000
Miscellaneous	21,000	12,035	8,965
Utilities	4,000,000	734,010	3,265,990
SSC-EA	1,158,283	289,571	868,712
BOR Scholarships	210,000		210,000
WERI GHS-CWMP	267,478	66,870	200,608
G3/Sea Grant	1,000,000	250,000	750,000
Subtotal Operating (Non-Personnel) Expenses	9,219,028	2,436,073	6,782,955
Total General Operations Expenses	\$ 48,047,275	\$ 10,720,373	\$ 37,326,902
Surplus (Deficit)	-	2,779,537	

SFAP Receivables Data

	Principal \$	Interest \$	Paid \$	Balance	
Service Credit	17.94M	N/A	6.78M	11.16M	
Paying	1.59M	340K	741K	1.19M	} 4.38M
Non-Paying	3.21M	545K	565K	3.19M	

A C T U A L C O L L E C T I O N S

	A C T U A L C O L L E C T I O N S				Forecast	Actual
	FY2018	FY2019	FY2020	FY2021	FY2022	FY2022
SFAP	534,038	361,345	376,968	459,768	146,000	38,556
DOC	2,000	8,104	14,955	1,550	4,000	225
YEC	36,045	51,738	27,230	14,272	50,000	2,925
	572,083	421,187	419,153	475,590	200,000	41,707
PROJECTION:	400,000	350,000	350,000	300,000	200,000	21% Actual
					50,000	25% Forecast FY20

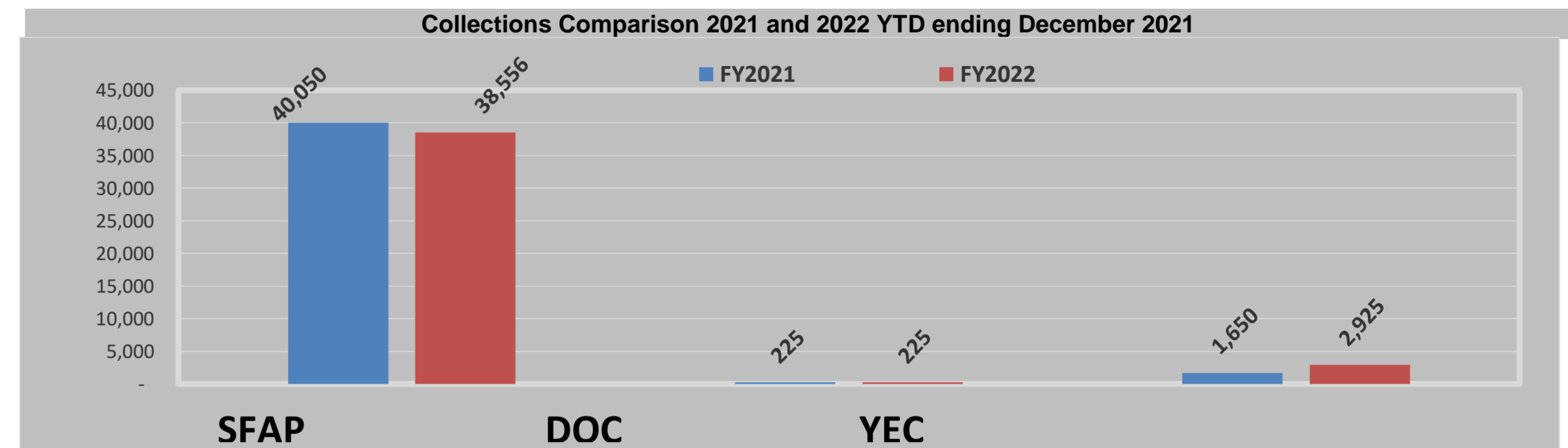
1.a. Monthly Aging Summary (Paying/Non-Paying)

	TOTAL	Paying				Non-Paying			
		0-30	31-60	61-90	90+	120+	180+	365+	
YEC	828,473	106,152.61	91,571.48	1,500.00				629,249.00	
Merit	1,456,691	267,420.31	53,449.62	33,364.00				1,102,456.80	
Nurses	120,732	39,320.06	23,601.31	0.00				57,810.51	
DocFell	411,189	204,353.55	0.00	0.00				206,835.24	
DocSanc	29,948	474.00	0.00	0.00				29,473.96	
Protech	712,343	170,346.07	0.00	32,586.11				509,410.81	
GGSL	730,943	109,082.04	0.00	21,189.20				600,671.41	
ROTC	26,821	0.00	0.00					26,821.30	
AHEG	12,839	424.04	0.00					12,415.00	
UOG Retention	1,200	1,200.00	0.00					0.00	
Soc Work	52,018	33,009.62	0.00					19,008.00	
Total	\$4,383,196	\$931,782	\$168,622	\$88,639	\$0	\$0	\$0	\$3,194,152	
		Paying>>>		\$1,189,044	Non-Paying>>>			\$3,194,152	

1.a. Combined Total Outstanding

	December-21	November-21	October-21	September-21
YEC	828,473	828,056	828,956	828,956
Merit	1,456,691	1,457,105	1,459,765	1,454,680
Nurses	120,732	135,284	144,041	144,348
DocFell	411,189	288,080	325,778	326,778
DocSanc	29,948	30,023	30,098	30,098
Pro-Tech	712,343	713,643	725,766	726,766
GGSL	730,943	727,766	728,110	728,704
ROTC	26,821	26,821	26,821	26,821
AHEG	12,839	12,878	12,949	12,949
UOG Retention	1,200	1,200	1,200	1,200
Soc Wrk	52,018	43,076	43,636	43,636
Total	4,383,196	4,263,932	4,327,120	4,324,936

	FY2021	FY2022	FYTD	FYTD
	Month DEC FY 21	Month DEC FY 22	FY2021 DEC	FY2022 DEC
1 SFAP	11,204	11,101	40,050	38,556
2 DOC	225	75	225	225
3 YEC	517	2,025	1,650	2,925
Total	\$ 11,946	\$ 13,201	\$ 41,925	\$ 41,707





FY 2022 Procurement Report
BUDGET FINANCE AUDIT COMMITTEE
As of February 7, 2022

Compliance with BOR Resolution 05-54 (Adopted 12/5/05): At each monthly Board meeting, the Board requires a listing of approved procurement transactions and contracts greater than \$100,000.00.

