



Speaker Won Pat <speaker@judiwonpat.com>

Messages and Communications February 2013 Boardbook in compliance with Public Law 31-233

1 message

Speaker Won Pat <speaker@judiwonpat.com>

Thu, May 30, 2013 at 9:12 AM

To: Guam Legislature Clerks Office <clerks@guamlegislature.org>

5/30/2013 5/30/2013 University of Guam

Boardbook for the February 28, 2013 University of Guam Board of Regents regular meeting, submitted in compliance with PL 31-233**E-MAILED** 32-13-450

----- Forwarded message -----

From: Louise Toves <lmtoves@uguam.uog.edu>

Date: Thu, Feb 28, 2013 at 8:45 PM

Subject: February 2013 Boardbook in compliance with Public Law 31-233

To: Crystal Duenas <crystal.duenas@guam.gov>, sandra.miller@guam.gov, speaker@judiwonpat.com

Cc: Victorina Renacia <vrenacia@uguam.uog.edu>, Jonas Macapinlac <jmacapinlac@uguam.uog.edu>

Hafa Adai,

Please find the attached Boardbook for the February 28, 2013 University of Guam Board of Regents regular meeting, submitted in compliance with PL 31-233. It will also be posted on the UOG website. Please do not hesitate to contact me if you have any questions. Thank you, Louise

Louise M. Toves

Executive Assistant to the President

University of Guam

UOG Station, Mangilao, Guam 96923

(671) 735-2995; fax (671) 734-2296

32-13-450

Office of the Speaker
Judith T. Won Pat, Ed. D.
Date: 5/30/13
Time: 9:00a
Received by: [Signature]

Ufisinan I Etmås Ge'helo'Gi Liheslaturan Guåhan

Office of Speaker Judith T. Won Pat Ed.D.

Kumiten Idukasion yan Laibirihan Publeko

Committee on Education and Public Libraries & Women's Affairs

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2013 MAY 30 AM 9:29 (671) [Signature]

UOG BOR February 2013 Boardbook_reporting requirement.pdf
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UNIVERSITY OF GUAM
UNIBETSEDAT GUAHAN
Board of Regents

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

REGULAR MEETING

**Thursday, February 28, 2013, 5:30 p.m., AV Room 1, RFK Library,
Tan Siu Lin Building, UOG Campus, Mangilao, Guam**

AGENDA

- 1.0 CALL TO ORDER**
- 2.0 MEETING MINUTES**
 - Action 2.1 Regular Meeting Minutes of December 13, 2012**
- Information 3.0 CHAIRMAN'S REMARKS**
- Information 4.0 PRESIDENT'S REPORT**
- 5.0 REPORTS FROM STANDING COMMITTEES**
 - 5.1 Academic, Personnel and Tenure Committee**
 - Action 5.1.1 Resolution No. 13-01, Relative to the Approval and Ratification of the Negotiated Agreement between the Board of Regents and the University of Guam Faculty Union, American Federation of Teachers Local 6282**
 - 5.2 Student Affairs, Scholarship, Alumni Relations, and Honorary Degree Committee**
 - Action 5.2.1 Resolution No. 13-02, Relative to Approving the Student Financial Assistance Program Rules and Regulations**
 - Action 5.2.2 Resolution No. 13-03, Relative to Approving the Proposed Student Financial Assistance Program FY2014 Budget Including the Yamashita Teacher Corps, which Provides Benefits for AY 2013-2014 for New Applicant and Continuing Recipients**
 - 5.3 Budget, Finance, Investments and Audit Committee**
 - Information 5.3.1 Investment and Financial Update**
 - Information 5.3.2 Collections Report**
 - Information 5.3.3 Procurement Transactions and Contracts Report**
 - Information 5.3.4 Consultation on BOR Resolution No. 12-32, Relative to Approving the Proposed Tuition Rate Changes**
 - Action 5.3.5 Resolution No. 13-04, Relative to Adopting the Results of the Deloitte and Touche LLP Financial Statements Audit and Compliance Audit for the Fiscal Year Ended 30 September 2012**

