



**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 18, 2021, 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 for November 24, 2021**
- Information 3.0 CHAIRPERSON'S REMARKS**
  - Information 3.1 Proposed AY2021-2022 BOR Calendar for Meetings**
- Information 4.0 PRESIDENT'S REPORT**
- 5.0 REPORTS FROM STANDING COMMITTEES**
  - 5.1 Student Affairs, Scholarship, Alumni Relations, and Honorary Degree Committee**
    - Action 5.1.1 Resolution No. 21-01, Relative to Approving the Proposed Student Financial Assistance Program FY2022 Budget**
    - 5.2 Academic, Personnel and Tenure Committee**
      - Action 5.2.1 Resolution No. 21-02, Relative to Awarding Emeritus Professor of Philosophy Status to Dr. Kim Skoog**
      - Action 5.2.2 Resolution No. 21-03, Relative to Adjusting the Capital Projects Manager Salary Range in Order to Remain Competitive within Industry and Correcting Alignment for the Associate Budget and Administrative Process Officer**
      - Action 5.2.3 Resolution No. 21-04, Relative to Adopting the Third Revised University of Guam COVID-19 Response Differential Pay Policy & Procedures to Reduce the Spread of COVID-19**
      - Action 5.2.4 Resolution No. 21-05, Relative to Amending the UOG Procurement Regulations to Authorize Small Purchases of Part-Time Teaching and Instructors Services, and to Apply UOG's Small Purchase Procedure to Include Other Professionals**
    - 5.3 Physical Facilities Committee**

Information		5.3.1 Facilities Management and Services Update
	5.4	Investment Committee
Information		5.4.1 Investment Update
Action		5.4.2 Resolution No. 21-06, Relative to Approving the Revisions to the UOG Investment Policy Statement
	5.5	Budget, Finance, and Audit 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. 21-07, Relative to Approving the FY2022 General Operations and Special Appropriations Budgets
Action		5.5.5 Resolution No. 21-08, Relative to Approving a Plan for Borrowing for the University
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 Dean Olah, Associate Professor of Education Foundation, School of Education
Information		8.2 Recommendation for Tenure for Jeffrey Libao, Assistant Professor of Systems and Networking Services, University Libraries
Information		8.3 Recommendation for Tenure for Irena Keckes, Associate Professor of Art, College of Liberal Arts and Social Sciences
	9.0	VOTING FILE
Action		9.1 Recommendation for Tenure for Dean Olah, Associate Professor of Education Foundation, School of Education
Action		9.2 Recommendation for Tenure for Jeffrey Libao, Assistant Professor of Systems and Networking Services, University Libraries
Action		9.3 Recommendation for Tenure for Irena Keckes, Associate Professor of Art, College of Liberal Arts and Social Sciences
	10.0	ADJOURNMENT

1.0 CALL TO ORDER

## 2.0 MEETING MINUTES

### 2.1 Regular Meeting Minutes for November 24, 2020



**UNIVERSITY OF GUAM  
UNIBETSEDĀT GUĀHAN**

**Board of Regents**

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

**Regular Meeting Minutes  
November 24, 2020**

**1.0 CALL TO ORDER**

The Regular Meeting of the Board of Regents (BOR) was called to order by BOR Chairperson Jerold W. Filush on November 24, 2020 at 5:32 p.m., VIA ZOOM. Notice of such meeting have been duly and regularly provided by the BOR.

**QUORUM:**

**Jerold W. Filush  
Liza Provide  
Sandra McKeever  
Francis Hezel  
Lesley Leon Guerrero  
Agapito "Pete" Diaz  
Roland Certeza  
Mike Naholowaa  
Mebric Navisaga**

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

**ALSO PRESENT:**

**Thomas W. Krise  
Anthony Camacho  
Chris Mabayag  
David S. Okada  
Tessica Duenas**

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

**2.0 MEETING MINUTES**

**2.1 Regular Meeting Minutes of September 17, 2020**

Chairperson Filush asked if there were any corrections or discussion regarding the regular meeting minutes as presented. Regent Provide moved to approve, which was duly seconded by Regent Hezel. The motion carried.

**2.2 Special Meeting Minutes of October 15, 2020**

Chairperson Filush asked if there were any corrections or discussion regarding the special meeting minutes as presented. Regent McKeever moved to approve, which was duly seconded by Regent Certeza. The motion carried.

**3.0 CHAIRPERSON'S REPORT**

Chairperson Filush welcomed everyone to the November Regular Meeting as the new chairperson for the Board of Regents. He hopes everyone continues to remain safe and healthy, and appreciates

## **Board of Regents Regular Meeting Minutes of November 24, 2020**

everything that is being done to keep the mission of our University moving forward despite the difficulties and challenges from the public health emergency and budget constraints.

He remains confident that we will all get through this and resume some kind of normalcy in our future. He thanked everyone for doing their part in wearing a mask, practicing social distancing, and sanitizing as often as possible to protect others and themselves, especially with the major holidays coming up soon.

He then asked everyone to join him in welcoming two newest regents recently confirmed by the Legislature on October 19, 2020 and sworn in by the Executive Secretary/President, Dr. Tom Krise:

Regent Roland Certeza who is the President and CEO of GTA. He replaced former Vice Chairperson Mari Flor Herrero.

Regent Mike Naholowaa who is the Vice President/Credit Officer of Bank of Guam. He replaced former Chairperson Elvin Chiang.

He also recognized former Chairperson Elvin Chiang and former Vice Chairperson Mari Flor Herrero for their untiring leadership and contributions during their many years of service to the Board of Regents and the University. He expressed a heartfelt thank you for their service and wished them well on their next chapters in their life.

He added that there was a major rotation in officers and chairs for the committees, too. He then thanked the following regents that are serving in their new leadership roles:

Vice Chairperson – Liza Provideo.

Treasurer – Sandra McKeever.

SASARHD (Student Affairs, Scholarship, Alumni Relations & Honorary Degree) Committee Chair – Pete Diaz.

AP&T (Academic, Personnel, & Tenure) Committee Chair – Lesley Leon Guerrero.

Facilities Committee Chair – Pete Diaz.

Investment Committee Chair – Sandra McKeever.

BFA (Budget, Finance, and Audit) Committee Chair – Sandra McKeever.

BOR Representatives to Research Corporation of the University of Guam (RCUOG) Board – Pete Diaz and Mike Naholowaa.

Ex-officio Director of UOG Endowment Foundation – Fr. Francis Hezel.

Regent Nominating Council (RNC) – Lesley Leon Guerrero.

### **4.0 PRESIDENT'S REPORT**

President Krise provided the BOR with an In Memoriam slide presentation of members of the UOG community who recently passed away.

Evelyn Chargualaf passed away on October 4, 2020. She was an Administrative Assistant with the College of Liberal Arts and Social Sciences and served 15 years to the UOG.

Brian Milhoff passed away on November 17, 2020. He was an Associate Professor, RFK Memorial Library and served 17 years to the UOG.

## **Board of Regents Regular Meeting Minutes of November 24, 2020**

He then asked for a moment of silence in their memory.

He gave special thanks to Chairperson Filush, Vice Chairperson Provido, and Treasurer McKeever as they assume their new leadership role and welcomed Regent Naholowaa and Regent Certeza. He also thanked all the Regents for their service and commitment to UOG.

He thanked the UOG Community with all the efforts that have gone into the COVID-19 response.

He provided a brief update on the Para Hulo' Strategic Initiatives regarding Research, Partnerships, Student Experience, Operations, Finances and Infrastructure.

He thanked Norman Analista, Jonas Macapinlac, Manny Hechanova and the Office of Information Technology (OIT) and teams for continuing the rhythm of the year and giving upbeat celebrations and hopeful events like the Distinguished Alumni Awards ceremony, Veterans Day ceremony, and the commencement.

He referred the BOR to the Big G Weekly that covers most of UOG news and press releases. He recognized Dr. Margaret Hattori-Uchima for being awarded as a fellow to the American Academy of Nursing which is a high honor and that she is the first person from Guam to achieve the award.

In closing, he thanked the faculty, staff, students, SVPP, VPAF, CofS, and all for their good cheer, creativity, and perseverance throughout the pandemic and associated crises.

President Krise introduced several Faculty members who were in the audience that were granted Tenure at the last BOR meeting, Laura Biggs, Velma Yamashita, Joseph Tuquero, Tedros Bezabeh and William Jeffery. He then invited them to address the board and to say a few words.

### **5.0 REPORTS FROM STANDING COMMITTEES**

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

Regent Diaz reported that the SASARHD Committee met on November 12<sup>th</sup> and 19<sup>th</sup> via zoom and presented the proposed resolutions for the board's approval.

##### **5.1.1 Resolution No. 20-32, Relative to Approving the Fanuchãnan 2020 Commencement Graduate List**

Regent Diaz introduced Resolution No. 20-32 and moved to approve, which was duly seconded by Regent Leon Guerrero. He summarized the resolution explaining the purpose. The motion carried.

##### **5.1.2 Resolution No. 20-33, Relative to Approving the Proposed Changes to the SGA Constitution Bylaws, and Amendments to the UOG Student Regent Election Regulations**

Regent Diaz introduced Resolution No. 20-33 and moved to approve, which was duly seconded by Regent Provido. 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 12<sup>th</sup> and 18<sup>th</sup> via zoom and

## **Board of Regents Regular Meeting Minutes of November 24, 2020**

a quorum was present and presented the proposed resolutions for the board's approval.

### **5.2.1 Resolution No. 20-34, Relative to Expressing Appreciation to Christopher K. Felix for His Service as a Member and Chairperson of the Board of Regents**

Regent Leon Guerrero introduced Resolution No. 20-34 and moved to approve, which was duly seconded by Regent Naholowaa. She summarized the resolution recognizing Regent Felix for his dedication to the University and his achievements in the community. The motion carried.

### **5.2.2 Resolution No. 20-35, Relative to Awarding Emeritus Professor of Human Resources Management Status to Dr. Richard S. Colfax**

Regent Leon Guerrero introduced Resolution No. 20-35 and moved to approve, which was duly seconded by Regent Naholowaa. She summarized the resolution highlighting Dr. Colfax's accomplishments as a faculty member. The motion carried.

### **5.2.3 Resolution No. 20-36, Relative to Approving the Undergraduate Minor and Certificate Programs in Cybersecurity Management**

Regent Leon Guerrero introduced Resolution No. 20-36 and moved to approve, which was duly seconded by Regent Naholowaa. She summarized the resolution explaining the purpose. The motion carried.

### **5.2.4 Resolution No. 20-37, Relative to Approving the New Personnel Rules and Regulations for Classified Employees of the University of Guam**

Regent Leon Guerrero introduced Resolution No. 20-37 and moved to approve, which was duly seconded by Regent Naholowaa. She summarized the resolution explaining the purpose. Regent Hezel abstained from the vote. The motion carried.

## **5.3 Physical Facilities Committee**

Regent Diaz reported that the Physical Facilities Committee met on November 12<sup>th</sup> and 20<sup>th</sup> via zoom and a quorum was present. No resolutions were presented to the board at this time.

### **5.3.1 Facilities Management and Services Update**

Regent Diaz gave a brief report on the Facilities Management and Services (FMS) projects. He stated that the Physical Facilities committee is tracking projects through a spreadsheet.

He reported that there are currently five new building projects. The School of Engineering and the Student Success Center are combined and supposed to be funded under the USDA loan. He stated that the USDA returned with unfavorable terms and that President Krise wrote a letter indicating that the terms could not be met. He further stated that USDA requested an appraisal to be completed on properties that may increase the flexibility that USDA has on settling the terms of the loan. He added that UOG expects to receive a complete appraisal by the end of the month.

He reported on the Cultural Repository project groundbreaking was held on October 2<sup>nd</sup> and that clearing of the property has commenced. He stated that one agency is pending to sign off on the building permit.

He reported that the WERI lab and School of Health expansion project have been combined and are funded through a US Economic Development Authority (EDA) loan, which is pending feedback on the next level of approval.



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He stated that the Bordallo expansion to the MARC and RFK Library project is on hold. The CNAS Science Building 2<sup>nd</sup> floor project has been completed and the University is currently negotiating liquidated damages related to project delays.

He further reported on other on-going projects.

### **5.4 Investment Committee**

Regent McKeever noted that the Investment Committee met on November 10<sup>th</sup> via zoom and a quorum was present.

#### **5.4.1 Investment Update**

Regent McKeever reported that the Investment committee met with the representatives from Raymond James, to discuss the market conditions. She stated the market rebounded and that the market value of November 6 was \$28.1M which is an increase of \$3.8M, which is a 16% increase from our April 2020 value of \$24.3M. She added that in the meeting there was a discussion on a stock donation policy and recommended to add the policy for consideration at the next meeting.

#### **5.4.2 Resolution No. 20-38, Relative to Authorizing the University of Guam to Enter into a Contract for Investment Advisory Services**

Regent McKeever introduced Resolution No. 20-38 and moved to approve, which was duly seconded by Regent Hezel. She summarized the resolution explaining the purpose. The motion carried.

### **5.5 Budget, Finance, and Audit (BFA) Committee**

Regent McKeever reported that the BFA Committee met on November 10<sup>th</sup> and was taken out of order due to a quorum no longer present, so the BFA Committee resumed on November 24<sup>th</sup> via zoom with a quorum present and presented the updates and proposed resolutions for the board's approval.

#### **5.5.1 Financial Update**

Regent McKeever reported that the VPAF extended his appreciation to the Department of Administration (DOA) noting that DOA was nearly 100% of all allotments requested as September 30, 2020 and that we are current with the allotments for 2021. She stated that the committee reviewed the preliminary 2020 cash basis financial statements and that there was a positive change in net position of \$4.9M. She added that the actual performance will change when we close out 2020 and the year-end adjustments.

#### **5.5.2 Collections Report**

Regent McKeever reported that collections for student loans is 40% above the target with \$419,000 collected. She thanked the department for their efforts.

#### **5.5.3 Procurement Transactions and Contracts Report**

Regent McKeever noted that there were several procurement transactions and contracts of over \$100K entered during September through October. Most were pass through items with no financial impact to the University. The Committee discussed the items on the listing in detail with VPAF Wiegand and all questions were explained to the satisfaction of the Committee members.

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### **5.5.4 Resolution No. 20-39, Relative to Approving a Revised Re-Appportioned FY2021 General Operations Budget**

Regent McKeever introduced Resolution No. 20-39 and moved to approve, which was duly seconded by Regent Naholowaa. She summarized the resolution explaining the purpose. The motion carried.

### **5.5.5 Resolution No. 20-40, Relative to Approving the FY2020-2021 Insurance Program**

Regent McKeever introduced Resolution No. 20-40 and moved to approve, which was duly seconded by Regent Naholowaa. She summarized the resolution explaining the purpose. The motion carried.

### **5.5.6 Resolution No. 20-41, Relative to Authorizing the Signing of Checks and Corporation Resolutions and Opening or Closing Bank Accounts, Investment Accounts or Credit Facilities**

Regent McKeever introduced Resolution No. 20-41 and moved to approve, which was duly seconded by Regent Hezel. She summarized the resolution explaining the purpose. The motion carried.

### **5.5.7 Resolution No. 20-42, Relative to Approving a Change Order Standard Operating Procedure for the University of Guam**

Regent McKeever introduced Resolution No. 20-42 and moved to approve, which was duly seconded by Regent Leon Guerrero. She summarized the resolution explaining the purpose. Chairperson Filush noted that the Physical Facilities Committee also endorsed the Resolution for approval. Regent Provideo stated for the record that for construction related Change Orders, a registered professional also be included as a signatory in the line item. She added it is more of an administrative change. The motion carried.

## **6.0 AD HOC REPORT: ENDOWMENT FOUNDATION (EF) UPDATE**

Katrina Perez, Executive Director provided the BOR with an update on the upcoming UOGEF events and activities.

## **7.0 OPEN PRESENTATION (3 Minute Limit per Person)**

Chairperson Filush opened the floor for open presentations. There were no presentations.

## **8.0 EXECUTIVE SESSION**

### **8.1 Student Loan Action**

### **8.2 Recommendation for Tenure for Leslie Aquino, Associate Professor of Mathematics, College of Natural and Applied Sciences**

### **8.3 Recommendation for Tenure for Nathan Habana, Associate Professor of Ground Water Hydrology, Water and Environmental Research Institute**

### **8.4 Recommendation for Tenure for Francis Dalisay, Associate Professor of Communication, College of Liberal Arts and Social Sciences**

### **8.5 Recommendation for Tenure for Pyo-Yoon Hong, Associate Professor of Engineering, School of Engineering**

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- 8.6 Recommendation for Tenure for Colleen Jennings, Assistant Professor of Vocal Performance, College of Liberal Arts and Social Sciences**
- 8.7 Recommendation for Tenure for Yoshito Kawabata, Associate Professor of Psychology, College of Liberal Arts and Social Sciences**
- 8.8 Recommendation for Tenure for Tanisha Aflague, Associate Professor of Nutrition, College of Natural and Applied Sciences**
- 8.9 Recommendation for Tenure for Raymond Anderson, Professor of Communication, College of Liberal Arts and Social Sciences**

This Executive Session commenced at 6:33 p.m. The Executive Session ended at 6:43 p.m.

**9.0 VOTING FILE**

**9.1 Student Loan Action**

Regent Diaz moved to approve the loan forgiveness request, which was duly seconded by Regent Provido. All voted Nay. The motion failed.

Regent Diaz stated on the same loan action request, moved to approve the Administration's recommendation to provide a \$5K credit for the equivalent service provided in Guam, which was duly seconded by Regent McKeever. The motion carried.

**9.2 Recommendation for Tenure for Leslie Aquino, Associate Professor of Mathematics, College of Natural and Applied Sciences**

Regent Leon Guerrero moved to approve the recommendation for tenure for Dr. Leslie Aquino, which was duly seconded by Regent Diaz. The motion carried.

**9.3 Recommendation for Tenure for Nathan Habana, Associate Professor of Ground Water Hydrology, Water and Environmental Research Institute**

Regent Leon Guerrero moved to approve the recommendation for tenure for Dr. Nathan Habana, which was duly seconded by Regent Hezel. The motion carried.