	Purchase Order > \$100k		Vendor	Description
	Count	\$ Value		
December 2021	None	None	None	None
January 2022	None	None	None	None
February 2022	None	None	None	None

	Contracts >\$100k		Vendor	Description
	Count	\$ Value		
December 2021	1	\$164,737.00	U.S. GEOLOGICAL SURVEY	BC220063 - JFA Contract Agreement Services for October 1, 2021 to September 30, 2022.
	2	\$679,233.00	AMERICAN CANCER SOCIETY	BC220076 – Cancer support services- Provide financial assistance to cancer patients and/ or escort seeking off-island treatment beginning January 01, 2022 and ending December 31, 2022.
	3	\$660,000.00	EDWARD M CALVO FOUNDATION	BC220077 – Cancer support services -provide financial assistance to cancer related treatment; expenses include nutritional supplements, airfare, ground transportation, medical equipment, and lodging and rehabilitation items beginning November 01, 2021 and ending October 30, 2022.
	4	\$905,223.41	CANCER CARE ASSISTANCE FOUNDATION	BC220078Cancer support services- means services that may be required to access treatment, including but not limited to: off-island transportation and temporary housing during active cancer treatment; local transportation to and from cancer treatment centers/ clinic: consumable supplies for cancer care: provision of special dietary needs or good assistance during active treatment; medication required for symptom control beginning November 01, 2021 and October 30, 2022.
January 2022	1	\$932,233.00	RIM ARCHITECTS	BC220087 - DESIGN OF THE NEW WERI BUILDING AND THE NEW SCHOOL OF HEALTH - NURSING ANNEX

	2	\$500,000.00	DPHSS & UOG-CEDDERS	MOA between DPHSS and UOG-CEDDERS in collaborative partnerships in the development of the Guam Preschool Development Grant POP: December 31,2021 – December 30, 2022
	3	\$261,318.00	DPHSS & UOG-CEDDERS	2 nd Amendment to MOA between DPHSS and UOG-CEDDERS for Aging and Disability Resource Center/No wrong door system: COVID-19 Vaccine Access Supplemental Funding
February 2022	None	None	None	None



**UNIVERSITY OF GUAM
UNIBETSEDÁT GUÁHAN
Board of Regents**

Resolution No. 22-11

**RELATIVE TO APPROVING THE FY2023 GENERAL OPERATIONS AND SPECIAL
APPROPRIATIONS BUDGETS**

WHEREAS, the University of Guam (UOG) is the primary U.S. Land Grant institution accredited by the Western Association of Schools and Colleges Senior College and University Commission serving the post-secondary needs of the people of Guam and the Western Pacific region;

WHEREAS, the UOG Board of Regents (BOR) is responsible for approving and adopting budgets and plans that together serve as the primary controls to ensure the effectiveness and financial well-being of the University;

WHEREAS, the University received recommendations on areas of resource needs from the University Planning and Budget Advisory Committee (UPBAC) with representation from the Faculty Senate, Deans Council, Administrative Council, Faculty Union, Staff Council, and Student Government Association;

WHEREAS, the University has demonstrated commitment to a stable, balanced budget in an atmosphere of declining resources related to the problems facing the economies of the island and the region;

WHEREAS, the University has agreed upon the goals articulated in its strategic plan and focused its revenues and spending upon the highest priorities within its mission;

WHEREAS, the University presents a FY2023 budget request identifying funding required to sustain academic quality and student learning including infrastructure support and special appropriations (WERI, Hatchery, Soil Conservation, Guam Green Growth, and SEA Grant Special Fund);

WHEREAS, for FY2023, the University requests an appropriation of \$33.9M for general operations, \$1.6M in special appropriations, and \$1.6M for the Capital Improvements Fund;

WHEREAS, based upon an assessment of the priority needs of the University and upon the recommendations of the UPBAC and the administration, the President recommends the attached FY2023 General Operations Budget for Board approval; and

WHEREAS, at their February meeting, the Budget, Finance, and Audit (BFA) Committee met to review the budgets; and the President and the BFA committee now recommend to the Board the attached FY2023 General Operations and Special Appropriations Budgets for approval.

NOW, THEREFORE BE IT RESOLVED, that the UOG FY2023 General Operations and Special Appropriation Budgets (as attached) is hereby approved to be submitted to *I Mina'Trentai Sais Na Liheslaturan Guåhan* pursuant to law.

Adopted this 24th day of February, 2022.



Liza J. Provide, Chairperson

ATTESTED:



Thomas W. Krise, Ph.D., Executive Secretary

FY 2023 Budget Summary	
General Operations Budget	
	Amount
Personnel	
Existing Personnel	36,914,960
Open Searches/Vacancies	<u>3,649,206</u>
Total Personnel	40,564,166
Non-Personnel	
Contracts	3,416,744
Supplies	430,332
Equipment	413,819
Miscellaneous Expenses	123,914
Utilities	4,520,000
Library Capital Outlay	50,000
Capital Outlay, Repairs & Maintenance	<u>1,259,600</u>
Total Non-Personnel	10,214,409
Total General Operations Budget	50,778,574
Net Tuition Revenue	14,404,853
Federal Match	1,719,376
University Generated Revenue	674,067
General Operations Appropriation	<u>33,980,278</u>
Total	50,778,574
Special/Other Appropriations	
WERI - Guam Hydrologic Survey (GHS)	398,959
WERI - Guam Comprehensive Water Monitoring Prog (CWMP)	178,839
GADTC Hatchery	114,000
Guam Green Growth	500,000
Sea Grant Special Fund	<u>500,000</u>
Total Special/Other Appropriations	1,691,798
Capital Improvements Fund	
Student Success Center-School of Engineering (TEFF)	1,158,283
SBPA LG Building (TEFF)	<u>500,000</u>
Total Capital Improvements Fund	1,658,283