- Action** 5.3.6 Resolution No. 13-05, Relative to Approving the FY2014-15 General Operations Budgets
- Action** 5.3.7 Resolution No. 13-06, Relative to Approving the FY2014 Non-Appropriated Fund Budgets
- Action** 5.3.8 Resolution No. 13-07, Relative to Approving the FY2014 Auxiliary Budgets
- Action** 5.3.9 Resolution No. 13-08, Relative to Amending the Approval of Procurement Awards and Contracts
- 5.4 **Physical Facilities Committee**
- Information** 5.4.1 Plant and Facilities Update
- Action** 5.4.2 Resolution No. 13-09, Relative to Approving the University of Guam Vision 2025 Physical Master Plan
- 6.0 **AD HOC REPORT: ENDOWMENT FOUNDATION UPDATE**
- 7.0 **NEW BUSINESS**
- 8.0 **OPEN PRESENTATION (3 Minute Limit Per Person)**
- 9.0 **EXECUTIVE SESSION**
- 9.1 **Tenure Recommendation from the Academic, Personnel and Tenure Committee for Dr. Amy Owen, Assistant Professor of Geography**
- 9.2 **Dean Emerita Recommendation from the Academic Personnel and Tenure Committee for Dr. Mary Spencer**
- 9.3 **EEO Matter (EEO-12-001)**
- 10.0 **VOTING FILE**
- Action** 10.1 **Tenure Application of Dr. Amy Owen**
- Action** 10.2 **Dean Emerita Application of Dr. Mary Spencer**
- 11.0 **ADJOURNMENT**

Chairperson W. Chris Perez will call the meeting to order.



**UNIVERSITY OF GUAM
UNIBETSEDAT GUAHAN**

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

**Regular Meeting Minutes
December 13, 2012**

1.0 CALL TO ORDER

The Regular Meeting of the Board of Regents (BOR) was called to order by BOR Chairperson W. Chris Perez on December 13, 2012, at 5:30 p.m., in AV Room #1, University of Guam RFK Library, Tan Siu Lin Building, notice of such meeting having been duly and regularly provided by the BOR. With no objections being made, Chairperson Perez amended the agenda, switching item number 8.0 New Business to precede 7.0. Open Presentation

QUORUM:

W. Chris Perez	Chairperson
Kathy Sgro	Vice Chairperson
John Arroyo	Treasurer
William Leon Guerrero	Member
Marcos Fong	Member
Toni Sanford	Member
Anthony Quenga	Member
Elizabeth Gayle	Member
Jillette Leon-Guerrero	Member

ALSO PRESENT:

Robert A. Underwood	Executive Secretary
Louise M. Toves	Recording Secretary
Victorina M.Y. Renacia	Legal Counsel

2.0 MEETING MINUTES

2.1 Regular Meeting Minutes of September 20, 2012

Regent W. Leon Guerrero moved for approval of the Regular Meeting Minutes of September 20, 2012 subject to corrections, which was duly seconded. Chairperson Perez requested that effective today, the minutes reflect the identity of the individual who called the meeting to order. He also noted a typographical correction to the September minutes, on page 2, paragraph 3, the name "Ferrer" be corrected to "Farrer." The motion carried.

Board of Regents Regular Meeting Minutes of December 13, 2012

3.0 CHAIRPERSON'S REMARKS

Chairperson Perez wished everyone happy holidays and a blessed holiday season, asking that we respect all faiths at this time as we exchange holiday greetings.

He welcomed Regent Jillette Leon-Guerrero to her first meeting, as she has been appointed by the Governor and confirmed by the legislature as the BOR's newest regent. He asked her to introduce herself. Regent J. Leon-Guerrero stated that she publishes books and research through her company, Guamology, and she is excited to be a part of the BOR.

He noted that as UOG's 60th anniversary celebration comes to a close, he wants to thank all those who supported these efforts. He recognized UOG business partners Simply Foods for the month of October and Payless Markets for the month of November. He noted that the focus is on the Arts for this month, and several shows are being offered. Chairperson Perez then stated that it has been a fantastic year and congratulated everyone for their participation. He noted the successful donor recognition event, the installation of the donor wall at the Field House and the 2012 Alumni Reunion. He acknowledged the work of Norman Analista and other supporters of the Alumni Reunion.

Chairperson Perez introduced Dr. Kate Moots, who was tenured at the last BOR meeting and invited her to address the BOR. Dr. Moots stated that she is very excited to be awarded tenure as her desire was to be tenured here at UOG since her arrival on Guam. She noted that she and her husband have been in Micronesia for over 12 years. She stated that she enjoys being able to teach biology to very driven students. She stated that while she does challenge her students, it provides them with an education that is on the same level of their peers anywhere in the world. Dr. Moots reported that she teaches many different courses, loves to teach and appreciates that she is able to teach students and spend time with them. She briefly described her current research involving seahorses. She thanked the BOR for awarding her tenure. Chairperson Perez congratulated her again and stated that he hopes she will continue to contribute to UOG for many years to come.