**9.4 Recommendation for Tenure for Francis Dalisay, Associate Professor of Communication, College of Liberal Arts and Social Sciences**

Regent Leon Guerrero moved to approve the recommendation for tenure for Dr. Francis Dalisay, which was duly seconded by Regent Provido. The motion carried.

**9.5 Recommendation for Tenure for Pyo-Yoon Hong, Associate Professor of Engineering, School of Engineering**

Regent Leon Guerrero moved to approve the recommendation for tenure for Dr. Pyo-Yoon Hong, which was duly seconded by Regent Diaz. The motion carried.

**9.6 Recommendation for Tenure for Colleen Jennings, Assistant Professor of Vocal Performance, College of Liberal Arts and Social Sciences**

**Board of Regents Regular Meeting Minutes of November 24, 2020**

Regent Leon Guerrero moved to approve the recommendation for tenure for Dr. Colleen Jennings, which was duly seconded by Regent Certeza. All voted Nay. The motion failed.

**9.7 Recommendation for Tenure for Yoshito Kawabata, Associate Professor of Psychology, College of Liberal Arts and Social Sciences**

Regent Leon Guerrero moved to approve the recommendation for tenure application for Dr. Yoshito Kawabata, which was duly seconded by Regent Naholowaa. The motion carried.

**9.8 Recommendation for Tenure for Tanisha Aflague, Associate Professor of Nutrition, College of Natural and Applied Sciences**

Regent Leon Guerrero moved to approve the recommendation for tenure for Dr. Tanisha Aflague, which was duly seconded by Regent McKeever. The motion carried.

**9.9 Recommendation for Tenure for Raymond Anderson, Professor of Communication, College of Liberal Arts and Social Sciences**

Regent Leon Guerrero moved to approve the recommendation for tenure application for Dr. Raymond Anderson, which was duly seconded by Regent Hezel. The motion carried.


**Additional Business** – Regent Diaz further reported on agenda item 5.3 for the Physical Facilities Committee with an update on IT infrastructure noting that the university was attacked with a ransomware virus which affected key components to the university systems but that no financial or identity information was impacted. He added that OIT is fully dedicated to recovering from the cyberattack.

**10.0 ADJOURNMENT**

Regent Hezel moved that the zoom meeting be adjourned, which was duly seconded by Regent Naholowaa and passed. Chairperson Filush adjourned the meeting at 7:43 p.m., Chamorro Standard Time.

  
\_\_\_\_\_  
Jerold W. Filush, Chairperson

**ATTESTED:**

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

### 3.0 CHAIRPERSON'S REMARKS

# BOARD OF REGENTS 2021-2022 CALENDAR

*11 Jan 2021 – Subject to Change*

<u>COMMITTEE</u>	<u>DATE</u>	<u>TIME</u>	<u>LOCATION</u>
Student Affairs, Scholarship, Alumni Relations, and Honorary Degree Committee	September 8, 2021	Wed, 1:30pm	ZOOM
	November 9, 2021	Tue, 1:30pm	ZOOM
	February 9, 2022	Wed, 1:30pm	ZOOM
	March 15, 2022 [If Needed]	Tue, 1:30pm	ZOOM
	April 13, 2022	Wed, 1:30pm	ZOOM
	May 4, 2022 [If Needed]	Wed, 1:30pm	ZOOM
Academic, Personnel, and Tenure Committee	September 8, 2021	Wed, 2:30pm	ZOOM
	November 9, 2021	Tue, 2:30pm	ZOOM
	February 9, 2022	Wed, 2:30pm	ZOOM
	March 15, 2022 [If Needed]	Tue, 2:30pm	ZOOM
	April 13, 2022	Wed, 2:30pm	ZOOM
	May 4, 2022 [If Needed]	Wed, 2:30pm	ZOOM
Physical Facilities Committee	September 8, 2021	Wed, 3:30pm	ZOOM
	November 9, 2021	Tue, 3:30pm	ZOOM
	February 9, 2022	Wed, 3:30pm	ZOOM
	March 15, 2022 [If Needed]	Tue, 3:30pm	ZOOM
	April 13, 2022	Wed, 3:30pm	ZOOM
	May 4, 2022 [If Needed]	Wed, 3:30pm	ZOOM
Investment Committee	September 9, 2021	Thu, 1:30pm	ZOOM
	November 10, 2021	Wed, 1:30pm	ZOOM
	February 10, 2022	Thu, 1:30pm	ZOOM
	March 16, 2022 [If Needed]	Wed, 1:30pm	ZOOM
	April 14, 2022	Thu, 1:30pm	ZOOM
	May 5, 2022 [If Needed]	Thu, 1:30pm	ZOOM
Budget, Finance, and Audit Committee	September 9, 2021	Thu, 2:30pm	ZOOM
	November 10, 2021	Wed, 2:30pm	ZOOM
	February 10, 2022	Thu, 2:30pm	ZOOM
	March 16, 2022 [If Needed]	Wed, 2:30pm	ZOOM
	April 14, 2022	Thu, 2:30pm	ZOOM
	May 5, 2022 [If Needed]	Thu, 2:30pm	ZOOM
Executive Committee	September 15, 2021	Wed, 11:30am	ZOOM
	November 17, 2021	Wed, 11:30am	ZOOM
	February 16, 2022	Wed, 11:30am	ZOOM
	March 23, 2022 [If Needed]	Wed, 11:30am	ZOOM
	April 20, 2022	Wed, 11:30am	ZOOM
	May 11, 2022 [If Needed]	Wed, 11:30am	ZOOM
BOR Working Session (Generally, the 3 <sup>rd</sup> Thursday)	September 16, 2021	Thu, 4:30pm	ZOOM
	November 18, 2021	Thu, 4:30pm	ZOOM
	February 17, 2022	Thu, 4:30pm	ZOOM
	March 24, 2022 [If Needed]	Thu, 4:30pm	ZOOM
	April 21, 2022	Thu, 4:30pm	ZOOM
	May 12, 2022 [If Needed]	Thu, 4:30pm	ZOOM
BOR Meeting (Generally, the 3 <sup>rd</sup> Thursday)	September 16, 2021	Thu, 5:30pm	ZOOM
	November 18, 2021	Thu, 5:30pm	ZOOM
	February 17, 2022	Thu, 5:30pm	ZOOM
	March 24, 2022 [If Needed]	Thu, 5:30pm	ZOOM
	April 21, 2022	Thu, 5:30pm	ZOOM
	May 12, 2022 [If Needed]	Thu, 5:30pm	ZOOM

## **2021**

### **JUNE**

*Finapko* (Summer) Session A begins (June 1, 2021 – July 2, 2021)

*Finapko* (Summer) Session B begins (June 7, 2021 – July 24, 2021)

### **JULY**

*Finapko* (Summer) Session C begins (July 6, 2021 – August 7, 2021)

### **AUGUST**

*Fanuchanan* (Fall) Convocation (August 16, 2021)

### **SEPTEMBER**

Student Government Association Inauguration

Insurance Program Approval

Continuation of current FY General Operations, SFAP and NAF budgets

Emerita/us nomination(s)

Faculty Salary Committee recommendations

President Evaluation Process – Identify ad hoc committee by BOR Chairperson

### **OCTOBER**

### **NOVEMBER**

Reapportioned General Operations, NAF, Auxiliary and SFAP budgets (This may be needed in September, October, or November, depending on when budget law for FY2022 is passed)

Graduate listing for Fall Commencement

Approval of Career Priority Listing every 3 years (must be posted by January 1, 2022)

### **DECEMBER**

FY2023 Budget Retreat

*Fanuchanan* (Fall) Commencement (2:00 p.m., December 19, 2021)

Various convocations & pinning/robing ceremonies

*Tinalo* (Intercession) classes begin (December 18, 2021 – January 15, 2022)

## **2022**

### **JANUARY**

*Fanomnakan* (Spring) Faculty Assembly (January 18, 2022)

Chairperson Memo to EMSS/SGA to conduct Student Regent election in March (every even year).

### **FEBRUARY**

FY Audit due

Upcoming FY Budget proposals (general operations, non-appropriated funds, auxiliary funds, Student Financial Aid Programs)

Faculty Development Day (February 18, 2022)

BOR Annual Self-Evaluation – Identify ad hoc committee by BOR Chairperson

### **MARCH**

Election of Student Regent (every even year).  
Guam History & Chamorro Heritage Day (March 7, 2022)  
Charter Day (March 8, 2022)[Mar 17, 2022 - tentative]  
Tenure applications  
Annual AGB Conference  
Spring Break (March 21-26, 2022)  
Staff Development Day

## **APRIL**

Election of BOR Officers and Composition of Committees  
Adopt a schedule of meetings for the Year  
Graduate Listing for *Fanomnakan* (Spring) Commencement  
Employee Recognition Ceremony  
New programs for the University catalog  
Conduct Annual Educational Program (PL 32-031, dated May 10, 2013)

## **MAY**

Tenure  
New program requests  
*Fanomnakan* (Spring) Commencement (2:00 p.m., May 22, 2022)  
Various convocations & pinning/robing ceremonies





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

**Resolution No. 21-01**

**RELATIVE TO APPROVING THE PROPOSED STUDENT FINANCIAL ASSISTANCE  
PROGRAM FY2022 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 10, 2021 to address the Student Financial Assistance Program (SFAP) FY2022 Budget;

**WHEREAS**, the Budget, Finance, and Audit (BFA) Committee reviewed the SFAP FY2022 Budget at its meeting on February 11, 2021;

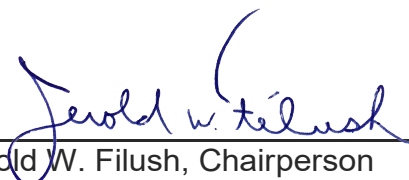
**WHEREAS**, the Senior Vice President & Provost, Academic & Student Affairs; Dean, Enrollment Management & Student Success; and the Director, Financial Aid Office have all certified that the SFAP FY2022 Budget as recommended at the respective Board Committee meetings is consistent with appropriate Public 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 SFAP FY2022 Budget as attached.


**NOW, THEREFORE, BE IT RESOLVED**, that the UOG SFAP FY2022 Budget named above hereto and as attached is hereby approved for submission to the Legislature; and

**BE IT FURTHER RESOLVED**, the President is authorized to reappropriation according to the budget that is approved by the Guam Legislature.

Adopted this 18<sup>th</sup> day of February, 2021.

  
\_\_\_\_\_  
Jerold W. Filush, Chairperson

**ATTESTED:**

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

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

**FY 2022 PROPOSED BUDGET**

	FY2021 Proposed Budget (Resolution No. 20-04)	FY2021 Re-Appportioned Budget (Res. No. 20-23)	FY2022 Proposed Budget (Res. No. 21-nn)
<b>A. REVENUE</b>			
20	\$ 300,000	\$ 300,000	\$ 200,000
SFAP Legislative Appropriation	\$ 4,300,000	\$ 3,065,285	\$ 4,300,000
YTC Legislative Appropriation	(YTC and SFAP Combined)	(YTC and SFAP Combined)	(YTC and SFAP Combined)
Hero Scholarship (Judicial Building Fund)			
<b>TOTAL REVENUE</b>	<b>\$ 4,600,000</b>	<b>\$ 3,365,285</b>	<b>\$ 4,500,000</b>
<b>B. EXPENDITURES</b>			
<b>SFAP Awards</b>			
Advance High School Placement	\$ 10,000	\$ 10,000	\$ 10,000
Merit Award	\$ 1,750,000	\$ 1,361,598	\$ 1,827,000
Health Professions Training Scholarship	\$ 275,000	\$ 275,000	\$ 375,652
J.U. Torres PROTECH Award	\$ 330,000	\$ 100,000	\$ 250,000
Pedro "DOC" Sanchez	\$ 246,500	\$ 120,000	\$ 125,000
Yamashita Teacher Corps	\$ 200,000	\$ 100,000	\$ 275,000
Access to Higher Ed Award (PL 31-237)	\$ 125,000	\$ 100,000	\$ 125,000
Retention/Completion Scholarship	\$ -	\$ -	\$ -
Triton Athletics Scholarship	\$ 75,000	\$ 75,000	\$ 75,000
Graduate STEM Tuition Asst. Prog. (Beg. FA20)	\$ 290,000	\$ 210,000	\$ 210,000
Regent Scholar Program	\$ 480,147	\$ 300,000	\$ 450,000
ROTC Program	\$ 125,000	\$ 100,000	\$ 100,000
Marine Lab Scholarship	\$ 25,000	\$ 25,000	\$ 75,000
First Generation Trust Fund	\$ 250,000	\$ 250,000	\$ 250,000
<i>Sub-Total of SFAP Awards</i>	<b>\$ 4,181,647</b>	<b>\$ 3,026,598</b>	<b>\$ 4,147,652</b>
<b>Administrative Operations</b>			
<i>Sub-Total of Administrative Operations</i>	\$ 418,353	\$ 338,687	\$ 352,348
<b>TOTAL EXPENDITURES</b>	<b>\$ 4,600,000</b>	<b>\$ 3,365,285</b>	<b>\$ 4,500,000</b>
<b>SURPLUS/DEFICIT SFAP AWARDS</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ 0</b>
<b>C. LEGISLATIVE APPROPRIATION REQUEST</b>			
	\$ 4,300,000	\$ 3,065,285	\$ 4,300,000
<b>TOTAL APPROPRIATION</b>	<b>\$ 4,600,000</b>	<b>\$ 3,365,285</b>	<b>\$ 4,500,000</b>
<b>D.</b>			

**UNIVERSITY OF GUAM  
GOVERNMENT OF GUAM  
STUDENT FINANCIAL ASSISTANCE PROGRAM  
FY 2022 PROPOSED BUDGET**

**SFAP Continuing and New Obligations**

<b>PROGRAM</b>	<b>CONTINUING RECIPIENTS</b>	<b>NEW RECIPIENTS</b>	<b>COSTS (\$)</b>
Advance High School Placement*	15	10	\$ 10,000.00
Merit Award	161	60	\$ 1,827,000.00
Health Professions Training	25	35	\$ 375,652.00
Professional/Technical Award	5	20	\$ 250,000.00
Pedro "DOC" Sanchez	10	20	\$ 125,000.00
Yamashita Teacher Corps	25	35	\$ 275,000.00
Access to Higher Ed. Award	75	75	\$ 125,000.00
First Generation Trust Fund	0	175	\$ 250,000.00
<b>Sub-Total</b>	<b>316</b>	<b>430</b>	<b>\$ 3,237,652.00</b>

**Board of Regent Scholars Fund Continuing and New Obligations**

<b>PROGRAM</b>	<b>RECIPIENTS*</b>	<b>COSTS (\$)</b>
Regent Scholar Program	TBD	\$ 450,000
ROTC Program	TBD	100,000
Graduate STEM Tuition Assistance	TBD	210,000
Triton Athletics Award	TBD	75,000
Marine Lab Scholarships	TBD	75,000
<b>Sub-Total</b>	<b>0</b>	<b>\$ 910,000</b>

<b>TOTAL</b>	<b>RECIPIENTS*</b>	<b>COSTS (\$)</b>
AWARDS: SFAP	746	\$ 3,237,652.00
AWARDS: BOR Programs	0	\$ 910,000.00
OPERATIONS	N/A	\$ 352,347.61
<b>TOTAL</b>	<b>746</b>	<b>\$ 4,499,999.61</b>

**NOTE:**

\*Recipients can be a combination of continuing and new.

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

**FY 2022 OPERATIONS BUDGET - PROPOSED**

	FY 2021 Budget Res. 20-04	FY 2021 Re- Appportioned Budget Res. 20- 23	FY 2022 Proposed Budget Res. 21- nn
<b>CONTRACTUAL</b>			
Communication/Duplicating (53231)	\$ 1,000	\$ -	\$ -
Printing: Letterheads/Forms/Handbook/ Promissory Notes, etc (53236)			
Computer Maintenance (Software/Hardware)	2,500	-	-
Xerox Copies/Fax Lease & Maintenance (53235)	2,000	-	-
Office Equipment & Maintenance			
Advertising (53236)	2,000	-	-
Professional Org. Memberships (53237)	2,500	-	-
Web Maintenance (53233)			
Training & Maintenance (53239)	1,500	-	-
Imaging System Maintenance & Training	-	-	-
Security Alarm System (55250)	-	-	-
Collection Services	-	-	-
<b>SUB-TOTAL</b>	<b>\$ 11,500</b>	<b>\$ -</b>	<b>\$ -</b>
<b>SUPPLIES</b>			
Office Supplies/Materials (S54240)	\$ 1,500	\$ -	\$ 1,500
<b>SUB-TOTAL</b>	<b>\$ 1,500</b>	<b>\$ -</b>	<b>\$ 1,500</b>
<b>CAPITAL OUTLAY</b>			
Computers/HardDrive/Monitors/Printers (55250)	\$ 5,000	\$ -	\$ 2,000
File Cabinets	-	-	-
Imaging System	-	-	-
Shredder	-	-	-
Multi Media Projector	1,500	-	-
Scanner	-	-	-
<b>SUB-TOTAL</b>	<b>\$ 6,500</b>	<b>\$ -</b>	<b>\$ 2,000</b>
<b>OVERTIME</b>			
Mileage			
<b>PERSONNEL (Includes - Salaries/Benefits)</b>			
Program Coordinator IV	\$84,358.00	\$84,358.00	\$86,888.74
Program Coordinator I	\$0.00	\$0.00	\$0.00
Program Coordinator II	\$67,904.00	\$67,904.00	\$69,941.12
Program Coordinator I	\$51,443.00	\$51,443.00	\$52,986.29
Program Coordinator I (YTC - Vacant)	\$0.00	\$0.00	\$0.00
Administrative Assistant	\$57,666.00	\$0.00	\$0.00
Program Coordinator I (Bursar's Office)	\$46,455.00	\$46,455.00	\$47,848.65
Accounting Tech 1 (Bursar's Office)	\$49,876.00	\$49,876.00	\$51,372.28
Accounting Tech 1 (Bursar's Office)	\$38,651.00	\$38,651.00	\$39,810.53
<b>SUB-TOTAL</b>	<b>\$396,353.00</b>	<b>\$338,687.00</b>	<b>\$348,847.61</b>
<b>MISCELLANEOUS</b>			
Contingency	\$2,500.00	\$0.00	\$0.00
<b>SUB-TOTAL</b>	<b>\$2,500.00</b>	<b>\$0.00</b>	<b>\$0.00</b>
<b>GRAND-TOTAL</b>	<b>\$ 418,353</b>	<b>\$ 338,687</b>	<b>\$ 352,348</b>

## 4.0 PRESIDENT'S REPORT

5.0 REPORTS FROM STANDING COMMITTEES

5.1 STUDENT AFFAIRS, SCHOLARSHIP, ALUMNI AFFAIRS,  
AND HONORARY DEGREE COMMITTEE

## 5.2 ACADEMIC, PERSONNEL, AND TENURE COMMITTEE





UNIVERSITY OF GUAM  
UNIBETSEDÅT GUÅHAN  
Board of Regents

Resolution No. 21-02

RELATIVE TO AWARDING EMERITUS PROFESSOR OF PHILOSOPHY STATUS  
TO DR. KIM SKOOG

**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**, the faculty of the Division of Humanities in the College of Liberal Arts & Social Sciences (CLASS) has unanimously nominated Dr. Kim Skoog 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 contribution to the University of Guam in one endeavor of the Comprehensive Faculty Evaluation System;

**WHEREAS**, Dr. Skoog has 27 years of service as a faculty member at UOG;

**WHEREAS**, Dr. Skoog attained the rank of tenured, full Professor;

**WHEREAS**, Dr. Skoog has distinguished himself by excelling in all three areas of academic endeavor and left his mark indubitably on the UOG philosophy program, within the Division of Humanities, and in the effort to make both critical thinking and cultural sensitivity a central part of the UOG curriculum;

**WHEREAS**, the enclosed nomination was endorsed by the CLASS Dean, the Nineteenth Faculty Senate; and 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 Philosophy to Dr. Skoog.