FY23 General Operations Detail	Vac	Vacant	Filled	PERSONNEL	CONTRACTS	SUPPLIES	EQUIP	MISC	UTILITIES	CAPITAL	TOTALS	%
	FTE	Positions	FTE					EXP		OUTLAY		
EXECUTIVE OFFICES												
President's Office	-	-	5.0	663,213	89,565	9,000	-	-	-	-	761,778	1.50%
Integrated Marketing and Communications	-	-	3.0	274,601	100,000	10,500	17,000	-	-	-	402,101	0.79%
Alumni Relations Office	-	-	1.0	132,644	-	-	-	-	-	-	132,644	0.26%
Legal Counsel	-	-	2.0	235,814	-	-	-	-	-	-	235,814	0.46%
Office of Sponsored Programs	1	39,617	5.0	519,385	15,000	-	-	-	-	-	534,385	1.05%
Executive Office Expenses	1	39,617	16.0	1,825,658	204,565	19,500	17,000	-	-	-	2,066,723	4.07%
ACADEMIC AND STUDENT AFFAIRS												
Senior Vice President's Office	-	-	3.0	519,420	4,000	-	-	22,000	-	-	545,420	1.07%
Institutional Effectiveness/Assessment	1.0	56,527	2.0	209,858	38,240	3,200	-	8,000	-	-	259,298	0.51%
CEDDERS	-	-	1.0	159,214	-	-	-	-	-	-	159,214	0.31%
Academic Excellence/Graduate Studies	1.0	69,195	1.0	163,061	5,000	1,500	-	500	-	-	170,061	0.33%
School of Business and Public Administration	3.0	174,997	28.5	2,887,731	21,050	10,000	-	18,370	-	-	2,937,151	5.78%
School of Education	4.5	255,754	19.0	1,777,995	85,000	12,800	10,500	-	-	-	1,886,295	3.71%
School of Health	3.0	168,508	16.0	1,576,563	6,672	-	-	-	-	-	1,583,235	3.12%
College of Liberal Arts and Social Sciences	3.0	168,508	60.5	5,942,866	71,500	9,832	-	12,000	-	459,600	6,495,798	12.79%
College of Natural and Applied Sciences	7.0	399,725	81.0	7,810,565	42,000	15,000	10,000	20,000	-	50,000	7,947,565	15.65%
School of Engineering	1.0	173,060	5.0	523,252	18,000	15,000	-	-	-	-	556,252	1.10%
Enrollment Management & Student Services-Dean	-	-	2.0	235,897	-	-	-	-	-	-	235,897	0.46%
Triton Express-One Stop	1.0	36,791	1.0	72,573	-	-	-	-	-	-	72,573	0.14%
Student Life Office	-	-	1.0	65,930	-	-	-	-	-	-	65,930	0.13%
Student Counseling (includes ADA student services)	1.0	69,195	5.0	430,033	-	-	-	-	-	-	430,033	0.85%
Career Placement	-	-	1.0	89,967	-	-	-	-	-	-	89,967	0.18%
Admissions and Records	-	-	14.0	918,383	-	-	-	-	-	-	918,383	1.81%
Student Health	-	-	1.0	49,096	-	-	-	-	-	-	49,096	0.10%
Financial Aid Office	1.0	62,424	5.0	358,259	-	-	-	-	-	-	358,259	0.71%
Recruitment	-	-	-	-	-	-	-	-	-	-	-	0.00%
UOG Library	1.0	36,777	16.0	1,221,486	25,680	-	-	-	-	50,000	1,297,166	2.55%
Marine Lab	1.0	62,707	15.0	1,521,918	-	-	-	-	-	-	1,521,918	3.00%
Micro Area Res Center (MLI, Cham Lang & Culture)	1.0	36,777	12.0	1,136,418	20,000	5,000	-	-	-	-	1,161,418	2.29%
Water and Environmental Research Institute	3.0	169,590	9.0	869,221	-	1,000	-	-	-	-	870,221	1.71%
Academic and Student Affairs Expenses	32.5	1,940,535	299.0	28,539,706	337,142	73,332	20,500	80,870	-	559,600	29,611,150	58.31%
ADMINISTRATION AND FINANCE												
Vice President's Office	1.0	105,792	3.0	338,981	-	-	-	-	-	-	338,981	0.67%
Office of Information Technology	7.0	558,755	10.0	737,417	250,000	18,000	3,000	-	-	150,000	1,158,417	2.28%
Comptroller's Office	3.0	190,821	22.0	1,500,301	8,385	-	-	-	-	-	1,508,686	2.97%
Facilities Management Services	12.8	675,648	41.0	1,950,029	180,700	-	175,000	-	-	-	2,305,729	4.54%
Safety and Security	-	-	1.0	64,678	154,950	57,000	158,000	-	-	-	434,628	0.86%
Human Resources Office	-	-	9.0	636,023	13,100	11,000	-	42,975	-	-	703,098	1.38%
EEO (includes ADA services)	1	99,868	1.0	64,702	16,846	1,500	6,819	69	-	-	89,935	0.18%
Auxiliary	1.0	38,171	1.0	67,465	-	-	-	-	-	-	67,465	0.13%
Administration and Finance Expenses	25.8	1,669,054	88.00	5,359,595	623,981	87,500	342,819	43,044	-	150,000	6,606,939	13.01%
Staffing Pattern			403.00	35,724,960								
Other Personnel Costs												
Current Vacancies	59.25	3,649,206									3,649,206	7.19%
Annualized FY22 increments				700,000							700,000	1.38%
Salary Increments (FY22)				260,000							260,000	0.51%
HRO-Recruitment Costs				130,000							130,000	0.26%
Other Personnel Costs				100,000							100,000	0.20%
Total Other Personnel Costs		3,649,206		1,190,000							4,839,206	9.53%
UTILITY COSTS, CAMPUS SUPPLIES AND BUILDING SAFETY IMPROVEMENTS												
Plant Maintenance (custodial/maintenance)					-	250,000	33,500				283,500	0.56%
Security Guard Services/Elevator Maint/Fire Alarm					495,000						495,000	0.97%
Property and Liability Insurance Coverage/ Audit					822,769						822,769	1.62%
Ellucian Software Maintenance Costs					533,627						533,627	1.05%
Capital Outlay and ADA Safety Improvements										600,000	600,000	1.18%
Power									3,050,000		3,050,000	6.01%
Water / Wastewater									720,000		720,000	1.42%
Telephone									550,000		550,000	1.08%
Hazardous/Metallic Waste/Trash Removal									200,000		200,000	0.39%
Total	-	-	-	-	1,851,396	250,000	33,500	-	4,520,000	600,000	7,254,896	14.29%
ITAC Priorities				-	399,660						399,660	0.79%
											-	0.00%
											-	0.00%
											-	0.00%
Grand Total	59.25	3,649,206	403.00	36,914,960	3,416,744	430,332	413,819	123,914	4,520,000	1,309,600	50,778,574	100%