He congratulated, on behalf of the BOR, all students who will be graduating at the Fall 2012 commencement. He further expressed his appreciation to all staff and faculty who work very hard so that our students are able to receive the education they deserve.

4.0 PRESIDENT'S REPORT

President Underwood gave the President's report, a summary of which is attached. Chairman Perez thanked President Underwood for his report and the activities of the executive office. He commended the administration and staff for their efforts in garnering the confidence of the legislature in managing the SFAP program.

5.0 REPORTS FROM STANDING COMMITTEES

5.1 Academic, Personnel, and Tenure Committee

Vice Chairperson Sgro noted that there are five action items from the AP&T committee, however, the tenure recommendation will be addressed under executive session.

Board of Regents Regular Meeting Minutes of December 13, 2012

5.1.1 Resolution No. 12-25, Relative to Approving the Fall 2012 Commencement Graduate Listing

Regent Sgro introduced Resolution No. 12-25, which was duly seconded. She made a brief report regarding the commencement details. The motion carried.

5.1.2 Resolution No. 12-26, Relative to Approving the Development of a Voluntary Faculty Phased Retirement Program

Regent Sgro introduced Resolution No. 12-26, which was duly seconded. The motion carried.

5.1.3 Resolution No. 12-27, Relative to Approving a Furlough Policy for Non-Faculty Employees

Regent Sgro introduced Resolution No. 12-27, which was duly seconded. She gave a synopsis of the need for and purpose of the policy. The motion carried.

5.1.4 Resolution No. 12-28, Relative to Implementing the University's Reapportioned FY2013 Budget to Include a Salary Increment Freeze for Academic Personnel

Regent Sgro introduced Resolution No. 12-28, which was duly seconded. She gave a brief explanation of the reasoning behind the resolution. Chairperson Perez recognized Faculty Union Chairperson Platt for comment. Dr. Platt clarified that the letter from the Faculty Union did not oppose the resolution, that it recognized the authority of the administration to freeze increments based on the unavailability of funds but asked that a monthly determination be made regarding the availability of funds for faculty increments. The motion carried.

5.2 Student Affairs, Scholarship, Alumni Relations and Honorary Degree Committee

5.2.1 Resolution No. 12-29, Relative to Awarding the Honorary Degree of Doctor of Humane Letters to Robert H. Jones

Regent Fong introduced Resolution No. 12-29, which was duly seconded. He briefly outlined the contributions that Mr. Jones has made to Guam's community. The motion carried.

5.2.2 Resolution No. 12-30, Relative to Approving the Reapportioned Student Financial Assistance Program FY2013 Budget Including the Yamashita Teacher Corps, which Provides Benefits for AY 2012-2013 for New Applicant and Continuing Recipients

Regent Fong introduced Resolution No. 12-30, which was duly seconded. He noted that the changes in the budget will not impact new and continuing SFAP recipients. The motion carried.

5.2.3 Resolution No. 12-31, Relative to Approving the Career Priority Listing for AY2013-2014

Regent Fong introduced Resolution No. 12-31, which was duly seconded. He explained the purpose of the Career Priority Listing (CPL) and the outcome of the public hearing which was held regarding the CPL. The motion carried.

Board of Regents Regular Meeting Minutes of December 13, 2012

5.3 Budget, Finance, Investments and Audit Committee

5.3.1 Financial Update

Regent Arroyo provided a report on the Budget, Finance, Investments and Audit Committee and Investment Committee meetings.

5.3.2 Collections Report

Regent Arroyo reported that collections are tracking with the collections forecast, having collected \$616,000 of the \$625,000.

5.3.3 Procurement Transactions and Contracts Report

Regent Arroyo reported that there were four contracts and one purchase order over the \$100,000 threshold for reporting.

5.3.4 Resolution No. 12-32, Relative to Approving the Proposed Tuition Rate Changes

Regent Arroyo introduced Resolution No. 12-32, which was duly seconded. He then gave a brief overview of the need leading to the proposed changes in tuition rate, the public hearing which was held regarding the proposed changes, and the efforts being made by the legislature to provide additional support to avert a tuition increase. Chairperson Perez commented that the terms specified in the resolution are very important and that if tuition relief is provided, the President is able to consult with the BOR Chairperson, SASARHD Committee Chairperson and BFIA Committee Chairperson to modify the proposed increases. The motion carried.