**NOW, THEREFORE, BE IT RESOLVED**, that the BOR hereby bestows the title of Emeritus Professor of Philosophy to Dr. Kim Skoog.

Adopted this 18th day of February 2021.

ATTESTED:

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

Jerold W. Filush, Chairperson

# University of Guam

## Request for Official Action on a Policy or Regulation

1. **Date of this request:** 1/12/2021
2. **Destination of request:** (as per governance guidance or manual)  
 Board of Regents     President     SVP&P     VPAF/CBO     Other \_\_\_\_\_  
 BOR Committee:  Academic, Personnel, and Tenure     Budget, Finance, Investments, and Audit  
                            Physical Facilities     Student Affairs, Scholarship, Alumni Relations and Honorary Degree
3. **Originating organizational unit:** College of Liberal Arts & Social Sciences
4. **Action proponent name:** Dr. William Jeffery email: jefferyw@triton.uog.edu phone: 671-483-1630; 671-735-2809
5. **Action requested:** Approval of Nomination of Dr. Kim Skoog as Emeritus Professor of Philosophy.
6. **Justification supporting action request:** See attached letter from Nominator.
7. **Requested effective date of action, if approved:** \_\_\_/\_\_\_/\_\_\_

8. **Manual or document to be altered:**

<input type="checkbox"/> BOR Policy <input type="checkbox"/> Academics <input type="checkbox"/> Auxiliary Services _____ <input type="checkbox"/> Business Office _____ <input type="checkbox"/> Enrollment Management & Student Success <input type="checkbox"/> Facilities Maintenance & Services <input type="checkbox"/> Graduate Studies <input type="checkbox"/> Human Resources Office	<input type="checkbox"/> RFK Library or MARC <input type="checkbox"/> Office of Information Technology <input type="checkbox"/> Office of Marketing & Communications <input type="checkbox"/> Office of Research & Sponsored Programs <input type="checkbox"/> Safety & Security <input type="checkbox"/> Triton Athletics <input type="checkbox"/> Other _____
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**Location of proposed alteration in manual:** \_\_\_\_\_ **Version dated:** \_\_\_/\_\_\_/\_\_\_

9. **Attach:**
  - a. Proposed Procedure, Regulation, or Policy language (*in unlocked finalized Word file only, no PDFs*).
  - b. Documentation showing reason and appropriate consultation with advisory and/or governance committees has been done.
  - c. Documentation of a public hearing, as applicable.

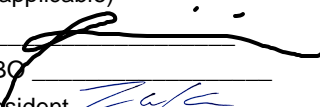
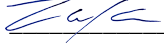
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10. **Consultation Record** (as per governance guidance, manual, or courtesy)

Committee	Position	Name / Signature (use BLUE ink)	Date
Originating Unit AAC <input type="checkbox"/> NA	_____	_____ / _____	___/___/20__
Appropriate Dean/Director/ Admin <input type="checkbox"/> NA	<u>Dean</u>	<u>Dr. James D. Sellmann</u> / <u>See Nomination Form</u>	___/___/20__
AD HOC Committee <input type="checkbox"/> NA	_____	_____ / _____	___/___/20__
Student Gov Association <input type="checkbox"/> NA	_____	_____ / _____	___/___/20__
Staff Council <input type="checkbox"/> NA	_____	_____ / _____	___/___/20__
Administrative Council <input type="checkbox"/> NA	_____	_____ / _____	___/___/20__
Faculty Senate <input type="checkbox"/> NA	_____	_____ / _____	___/___/20__
Faculty Union <input type="checkbox"/> NA	_____	_____ / _____	___/___/20__

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11. **Administration Approvals** (as applicable)

<u>Dr. Anita Borja Enriquez</u> , SVP&P		<input checked="" type="checkbox"/> Approved <input type="checkbox"/> Disapproved	<u>1/13/2021</u>
_____, VPAF/CBO	_____	<input type="checkbox"/> Approved <input type="checkbox"/> Disapproved	___/___/20__
<u>Dr. Thomas W. Krise</u> , UOG President		<input checked="" type="checkbox"/> Approved <input type="checkbox"/> Disapproved	<u>1/15/2021</u>
<u>Leslie Leon Guerrero</u> , Chair, BOR Comm	<u>See Comm Minutes</u>	<input type="checkbox"/> Approved <input type="checkbox"/> Disapproved	___/___/20__
<u>Jerold Filush</u> , Chair, Board of Regents	<u>See BOR Minutes</u>	<input type="checkbox"/> Approved <input type="checkbox"/> Disapproved	___/___/20__



## 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.

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### Nominee Information

Name of Nominee: Dr. Kim Skoog

Title (at Retirement): Professor of Philosophy Unit: Humanities

Faculty Start date: 08/20/1990 Date of Retirement: 08/21/2017

Mailing Address: P O Box 5032 UOG Station, Mangilao, Guam 96923

Email address: [skoogman@gmail.com](mailto:skoogman@gmail.com) Contact Number(s): 425-242-0198

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### Emergency Contact or Next of Kin Information

Name: Andrea Skoog

Mailing Address: 13516 95<sup>th</sup> Ave NE, Kirkland, WA 98034

Email address: [askoogy@hotmail.com](mailto:askoogy@hotmail.com) Contact Number(s): 425-242-0198

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### 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: Dr. William Jeffery, Associate Professor of Archaeology and Micronesian Studies

Relationship to the Nominee: Colleague

Email address: [jefferyw@triton.uog.edu](mailto:jefferyw@triton.uog.edu) Contact Number(s): 671-483-1630; 671-735-2809

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### **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

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### **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.

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## Nomination Letter

01/04/2021

TO: Dean James Sellmann, CLASS

FROM: William Jeffery, Associate Professor, Humanities

RE: Professor Emeritus(a) Nomination for Dr. Kim Skoog

When I arrived at the University of Guam (UOG), Dr. Kim Skoog was chair of our division and remained so for the time we shared in the Humanities Division. The following remarks in this nomination letter have been prepared to explain how he distinguished himself in satisfying the criteria for Emeritus Professor over the twenty-seven years he taught at the University of Guam.

Dr. Skoog began his employment in the fall of 1990, the philosophy program had a minor with no students, all classes except Introduction to Philosophy were cancelled (due to non-enrollment); it was a service program with a single faculty member teaching four or more sections of Introduction to Philosophy to meet the philosophy general education requirement. Within three years, Dr. Skoog (and a second newly-hired philosophy faculty) had totally revised and updated the philosophy program to contemporary standards and created a philosophy major. By the time he retired, the philosophy program had fifteen majors (respectable for a UOG humanities program) and completed WASC paperwork to add a complete online philosophy major—it would have been the first UOG undergraduate program to offer an online B.A.

Dr. Skoog expanded the philosophy program to include both an Ethics and Asia-Pacific curriculum path within the major; the philosophy program also serviced other programs i.e., Micronesian Studies (Micronesia Religion), Nursing (Death and Dying), Biology (Biomedical ethics), Environmental Studies (Environmental Ethics), History (History of Western Philosophy I & II), Japanese Language (Japanese Philosophy). Many of these courses were *required* courses for majors in these programs. Kim created and taught (12 times) a travel studies course enrolled by UOG students and interested community members. Locations included India, Thailand, Cambodia, Myanmar, Sri Lanka, Nepal, China, Tibet, and Mongolia.

Within the first five years of his hire, Dr. Skoog received a college-wide teaching award, echoing his recognition of excellence in teaching award at his previous position at Frostburg State. In addition to his college teaching award, Dr. Skoog also received college awards in both service and assessment. Besides serving as Chair of the Humanities Division for nearly a third of the years he taught at UOG, he served on numerous college and university wide committees, e.g., promotion & tenure, salary committee, tech committee, countless search committees, CLASS academic affairs committee, and chaired the distant education committee for three years. He secured funding for bringing out renown American-Japanese artist, Roger Shimamura, as well as two professors from Clemson University, and set up a large UOG public presentation by these three professors as well as assorted presentations and public gatherings throughout Guam. Kim gave public lectures himself both on-campus and in the community several times yearly for the whole time he was employed by UOG. He frequently gave guest lectures in classes in many different divisions yearly. His presentation on assessment through the use of a

critical thinking test within the philosophy program (during faculty development day) led to a university wide use of this assessment instrument.

In addition to giving frequent public talks both off and on campus on Guam, he presented research papers several times a year off-island in the US, Asia, and Europe—and continues to do so even after retiring from UOG in 2017. In reference to Kim's CV, I count 60 different papers presented, some papers presented multiple times at different conferences. Recently he was scheduled to give several new papers, but conferences were cancelled due to the COVID-19 pandemic. Further, he has had 22 articles published in refereed journals and books. Over the last half of his career at UOG, his academic recognition rose dramatically, as he became one of the top US scholars in the field of Jain Studies (one of the three principal traditions in India, others being Hinduism and Buddhism). He was selected to give a paper at Harvard University dealing with religions and ecology. As a follow-up, he was invited to serve on a panel at the UN in New York, representing Jainism and Ecology. Further, he served as guest editor for a special issue of *Philosophy East and West*, a premiere journal in the field of Asian and Comparative Philosophy. For a number of years, he was invited to serve on key panels dealing with Jainism at academic conferences in all parts of the world, and a number of panel papers were incorporated into books.

I would like to conclude by giving my unreserved endorsement of Dr. Skoog's bid to the awarded Emeritus status. He has excelled in all three areas of academic endeavor and left his mark indubitably on the UOG philosophy program, within the Division of Humanities, and in the effort to make both critical thinking and cultural sensitivity a central part of the UOG curriculum.

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**Dean/Director Recommendation**

Nominee's Name: \_\_\_\_\_ Dr. Kim Skoog, Professor of Philosophy \_\_\_\_\_

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

James D. Sellmann

James D. Sellmann  
Dean

01/12/21  
Date

Comments:

I recommend approval of Dr Skoog's application for Professor Emeritus. As the recommendation notes in detail, he served the University well in all three endeavors.



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**Senior Vice President for Academic and Student Affairs (SVP-ASA) Recommendation**

Nominee's Name: \_\_\_\_\_ Dr. Kim Skoog, Professor of Philosophy \_\_\_\_\_

**The President of SEPRS was notified of this application.** Date: 1/12/2021

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 Berja Enriquez  
SVP & PROVOST ASA

1/12/2021  
Date

Comments:

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**President's Recommendation to the Board of Regents**


Nominee's Name: \_\_\_\_\_ Dr. Kim Skoog, Professor of Philosophy \_\_\_\_\_

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

  
\_\_\_\_\_  
President

1/ 15/ 21/  
Date

Comments:

**Kim Skoog**

**CURRICULUM VITAE (Jan. 2021)**

**CURRENT ADDRESS:**

Dr. Kim Skoog  
13516 95<sup>th</sup> Ave NE  
Kirkland, WA 98034  
(425) 242-0198  
Email: [skoogman@gmail.com](mailto:skoogman@gmail.com)

**EDUCATION:**

University of Hawaii, Ph.D. 1986, Comparative Philosophy  
University of Washington, MA 1977, Philosophy  
University of Minnesota, BA 1974, Religion Studies/Philosophy (Dual Major)

**AREAS OF SPECIALIZATION:**

Indian (Jaina, Hindu, Buddhist) Comparative Philosophy and Religion, Ethics  
(Theoretical and Applied), Philosophy of Death, Philosophy of Religion

**AREAS OF COMPETENCE:**

History of Philosophy and Religion, Chinese and Japanese Philosophy/Religion,  
Religions of the Pacific Islands, Aesthetics, Logic and Critical Thinking

**TEACHING EXPERIENCE:**

Professor, University of Guam, Mangilao, Guam 2004-2017  
Associate Professor, University of Guam, Mangilao, Guam 1993-2003  
Assistant Professor, University of Guam, Mangilao, Guam 1990-1993  
Adjunct Professor, University of Maryland University College, Guam 1990-2017  
Assistant Professor, Frostburg State University, Frostburg, Maryland, 1988-1990  
Adjunct Professor (Full Load), College of DuPage, Glen Ellyn, Illinois, 1987-1988

**PAPER PRESENTATIONS:**

Is the *jivanmukti* state possible? The perspective of Ramanuja,” read at the American Academy of Religion (AAR) Annual Meeting, (November, 1989).

“Authority and Freedom: A Relation of Polarity,” read at the Fall 1989 meeting of the West Virginia Philosophical Society as well as the AAR Midwest Regional Annual Meeting, located in Western Michigan University, March 31-April 1, 1990.

“Mystical Experience: Some Epistemological Considerations,” read as the keynote paper at the Spring meeting of the West Virginia Philosophical Society (March, 1990).

Samkara's account of empirical knowledge in light of contemporary epistemological theory," read at the Second International Congress of Vedanta, held April 5-8, 1990 at Miami University of Ohio.

"Schools who oppose the *jivanmukti state*," read at the Indian Philosophical Congress, December 28-30, 1990 in Madras, India. This paper was also presented at the Radhakrishnan Centre for the Advanced Study of Philosophy at the University of Madras.

"Liberation, Death, and the Afterlife: A Comparative Study of Vedanta Schools," read at the Fourth International Congress of Vedanta that was held at Miami University, Oxford, Ohio, April 1-5, 1992. A similar version of this paper was read at the West Virginia Philosophical Society Spring meeting, which was held on the campus of the University of West Virginia on March 22-23, 1992

"Workshop: Ways to Encourage Critical Thinking in The Medical Ethics Classes" conducted by Domina "Nina" Callaghan (UOG School of Nursing and Allied Health) and myself at the 13<sup>th</sup> Annual Conference on Critical Thinking, held August 1-4, 1993 on the campus of Sonoma State University, Sonoma, California.

"A Cross-Cultural Study of the Interplay between Reason, Revelation, and Realization" presented at the 13<sup>th</sup> Annual Conference on Critical Thinking, held August 1-4, 1993 on the campus of Sonoma State University, Sonoma, California.

"A Reassessment of Sri Aurobindo's Epistemological Thought: Toward a Holistic Model of Knowledge," presented at the Fifth International Congress of Vedanta, held on August 10-14, 1994 on the campus of Miami University.

"Toward a Holistic Model of Knowledge: Understanding the Interplay between Reason, Revelation, and Realization," presented at the 14<sup>th</sup> International Conference on Critical Thinking and Education Reform on July 31<sup>st</sup> to August 3<sup>rd</sup>, on the campus of Sonoma State University. An alternative version of this paper was also presented at the Sixth International Conference on Thinking held at the Massachusetts Institute of Technology (MIT) on July 17<sup>th</sup>-22<sup>nd</sup>, 1994.

"*Sallekhana*, Hari Kari, and Suicide," was presented at the Eighth International Congress of Vedanta, held on October 31<sup>st</sup> to November 3<sup>rd</sup>, 1996 on the campus of Miami University, Oxford, Ohio. A later version of this paper was presented at the CAS Conference, March, 1997.

"The Morality of Suicide: A Comparative Study," was presented at the Ninth International Congress of Vedanta, held in Rishikesh, India, July 23-27, 1997.

"*Ahimsa* as the Categorical Imperative: A Jaina Response to Kant," was presented at the East-West Philosophers Conference in Honolulu, Hawaii, January 7-12, 1998.

"*Ahimsa* and Environmental Concern" was presented at the Jainism and Ecology Conference held at Harvard University, July 8-12, 1998.

“Teaching Ethics in a Multicultural Environment” at the Philosophical Issues in Ethics Across the Curriculum meeting at Rochester Institute of Technology, October 14-17, 1999.

“Creative Thinking as a Foundation for Ethical Decision Making Within Different Cultural Perspectives,” was presented at the Fourth International Conference on Creative Thinking, held in Malta on July 24-25, 2000.

“Doing the Right Thing: Do Culture and Religion Play a Role in Ethical Decision Making?” Micronesia Studies Seminar Series, March 23, 2001.

“Ahimsa as a guide to human sexuality: A comparative analysis,” was presented at the International Seminar on Mahavira and Ahimsa in the 21<sup>st</sup> Century, in New Delhi, India on April 10-12, 2001.