Vacant	Unit	Dept Name	Employee Name	Position Title	Position Number	Est. Salary	Est. Benefits	Total Est. Salary & Benefits
1	SVP - AE	ACADEMIC AFFAIRS	VACANT	PROG COORD IV		49,897	19,298	69,195
1	SVP - IR	ACADEMIC AFFAIRS	VACANT (MACDUFF, TRINI)	RES AND STATISTICS ANALYST II		40,762	15,765	56,527
1	ORSP	SPONSORED PROGRAM & RES	VACANT (AGUSTIN, ANTHONY)	WPS II		28,568	11,049	39,617
1	SBPA	SCHOOL OF BUS. & PUBLIC ADMIN	VACANT - (AGUON, CHRIS)	ADMIN ASST	127	31,076	12,019	43,095
1	SBPA	SCHOOL OF BUS. & PUBLIC ADMIN	VACANT- (MONTANEZ, WILLIAM)	ASST PROF	111	45,218	17,489	62,707
1	SBPA	SCHOOL OF BUS. & PUBLIC ADMIN	VACANT (BRIOSIS, JULIAN)	PROG COORDINATOR IV	130	49,897	19,298	69,195
1	SOE	SCHOOL OF EDUCATION	VACANT (AGUON, JUNE)	WPS II	200	26,520	10,257	36,777
1	SOE	SCHOOL OF EDUCATION	VACANT (DIEGO, JOANNE)	PROG COORD III	203	45,014	17,410	62,424
0.5	SOE	SCHOOL OF EDUCATION	VACANT (PINEDA, GERWIN)	IT SUPPORT TECH	209	17,219	6,660	23,879
1	SOE	SCHOOL OF EDUCATION	VACANT - (GUERRERO, LEILANI)	ASST PROF	213	45,218	17,489	62,707
1	SOE	FOUNDATION EDUC. RES	VACANT - (INOUE-SMITH)	ASST PROF	215	50,454	19,514	69,968
1	SOH	NURSING	VACANT (ALAVE, VERONICA)	INSTRUCTOR	306	45,218	17,489	62,707
1	SOH		VACANT	ASST PROF	307	45,218	17,489	62,707
1	SOH	SCH.OF NURSNG,SOC.WRK&HLTH SC	VACANT - (AGUON, J)	STUDENT ACADEMIC ADVISOR	310	31,076	12,019	43,095
1	CLASS	COLL.OF LIBERAL ARTS &SOC.SCI	VACANT - (AGUON, D.)	ADMIN ASST	446	31,076	12,019	43,095
1	CLASS	DIVISION OF HUMANITIES	VACANT - (HEMMINGSEN, M.)	ASST PROF	430	45,218	17,489	62,707
1	CLASS	SOCIAL & BEHAVIORAL SCIENCE	VACANT (CRUZ, MARY FLORES)	ASST PROF	454	45,218	17,489	62,707
1	SENG	SCHOOL OF ENGINEERING	VACANT (HAMOUSH, SAMEER)	INTERIM DEAN, SCHOOL OF ENGINEERING	701	124,794	48,266	173,060
1	CNAS	COOPERATIVE EXT SERVICE	VACANT (BARCINAS, P)	EXT AGENT III	520	45,218	17,489	62,707
1	CNAS	COOPERATIVE EXT SERVICE	VACANT (BARNES, R)	ADMIN ASST	521	31,076	12,019	43,095
1	CNAS	MATHEMATICAL & COMPUTER SCI.	VACANT	ASST PROF - Comp Science	593	45,218	17,489	62,707
1	CNAS	NATURAL SCIENCES	VACANT (FLORES, J)	ADMIN ASST	562	31,076	12,019	43,095
1	CNAS	WESTERN PAC TROPICAL RES CTR	VACANT - (MARLER, T)	ASSOC PROF	583	50,454	19,514	69,968
1	CNAS	WESTERN PAC TROPICAL RES CTR	VACANT (PAULINO, E)	AGR RES TECH	589	39,983	15,464	55,447
1	CNAS	WESTERN PAC TROPICAL RES CTR	VACANT (BLAS, A)	ASST PROF	597	45,218	17,489	62,707
1	MARINE LAB	MARINE LAB	VACANT (BIGGS, JASON)	ASST PROF	901	45,218	17,489	62,707
1	MARC	MICRONESIAN AREA RES. CENTER	VACANT	LIBRARY TECH I	1003	26,520	10,257	36,777
1	WERI	WATER & ENVIRON. RES INSTITUTE	VACANT - (ROUSE)	ASST PROF	1207	50,454	19,514	69,968
1	WERI	WATER & ENVIRON. RES INSTITUTE	VACANT (MAFNAS, L)	CHEMIST II	1208	40,762	15,765	56,527