5.3.5 Resolution No. 12-33, Relative to Approving the Reapportioned FY2013 General Operations, NAF and Auxiliary Fund Budgets

Regent Arroyo introduced Resolution No. 12-33, which was duly seconded. He reported that as a result of the \$3.4M shortfall in FY2013 funding, adjustments were made to reapportion the budget initially approved by the BOR earlier this year. The motion carried.

5.4 Physical Facilities Update

5.4.1 Plant and Facilities Update

Regent W. Leon Guerrero provided the plant and facilities update, as well as a brief report on the Physical Facilities Committee meeting. He noted that Mr. Bobby Pelkey has retired and Ms. Ann S.A. Leon Guerrero is the Acting Director of Athletics/Field House. Also, Mr. Bill Palomo retired and the Acting Safety Supervisor is Mr. Felix Mansapit.

Chairperson Perez acknowledged the many years of service that Mr. Pelkey and Mr. Palomo have provided to the University and expressed his appreciation for their efforts.

5.4.2 Physical Master Plan Update

No update was provided.

Board of Regents Regular Meeting Minutes of December 13, 2012

5.4.3 Resolution No. 12-34, Relative to Naming the English and Communications Building the “Tan Lam Pek Kim English and Communications Building”

Regent W. Leon Guerrero introduced Resolution No. 12-34, which was duly seconded. The motion carried.

5.4.4 Resolution No. 12-35, Relative to Approving the University of Guam 60th Anniversary Capital Campaign Naming Opportunities Plan

Regent W. Leon Guerrero introduced Resolution No. 12-35, which was duly seconded. The motion carried.

6.0 AD HOC REPORT: ENDOWMENT FOUNDATION UPDATE

President Underwood gave a brief report, noting that the Capital Campaign has raised approximately \$3M. He stated that there will be stronger focus on Alumni giving in collaboration with Norman Analista, Director of Development and Alumni Affairs. He noted that the Tan Siu Lin Foundation made its second \$1M donation as a result of an alumni connection. He also noted that the Donor Appreciation event was very successful and will continue to be an annual event.

8.0 OPEN PRESENTATION (3 Minute Limit per Person)

Chairman Perez opened the floor for open presentations.

Dr. Platt invited the BOR members to attend the training on the negotiation process, which will be held on Monday, January 14th. He also stated that he hoped all of the Regents would be provided copies of the letter that the Faculty Union sent to the administration in consultation regarding the increment freeze, if they have not already received a copy.

Student Regent Anthony Quenga stated that he wanted to thank the administration and regents for their support in considering the plight of the students in decision making regarding tuition increases. Chairperson Perez commended UOG for its transparency in evaluating these difficult situations and acknowledged that the BOR is cognizant and sensitive to the situation of UOG students. He also noted the concern that the cost of education can become a barrier for attendance.

SGA President Jesse Quenga stated that he is looking forward to the legislation moving quickly and a Christmas miracle in preventing an increase in tuition rates. He also noted that he supports Regent Quenga's earlier comments. Chairperson Perez thanked President Quenga for his leadership.

9.0 NEW BUSINESS

8.1 Board of Regents Orientation Handbook Update

Regent Gayle moved that the BOR approve the process by which the BOR will engage in updating and adopting changes to the Orientation Handbook, which does not contain any

Board of Regents Regular Meeting Minutes of December 13, 2012

official policies. Chairperson Perez noted that the review can be done at the BOR retreat scheduled for next week. The motion was duly seconded and passed. Chairperson Perez called the meeting into recess, stating that as a gift to the UOG community, the BOR would present a Christmas song during the recess, which will be followed by Executive Session.

Chairperson Perez called the BOR back to regular session to recognize the passing of the father of Dr. Platt. Dr. Platt reported that his father was here during WWII and was pleased that his son chose to live on Guam, however, his father was never able to visit Guam again. Chairperson Perez called for a moment of silence to remember Mr. Charles D. Platt and extended condolences to the Platt family. After the moment of silence, Chairperson Perez moved the meeting into Executive Session.

9.0 EXECUTIVE SESSION

9.1 Tenure Recommendation from the Academic, Personnel and Tenure Committee for Dr. Hui Gong, Associate Professor of Aquaculture

10.0 VOTING FILE

Upon returning to Open Session, Chairperson Perez opened the floor to address the recommendations discussed in Executive Session.