“The Jaina Response to Terrorism,” presented at the Jaina conference entitled, The Lessons of Ahimsa and Anekanta for Contemporary Life, held at California State Polytechnic University, Pomona, California on January 19-20, 2002.

“The Centrality of Coherence in Ethics,” presented at the International Conference on Ethics Across the Curriculum: Cases and Codes, held at the University of Florida, Gainesville, Florida on January 31-February 3, 2002.

“A Moral Roadmap of the Cyber Highway’s Sexual Landscape,” presented at the International Conference on Ethics Across the Curriculum, held at Clemson University, Greenville, South Carolina, October 24-27, 2002.

“A Jaina Response to Terrorism: A Matter of Optimum Violence” presented at the Society for Asian and Comparative Philosophy Conference entitled, “Comparative Philosophy in Times of Terror,” held on Asilomar Conference Grounds, Pacific Grove, California, May 27-30, 2003.

“Moral Gradations of Suicide” was presented at the NEH Summer Seminar on Ethics at the End of Life, held at the University of Utah, June 30—August 1, 2003. While attending the five week seminar I made a PowerPoint presentation of this paper,

“Classroom Use of the “PINCUP” Methodology for Complete Ethical Analysis,” presented at the 5<sup>th</sup> International Conference on Ethics Across the Curriculum, St. Edwards University, Austin, Texas, October 23-26, 2003.

“Of Maniacs and Martyrs: A Pilgrim’s Annotated Guide to Paths Leading to World Tranquility and Ecological Wholeness,” given at International Conference on World Peace, held at Gujarat University, (India) December 29, 2003 to January 2<sup>nd</sup>, 2004.

“Six Models of Consciousness: a comparative and interdisciplinary study,” presented at the Indian Interdisciplinary Philosophy and Religion Conference entitled, “Language, Consciousness, and Culture: East West Perspective,” in Calcutta, India, January 3-6, 2004.

“Discussing differences in practices of self-death (suicide): A New Typology of Moral Gradations of Suicide,” given at the 6<sup>th</sup> International Conference on Ethics Across the Curriculum at Oregon State University, October 14-16, 2004.

“Moral Gradations of Suicide: A moral analysis of acts of self-death in East Asia traditions” presented at the Pacific American Philosophical Association meeting held in San Francisco, California, March 24-27, 2005.

“Can salvation be had without compromising justice? Sorting out the relation between justice, grace, asceticism, ritual, and punishment” presented at the Society for Asian and Comparative Philosophy Conference entitled, *“Self-Other Relations: Immanent-Transcendent?”* held at the Asilomar Conference Grounds, Pacific Grove, California, October 20-23, 2005. A variant of this same paper was presented at the Sixteenth International Congress of Vedanta, Orlando, Florida, October 13-16, 2005.

“Beyond the Artistic Product Paradigm: Liberation of Art in the 21<sup>st</sup> Century,” presented at the 7<sup>th</sup> Annual International Conference for the Society for Ethics Across the Curriculum held at the Ringing School of Art and Design, Sarasota, Florida, November 17-19, 2005.

“Cyber Ethics in the 21<sup>st</sup> Century: Beyond the Creative ‘Product’ Paradigm,” given at the 10<sup>th</sup> World Multi-Conference on Systemics, Cybernetics, and Informatics, held July 16-19, 2006 in Orlando, Florida.

“A Pilgrim’s Guide to Stem Cell Research: Sorting out the Religious Rhetoric over the Use of Embryonic Stem Cells for Therapeutic Applications,” 8<sup>th</sup> International Conference on Ethics Across the Curriculum at Dartmouth College, Hanover, New Hampshire, November 17-18, 2006.

“The Torture Question: Ethical Justification and Parameters of Torture,” 8<sup>th</sup> International Conference on Ethics Across the Curriculum at Dartmouth College, Hanover, New Hampshire, November 17-18, 2006.

“How to Avoid Paying for One’s Sins Without Bankrupting the Amasser of Justice,” presented at Eight-First Annual Meeting of the American Philosophical Association Pacific Meeting held at the Westin S. Francis Hotel, San Francisco, California, April 3-8, 2007.

“Karma: Is it truly the means of ‘justice for all?’” read at the Seventeenth International Congress of Vedanta, held September 20-23<sup>rd</sup>, 2007 on the campus of Miami University, Oxford, Ohio.

“The Lytico-Bodig Research Project on the Chamorros of Guam: A Case Study on the Ethics of Genetic-Research on Indigenous Populations,” presented at the 9<sup>th</sup> International Conference on Ethics Across the Curriculum at Milltown Institute, National University of Ireland, Dublin, Ireland, November 15-17, 2007.

“Varying views on the nature of the self: the gradual and immediate models and their social implications on family and social customs throughout the world,” to be given at the

10th International Conference on Ethics Across the Curriculum, Towson University, Towson, Maryland on November 14-16, 2008.

“Ecology and Culture” presented at the CLASS Conference 2009, Mangilao, Guam on March 10, 2009.

“Plotting a course of civility in the growing global economic crisis: where lies our obligations in helping the poor vs. ourselves?” presented at the 11<sup>th</sup> International Conference on Ethics Across the Curriculum at Rochester Institute of Technology (RIT), Rochester, New York, November 4-7, 2009.

“Jaina views on environmental responsibility” read at the Society for Asian and Comparative Philosophy Conference Annual Meeting 2010 held in Asilomar, California, June 12-15, 2010.

“The efficacy and morality of using race, ethnicity, and genes in biomedical research and epidemiology,” presented at the 12th International Conference on Ethics Across the Curriculum, Union College, Schenectady, New York, October 7-9, 2010.

“Capitalism without Capitalists: An Examination of Alternative Economic Practices that work within a laissez-faire, free market economic and political system” given at the 10<sup>th</sup> East West Philosophers Conference, University of Hawaii at Manoa, Honolulu, Hawaii, May 16-24, 2011.

\*“Plotting a course of civility in the growing global economic crisis: where lies our obligations in helping the poor vs. ourselves?” given at the Society for Asian and Comparative Philosophy Annual Conference 2011, Honolulu, Hawaii, May 25-28, 2011.

“Regulating Hate Speech: An Analysis of the Effects of Words on Others” presented at the 13<sup>th</sup> International Conference on Ethics Across the Curriculum held in St. Louis, Missouri, November 3-5, 2011.

“The Ethics of Intrusion: From Tibet to the Amazon, the art of mindfulness when encountering peoples of differing cultures” presented at the 14<sup>th</sup> International Conference on Ethics Across the Curriculum held in Grand Rapids, Michigan, October 4-6, 2012.

“Martyrdom: A comparative and critical study of self-inflicted-death” given at the American Philosophical Association Pacific Meeting, March 18-22, 2013.

“Assessing Martyrdom: A comparative and critical study of self-inflicted-death,” presented at the 15<sup>th</sup> International Conference on Ethics Across the Curriculum held at Corvallis, Oregon, October 3-5, 2013.

“The Jaina doctrine of multi-perspectivism: A means to sustain the simultaneity of universality and particularity” presented at the Society for Asian and Comparative Philosophy 49th Annual Conference, June 19-22, 2014, SUNY Binghamton, New York.

“The Jain Perspective on World Peace,” at The World Alliance for Religions: Peace Summit 2014 in Seoul, South Korea on September 17-18, 2014.

“Jaina Views on Environmental Responsibility” given at the Anuvrat International Conference, New Delhi, India, September 26-28, 2014.

“Censorship of Pornography: Is the Battle Over?” read at the 16<sup>th</sup> International Conference on Ethics across the Curriculum, Scottsdale, Arizona, October 2-4, 2014.

“Is Philosophical Pluralism the Future of Comparative Philosophy?” presented at the 47<sup>th</sup> Annual Conference for the Society for Asian and Comparative Philosophy held in Monterey, California, October 1-4, 2015.

“The Jaina doctrine of multi-perspectivism: a means to alleviate dilemmas and dichotomies,” keynote presentation Jain Vishva Bharati University, September 12, 2015.

“The Role of Religions in Environmental Sustainability” was given at the 17<sup>th</sup> International Conference on Ethics across the Curriculum sponsored by Clemson University Greenville, South Carolina, October 8-10, 2015.

“Is Morality Tied to Place or Self? Revisitation of an Old Problem with a comparative Approach,” presented May 27<sup>th</sup> in the Imin Conference Center at the 11<sup>th</sup> East-West Philosopher’s Conference, Honolulu, Hawaii, May 24-31, 2016.

“The many shades of non-maleficence and their applications in ethical judgements,” presented at the 48<sup>th</sup> Annual Conference for the Society for Asian and Comparative Philosophy held in Honolulu, Hawaii, June 2-4, 2016.

“Jaina Views on Environmental Responsibility,” was given at the International Conference on Science and Jain Philosophy held at the Indian Institute of Technology, Mumbai, India, January 8-10, 2016.

“The many shades of non-maleficence and their applications in seeking social justice in medicine,” delivered at the 18<sup>th</sup> International Conference on Ethics across the Curriculum sponsored by Utah Valley State University, Salt Lake City, Utah, October 12-14, 2016.

“Karma Creations: The role of karmas in creativity within life,” to be presented at the Society for Asian and Comparative Philosophy, 50th Annual Conference, June 8-11th, 2018 held at Pedagogical University of Cracow, Krakow, Poland.

“The Ethics of Intrusion: A Possible Justification for Wall Building?” to be presented at “The 12th East-West Philosophers’ Conference” originally scheduled for May 2020, then May 2021, but now rescheduled for May 20-27, 2022 due to the Corona virus pandemic.



“World Religions and Environmental Responsibility” accepted to be given at the 21<sup>st</sup> Annual Conference on Ethics Across the Curriculum scheduled to take place October 10-12, 2020 at the Colorado School of Mines but was postponed due to Corona pandemic.

## **PUBLICATIONS:**

“Samkara on the role of *sruti* and *anubhava* in attaining *brahmajnana*,” *Philosophy East and West*, 39, 1 (1989).

Book review of *The Silence of the Mystics*, by Leonard Angel. Toronto: Canadian Association for Publishing in Philosophy, 1983, in *Philosophy East and West*, 37, no.3 (1987): 334-336.

“A Primer on Ethical Concepts and Terms” in *Philosophical Guidelines* edited by Ernest Hankamer, distributed to University of Maryland philosophy faculty teaching in their overseas program, worldwide. (Yakoda, Japan: 1992, pages 71-80).

“On the correlative relationship between authority and freedom” in the *Proceedings of the 12<sup>th</sup> Annual Congress of the Society for Asian Studies*, (Hong Kong: Asian Studies Press, 1994).

“*The Conference of the Birds*” published in *Great Literature of the Eastern World*, edited by Ian P. McGreal, 1995.

*Estoria Si Rai: Once Upon A Time. Stories from Micronesia.* Bound and distributed within the Guam Department of Education, (1996-97).

*A Micronesian Folklore InfoBase.* Distributed as an electronic publication on CD-ROM and Floppy Disk (1998-1999).

“Is the *Jivanmukti* State Possible? The Perspective of Ramanuja,” Chapter 2 in *Liberation in Hindu Thought* edited by Andrew Fort and Patricia Mumme. New York: State University of New York Press, 1996.

“The Philosophy of Jainism” introductory essay in special edition of *Philosophy East and West* (served as guest editor of the volume), 40 no. 3 (2000).

“The Morality of *Sallekhana*: The Jaina Practice of Fasting to Death,” in *Jainism and Early Buddhism: Essays in Honor of Padmanabh S. Jaini*, Part 1, edited by Olle Qvarnström, Fremont, Ca: Asian Humanities Press, 2003, pp. 293-305.

“Jaina Views on Love and Sexuality” in *Jain Studies*, published by Bhogilal Leherchand Institute of Indology, (Calcutta, 2003)

“Jainism and Terrorism,” in *Jain Spirit*, Issue 15, June-August 2003.

“Case Study: US Nuclear Testing on the Marshall Islands: 1946 to 1958” published in *Teaching Ethics*, vol. 3, no. 2 (2003).

“The Jaina Response to Terrorism,” in *Ahimsa, Anekanta and Jainism*, edited by Tara Sethia, Vol. XXI in the *Lala S.L. Jain Research Series*, Delhi: Motilal Banarsidass, 2004.

“Jainism and Sexuality” in *Sex From Plato to Paglia: A Philosophical Encyclopedia*, edited by Alan Soble, Vol. 1, A-L, Westport: Connecticut: Greenwood Press, 2006.

“Cyber Ethics in the 21<sup>st</sup> Century: Beyond the Creative “Product” Paradigm,” in Volume IV of the *Proceedings of the International Institute of Informatics and Systemics*, 2006.

“Grace” in the *Encyclopedia of Love in World Religions*, edited by Yudit Kornberg Greenberg, Oxford University Press, forthcoming 2007.

“Jainism and Love” in the *Encyclopedia of Love in World Religions*, edited by Yudit Kornberg Greenberg, Oxford University Press, forthcoming 2007.

“Jainism and Violence” in *Religion and Violence: An Encyclopedia of Faith and Conflict from Antiquity to the Present*, edited by Jeffery Ross, published by M.E. Sharpe, 2010.

“Transcendental Meditation and Violence,” in *Religion and Violence: An Encyclopedia of Faith and Conflict from Antiquity to the Present*, edited by Jeffery Ross, published by M.E. Sharpe, 2010.

“Travel Studies in Asia: Tales of Danger and Adventure,” in *Pacific Asian Inquiry*, Vol.1 No.1, 2010.

“The Ethics of Genetic Research on Indigenous Populations” in *Ethics in Biology, Engineering, and Medicine*, Vol.4 No.4, 2013.

*The Ethics of Suicide: Historical Sources*, editor, Margaret Pabst Battin, I served as *consulting editor* in the areas of Oceania, Indian Philosophy, Jainism. New York: Oxford University Press, 2015.

“Jaina Views on Environmental Responsibility” in *Scientific Aspects of Jain Philosophy*, published by Jain Vishva Bharati University Press, 2017.

## **GRANTS**

UOG Research Council Grant (\$2500) 1993

Guam Humanities Council (\$5000) 1995

Guam Council for Arts and Humanities (\$7000) 1996

UOG Research Council Project and Travel Grant (\$4500) 1996

Jaina Academic Foundation of North America (\$5000) 1996

Guam Humanities Council (\$5000) 1997

Guam Humanities Council (\$2500) 2002

Guam Council for Arts and the Humanities (\$3000) 2006

Continental Airlines, Marriot Hotels, Nissan Rent-a-car, Japan Club Grant (\$10,500)  
2007

## **LANGUAGES**

Sanskrit  
Greek

German (limited)  
Spanish (limited)

## **MEMBERSHIPS**

American Philosophical Association  
American Academy of Religion  
Society for Asian and Comparative Philosophy  
Society for Ethics Across the Curriculum



**UNIVERSITY OF GUAM  
UNIBETSEDĀT GUĀHAN  
Board of Regents**

**Resolution No. 21-03**

**RELATIVE TO ADJUSTING THE CAPITAL PROJECTS MANAGER SALARY RANGE IN ORDER  
TO REMAIN COMPETITIVE WITHIN INDUSTRY AND CORRECTING ALIGNMENT FOR THE  
ASSOCIATE BUDGET AND ADMINISTRATIVE PROCESS OFFICER**

**WHEREAS**, the University of Guam 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 Board of Regents (BOR) retains authority over Academic Personnel of the University including establishing personnel rules and regulations guiding selection, employment, salary and other compensation;

**WHEREAS**, the Board has adopted the 2008-2009 College and University Professional Association for Human Resources (CUPA-HR) administrative compensation surveys as its benchmark for best practice in establishing academic administrator positions;

**WHEREAS**, the Capital Projects Manager (CPM) position requires either a professional engineering certification or a Registered Architect license and the existing salary range has not been sufficient to attract the qualified candidates that we seek;

**WHEREAS**, the University also desires to correct an error related to the CUPA-HR position tied to the Associate Budget and Administrative Process Officer (ABAPO) position;

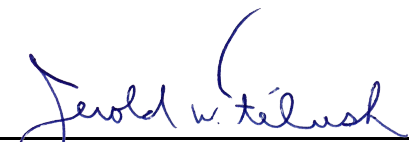
**WHEREAS**, the University now desires to make these two changes to the Administrator Salary Scale; and

**WHEREAS**, the President, together with the Academic, Personnel and Tenure committee and the Budget, Finance and Audit committee, recommend that the BOR approve the salary update for the CPM and ABAPO positions.


**NOW, THEREFORE, BE IT RESOLVED**, that the BOR approves the salary range updates for the CPM and ABAPO positions; and

**BE IT FURTHER RESOLVED**, the President and the BOR will meet annually to review the increase in non-appropriated revenue to determine if revenue increases from revenue diversification activities has been sufficient to allow for the continued implementation of the salary scale.

Adopted this 18<sup>th</sup> day of February, 2021.

  
\_\_\_\_\_  
Jerold W. Filush, Chairperson


**ATTESTED:**

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

**MEMORANDUM**

TO: PRESIDENT 

APPROVED/~~DISAPPROVED~~ For BOR Review

FROM: VPAF 

DATE: JANUARY 20, 2021

RE: CHANGES TO ADMINISTRATOR SALARY SCALE

As you are aware, the University created the position of Capital Projects Manager (CPM) to have a position focused specifically on large construction projects at the University and no longer have this as an additional duty of the FMS Director. At the June position review and the recently held UPBAC meeting although some positions were given up, we argued that this was a critical positions with the construction of the Cultural Repository ongoing, the Nursing extension and the WERI building having approval imminent, and the Student Success Center and Engineering Annex following close behind that. We have argued that with the management of contractors and construction managers, it is critical that we have a certified and experienced Engineer or Architect to oversee this construction.

The position has now been open for more than a year and we haven't received any qualified applicants. The range of the position is from 65,317 to \$97,975 per annum. I am requesting that we modify the salary scale for the position to a range from \$79,192 to \$118,788. The job market for this type of position seems very tight right now, but we believe this change is a necessary step towards recruiting for this position.