1	WERI	WATER & ENVIRON. RES INSTITUTE	VACANT (SANCHEZ, M)	LAB TECH III	1209	31,076	12,019	43,095
1	EMSS - COUNSELING	EMSS	VACANT (TAJERON, D)	BEHAVIORAL COUNSELOR/ WELLNESS COORD		49,897	19,298	69,195
1	EMSS - FAO	EMSS- FINANCIAL AID	VACANT (GUERRERO, F)	PROG COORD II		45,014	17,410	62,424
1	EMSS - TRITON ONE STOP	EMSS- FINANCIAL AID	VACANT	CUSTOMER SERVICE REPRESENTATIVE		26,530	10,261	36,791
1	RFK	LEARNING RESOURCES	VACANT	LIB TECH I	807	26,520	10,257	36,777
1	OIT	COMPUTER CENTER	VACANT	MICRO COMP SPECIALIST	660	40,841	15,796	56,637
1	OIT	COMPUTER CENTER	VACANT	JR INFO SEC ANALYST	662	40,762	15,765	56,527
1	OIT	COMPUTER CENTER	VACANT	JR INFO SEC ANALYST	665	40,762	15,765	56,527
1	OIT	COMPUTER CENTER	VACANT	SR COMP OPR	656	42,389	16,394	58,783
1	OIT	COMPUTER CENTER	VACANT	SR MGR INFRASTRUCTURE/ISO	657	66,590	25,755	92,345
1	OIT	COMPUTER CENTER	VACANT	CHIEF INFO OFFCR	667	111,582	43,156	154,738
1	OIT	COMPUTER CENTER	VACANT	ASSOC DIR, TADEO	669	59,994	23,203	83,197
1	VPAF	ADMINISTRATION & FINANCE	VACANT	RISK OFFICER		76,287	29,505	105,792
1	COMPT	AF-COMPTROLLERS' OFFICE	VACANT (FLORES, E)	GENERAL ACCOUNTING SUPERVISOR		55,488	21,461	76,949
1	COMPT	AF-COMPTROLLERS' OFFICE	VACANT (TUAZON, N)	ACCOUNTANT III		45,014	17,410	62,424
1	COMPT	AF-COMPTROLLERS' OFFICE	VACANT (NAZARENO, C)	ACCOUNTANT I		37,100	14,349	51,449
1	AUX	BOOKSTORE	VACANT (MATANANE, J)	POSTAL CLERK		27,525	10,646	38,171
1	HRO - EEO	HUMAN RESOURCES	VACANT	DIRECTOR, EEO AND TITLE IX/ADA COORDINATOR		72,015	27,853	99,868
1	FMS	AF - FACILITIES & UTILITIES	VACANT	CAPITAL IMPR PROJ COORD	1301	62,371	24,123	86,494
1	FMS	AF - FACILITIES & UTILITIES	VACANT	CAPTIAL PROJ MGR	1302	97,975	37,893	135,868
1	FMS	AF - FACILITIES & UTILITIES	VACANT	ENG II	1303	40,762	15,765	56,527
1	FMS	AF - FACILITIES & UTILITIES	VACANT	ENG TECH II	1304	31,076	12,019	43,095
0.75	FMS	PLANT MAINTENANCE	VACANT (GUILAS, ANTHONIO)	MAINT WRKR	1311	26,520	10,257	36,777
1	FMS	FAC. & UTI.-ELECTRICAL SERV.	VACANT (CRUZ, ANTHONY Q)	ELECTRICIAN II	1329	31,076	12,019	43,095
1	FMS	FAC. & UTI.-ELECTRICAL SERV.	VACANT (BENITO, P)	REF MECH SPVSR	1332	37,100	14,349	51,449
1	FMS	FAC. & UTI.-ELECTRICAL SERV.	VACANT	REF MECH I	1353	26,520	10,257	36,777
1	FMS	GROUPS	VACANT (ARURANG, C)	GROUPS WORKER	1334	19,761	7,643	27,404
1	FMS	GROUPS	VACANT (GUMABON, JOEL)	GROUPS WORKER	1339	19,761	7,643	27,404
1	FMS	PREVENTIVE MAINTENANCE	VACANT (DE GUZMAN, LEO)	CARPENTER II	1344	28,595	11,059	39,654
1	FMS	PREVENTIVE MAINTENANCE	VACANT (FRANCISCO, F)	CARPENTER II	1345	28,595	11,059	39,654
1	FMS	PREVENTIVE MAINTENANCE	VACANT (MEDINA, CARMELINO)	PLUMBER SUPVR	1348	37,100	14,349	51,449
						2,631,456	1,017,750	3,649,206