10.1 Tenure Application of Dr. Hui Gong


Vice Chairperson Sgro moved that the Tenure application of Dr. Hui Gong be approved, which was duly seconded. The motion carried. Chairperson Perez asked that Dr. Gong be notified and invited to attend the next BOR meeting to allow the BOR to meet her.

11.0 ADJOURNMENT

Chairperson Perez adjourned the meeting at 6:50 p.m.


Dr. W. Chris Perez, Chairperson

ATTESTED:


Dr. Robert A. Underwood, Executive Secretary

PRESIDENT'S REPORT
December 13, 2012

1. The Great University of Guam Conversations

Over the past several months, I have held several meetings which I have called "Conversations" regarding the University's Good to Great Initiative. I will elaborate on the details of these conversations during the Board of Regents' retreat scheduled for next week. It will include refining the way the University evaluates its programs and activities.

2. FY2013 Budget Reapportionment and Financial Management Plan

The University faces an unprecedented \$8.4M financial shortfall in FY13 associated with the appropriations provided under PL31-233 and BBMR's 15% appropriation reserve. In response we have developed our FY13 reapportioned budgets and a Financial Management Plan, which will be presented to the Board tonight. In seeking your approval we alert you to the increasing difficulties in balancing the budgets and sustaining current operations within the resources that are currently available.

3. FY2014-15 Strategic Planning and Budget Retreat and Budget Call

The five Great UOG conversations and our resource challenges were the context for our annual FY2014-15 strategic planning and budget retreat, which was held on December 3. Approximately fifty administrators, faculty, staff and student representatives attended on December 3. This year's theme was *Building the Great University of Guam*. At the retreat we reviewed the status of strategic projects, discussed our financial performance, and determined priorities and assumptions for our FY14-15 budgets. We will review our FY14-15 budgets, priorities and plans at the February 2013 Board meeting. These are our next steps in the process of building a great and sustainable University of Guam.

4. Fall 2012 commencement (estimate)

Fall 2012 - 174 undergraduates, 39 graduates

Summer 2012 - 4 undergraduate, 7 graduate

UOG Army SROTC program will present Louie Alfred Flores, son of Alfredo and Luisita Flores, who will be commissioned on Saturday, December 15th.

16 graduates will be presented next week at the College of Micronesia – Federated States of Micronesia.

Commencement speaker is Bob Jones, a community entrepreneur, successful businessman and civic leader.

5. 60th Anniversary Donors and Donor Appreciation Event

I'd like to recognize the most recent donors to UOG's capital campaign:

Triton Architect - \$10,000 – Fred Horecky, who also pledged an additional \$10,000 toward an endowed scholarship program for UOG students.

21st Century Leaders - \$60,000 Moylan's Insurance Underwriters, Inc.;

21st Century Visionary - \$100,000 Triple J Enterprises; \$200,000 GTA TeleGuam

\$1million donor – Tan Siu Lin Foundation

The Capital Campaign also received the following donations from our monthly partner activities:

Chili's Guam – August Business Partner - \$1,082.66

Simply Foods – October Business Partner – \$497.42

Payless Markets – November Business Partner – \$3,023

I want to also congratulate the UOGEF staff and Executive Director Mark Mendiola for the successful Donor Appreciation Event that was held at the UOG Field House on November 28th. If you have not seen it, be sure to visit the Field House where the Donor Tree is installed on the wall to the left of the entryway.

6. 60th Anniversary Activities

As we close out the 60th anniversary, we have opened an Isla Art show and Music performance this month, which was a very entertaining juxtaposition of songs sung in the villages and those heard on the radio over the past 60 years. Regent Quenga was one of the performers.

What is now known as the University of Guam began in a quonset hut on the former George Washington High School campus in Mongmong in 1952. As part of the University's 60th Anniversary celebration, the Territorial College of Guam will be commemorated with a historical marker and the renaming of N. Old GW Road to the "Territorial College of Guam Road" at 10 a.m. on Tuesday, December 11. The site is located along Route 8 across from Coast 360 Federal Credit Union.

7. Legislation

PL 31- 237 – financial assistance legislation – was signed into law by Governor Calvo and gives UOG financial control of the Student Financial Aid Program. I would like to thank to Speaker Won Pat for her efforts in leading this effort.

Bill 524-31 – tuition relief and Bill 530-31 – LG SBPA building refinancing are both on the floor and up for vote.