While making this change, I thought I should incorporate another change to the salary scale. While I was reviewing the salary scale for the CPM position, I noticed something that was somewhat of an anomaly. The position of ABAPO (Associate Budget and Processing Officer) is tied to a CUPA scale position of Associate Budget Director. When the 2009 CUPA Scale was adopted a few years ago, we tried to ensure the accuracy of the positions they were tied to on the CUPA scale. It appears this one was missed. Seven or eight years ago, the ABAPO position fell under the Comptroller. The Comptroller was ultimately responsible for budget presentations and budget submissions. The University then changed the reporting of the ABAPO position to be a direct report to the VPAF. Since that time, the ABAPO has been responsible for all aspects of the budget development, maintenance, management, and presentation. The ABAPO function has transformed into a position that it now equivalent to

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**OFFICE OF THE VICE PRESIDENT**  
*Administration and Finance*

the position of Budget Director or Chief Budget Officer. The University uses I view it as a mostly housekeeping change to correct this situation. The position may require a more thorough review in the future as part of the ABAPO responsibility relates to system processes such as credit card SOP's and other transaction flow issues which are not included in the CUPA position.

I would like to take the attached revision to the Administrator Salary Scale to the Board of Regents for approval at the next meeting.

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Administrator's Salary Scale - AMENDED February XX, 2021  
 Approved by Board of Regents Resolution No. 21-XX

POSITION TITLE		Quartile 1 80%-90% Range		Quartile 2 90%-100% Range		Quartile 3 100%-110% Range		Quartile 4 110%-120% Range								
<b>Office of the President</b>																
President		Salary Negotiated														
General Counsel #1036	\$	122,400	\$	137,700	\$	137,700	\$	153,000	\$	153,000	\$	168,300	\$	168,300	\$	183,600
Chief Marketing and Communications Officer	\$	86,544	\$	97,362	\$	97,362	\$	108,180	\$	108,180	\$	118,998	\$	118,998	\$	129,816
Auxiliary Services Director #3050	\$	58,464	\$	65,772	\$	65,772	\$	73,080	\$	73,080	\$	80,388	\$	80,388	\$	87,696
Chief of Staff and Board Liaison	\$	90,464	\$	101,772	\$	101,772	\$	113,080	\$	113,080	\$	124,388	\$	124,388	\$	135,696
Chief Planning Officer #1033	\$	90,116	\$	101,381	\$	101,381	\$	112,645	\$	112,645	\$	123,910	\$	123,910	\$	135,174
International Program Development (Coordinator, Director) #2008	\$	60,630	\$	68,208	\$	68,208	\$	75,787	\$	75,787	\$	83,366	\$	83,366	\$	90,944
Web Master #5015	\$	57,926	\$	65,167	\$	65,167	\$	72,408	\$	72,408	\$	79,649	\$	79,649	\$	86,890
Director, Development, Alumni Affairs, and Foundation Relations #8006	\$	61,248	\$	68,904	\$	68,904	\$	76,560	\$	76,560	\$	84,216	\$	84,216	\$	91,872
Director, Global Learning and Engagement #1208	\$	91,694	\$	103,156	\$	103,156	\$	114,618	\$	114,618	\$	126,080	\$	126,080	\$	137,542
Assoc Dir, PIP Prof'l Dev and Lifelong Learning Center #2010	\$	65,209	\$	73,360	\$	73,360	\$	81,511	\$	81,511	\$	89,662	\$	89,662	\$	97,813
Director, University Events Office (UEO) (#8030+#8054)/2	\$	59,573	\$	67,019	\$	67,019	\$	74,466	\$	74,466	\$	81,913	\$	81,913	\$	89,359
<b>Office of Academic and Student Affairs</b>																
Senior Vice President and Provost		Salary Negotiated														
Vice Provost for Academic Excellence, Graduate Studies, and Online Learning #2002	\$	98,941	\$	111,308	\$	111,308	\$	123,676	\$	123,676	\$	136,044	\$	136,044	\$	148,411
Vice Provost for Institutional Effectiveness #2002	\$	98,941	\$	111,308	\$	111,308	\$	123,676	\$	123,676	\$	136,044	\$	136,044	\$	148,411
Vice Provost for Research & Sponsored Programs	\$	109,769	\$	123,490	\$	123,490	\$	137,211	\$	137,211	\$	150,932	\$	150,932	\$	164,653
Director, Contracts and Grants #3005	\$	64,000	\$	72,000	\$	72,000	\$	80,000	\$	80,000	\$	88,000	\$	88,000	\$	96,000
Dean, School of Engineering #1213	\$	124,794	\$	140,394	\$	140,394	\$	155,993	\$	155,993	\$	171,592	\$	171,592	\$	187,192
Dean, College of Liberal Arts and Social Sciences #1204	\$	109,102	\$	122,739	\$	122,739	\$	136,377	\$	136,377	\$	150,015	\$	150,015	\$	163,652
Associate Dean, CLASS #1404	\$	82,763	\$	93,109	\$	93,109	\$	103,454	\$	103,454	\$	113,799	\$	113,799	\$	124,145
Dean, University Libraries #1226	\$	104,190	\$	117,213	\$	117,213	\$	130,237	\$	130,237	\$	143,261	\$	143,261	\$	156,284
Director, RFTI Micronesia Area Research Center (MARC) #1409	\$	107,744	\$	121,212	\$	121,212	\$	134,680	\$	134,680	\$	148,148	\$	148,148	\$	161,616
Dean, College of Natural and Applied Sciences (#1201+1236)/2	\$	132,106	\$	148,619	\$	148,619	\$	165,132	\$	165,132	\$	181,645	\$	181,645	\$	198,158
Associate Dean, CNAS #1409	\$	107,744	\$	121,212	\$	121,212	\$	134,680	\$	134,680	\$	148,148	\$	148,148	\$	161,616
Associate Director, Western Pacific Tropical Research Center #1409	\$	107,744	\$	121,212	\$	121,212	\$	134,680	\$	134,680	\$	148,148	\$	148,148	\$	161,616
Associate Director, Cooperative Extension Service #1409	\$	107,744	\$	121,212	\$	121,212	\$	134,680	\$	134,680	\$	148,148	\$	148,148	\$	161,616
Dean, School of Education #1212	\$	108,669	\$	122,252	\$	122,252	\$	135,836	\$	135,836	\$	149,420	\$	149,420	\$	163,003
Dean, School of Business and Public Administration #1206	\$	119,727	\$	134,693	\$	134,693	\$	149,659	\$	149,659	\$	164,625	\$	164,625	\$	179,591
Dean, School of Health #1230	\$	115,244	\$	129,650	\$	129,650	\$	144,055	\$	144,055	\$	158,461	\$	158,461	\$	172,866
Dean, Enrollment Management and Student Success #1043	\$	100,000	\$	112,500	\$	112,500	\$	125,000	\$	125,000	\$	137,500	\$	137,500	\$	150,000
Associate Dean, EMSS and Registrar (#1044+1045)/2	\$	75,767	\$	85,238	\$	85,238	\$	94,709	\$	94,709	\$	104,180	\$	104,180	\$	113,651
Athletics and Field House Director #6001	\$	62,351	\$	70,145	\$	70,145	\$	77,939	\$	77,939	\$	85,733	\$	85,733	\$	93,527
Director, Financial Aid and Triton One Stop #2082	\$	61,346	\$	69,014	\$	69,014	\$	76,682	\$	76,682	\$	84,350	\$	84,350	\$	92,018
Director, Residence Halls #7076	\$	57,418	\$	64,595	\$	64,595	\$	71,772	\$	71,772	\$	78,949	\$	78,949	\$	86,126
Director, Student Resource Center (One-Stop Center)																
Director, Student Services / Student Life #7026	\$	48,001	\$	54,001	\$	54,001	\$	60,001	\$	60,001	\$	66,001	\$	66,001	\$	72,001
Director, Summer School and Off-Campus Programs #7026	\$	48,001	\$	54,001	\$	54,001	\$	60,001	\$	60,001	\$	66,001	\$	66,001	\$	72,001
Director, Center for Excellence in Dev Disabilities, Education, Research, & Svc (CEDDERS) #1409	\$	107,744	\$	121,212	\$	121,212	\$	134,680	\$	134,680	\$	148,148	\$	148,148	\$	161,616
Director, Marine Laboratory #1205	\$	95,578	\$	107,525	\$	107,525	\$	119,472	\$	119,472	\$	131,419	\$	131,419	\$	143,366
Director, Water and Environmental Research Institute (WERI)																
<i>Based on RRPM Article IV, A.1.(c), date Feb 17, 2000</i>																
<b>Office of Administration and Finance</b>																
Vice President, Administration and Finance and Chief Business Officer		Salary Negotiated														
Chief Information Officer ( <i>benchmarked to 2013 for effective recruitment</i> ) #1038	\$	99,184	\$	111,582	\$	111,582	\$	123,980	\$	123,980	\$	136,378	\$	136,378	\$	148,776
Director, Computer Center/Technology Resources #5001	\$	84,410	\$	94,961	\$	94,961	\$	105,512	\$	105,512	\$	116,063	\$	116,063	\$	126,614
Sr. Manager, Infrastructure Services and Information Security #5004	\$	77,793	\$	87,517	\$	87,517	\$	97,241	\$	97,241	\$	106,965	\$	106,965	\$	116,689
Assoc. Dir., Telecommunication and Distance Education Opn (TADEO) #2012	\$	59,994	\$	67,494	\$	67,494	\$	74,993	\$	74,993	\$	82,492	\$	82,492	\$	89,992
Associate Budget and Administrative Process Officer #3026	\$	82,469	\$	92,777	\$	92,777	\$	103,086	\$	103,086	\$	113,395	\$	113,395	\$	123,703
Chief Human Resources Officer #1037	\$	83,200	\$	93,600	\$	93,600	\$	104,000	\$	104,000	\$	114,400	\$	114,400	\$	124,800
Director, EEO and Title IX/ADA Coordinator #4009	\$	72,015	\$	81,017	\$	81,017	\$	90,019	\$	90,019	\$	99,021	\$	99,021	\$	108,023
Comptroller #1040	\$	82,072	\$	92,331	\$	92,331	\$	102,590	\$	102,590	\$	112,849	\$	112,849	\$	123,108
Associate Comptroller / Bursar #3027	\$	60,011	\$	67,513	\$	67,513	\$	75,014	\$	75,014	\$	82,515	\$	82,515	\$	90,017
Director, Facilities Management and Services #1039	\$	83,360	\$	93,780	\$	93,780	\$	104,200	\$	104,200	\$	114,620	\$	114,620	\$	125,040
Capital Projects Manager #3103	\$	79,192	\$	89,091	\$	89,091	\$	98,990	\$	98,990	\$	108,889	\$	108,889	\$	118,788
Director, Campus Facilities	\$	50,984	\$	57,357	\$	57,357	\$	63,730	\$	63,730	\$	70,103	\$	70,103	\$	76,476
Director, Campus Construction Projects	\$	50,923	\$	57,289	\$	57,289	\$	63,654	\$	63,654	\$	70,019	\$	70,019	\$	76,385
Risk Officer #1050	\$	76,287	\$	85,823	\$	85,823	\$	95,359	\$	95,359	\$	104,895	\$	104,895	\$	114,431

\* Scale is managed by UOG Human Resources Office; last updated on 01/29/21



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

**Resolution No. 21-04**

**RELATIVE TO ADOPTING THE THIRD REVISED UNIVERSITY OF GUAM COVID-19  
RESPONSE DIFFERENTIAL PAY POLICY & PROCEDURES TO REDUCE THE  
SPREAD OF COVID-19**

**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**, on April 5, 2020, the Governor of Guam signed Executive Order 2020-08: Relative to Establishing COVID-19 Differential Pay and Executive Order 2020-09 Relative to Additional Social Isolation Measures;

**WHEREAS**, UOG drafted Policies and Procedures for differential pay and additional social isolation measures in response to COVID-19 based on the recent executive orders signed by the Governor of Guam;

**WHEREAS**, on April 23, 2020, the BOR passed Resolution Number 20-13, approving the First Revised UOG COVID-19 Response Differential Pay Policy & Procedures to Reduce the Spread of COVID-19;

**WHEREAS**, as a result of the Governor's veto of Bill 326-35 (COR) on April 27, 2020, the BOR passed Resolution Number 20-14, adopting the Second Revised UOG COVID-19 Response Differential Pay Policy & Procedures to Reduce the Spread of COVID-19 on May 14, 2020;

**WHEREAS**, in order to prepare UOG for the resumption of in-person instruction, additional revisions to the Second Revised UOG COVID-19 Response Differential Pay Policy & Procedures to Reduce the Spread of COVID-19 are necessary, and the President now seeks approval from the BOR to adopt the Third Revised UOG COVID-19 Response Differential Pay Policy & Procedures to Reduce the Spread of COVID-19 containing the aforementioned revisions; and

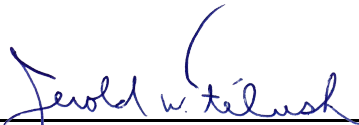
**WHEREAS**, the Third Revised UOG COVID-19 Response Differential Pay Policy & Procedures to Reduce the Spread of COVID-19 have been reviewed and endorsed by the Administrative Council, and reviewed by the BOR Committees on Academic, Personnel, and Tenure, and Budget, Finance, and Audit, and they recommend that the BOR approve the enclosed documents.




**NOW, THEREFORE, BE IT RESOLVED**, the BOR hereby adopts the enclosed Third Amended UOG COVID 19 Response Differential Pay Policy & Procedures to Reduce the Spread of COVID-19; and

**BE IT FURTHER RESOLVED**, that this resolution supersedes BOR Resolutions 20-13 and 20-14.

Adopted this 18<sup>th</sup> day of February, 2021

  
\_\_\_\_\_  
Jerold W. Filush, Chairperson

**ATTESTED:**

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

<b>Policy Name</b>	University of Guam COVID 19 Response Differential Pay Policy & Procedures to Reduce the Spread of COVID-19		
<b>Article No.</b>	II	<b>Article Title</b>	Policies of the UOG Board of Regents
<b>Approval Authority</b>	Board of Regents (BOR)	<b>Created/ Adopted/Effective</b>	<b>Most Recent Review</b>
<b>Responsible Executive</b>	Secretary of the Board of Regents	<b>Revision Tracking</b>	
<b>Responsible Office</b>	Office of the Secretary of the Board of Regents	<b>Policy/Procedure contact / website where document is maintained</b>	671.735.3000 <a href="mailto:boardJofJregents@triton.uog.edu">boardJofJregents@triton.uog.edu</a> www.PoliciesJProcedures.uog.edu
<b>Initiation / Review / Consultation / Approval History</b>			BOR Res No. 21-04

**Section 1. Effective Date**

**1.000. Effective Date.** Notwithstanding any other University of Guam rule, regulation, or procedure, the Procedures to Reduce the Spread of COVID-19 shall be effective as of Sunday, April 5, 2020, in accordance with Executive Order No. 2021-03, effective February 1, 2021 the COVID-19 Response Differential Pay Policy shall be as follows and shall remain in effect through the duration of the COVID-19 pandemic emergency that was declared on March 14, 2020 by the Governor of Guam which is hereafter referred to as “Pandemic Emergency, unless otherwise revised by Executive Order.”

**Section 2. COVID-19 Response Differential Pay Policy**

**2.000. Application.** The COVID-19 Response Differential Pay Policy shall be applicable to all University of Guam (UOG) employees regardless of their Fair Labor Standards Act (FLSA) exempt or non-exempt status, and regardless of whether the UOG employees are occupying permanent or limited term appointment positions in the classified or unclassified services. However, the UOG President, Vice-Presidents, and Administrators designated by the UOG Board of Regents are excluded from this differential pay policy except for instances where their assigned duties require an exposure level of risk defined in Categories 1 and 2 as set forth below.

**2.200. COVID-19 Hazardous Pay Differential.** During a public health emergency and in response to COVID-19, any UOG employee who, in the line or scope of his or her employment, constitutes an essential employee within any of the following categories shall be entitled to a COVID-19 hazardous pay differential as follows:

**A. CATEGORY 1.** A ten percent (10%) hazardous pay differential shall be paid to essential UOG employees, who, in the course of their duties are in direct contact or in close physical proximity to a population infected with or reasonably suspected to be infected with COVID-19, and this hazardous pay differential shall be calculated at the rate of the UOG employee’s regular wage plus ten percent (10%) for all periods worked while such

conditions exist. The term “population” as used herein shall not include UOG’s students or UOG’s employees; or

**B. CATEGORY 2.** Pursuant to Executive Order 2021-03, effective February 1, 2021, Category 2 Hazardous Differential Pay shall expire; or

**C. CATEGORY 3.** Pursuant to Executive Order 2020-16, effective June 1, 2020, Category 3 Hazardous Differential Pay shall expire.

**D. Multiple Hazardous Pay Differential Prohibited.** No UOG employee shall be entitled to multiple hazardous differential rates of pay for the same period. In the event a UOG employee is entitled to varying types or amounts of hazardous pay differentials, the highest authorized pay differential shall be used.

**2.300. Essential Employees.** The UOG President shall determine which UOG employees are essential under each hazardous pay differential categories set forth in section 2.200 herein, and how such essential employees will report to work in response to the Pandemic Emergency.

**2.400. Retroactive Application.** The COVID-19 Response Differential Pay shall be applied retroactive to March 14, 2020 if a law is enacted authorizing such retroactive pay, and if such a law is enacted, the President may authorize such retroactive pay for the UOG employees who qualify for it.

**2.500. Payment.** The COVID-19 Response Differential Pay shall be paid prospectively after these rules are passed.

### **Section 3. Procedures to Minimize the Risk of Spreading COVID-19**

**3.1. Remote Work.** For the duration of the Pandemic Emergency, to the greatest reasonable extent possible, UOG’s administrators, faculty, and staff shall work remotely from their residences or some other suitable location, to enforce social distancing.