Capital Outlay Requests

Unit	Description	Unit	Cost	Total
CLASS	Interactive LED Display Screens	12	\$ 8,300	99,600
CLASS	Renovation of restrooms in HSS, EC and LH (Total of 12 restrooms)	12	\$ 30,000	360,000
CNAS	Painting buildings	1	\$ 15,000	15,000
CNAS	Student desks	15	\$ 1,000	15,000
CNAS	air conditioning in all buildings on and off campus that Fed monies wont cover	1	\$ 20,000	20,000
Library	Library Capital Outlay Subscriptions			50,000
OIT	Refresh Ellucian Colleague Enterprise Servers			150,000
FMS	Deferred CIP listing (aircons, lighting, generators, pumps, plumbing, roof repairs, windows, typhoon shutters, etc.)			500,000
FMS	AC System or Component Replacement (End of Life Cycle)			100,000
			Total	<u><u>1,309,600</u></u>

University of Guam
Information Technology Advisory Committee (Formerly UTAC)
FY 2023 Budget IT Priorities

Initiative	FY 2023 General Ops
Web Services	
UOG Website - OmniUpdate	35,000
Website Support Services	20,000
Hosting services	15,000
Cloud Infrastructure	10,000
HubSpot CRM and Marketing Automation	20,000
Equipment, DropBox, and Software (Adobe CC)	30,000
Marketing/Digital Media Assistant	30,000
<i>Sub-total</i>	160,000
OIT Infrastructure, Subscriptions, and Information Security	
GOREX Circuit	30,000
Ellucian Subscriptions	
- Entrinsic - Informer	50,000
- Cevitas - College Scheduler	20,000
Information Security	
- Enterprise Anti-virus	15,000
- Kemp Services	2,500
- Kentik Network Monitoring	15,000
- Softerra Adaxes	4,000
Internet Subscriptions and Membership	
- Internet 2 Membership	12,160
- Security Certificates	4,000
Research and Education Subscriptions	
- Educause	3,500
- ARIN	2,000
Software	
- Microsoft Office	1,500
- SAS	10,000
- IBM/SPSS	20,000
<i>Sub-total</i>	189,660
Training	
Contracts	50,000
Grand Total	\$ 399,660

UNIVERSITY OF GUAM FY2023 Special Appropriations Fund Budget

Account Name: WERI GUAM HYDROLOGIC SURVEY Signature-Dept Head: Dr. John Jenson
 Account Number: 10-30-430002-R-5

Quarterly Breakdown

Revenue (Please list sources)

		Oct-Dec	Jan-Mar	Apr-June	Jul-Sept
SPECIAL APPROPRIATION FUNDED BY THE GUAM LEGISLATURE	398,959				
	\$ 398,959	99,740	99,740	99,740	99,740

A. SALARIES AND BENEFITS

FACULTY/RESEARCH ASSISTANT(S) SALARY AND FRINGE BENEFITS (Please attach staffing pattern)	\$ 317,175	79,294	79,294	79,294	79,294
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B. OFF-ISLAND TRAVEL

Name & Position of Traveler	Total				
None					
Justification / Notes:	Total FY23	\$ -			

C. CONTRACTUAL SERVICES

Item	Qty	Cost	Total				
CONTRACTUAL SERVICES FOR RESEARCH/WEBSITE			27,000				
Justification / Notes: GLE, Dr. Heitz, Dr. Williams, GHS Website and MS Visio	Total FY23	\$ 27,000		6,750	6,750	6,750	6,750

D. SUPPLIES

Item	Qty	Cost	Total				
OTHER SUPPLIES & MATERIALS; SOFTWARE			13,373				
Justification / Notes: Computers, GIS license, Aquaveo	Total FY23	\$ 13,373		3,343	3,343	3,343	3,343

E. EQUIPMENT: below \$5,000

Item	Qty	Cost	Total				
MAINTENANCE			1,515				
Justification / Notes:	Total FY23	\$ 1,515		379	379	379	379

F. MISCELLANEOUS Expense

Item	Qty	Cost	Total				
Justification / Notes:	Total FY23	\$ -		0	0	0	0

G. CAPITAL OUTLAY: Cost over \$5,000 - Equipment and Vehicles, All Library Acquisitions, All Building Repairs & Renovations

Item	Qty	Cost	Total				
Justification / Notes:	Total FY23	\$ -		0	0	0	0

H. UTILITIES: Power, Water, Telephone

Item	Total				
None	-				
	Total FY23	\$ -			

I. Transfer for F & A Fees: 10%

	\$ 39,896	9,974	9,974	9,974	9,974
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Annual Surplus (Deficit) \$ 0 0 0 0 0

UNIVERSITY OF GUAM FY2023 Special Appropriations Fund Budget

Account Name: WERI - Comprehensive Water Monitoring Program Signature-Dept Head: Dr. John Jenson
 Account Number: 10-30-430003-R-5

Quarterly Breakdown

Oct-Dec Jan-Mar Apr-June Jul-Sept

Revenue (Please list sources)

SPECIAL APPROPRIATION FUNDED BY THE GUAM LEGISLATURE	173,839				
\$	173,839	43,460	43,460	43,460	43,460

A. SALARIES AND BENEFITS

(Please attach staffing pattern)		0	0	0	0
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B. OFF-ISLAND TRAVEL

Name & Position of Traveler	Total				
Justification / Notes:	Total FY23	\$	-		

C. CONTRACTUAL SERVICES

Item	Qty	Cost	Total			
CONTRACTUAL SERVICES FOR RESEARCH WITH US GEOLOGIC SURVEY			173,839			
Justification / Notes:	Total FY23	\$	173,839	43,460	43,460	43,460

D. SUPPLIES

Item	Qty	Cost	Total			
Justification / Notes:	Total FY23	\$	-			

E. EQUIPMENT: below \$5,000

Item	Qty	Cost	Total			
Justification / Notes:	Total FY23	\$	-			

F. MISCELLANEOUS Expense

Item	Qty	Cost	Total			
Justification / Notes:	Total FY23	\$	-			

G. CAPITAL OUTLAY: Cost over \$5,000 - Equipment and Vehicles, All Library Acquisitions, All Building Repairs & Renovations

Item	Qty	Cost	Total			
Justification / Notes:	Total FY23	\$	-			

H. UTILITIES: Power, Water, Telephone

Item	Total			
Power	-			
Telephone				
Total FY23	\$	-		

I. Transfer for F & A Fees: 10%

Annual Surplus (Deficit)	\$	-	0	0	0

UNIVERSITY OF GUAM FY2023 Special Appropriations Fund Budget

Account Name: Guam Aquaculture Dev and Training Signature-Dept Head: Lee S. Yudin

Account Number: 61-30-20004-R5

Quarterly Breakdown

Revenue (Please list sources)

		Oct-Dec	Jan-Mar	Apr-June	Jul-Sept
Special Appropriations from Gov Guam	114,000				
	\$ 114,000	28,500	28,500	28,500	28,500

A. SALARIES AND BENEFITS

Graduate Student Scholarships	\$ 100,000	25,000	25,000	25,000	25,000
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B. OFF-ISLAND TRAVEL

Name & Position of Traveler	Total				
Justification / Notes:	Total FY23	\$ -			

C. CONTRACTUAL SERVICES

Item	Qty	Cost	Total				
Justification / Notes:	Total FY23	\$ -					

D. SUPPLIES

Item	Qty	Cost	Total				
Justification / Notes:	Total FY23	\$ -					

E. EQUIPMENT: below \$5,000

Item	Qty	Cost	Total				
Justification / Notes:	Total FY23	\$ -					

F. MISCELLANEOUS Expense

Item	Qty	Cost	Total				
General Mics	1		14,000				
Justification / Notes:	Total FY23	\$ 14,000	3,500	3,500	3,500	3,500	

G. CAPITAL OUTLAY: Cost over \$5,000 - Equipment and Vehicles, All Library Acquisitions, All Building Repairs & Renovations

Item	Qty	Cost	Total				
Justification / Notes:	Total FY23	\$ -					

H. UTILITIES: Power, Water, Telephone

Item	Total				
Power	-				
Telephone					
	Total FY23	\$ -			

I. Transfer for F & A Fees: 10%

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Annual Surplus (Deficit) \$ - 0 0 0 0

UNIVERSITY OF GUAM FY2023 Special Appropriations Fund Budget

Account Name: Sea Grant Special Appropriations Signature-Dept Head: Dr. Austin Shelton

Account Number: _____

Quarterly Breakdown

	Oct-Dec	Jan-Mar	Apr-June	Jul-Sept
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Revenue (Please list sources)

		Oct-Dec	Jan-Mar	Apr-June	Jul-Sept
Local Appropriation	500,000				
	\$ 500,000	125,000	125,000	125,000	125,000

A. SALARIES AND BENEFITS

(Please attach staffing pattern)	\$ 472,600	118,150	118,150	118,150	118,150
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B. OFF-ISLAND TRAVEL

Name & Position of Traveler		Total			
N/A					
Justification / Notes:		Total FY23	\$ -		

C. CONTRACTUAL SERVICES

Item	Qty	Cost	Total		
N/A					
Justification / Notes:		Total FY23	\$ -		

D. SUPPLIES

Item	Qty	Cost	Total		
Office and field supplies	1	\$17,000	17,000		
Justification / Notes:		Total FY23	\$ 17,000	4,250	4,250

E. EQUIPMENT: below \$5,000

Item	Qty	Cost	Total		
			-		
Justification / Notes:		Total FY23	\$ -		

F. MISCELLANEOUS Expense

Item	Qty	Cost	Total		
Printer/Copier Lease	1	\$2,600	2,600		
Fuel, repair and maintenance (vehicles)	1	\$6,600	6,600		
Telephone service	1	\$1,200	1,200		
Justification / Notes:		Total FY23	\$ 10,400	5,800	2,000

G. CAPITAL OUTLAY: Cost over \$5,000 - Equipment and Vehicles, All Library Acquisitions, All Building Repairs & Renovations

Item	Qty	Cost	Total		
Justification / Notes:		Total FY23	\$ -		

H. UTILITIES: Power, Water, Telephone

Item		Total			
Power		-			
Telephone					
Justification / Notes:		Total FY23	\$ -		

I. Transfer for F & A Fees: 10%

Annual Surplus (Deficit)	\$ -	-3,200	600	1,000	1,600

UNIVERSITY OF GUAM FY2023 Special Appropriations Fund Budget

Account Name: Guam Green Growth Special Appropriations
 Account Number: _____

Signature-Dept Head: Dr. Austin Shelton

Quarterly Breakdown

Revenue (Please list sources)

		Oct-Dec	Jan-Mar	Apr-June	Jul-Sept
Local Appropriation	500,000				
	\$ 500,000	125,000	125,000	125,000	125,000

A. SALARIES AND BENEFITS

(Please attach staffing pattern)	\$ 181,258	45,315	45,315	45,315	45,315
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B. OFF-ISLAND TRAVEL

Name & Position of Traveler	Total				
N/A					
Justification / Notes: _____	Total FY23	\$ -			

C. CONTRACTUAL SERVICES

Item	Qty	Cost	Total				
Recycle Cooperative Agreement - Education and Recycling Collections	1	20000	20,000				
UOG Global Learning and Engagement Cooperative Agreement- 6months Coordination of G3 Conservation Corps	1	10000	10,000				
Justification / Notes: _____	Total FY23	\$ 30,000		7,500	7,500	7,500	7,500

D. SUPPLIES

Item	Qty	Cost	Total				
Monthly Gas for G3 Conservation Corps Van	5	\$600	3,000				
G3 Conservation Corps Supplies, Materials	1	\$15,000	15,000				
Supplies and Materials for public participation and outreach projects and gasoline	1	\$4,583	4,583				
Justification / Notes: _____	Total FY23	\$ 22,583		5,646	5,646	5,646	5,646

E. EQUIPMENT: below \$5,000

Item	Qty	Cost	Total				
			-				
Justification / Notes: _____	Total FY23	\$ -					

F. MISCELLANEOUS Expense

Item	Qty	Cost	Total				
Conservation Corps Crew Leader Stipend	10	\$13,000	130,000				
Conservation Corps Crew Supervisor Stipend	2	\$15,000	30,000				
SPREP Annual Membership	1	\$20,360	20,360				
GLISPA Annual Membership	1	5000	5,000				
Justification / Notes: _____	Total FY23	\$ 185,360		46,340	46,340	46,340	46,340

G. CAPITAL OUTLAY: Cost over \$5,000 - Equipment and Vehicles, All Library Acquisitions, All Building Repairs & Renovations

Item	Qty	Cost	Total				
Justification / Notes: _____	Total FY23	\$ -					

H. UTILITIES: Power, Water, Telephone

Item	Total				
Chamoru Village Annual Rent and Utilities	30,799				
	Total FY23	\$ 30,799	7,700	7,700	7,700