**A. Remote Work Plans.** Supervisors shall develop and implement Remote Work Plans for their employees that permits them to effectively perform their job duties outside of UOG’s campus. Remote Work Plans shall conform with applicable regulations, policies, and collective bargaining agreements and shall give UOG employees the:

- (1). Ability to meet deadlines.
- (2). Ability to perform job duties.
- (3). Ability to communicate effectively with students, customers, stakeholders, and other team members.
- (4). Ability to manage their work time effectively.

**B. Americans with Disabilities Act Compliance.** All Remote Work Plans shall comply with UOG's Americans with Disabilities Act Policy and Supervisors shall work with UOG's EEO & Title IX/ADA Office to develop reasonable accommodations for UOG who may need them to work remotely.

**C. Remote Work Plan Monitoring.** Supervisors shall monitor their employees to ensure they are complying with the Remote Work Plans and shall ensure their employees are:

- (1). Following a work schedule that is equivalent to full-time status which is a minimum of forty (40) hours a week.
- (2). Communicating with their Supervisors and Team Members at least once per hour during Remote Work hours only if requested by the Supervisor, and with responses to work requests being made by the employee in at least a one-hour period from the work request being made, during Remote Work hours only, via electronic means such as Zoom, Skype, email, or via telephone and the employees must perform their assigned tasks in a timely manner.
- (3). Using a secured local area network or Wi-Fi network for performing their work duties.
- (4). Available between the hours of 8:00 a.m. to 5:00 p.m. weekdays exclusive of holidays and weekends to perform their work duties, unless other Remote Work hours are approved in advance by the Supervisor.
- (5). Any exceptions to these requirements must be approved by the employee's supervisor in advance.
- (6). A UOG Employee's failure to adhere to these requirements may subject them to disciplinary action.

**D. Use of University Property and Equipment.** Should UOG equipment be used during a remote work, such equipment shall be assigned to the employee using it and shall be tagged to identify it as property of the University of Guam and be signed for by the employee using it. Such equipment shall be serviced by UOG, as required. Employees using UOG equipment for Remote Work shall properly secure such equipment and shall be liable to any loss or damage to such equipment arising from their failure to secure and safeguard such equipment.

**3.100. Flexible Work Schedules.** When work must be performed on UOG's Campus, Supervisors may implement Flexible Work Schedules to ensure proper social distancing is enforced in UOG's work places.

**A. Flexible Work Week.** A Flexible Work Week is defined as a regular recurring period of 168 consecutive hours – seven (7) consecutive 24-hour periods. The workweek need not coincide with the calendar week. It may begin any day of the week and any hour of the day, but it must in each case, be established by the Supervisor in advance. Supervisors shall arrange Flexible Work Weeks to avoid, to the greatest extent possible, the

payment of overtime pay, night-differential pay, and holiday pay. A Flexible Work Week shall not be less than a forty (40) hour work week, except when combined with Remote Work hours, or when an employee is a part-time employee.

**B. On Campus Work.** A Flexible Work Week shall be used to perform work on UOG's Campus that cannot be performed via Remote Work and may be based on a designated shift to operate offices or perform duties on Campus. Such on campus work may be performed via designated office hours or designated shifts, or with such flexible or variable hours as are approved and implemented by the Supervisor.

**C. Flexible Work Schedule.** The Supervisor shall give at least twenty-four-hours advance notice of any Flexible Work Schedule or a change to a Flexible Work Schedule so that employees can be adequately informed of the requirement they work on campus or work remotely.

**D. Holidays.** Whenever possible, work schedules should permit employees to have holidays on the days such holidays are observed.

**E. Masks.** In accordance with Executive Order 2020-09, Para. 4, all UOG employees that are working on UOG's Campus and all UOG patrons on Campus shall wear facemasks while they are on UOG's Campus.



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

**Resolution No. 21-05**

**RELATIVE TO AMENDING THE UOG PROCUREMENT REGULATIONS TO AUTHORIZE SMALL PURCHASES OF PART-TIME TEACHING AND INSTRUCTOR SERVICES, AND TO APPLY UOG'S SMALL PURCHASE PROCEDURE TO INCLUDE OTHER PROFESSIONALS**

**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 BOR has adopted UOG Procurement Regulations that mirror the General Services Agency Procurement Regulations;

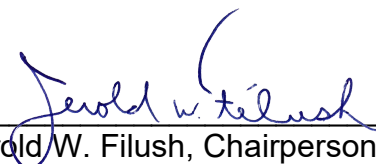
**WHEREAS**, the COVID-19 pandemic has created obstacles in the hiring of qualified part-time teachers and instructors to meet the demand for online instruction;

**WHEREAS**, the UOG Procurement Regulations must be amended to more efficiently and rapidly solicit for and procure part-time teachers and instructors as independent contractors using the BOR approved pay schedule to compensate them; and


**WHEREAS**, the President has concurred with these changes as have the Academic, Personnel, & Tenure Committee and the Budget, Finance, and Audit Committee, and UOG now seeks approval from the BOR to amend the UOG Procurement Regulations to incorporate these changes as attached.

**NOW, THEREFORE, BE IT RESOLVED**, the BOR hereby approves the attached amended UOG Procurement Regulations to allow for the hiring of part-time faculty from off-island and to allow for small professional service contracts to be procured using small purchase rules.

Adopted this 18<sup>th</sup> day of February, 2021.

  
\_\_\_\_\_  
Jerold W. Filush, Chairperson

**ATTESTED:**

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

3.11.6. SMALL PURCHASES OF SERVICES SPECIFIED IN SECTION 2.10. (AUTHORITY TO CONTRACT FOR CERTAIN SERVICES AND APPROVAL OF CONTRACTS) AND SECTION 5.6. (ARCHITECT-ENGINEER AND LAND SURVEYING SERVICES) OF THESE REGULATIONS (GSA Section 3-204.06).

3.11.6.1. CONDITIONS FOR USE (GSA Section 3-204.06.1).

If it is expected that the services of accountants, physicians, lawyers, dentists, architects, engineers, or land surveyors, licensed nurses, other licensed health professionals, and other professionals can be procured for twenty-five thousand dollars (\$25,000) or less but more than two thousand dollars (\$2,000), the methods specified in this Section may be used in lieu of the procedures specified in Section 3.14. (Competitive Selection Procedures for Services Specified in Section 2.10.) and Section 5.6. (Architect-Engineer and Land Surveying Services) of these Regulations.

3.11.7. SMALL PURCHASES OF PART-TIME TEACHING AND INSTRUCTOR SERVICES

3.11.7.1. CONDITIONS FOR USE

The Pool of Part-Time Faculty Lists, recommended by faculty and then used by the University's Deans and Directors to select and hire qualified Part-Time Faculty shall also include any persons or firms deemed qualified, in accordance with the same procedures and methodology used to select Part-Time Faculty set forth in the current agreement between the University of Guam Board of Regents and the University of Guam Faculty Union, to provide Part-Time Teaching and Instructor Services as Independent Contractors. If a University Dean or Director is unable to employ a person to fill a part-time faculty position using the Pool of Part-Time Faculty List, and it is expected that services for the teaching or instruction of UOG students can be procured in accordance with the Overload and Full-Time Pay Scale approved by the University's Board of Regents for less than twenty-five-thousand-dollars (\$25,000) but more than two-thousand-five-hundred-dollars (\$2,500), then the methods specified in this section may be used in lieu of the procedures specified in Section 3.9 (Competitive Sealed Bidding) and the procedures specified in Section 3.14 (Competitive Selection Procedures for Services Specified in Section 2.10 of these Regulations). Any person or firm contracted to perform Part-Time teaching or instruction services pursuant to this section shall be an independent contractor and not a University employee while performing the services required by such contract.

3.11.7.2. EXAMINATION OF QUALIFICATIONS AND NEGOTIATIONS

The Dean or Director shall evaluate the persons or firms recommended from the Division-approved Pool of Part-Time Faculty List and shall contact the most qualified person or firm and attempt to negotiate a contract for the required teaching or instructor services at a rate that is in accordance with the Overload and Full-Time Pay Scale approved by the University's Board of Regents. If there are no qualified persons or firms from the Division-approved Pool of Part-Time Faculty List, or if the attempt to negotiate a contract for the required teaching or instructor rate is unsuccessful after the Dean has exhausted negotiations with all the persons or firms listed in the Pool of Part-Time Faculty List, then the Dean or Director shall request the relevant Division Chair to solicit for technical proposals or statements of qualifications to expand the pool of Part-Time Faculty in that Division or to obtain the required teaching or instructor services. Selection criteria for Part-Time Faculty shall be consistent with professional standards and competencies established for the University of Guam faculty in instructional roles. The Division shall consider a minimum of three (3) persons or firms shall be considered unless there are only one (1) or two (2) qualified persons or firms responding to the solicitation. In the latter case, the Dean or Director, shall make a written determination justifying the consideration of only one (1) or two (2) persons or firms. If after negotiations, a rate for the required teaching or instruction services that is in accordance with the Overload and Full-Time Pay Scale approved by the University's Board of Regents cannot be agreed to, negotiations will be terminated with such person or firm and negotiations begun with the next most qualified person or firm. The process shall continue until a contract can be negotiated at a rate that is in accordance with the Overload and Full-Time Faculty Pay Scale approved by the University's Board of Regents.

3.11.7.3. CONTRACT PROVISIONS FOR PART-TIME TEACHING AND INSTRUCTOR SERVICES

Any contract for Part-Time Teaching and Instructor Services procured using Section 3.11.7 of these regulations shall include the following contract provisions.

3.11.7.3.1. EVALUATION

The persons or firms that perform the Part-Time Teaching and Instruction Services as Independent Contractors shall be evaluated and shall receive written notice of evaluation in accordance with the same procedures and methodology used to evaluate Part-Time Faculty set forth in the current agreement between the University of Guam Board of Regents and the University of Guam Faculty Union.



### 3.11.7.3.2. CONTRACT TERM

The initial term of any contract procured pursuant to this section shall be limited to the duration of one session or semester, and the term may include optional terms, to be exercised unilaterally by the University on condition that the person or firm performing the Part-Time Teaching or Instruction Services receives a satisfactory evaluation for the initial contract term and any optional contract term, for one additional session or semester. However, the total contract term, to include the initial contract term and any optional terms shall not to exceed one Academic Year as set forth in the University's Academic Calendar. The University of Guam Faculty Union shall receive written notice of all part-time teaching or instructional contracts awarded each semester under the terms and conditions of these procurement provisions.

## 5.3 PHYSICAL FACILITIES COMMITTEE

### 5.3.1 Facilities Management and Services Update

## 5.4 INVESTMENT COMMITTEE

### 5.4.1 Investment Update



**UNIVERSITY OF GUAM  
UNIBETSEDAT GUAHAN  
Board of Regents**

**Resolution No. 21-06**

**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;

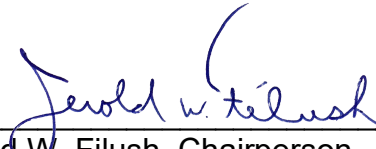
**WHEREAS**, UOG's Investment Advisor, Raymond James & Associates, has recommended the IPS be updated with current information; and

**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 adopts the revised UOG IPS attached to be effective immediately; and

**BE IT FURTHER RESOLVED**, that this revised UOG IPS supersedes the version in BOR Resolution 20-19 and any previous updates.

Adopted this 18<sup>th</sup> day of February, 2021

  
\_\_\_\_\_  
Jerold W. Filush, 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

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**EXECUTIVE SUMMARY**

Name of Fund: University of Guam Investment Fund

Current Market Value: \$27.3 Million (as of September 30, 2020)

Planning Time Horizon: Greater than 20 years

Expected Return: Nominal rate of 6.8%

Asset Allocation:

	<u>Lower Limit</u>	<u>Strategic Allocation</u>	<u>Upper Limit</u>
<b>US Equities</b>	<b>20%</b>	<b>30%</b>	<b>40%</b>
<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%	
<b>Non-U.S. Equities</b>	<b>7.5%</b>	<b>20%</b>	<b>27.5%</b>
<i>Developed Markets Value</i>		10%	
<i>Developed Markets Growth</i>		10%	
<b>Fixed Income</b>	<b>20%</b>	<b>30%</b>	<b>40%</b>
<i>U.S. Core/ Intermediate</i>		20%	
<i>U.S. High Yield</i>		5%	
<i>Non-U.S.</i>		5%	
<b>Alternatives</b>	<b>10%</b>	<b>20%</b>	<b>30%</b>
<i>U.S. REITS</i>		7.5%	
<i>Low Duration Fixed Income</i>		5%	
<i>Global Listed Infrastructure</i>		5%	
<i>Private Markets</i>		2.5%	

## **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 Investment 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, and Comptroller.

### 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 6.8% 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):

$$\text{Corpus} \times \frac{\text{Current CPI-U (i.e., Consumer Price Index-Urban)}}{1974 \text{ CPI-U}}$$

The Regents only authorize spending from this fund when the current value of the Fund is sufficiently greater than the Inflation-Adjusted Value. At that point the following spending policy will be in effect:

*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. 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.*

The Board must approve the expenditure budgets from this Fund. Spending 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. The Board must approve the expenditure budgets from this Fund.

### **C. Current Account**

The Current Account Unrestricted advances monies to scholarship and other funds for the purposes of these funds. As the Current Account is utilized to reinvest monies drawn to pay the advances, the University is authorized to spend from this Fund, provided that the Board must approve the expenditure budgets.

### **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**

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, Nursing, 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.

## **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. SOCIAL RESPONSIBILITY 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 (UN – PRI). The UN - 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 6.8%. 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 6.8% 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 other fixed income securities held in the 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 (5) or more 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 signatory of the United Nations Principles for Responsible Investment (UN – PRI)

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 National Association of Securities Dealers (NASD).
- 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 part of the UN – PRI, provide a current year PRI Transparency Report.

### **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 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 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:

	<b><u>Lower Limit</u></b>	<b><u>Strategic Allocation</u></b>	<b><u>Upper Limit</u></b>
<b>US Equities</b>	<b>20%</b>	<b>30%</b>	<b>40%</b>
<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%	
<b>Non-U.S. Equities</b>	<b>7.5%</b>	<b>20%</b>	<b>27.5%</b>
<i>Developed Markets Value</i>		10%	
<i>Developed Markets Growth</i>		10%	
<b>Fixed Income</b>	<b>20%</b>	<b>30%</b>	<b>40%</b>
<i>U.S. Core/ Intermediate</i>		20%	
<i>U.S. High Yield</i>		5%	
<i>Non-U.S.</i>		5%	
<b>Alternatives</b>	<b>10%</b>	<b>20%</b>	<b>30%</b>
<i>U.S. REITS</i>		7.5%	
<i>Low Duration Fixed Income</i>		5%	
<i>Global Listed Infrastructure</i>		5%	
<i>Private Markets</i>		2.5%	

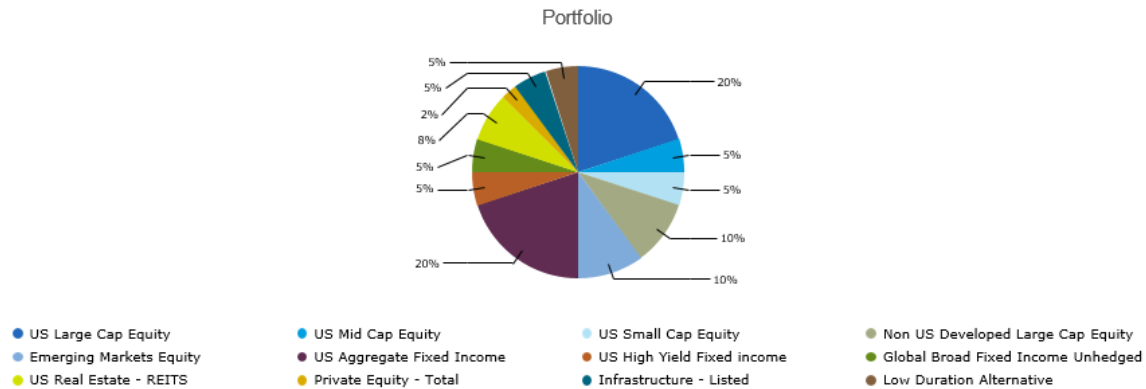
## Scenario Assumptions

NAME	RETURN	STDEV	CONSTRAINTS	
			MIN	MAX
UNGROUPED				
US Large Cap Equity	7.10%	18.10%	0.00%	100.00%
US Mid Cap Equity	7.70%	19.60%	0.00%	100.00%
US Small Cap Equity	8.20%	22.10%	0.00%	100.00%
Non US Developed Large Cap Equity	8.80%	20.30%	0.00%	100.00%
Emerging Markets Equity	11.70%	26.40%	0.00%	100.00%
US Aggregate Fixed Income	3.60%	5.30%	0.00%	100.00%
US High Yield Fixed income	5.20%	10.00%	0.00%	100.00%
Global Broad Fixed Income Unhedged	2.80%	6.50%	0.00%	100.00%
US Real Estate - REITS	7.80%	21.30%	0.00%	100.00%
Private Equity - Total	11.40%	24.40%	0.00%	100.00%
Infrastructure - Listed	7.20%	15.20%	0.00%	100.00%
Low Duration Alternative	3.60%	5.30%	0.00%	100.00%