I. Transfer for F & A Fees: 10%

	\$ 50,000	12,500	12,500	12,500	12,500
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Annual Surplus (Deficit) **\$ -** 0 0 0 0



UNIVERSITY OF GUAM
UNIBETSEDÁT GUÅHAN
Board of Regents

Resolution No. 22-12

**RELATIVE TO APPROVING A ONE-TIME EXEMPTION FROM THE INDIRECT COST ALLOCATION
FORMULA FOR FUNDS DRAWN IN RELATION TO THE HIGHER EDUCATION EMERGENCY
RELIEF FUNDS**

WHEREAS, the University of Guam (UOG) is the primary U.S. Land Grant institution accredited by the Western Association of Schools and Colleges Senior College and University Commission serving the post-secondary needs of the people of Guam and the region;

WHEREAS, the governance and well-being of the University is vested in the Board of Regents (BOR);

WHEREAS, the BOR adopted BOR Resolution 19-51 to distribute indirect cost reimbursements from eligible grants and allocate the reimbursements to the Research Corporation of the University of Guam, the Office of Research and Sponsored Programs, principal investigators, the unit managing the grant activity, the Finance and Administration Fund and the President's Development Fund;

WHEREAS, the University has received approximately \$19 million in funds under the Higher Education Emergency Relief Fund (HEERF) created by federal appropriations related to the COVID-19 pandemic;

WHEREAS, guidance received from the United States Department of Education has indicated that some of the funding is eligible for indirect cost reimbursements;

WHEREAS, rather than run the funds received through the allocation formula, the University desires to deposit the funds into the UOG General Fund to be used to ameliorate anticipated funding shortfalls for the Fiscal Year 2022 budget, and therefore, is seeking a one-time exemption from BOR Resolution 19-51 for HEERF related grants;

WHEREAS, the President has reviewed this resolution and recommends its approval by the BOR; and

WHEREAS, this resolution has been reviewed by the Budget, Finance and Audit Committee and recommends approval by the BOR.

NOW, THEREFORE, BE IT RESOLVED, that a one-time exemption from the Board approved Indirect Cost Allocation formula for indirect costs recovered related to Higher Education Emergency Relief Funds is approved.

Adopted this 24th day of February, 2022.

Liza J. Provido, Chairperson

ATTESTED:

Thomas W. Krise, Ph.D., Executive Secretary



**UNIVERSITY OF GUAM
UNIBETSEDÁT GUÅHAN
Board of Regents**

Resolution No. 19-51

RELATIVE TO MODIFYING THE INDIRECT COST RECOVERY ALLOCATION

WHEREAS, the University of Guam (UOG) is the primary U.S. Land Grant institution accredited by the WASC Senior College and University Commission (WSCUC) serving the post-secondary needs of the people of Guam and the region;

WHEREAS, the governance and well-being of UOG is vested in the Board of Regents (BOR);

WHEREAS, UOG requires financial stability and long-term viability to deliver its missions and sustain educational effectiveness;

WHEREAS, the federal government, in addition to paying the direct cost of research, reimburses UOG for the indirect costs of research to cover overhead costs related to research;

WHEREAS, UOG, in turn, provides facilities, infrastructure and support for research;

WHEREAS, part of UOG's research grants portfolio is now managed through the Research Corporation of the University of Guam (RCUOG), which was established by P.L. 32-114 in 2014 with the intent that it become a self-sufficient public corporation;

WHEREAS, the BOR through Resolution No. 19-40 revised the indirect cost recovery allocations to include the creation of a facilities fund;

WHEREAS, the University discovered a clerical error in the presentation of the allocation table and now desires to correct this error; and

WHEREAS, the Administration and the BOR Committee on Budget, Finance, and Audit (BFA), having reviewed and discussed the proposed purposes and allocations, recommend the proposal to the BOR for approval.


NOW, THEREFORE, BE IT RESOLVED, that the BOR now adopts the indirect cost allocation methodology described in Exhibit A.

Adopted this 25th day of November 2019.



Christopher K. Felix, Chairperson

ATTESTED:



Thomas W. Krise, Ph.D., Executive Secretary

EXHIBIT A

Indirect Cost Allocation

The following Indirect Cost Allocation methodology is being brought to the Board of Regents for approval:

IDC Recipient	Current Allocation	New Allocation
President's Development Fund	30%	30%
Finance and Administration Fund	12%	12%
Capital Improvement/Facilities Fund	0%	5%
Research Corporation of the University of Guam (RCUOG)	20%	18%
Office of Research and Sponsored Programs (ORSP)	0%	3%
Principal Investigator Unit	19%	10%
	19%	22%

One of the most significant of the Para Hulo initiatives is to become a recognized research university. In keeping with this objective, the University will require every dollar of Indirect Cost funds received be used for the furtherance of the research mission of the University.¹

The allocation table applies to all Indirect Costs received by the University of Guam and the Research Corporation of the University of Guam.

¹ To the extent monies are paid for the research mission from the UOG General Fund, those funds may be credited to the President's Development Fund and the Finance and Administration Fund

6.0 AD HOC REPORT: ENDOWMENT FOUNDATION UPDATE

7.0 OPEN PRESENTATION (3 Minute Limit Per Person)

8.0 EXECUTIVE SESSION

8.1 Recommendation for Tenure for Wai Yi Ma, Associate Professor of Library Science, Micronesian Area Research Center

8.2 Recommendation for Tenure for Michael Orr, Assistant Professor of Biology, College of Natural and Applied Sciences

8.3 Recommendation for Tenure for Roland San Nicolas, Assistant Professor of Library Science, RFK Memorial Library

9.0 VOTING FILE

9.1 Recommendation for Tenure for Wai Yi Ma, Associate Professor of Library Science, Micronesian Area Research Center

9.2 Recommendation for Tenure for Michael Orr, Assistant Professor of Biology, College of Natural and Applied Sciences

9.3 Recommendation for Tenure for Roland San Nicolas, Assistant Professor of Library Science, RFK Memorial Library

10.0 ADJOURNMENT