## Scenario Assumptions - Correlation Matrix

ASSETS	A	B	C	D	E	F	G	H	I	J	K	L
A. US Large Cap Equity	1.00	0.97	0.91	0.77	0.73	0.11	0.64	0.07	0.68	0.95	0.82	0.11
B. US Mid Cap Equity	0.97	1.00	0.98	0.75	0.71	0.10	0.62	0.07	0.71	0.93	0.80	0.10
C. US Small Cap Equity	0.91	0.98	1.00	0.70	0.67	0.10	0.58	0.06	0.70	0.87	0.75	0.10
D. Non US Developed Large Cap Equity	0.77	0.75	0.70	1.00	0.76	0.03	0.55	0.30	0.54	0.72	0.74	0.03
E. Emerging Markets Equity	0.73	0.71	0.67	0.76	1.00	(0.03)	0.51	0.11	0.51	0.69	0.65	(0.03)
F. US Aggregate Fixed Income	0.11	0.10	0.10	0.03	(0.03)	1.00	0.54	0.73	0.32	0.10	0.17	1.00
G. US High Yield Fixed income	0.64	0.62	0.58	0.55	0.51	0.54	1.00	0.39	0.57	0.60	0.60	0.54
H. Global Broad Fixed Income Unhedged	0.07	0.07	0.06	0.30	0.11	0.73	0.39	1.00	0.23	0.06	0.13	0.73
I. US Real Estate - REITS	0.68	0.71	0.70	0.54	0.51	0.32	0.57	0.23	1.00	0.65	0.77	0.32
J. Private Equity - Total	0.95	0.93	0.87	0.72	0.69	0.10	0.60	0.06	0.65	1.00	0.77	0.10
K. Infrastructure - Listed	0.82	0.80	0.75	0.74	0.65	0.17	0.60	0.13	0.77	0.77	1.00	0.17
L. Low Duration Alternative	0.11	0.10	0.10	0.03	(0.03)	1.00	0.54	0.73	0.32	0.10	0.17	1.00

## Portfolio Allocations



	PORTFOLIO
Return	6.80%
Standard Deviation	12.48%
Sharpe Ratio	0.18

## University of Guam Investment Policy Statement - Appendix B

### Investment Manager Performance Objectives

(Note: RIA updates Performance Benchmarks, when needed in consultation with Committee)

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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 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:	Private Markets
Performance Benchmark:	HFRI FOF Index
Management Style:	Global Infrastructure
Performance Benchmark:	DJ Brookfield Global Infrastructure Net Index

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**University of Guam Investment Policy Statement - Appendix C**

**Adoption of the Investment Policy Statement**

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Receipt of the University of Guam Investment Policy Statement is hereby adopted:

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Title

\_\_\_\_\_  
Firm

\_\_\_\_\_  
Date

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Title

\_\_\_\_\_  
Firm

\_\_\_\_\_  
Date

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Title

\_\_\_\_\_  
Firm

\_\_\_\_\_  
Date

## University of Guam Investment Policy Statement - Appendix D

### Accounting of Sub-Funds

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The UOG Main Endowment fund consists of the following sub-funds as of September 30, 2020. 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	56.5%
Planetarium	0.4%
Current Account	
SBPA	5.0%
UOG Common	12.2%
Quasi Endowment	
Faculty/ Staff Development	10.1%
Campus Maintenance	5.9%
Dorm Renewal/ Replacement	3.5%
Self-Insurance	0.8%
Scholarship Trust	
Siu Lin Tan	2.7%
Maman Ling/ Taitano Nursing	2.0%
MACS SNAH	0.5%
Deleon	0.1%
Chin Ho	0.1%
Gov. Bill Daniel	0.1%
J. Guthertz	0.1%



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

**Resolution No. 21-07**

**RELATIVE TO APPROVING THE FY2022 GENERAL OPERATIONS BUDGET 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 FY2022 budget request identifying funding required to sustain academic quality and student learning including infrastructure support and special appropriations (WERI, Hatchery, Soil Conservation, Guam Cultural Repository);

**WHEREAS**, for FY2022, the University requests an appropriation of \$26.06M for general operations and \$1.9M in special appropriations;

**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 FY2022 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 FY2022 General Operations and Special Appropriations Budgets for approval.

**NOW, THEREFORE BE IT RESOLVED**, that the UOG FY2022 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 18<sup>th</sup> day of February, 2021.

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Jerold W. Filush, Chairperson

**ATTESTED:**

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

FY 2022

**A. General Operations Budget**

**FY 2022  
Budget  
Request**

**SUMMARY OF GENERAL OPERATIONS BUDGET**

Revenues	44,017,685
Expenses	<u>(44,017,685)</u>
Balance	<u><u>(0)</u></u>

**Revenues**

Appropriation -GovGuam General Fund	26,056,761
Tuition Fund Projected Net Revenue	15,801,548
Federal Matching Funds	1,719,376
Transfers from GLE	<u>440,000</u>
<b>Total Revenues</b>	<u><u>44,017,685</u></u>

**Expenses**

Personnel Expenses	
Existing Personnel	(36,045,909)
Current Vacant Positions	(272,508)
Salary Increments - 2021	(240,000)
Annualized cost of FY21 increments	(700,000)
Other Personnel Cost	<u>(256,000)</u>
Subtotal Personnel Expenses	(37,514,417)

Operating (Non-personnel) Expenses

Contracts	(2,064,267)
Supplies	(250,000)
Equipment	-
Accreditation	(21,000)
Miscellaneous	-
Utilities	(4,000,000)
Library Priorities - Capital	(68,000)
Capital Outlay repair & maint.	<u>(100,000)</u>
Subtotal Operating (Non-personnel) Expenses	(6,503,267)

**Total General Operations Expenses** (44,017,685)

**Balance** (0)

**B. Special Appropriations (Continuing)**

Guam Cultural Repository	1,469,057
UOG Press (from Tourist Attraction Fund)	30,000
WERI - Guam Hydrologic Survey (GHS)	373,647
WERI - Guam Comprehensive Water Monitoring Prog (CWM)	164,737
GADTC Hatchery	<u>114,000</u>
Total Special Appropriations (Continuing)	2,151,441

**C. Capital Improvements Fund**

Student Svs Ctr & Engineering Annex	1,158,283
Cont. Appropriation per §16132, Chapt. 16, Title 17 GCA	500,000



FY22 General Operations Detail	Vac FTE	Vacant Positions	Filled FTE	PERSONNEL	CONTRACTS	SUPPLIES	EQUIP	MISC EXP	UTILITIES	CAPITAL OUTLAY	TOTALS	%
<b>EXECUTIVE OFFICES</b>												
President's Office	-	-	5.0	657,978	93,062	-	-	-	-	-	751,040	1.71%
Integrated Marketing and Communications	-	-	3.0	239,673	-	-	-	-	-	-	239,673	0.54%
Alumni Relations Office	-	-	1.0	129,167	-	-	-	-	-	-	129,167	0.29%
Legal Counsel	-	-	2.0	233,931	-	-	-	-	-	-	233,931	0.53%
Office of Sponsored Programs	-	-	5.0	462,731	-	-	-	-	-	-	462,731	1.05%
<b>Executive Office Expenses</b>	-	-	<b>16.0</b>	<b>1,723,479</b>	<b>93,062</b>	-	-	-	-	-	<b>1,816,541</b>	<b>4.13%</b>
<b>ACADEMIC AND STUDENT AFFAIRS</b>												
Senior Vice President's Office	-	-	3.0	519,802	1,200	-	-	21,000	-	-	542,002	1.23%
Institutional Effectiveness/Assessment	-	-	3.0	263,987	-	-	-	-	-	-	263,987	0.60%
CEDDERS	-	-	1.0	162,621	-	-	-	-	-	-	162,621	0.37%
Academic Excellence/Graduate Studies	-	-	1.0	152,161	-	-	-	-	-	-	152,161	0.35%
School of Business and Public Administration	-	-	27.5	2,673,929	12,000	-	-	-	-	-	2,685,929	6.10%
School of Education	-	-	21.5	2,087,173	15,000	-	-	-	-	-	2,102,173	4.78%
School of Health	-	-	15.0	1,448,979	9,544	-	-	-	-	-	1,458,523	3.31%
College of Liberal Arts and Social Sciences	-	-	62.5	5,982,001	44,000	-	-	-	-	-	6,026,001	13.69%
College of Natural and Applied Sciences	3.0	272,508	80.0	7,781,544	12,000	-	-	-	-	-	7,793,544	17.71%
School of Engineering	-	-	5.0	625,034	7,000	-	-	-	-	-	632,034	1.44%
Enrollment Management & Student Services-Dean	-	-	2.0	222,564	14,299	-	-	-	-	-	236,863	0.54%
Triton Express-One Stop	-	-	1.0	69,218	-	-	-	-	-	-	69,218	0.16%
Student Life Office	-	-	-	-	-	-	-	-	-	-	-	0.00%
Student Counseling (includes ADA student services)	-	-	5.0	415,230	-	-	-	-	-	-	415,230	0.94%
Career Placement	-	-	1.0	85,842	-	-	-	-	-	-	85,842	0.20%
Admissions and Records	-	-	14.0	875,351	11,473	-	-	-	-	-	886,824	2.01%
Student Health	-	-	1.0	42,099	-	-	-	-	-	-	42,099	0.10%
Financial Aid Office	-	-	5.0	340,619	5,000	-	-	-	-	-	345,619	0.79%
Recruitment	-	-	-	-	-	-	-	-	-	-	-	0.00%
UOG Library	-	-	17.0	1,243,996	25,680	-	-	-	-	68,000	1,337,676	3.04%
Marine Lab	-	-	16.0	1,597,548	-	-	-	-	-	-	1,597,548	3.63%
Micro Area Res Center (MLI, Cham Lang& Culture)	-	-	12.0	1,068,477	3,500	-	-	-	-	-	1,071,977	2.44%
Water and Environmental Research Institute	-	-	9.0	822,078	-	-	-	-	-	-	822,078	1.87%
<b>Academic and Student Affairs Expenses</b>	<b>3.0</b>	<b>272,508</b>	<b>302.5</b>	<b>28,480,255</b>	<b>160,696</b>	-	-	<b>21,000</b>	-	<b>68,000</b>	<b>28,729,951</b>	<b>65.27%</b>
<b>ADMINISTRATION AND FINANCE</b>												
Vice President's Office	-	-	4.0	428,708	-	-	-	-	-	-	428,708	0.97%
Office of Information Technology	-	-	12.0	880,397	-	-	-	-	-	-	880,397	2.00%
Comptroller's Office	-	-	22.0	1,428,964	-	-	-	-	-	-	1,428,964	3.25%
Facilities Management Services	-	-	46.8	2,175,875	5,000	-	-	-	-	-	2,180,875	4.95%
Safety and Security	-	-	1.0	61,927	-	-	-	-	-	-	61,927	0.14%
Human Resources Office	-	-	9.0	608,673	13,100	-	-	-	-	-	621,773	1.41%
EEO (includes ADA services)	-	-	2.0	191,229	4,584	-	-	-	-	-	195,813	0.44%
Auxiliary	-	-	1.0	66,403	-	-	-	-	-	-	66,403	0.15%
<b>Administration and Finance Expenses</b>	-	-	<b>97.75</b>	<b>5,842,176</b>	<b>22,684</b>	-	-	-	-	-	<b>5,864,860</b>	<b>13.32%</b>
<b>Staffing Pattern</b>												
			416.25	36,045,909								
<b>Other Personnel Costs</b>												
Current Vacancies		272,508									272,508	0.62%
Annualized FY21 increments				700,000							700,000	1.59%
Salary Increments (FY22)				240,000							240,000	0.55%
HRO-Recruitment Costs				80,000							80,000	0.18%
Other Personnel Costs				176,000							176,000	0.40%
<b>Total Other Personnel Costs</b>		<b>272,508</b>		<b>1,196,000</b>							<b>1,468,508</b>	<b>3.34%</b>
<b>UTILITY COSTS, CAMPUS SUPPLIES AND BUILDING SAFETY IMPROVEMENTS</b>												
Plant Maintenance (custodial/maintenance)					-	250,000	-				250,000	0.57%
Security Guard Services					370,000						370,000	0.84%
Property and Liability Insurance Coverage					787,517						787,517	1.79%
Ellucian Software Maintenance Costs					560,308						560,308	1.27%
Capital Outlay and ADA Safety Improvements									100,000		100,000	0.23%
Power								3,050,000			3,050,000	6.93%
Water / Wastewater								200,000			200,000	0.45%
Telephone								550,000			550,000	1.25%
Hazardous/Metallic Waste/Trash Removal								200,000			200,000	0.45%
<b>Total</b>	-	-	-	-	<b>1,717,825</b>	<b>250,000</b>	-	-	<b>4,000,000</b>	<b>100,000</b>	<b>6,067,825</b>	<b>13.78%</b>
ITAC Priorities					70,000						70,000	0.16%
<b>Grand Total</b>		<b>272,508</b>	<b>416.25</b>	<b>37,241,909</b>	<b>2,064,267</b>	<b>250,000</b>	-	<b>21,000</b>	<b>4,000,000</b>	<b>168,000</b>	<b>44,017,685</b>	<b>100%</b>

**FY 2022 Funded Vacancies**

38%

<b>Unit</b>	<b>Name</b>	<b>Position Number</b>	<b>Salary</b>	<b>Benefits</b>	<b>Salary &amp; Benefits</b>
CNAS	VACANT (Dresbach, Sereana)	516	107,744	40,409	148,153
CNAS	VACANT (Diambra, Odi)	539	50,454	18,923	69,377
CNAS	VACANT (Paulino, Edwin)	589	39,983	14,996	54,979
			198,181	74,327	272,508

**University of Guam**  
**Capital Projects Listing**

<b>Building/Unit</b>	<b>Description</b>	<b>Total</b>
Campus-Wide	for deferred campus improvement projects	100,000

Total \$ 100,000

University of Guam  
Information Technology Advisory Committee (Formerly UTAC)  
FY 2022 Budget IT Priorities  
GL UNIT: 720002

Initiative	General Ops
<u>Web Services</u>	
UOG Website - OmniUpdate (Licenses and Modules)	35,000
Website Support Services	20,000
Hosting services	15,000
Grand Total	<hr/> <hr/> 70,000



**UNIVERSITY OF GUAM FY2022 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
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**Revenue (Please list sources)**

<b>Total</b>	<b>\$</b>	<b>164,737</b>		

**A. SALARIES AND BENEFITS**

Please attach staffing pattern  

Justification / Notes: _____	<b>Total FY22</b>	<b>\$</b>	<b>-</b>	

Justification / Notes: _____	<b>Total FY22</b>	<b>\$</b>	<b>164,737</b>	

Justification / Notes: _____	<b>Total FY22</b>	<b>\$</b>	<b>-</b>	

Justification / Notes: _____	<b>Total FY22</b>	<b>\$</b>	<b>-</b>	

Justification / Notes: _____	<b>Total FY22</b>	<b>\$</b>	<b>-</b>	

**G. CAPITAL OUTLAY: Cost over \$5,000 - Equipment and Vehicles, All Library Acquisitions, All Building Repairs & Renovations**

Item	Qty	Cost	Total	
Justification / Notes: _____	<b>Total FY22</b>	<b>\$</b>	<b>-</b>	

Justification / Notes: _____	<b>Total FY22</b>	<b>\$</b>	<b>-</b>	

I. **Transfer for F & A Fees** (see guidelines for more information) N/A  

Annual Surplus (Deficit) **\$**      **-**      **0**      **0**      **0**      **0**



UNIVERSITY OF GUAM FY2022 Special Appropriations Fund Budget

Account Name: Guam Cultural Repository Signature-Dept Head: Monique Storie, Dean-University Libr

Account Number: \_\_\_\_\_

Quarterly Breakdown			
Oct-Dec	Jan-Mar	Apr-June	Jul-Sept

Revenue (Please list sources)

		Oct-Dec	Jan-Mar	Apr-June	Jul-Sept
Special Appropriations from Gov Guam	1,469,057				
	\$ 1,469,057	367,264	367,264	367,264	367,264

A. SALARIES AND BENEFITS

See attached Staffing Pattern	\$ 975,832	243,958	243,958	243,958	243,958
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B. OFF-ISLAND TRAVEL

Name & Position of Traveler	Total				
Justification / Notes:	Total FY22	\$ -			

C. CONTRACTUAL SERVICES

Item	Qty	Cost	Total				
Facilities and A/C Maintenance, Monthly Pest Control, Custodial Services			72,684				
Justification / Notes:	Total FY22	\$ 72,684		18,171	18,171	18,171	18,171

D. SUPPLIES

Item	Qty	Cost	Total				
Acid-free boxes, Bags, Gloves, Sleeves, Artifact tags, Archival folders, Archaeological tools			32,000				
Justification / Notes:	Total FY22	\$ 32,000		8,000	8,000	8,000	8,000

E. EQUIPMENT: below \$5,000

Item	Qty	Cost	Total				
Computer Software			3,231				
Justification / Notes:	Total FY22	\$ 3,231				3,231	

F. MISCELLANEOUS Expense

Item	Qty	Cost	Total				
Justification / Notes:	Total FY22	\$ -					

G. CAPITAL OUTLAY: Cost over \$5,000 - Equipment and Vehicles, All Library Acquisitions, All Building Repairs & Renovations

Item	Qty	Cost	Total				
3D Scanner/camera and Computer			14,000				
Justification / Notes:	Total FY22	\$ 14,000.00				14,000	

H. UTILITIES: Power, Water, Telephone

Item	Total				
Power	270,188				
Water	101,122				
Total FY22	\$ 371,310	92,828	92,828	92,828	92,828

I. Transfer for F & A Fees: 10%

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Annual Surplus (Deficit) \$ 0 4,308 4,308 -12,923 4,308



**Guam Cultural Repository  
at the University of Guam  
FY 2022 Proposed Staffing Pattern**

Position	Salary	28.50%			1.45%			Total Benefits	Total
		Retirement	Retire (DDI)	Medicare	Life	Medical	Dental		
Archaeological Curation Specialist	45,581	12,991	495	661	186	11,917	468	26,718	72,299
Archaeological Curation Specialist	45,581	12,991	495	661	186	11,917	468	26,718	72,299
Archaeological Curation Specialist	45,581	12,991	495	661	186	11,917	468	26,718	72,299
Archaeological Curation Specialist	45,581	12,991	495	661	186	11,917	468	26,718	72,299
Archival Technician	45,581	12,991	495	661	186	11,917	468	26,718	72,299
Archival Technician	45,581	12,991	495	661	186	11,917	468	26,718	72,299
Archivist and Records Manager	77,498	22,087	495	1,124	186	11,917	468	36,277	113,775
Curator of Archaeological Collections	98,958	28,203	495	1,435	186	11,917	468	42,704	141,662
Collections Lab Manager	88,707	25,281	495	1,286	186	11,917	468	39,634	128,341
Prog Coordinator IV	49,897	14,221	495	724	186	11,917	468	28,011	77,908
Senior Computer Analyst	51,778	14,757	495	751	186	11,917	468	28,574	80,352

Total Proposed Personnel	975,832
Total Proposed Non-Personnel	493,225
Total Proposed Request	<u>1,469,057</u>



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

**Resolution No. 21-08**

**RELATIVE TO APPROVING THE FY2022 GENERAL OPERATIONS BUDGET 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 FY2022 budget request identifying funding required to sustain academic quality and student learning including infrastructure support and special appropriations (WERI, Hatchery, Soil Conservation, Guam Cultural Repository);

**WHEREAS**, for FY2022, the University requests an appropriation of \$26.06M for general operations and \$1.9M in special appropriations;

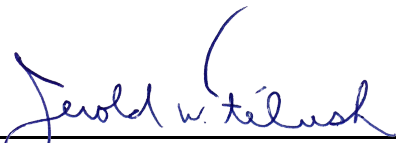
**WHEREAS**, based upon an assessment of the priority needs of the University and upon the recommendations of the UPBAC and the administration, the President recommends the attached FY2022 General Operations Budget for Board approval; and

**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 FY2022 General Operations and Special Appropriations Budgets for approval.


**NOW, THEREFORE BE IT RESOLVED**, that the UOG FY2022 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; and

**BE IT FURTHER RESOLVED**, the President is authorized to reappropriation according to the budget that is approved by the Guam Legislature.

Adopted this 18<sup>th</sup> day of February, 2021.

  
\_\_\_\_\_  
Jerold W. Filush, Chairperson

**ATTESTED:**

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

FY 2022

A. General Operations Budget

FY 2022  
Budget  
Request

**SUMMARY OF GENERAL OPERATIONS BUDGET**

Revenues	44,017,685
Expenses	<u>(44,017,685)</u>
Balance	<u><u>(0)</u></u>

**Revenues**

Appropriation -GovGuam General Fund	26,056,761
Tuition Fund Projected Net Revenue	15,801,548
Federal Matching Funds	1,719,376
Transfers from GLE	<u>440,000</u>
<b>Total Revenues</b>	<u><u>44,017,685</u></u>

**Expenses**

Personnel Expenses	
Existing Personnel	(36,045,909)
Current Vacant Positions	(272,508)
Salary Increments - 2021	(240,000)
Annualized cost of FY21 increments	(700,000)
Other Personnel Cost	<u>(256,000)</u>
Subtotal Personnel Expenses	(37,514,417)

Operating (Non-personnel) Expenses

Contracts	(2,064,267)
Supplies	(250,000)
Equipment	-
Accreditation	(21,000)
Miscellaneous	-
Utilities	(4,000,000)
Library Priorities - Capital	(68,000)
Capital Outlay repair & maint.	<u>(100,000)</u>
Subtotal Operating (Non-personnel) Expenses	(6,503,267)

**Total General Operations Expenses**

(44,017,685)

**Balance**

(0)

B. Special Appropriations (Continuing)

Guam Cultural Repository	1,469,057
UOG Press (from Tourist Attraction Fund)	30,000
WERI - Guam Hydrologic Survey (GHS)	373,647
WERI - Guam Comprehensive Water Monitoring Prog (CWM)	164,737
GADTC Hatchery	<u>114,000</u>
Total Special Appropriations (Continuing)	2,151,441

C. Capital Improvements Fund

Student Svs Ctr & Engineering Annex	1,158,283
Cont. Appropriation per §16132, Chapt. 16, Title 17 GCA	500,000

FY22 General Operations Detail	Vac FTE	Vacant Positions	Filled FTE	PERSONNEL	CONTRACTS	SUPPLIES	EQUIP	MISC EXP	UTILITIES	CAPITAL OUTLAY	TOTALS	%
<b>EXECUTIVE OFFICES</b>												
President's Office	-	-	5.0	657,978	93,062	-	-	-	-	-	751,040	1.71%
Integrated Marketing and Communications	-	-	3.0	239,673	-	-	-	-	-	-	239,673	0.54%
Alumni Relations Office	-	-	1.0	129,167	-	-	-	-	-	-	129,167	0.29%
Legal Counsel	-	-	2.0	233,931	-	-	-	-	-	-	233,931	0.53%
Office of Sponsored Programs	-	-	5.0	462,731	-	-	-	-	-	-	462,731	1.05%
<b>Executive Office Expenses</b>	-	-	<b>16.0</b>	<b>1,723,479</b>	<b>93,062</b>	-	-	-	-	-	<b>1,816,541</b>	<b>4.13%</b>
<b>ACADEMIC AND STUDENT AFFAIRS</b>												
Senior Vice President's Office	-	-	3.0	519,802	1,200	-	-	21,000	-	-	542,002	1.23%
Institutional Effectiveness/Assessment	-	-	3.0	263,987	-	-	-	-	-	-	263,987	0.60%
CEDDERS	-	-	1.0	162,621	-	-	-	-	-	-	162,621	0.37%
Academic Excellence/Graduate Studies	-	-	1.0	152,161	-	-	-	-	-	-	152,161	0.35%
School of Business and Public Administration	-	-	27.5	2,673,929	12,000	-	-	-	-	-	2,685,929	6.10%
School of Education	-	-	21.5	2,087,173	15,000	-	-	-	-	-	2,102,173	4.78%
School of Health	-	-	15.0	1,448,979	9,544	-	-	-	-	-	1,458,523	3.31%
College of Liberal Arts and Social Sciences	-	-	62.5	5,982,001	44,000	-	-	-	-	-	6,026,001	13.69%
College of Natural and Applied Sciences	3.0	272,508	80.0	7,781,544	12,000	-	-	-	-	-	7,793,544	17.71%
School of Engineering	-	-	5.0	625,034	7,000	-	-	-	-	-	632,034	1.44%
Enrollment Management & Student Services-Dean	-	-	2.0	222,564	14,299	-	-	-	-	-	236,863	0.54%
Triton Express-One Stop	-	-	1.0	69,218	-	-	-	-	-	-	69,218	0.16%
Student Life Office	-	-	-	-	-	-	-	-	-	-	-	0.00%
Student Counseling (includes ADA student services)	-	-	5.0	415,230	-	-	-	-	-	-	415,230	0.94%
Career Placement	-	-	1.0	85,842	-	-	-	-	-	-	85,842	0.20%
Admissions and Records	-	-	14.0	875,351	11,473	-	-	-	-	-	886,824	2.01%
Student Health	-	-	1.0	42,099	-	-	-	-	-	-	42,099	0.10%
Financial Aid Office	-	-	5.0	340,619	5,000	-	-	-	-	-	345,619	0.79%
Recruitment	-	-	-	-	-	-	-	-	-	-	-	0.00%
UOG Library	-	-	17.0	1,243,996	25,680	-	-	-	-	68,000	1,337,676	3.04%
Marine Lab	-	-	16.0	1,597,548	-	-	-	-	-	-	1,597,548	3.63%
Micro Area Res Center (MLI, Cham Lang& Culture)	-	-	12.0	1,068,477	3,500	-	-	-	-	-	1,071,977	2.44%
Water and Environmental Research Institute	-	-	9.0	822,078	-	-	-	-	-	-	822,078	1.87%
<b>Academic and Student Affairs Expenses</b>	<b>3.0</b>	<b>272,508</b>	<b>302.5</b>	<b>28,480,255</b>	<b>160,696</b>	-	-	<b>21,000</b>	-	<b>68,000</b>	<b>28,729,951</b>	<b>65.27%</b>
<b>ADMINISTRATION AND FINANCE</b>												
Vice President's Office	-	-	4.0	428,708	-	-	-	-	-	-	428,708	0.97%
Office of Information Technology	-	-	12.0	880,397	-	-	-	-	-	-	880,397	2.00%
Comptroller's Office	-	-	22.0	1,428,964	-	-	-	-	-	-	1,428,964	3.25%
Facilities Management Services	-	-	46.8	2,175,875	5,000	-	-	-	-	-	2,180,875	4.95%
Safety and Security	-	-	1.0	61,927	-	-	-	-	-	-	61,927	0.14%
Human Resources Office	-	-	9.0	608,673	13,100	-	-	-	-	-	621,773	1.41%
EEO (includes ADA services)	-	-	2.0	191,229	4,584	-	-	-	-	-	195,813	0.44%
Auxiliary	-	-	1.0	66,403	-	-	-	-	-	-	66,403	0.15%
<b>Administration and Finance Expenses</b>	-	-	<b>97.75</b>	<b>5,842,176</b>	<b>22,684</b>	-	-	-	-	-	<b>5,864,860</b>	<b>13.32%</b>
<b>Staffing Pattern</b>												
			416.25	36,045,909								
<b>Other Personnel Costs</b>												
Current Vacancies		272,508									272,508	0.62%
Annualized FY21 increments				700,000							700,000	1.59%
Salary Increments (FY22)				240,000							240,000	0.55%
HRO-Recruitment Costs				80,000							80,000	0.18%
Other Personnel Costs				176,000							176,000	0.40%
<b>Total Other Personnel Costs</b>		<b>272,508</b>		<b>1,196,000</b>							<b>1,468,508</b>	<b>3.34%</b>
<b>UTILITY COSTS, CAMPUS SUPPLIES AND BUILDING SAFETY IMPROVEMENTS</b>												
Plant Maintenance (custodial/maintenance)					-	250,000	-				250,000	0.57%
Security Guard Services					370,000						370,000	0.84%
Property and Liability Insurance Coverage					787,517						787,517	1.79%
Ellucian Software Maintenance Costs					560,308						560,308	1.27%
Capital Outlay and ADA Safety Improvements									100,000		100,000	0.23%
Power								3,050,000			3,050,000	6.93%
Water / Wastewater								200,000			200,000	0.45%
Telephone								550,000			550,000	1.25%
Hazardous/Metallic Waste/Trash Removal								200,000			200,000	0.45%
<b>Total</b>	-	-	-	-	<b>1,717,825</b>	<b>250,000</b>	-	-	<b>4,000,000</b>	<b>100,000</b>	<b>6,067,825</b>	<b>13.78%</b>
ITAC Priorities					70,000						70,000	0.16%
<b>Grand Total</b>		<b>272,508</b>	<b>416.25</b>	<b>37,241,909</b>	<b>2,064,267</b>	<b>250,000</b>	-	<b>21,000</b>	<b>4,000,000</b>	<b>168,000</b>	<b>44,017,685</b>	<b>100%</b>

**FY 2022 Funded Vacancies**

38%

<b>Unit</b>	<b>Name</b>	<b>Position Number</b>	<b>Salary</b>	<b>Benefits</b>	<b>Salary &amp; Benefits</b>
CNAS	VACANT (Dresbach, Sereana)	516	107,744	40,409	148,153
CNAS	VACANT (Diambra, Odi)	539	50,454	18,923	69,377
CNAS	VACANT (Paulino, Edwin)	589	39,983	14,996	54,979
			198,181	74,327	272,508

**University of Guam**  
**Capital Projects Listing**

<b>Building/Unit</b>	<b>Description</b>	<b>Total</b>
Campus-Wide	for deferred campus improvement projects	100,000

Total \$ 100,000

University of Guam  
Information Technology Advisory Committee (Formerly UTAC)  
FY 2022 Budget IT Priorities  
GL UNIT: 720002

Initiative	General Ops
<u>Web Services</u>	
UOG Website - OmniUpdate (Licenses and Modules)	35,000
Website Support Services	20,000
Hosting services	15,000
Grand Total	<hr/> <hr/> <u>70,000</u>





**UNIVERSITY OF GUAM FY2022 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
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**Revenue (Please list sources)**

<b>Total</b>	\$	164,737		

**A. SALARIES AND BENEFITS**

Please attach staffing pattern  

Justification / Notes:		<b>Total FY22</b>	\$	-

Justification / Notes:		<b>Total FY22</b>	\$	164,737

Justification / Notes:		<b>Total FY22</b>	\$	-

Justification / Notes:		<b>Total FY22</b>	\$	-

Justification / Notes:		<b>Total FY22</b>	\$	-

**G. CAPITAL OUTLAY: Cost over \$5,000 - Equipment and Vehicles, All Library Acquisitions, All Building Repairs & Renovations**

Item	Qty	Cost	Total		
Justification / Notes:		<b>Total FY22</b>	\$	-	

Justification / Notes:		<b>Total FY22</b>	\$	-

I. **Transfer for F & A Fees** (see guidelines for more information) N/A  

Annual Surplus (Deficit) \$ - 0 0 0 0

**UNIVERSITY OF GUAM FY2022 Special Appropriations Fund Budget**

Account Name: Guam Aquaculture Dev and Training Center Signature-Dept Head: Lee S. Yudin

Account Number: 61-30-20004-R5

**Quarterly Breakdown**

Oct-Dec	Jan-Mar	Apr-June	Jul-Sept
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**Revenue (Please list sources)**

Special Appropriations from Gov Guam	114,000				
	<b>\$ 114,000</b>	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 FY22	\$ -			

**C. CONTRACTUAL SERVICES**

Item	Qty	Cost	Total				
Justification / Notes: _____	Total FY22	\$ -					

**D. SUPPLIES**

Item	Qty	Cost	Total				
Justification / Notes: _____	Total FY22	\$ -					

**E. EQUIPMENT: below \$5,000**

Item	Qty	Cost	Total				
Justification / Notes: _____	Total FY22	\$ -					

**F. MISCELLANEOUS Expense**

Item	Qty	Cost	Total				
General misc.	1		14,000				
Justification / Notes: _____	Total FY22	\$ 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 FY22	\$ -					

**H. UTILITIES: Power, Water, Telephone**

Item	Total				
Power	-				
Telephone					
Justification / Notes: _____	Total FY22	\$ -			

**I. Transfer for F & A Fees: 10%**

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Annual Surplus (Deficit) \$ - 0 0 0 0

UNIVERSITY OF GUAM FY2022 Special Appropriations Fund Budget

Account Name: Guam Cultural Repository

Signature-Dept Head: Monique Storie, Dean-University Libr:

Account Number: \_\_\_\_\_

**Quarterly Breakdown**

Oct-Dec	Jan-Mar	Apr-June	Jul-Sept
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**Revenue (Please list sources)**

Special Appropriations from Gov Guam	1,469,057				
<b>\$</b>	<b>1,469,057</b>	367,264	367,264	367,264	367,264

**A. SALARIES AND BENEFITS**

See attached Staffing Pattern	\$ 975,832	243,958	243,958	243,958	243,958
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**B. OFF-ISLAND TRAVEL**

Name & Position of Traveler	Total				
Justification / Notes:	Total FY22	\$ -			

**C. CONTRACTUAL SERVICES**

Item	Qty	Cost	Total				
Facilities and A/C Maintenance, Monthly Pest Control, Custodial Services			72,684				
Justification / Notes:	Total FY22	\$ 72,684		18,171	18,171	18,171	18,171

**D. SUPPLIES**

Item	Qty	Cost	Total				
Acid-free boxes, Bags, Gloves, Sleeves, Artifact tags, Archival folders, Archaeological tools			32,000				
Justification / Notes:	Total FY22	\$ 32,000		8,000	8,000	8,000	8,000

**E. EQUIPMENT: below \$5,000**

Item	Qty	Cost	Total				
Computer Software			3,231				
Justification / Notes:	Total FY22	\$ 3,231				3,231	

**F. MISCELLANEOUS Expense**

Item	Qty	Cost	Total				
Justification / Notes:	Total FY22	\$ -					

**G. CAPITAL OUTLAY: Cost over \$5,000 - Equipment and Vehicles, All Library Acquisitions, All Building Repairs & Renovations**

Item	Qty	Cost	Total				
3D Scanner/camera and Computer			14,000				
Justification / Notes:	Total FY22	\$ 14,000.00				14,000	

**H. UTILITIES: Power, Water, Telephone**

Item	Total				
Power	270,188				
Water	101,122				
Total FY22	\$ 371,310	92,828	92,828	92,828	92,828

**I. Transfer for F & A Fees: 10%**

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Annual Surplus (Deficit) \$ 0 4,308 4,308 -12,923 4,308

**Guam Cultural Repository  
at the University of Guam  
FY 2022 Proposed Staffing Pattern**

Position	Salary	28.50%			1.45%			Total Benefits	Total
		Retirement	Retire (DDI)	Medicare	Life	Medical	Dental		
Archaeological Curation Specialist	45,581	12,991	495	661	186	11,917	468	26,718	72,299
Archaeological Curation Specialist	45,581	12,991	495	661	186	11,917	468	26,718	72,299
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Archaeological Curation Specialist	45,581	12,991	495	661	186	11,917	468	26,718	72,299
Archival Technician	45,581	12,991	495	661	186	11,917	468	26,718	72,299
Archival Technician	45,581	12,991	495	661	186	11,917	468	26,718	72,299
Archivist and Records Manager	77,498	22,087	495	1,124	186	11,917	468	36,277	113,775
Curator of Archaeological Collections	98,958	28,203	495	1,435	186	11,917	468	42,704	141,662
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Senior Computer Analyst	51,778	14,757	495	751	186	11,917	468	28,574	80,352

Total Proposed Personnel	975,832
Total Proposed Non-Personnel	493,225
Total Proposed Request	<u>1,469,057</u>

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 Dean Olah, Associate Professor of Education Foundation, School of Education

8.2 Recommendation for Tenure for Jeffrey Libao, Assistant Professor of Systems and Networking Services, University Libraries

8.3 Recommendation for Tenure for Irena Keckes, Associate Professor of Art, College of Liberal Arts and Social Sciences



## 9.0 VOTING FILE

9.1 Recommendation for Tenure for Dean Olah, Associate Professor of Education Foundation, School of Education

9.2 Recommendation for Tenure for Jeffrey Libao, Assistant Professor of Systems and Networking Services, University Libraries

9.3 Recommendation for Tenure for Irena Keckes, Associate Professor of Art, College of Liberal Arts and Social Sciences

## 10.0 ADJOURNMENT