8. Students

University of Guam's Army Senior Reserve Training Corps (SROTC) Triton Warrior Battalion held its change of command ceremony on September 28, 2012. The ceremony commemorated the handing of command from outgoing Cadet

Battalion Commander (C/LTC) Louie Flores of Yigo over to incoming (C/LTC) Ronnel Baris, also of Yigo. It also highlighted the exchange of responsibility from outgoing Cadet Command Sergeant Major (C/CSM) Peter Sakisat of Tinian to incoming C/CSM Lloyd Abigania of Saipan. It also featured the commissioning of TJ Hocog Atalig, a native of the island of Rota.

Mr. Adrian Medina, RN, a graduate of the University of Guam nursing program, received scholarship support in the amount of \$1,200 to attend the Pacific Global Health Conference. He presented his research entitled "Diabetes Risk Factors and the Likelihood of Modifying Lifestyle Behaviors among College Students" at the 2012 Pacific Global Health Conference which was held in Honolulu, Hawaii from October 8 through 10.

Five University of Guam undergraduate students from the College of Natural and Applied Sciences recently presented at the Annual Biomedical Research Conference for Minority Students (ABRCMS) held in San Jose, California November 1-10, 2012. ABRCMS is the largest, professional conference for biomedical and behavioral students and is designed to encourage underrepresented minority students to pursue advanced training in the biomedical and behavioral sciences and provide faculty mentors and advisors with resources for facilitating students' success.

UOG Faculty, Dr. Grazyna Badowski, Mathematics and Dr. Tim Righetti, Biology, accompanied the students and served as judges for student presentations from other colleges and universities. All five UOG students presented at the conference.

- Chasy Amado; Mary Rose Canlas; Norma Elizaga; Daniel Taitano; and Alisha Yamanaka

Daniel Taitano, a UOG sophomore in Biology, received a prestigious BRCMS Certificate of Achievement for his physiology poster. Funding for the trip was supplied by the ABRCMS organizers, the College of Natural and Applied Sciences and the UOG Office of Research and Sponsored Projects.

Laurie Tumaneng, a University of Guam senior who is working toward a double major in Political Science and Sociology, has been selected for the 2013-2014 Political Science Association Minority Fellowship (APSA MFP). The APSA MFP provides students who are entering a Ph.D. Program in Political Science with a fellowship totaling \$4,000 for their first two years. This fellowship is in its 44th year and it is a distinguished honor in the political science discipline.

UOG Pre-engineering students held a Spaghetti Bridge Contest on December 3rd. The challenge was to build one kilogram bridges that spanned one meter and build it out of spaghetti or other noodles. Of the four bridges entered, two broke under the starting weight load of 10lbs, the 3rd broke while hold 30 lbs, and the winning bridge was able to hold 55-pounds.

9. Recognition

On October 13th, UOG Marine Lab scientist and Director, Dr. Laurie Raymundo, was interviewed via skype about her work and conservation issues affecting Guam reefs as part of the 28th annual Science Frontières Festival, 24 Hours on Earth Live. The event, which is headquartered in Marseille, France, was broadcast online. Dr. Raymundo is senior editor and co-author of *Coral Disease Handbook: Guidelines for Assessment, Monitoring & Management*, a book on the etiology and a management of coral diseases.

The University of Pittsburgh Medical Center (UPMC) through the Guam Healthcare and Hospital Development Foundation has donated \$18,000 to the University of Guam School of Nursing and Health Sciences for diabetes education or research.

Robert Andreas, Professor of Education at the College of Micronesia, and Dr. James Sellmann, Dean of the College of Liberal Arts & Social Sciences at the University of Guam, have co-authored an article entitled "Pacific Island Environmental Philosophy" for the *Encyclopedia of Sustainability: The Americas and The Pacific*, Vol. 8., 2012. The article explicates the environmental philosophy and long standing sustainability practices and customs of Pohnpei and makes generalizations to other Pacific island cultures. Professor Andreas is a UOG alumnus.

In a November 20 press release from the White House, President Barack Obama announced the appointment of key Administration posts, including my re-appointment to the Board of Directors of the National Board for Education Sciences. I have served as a Member of this Board since 2011.

Margaret Hattori-Uchima, an assistant professor at the University of Guam School of Nursing and Health Sciences, recently earned her Ph.D. in Nursing from Villanova University. Her dissertation, "Chuukese Migrant Women in Guam: Perceptions of Barriers to Health Care" passed without any revisions, making her the 25th Ph.D. from Villanova University's College of Nursing. TakeCare provided funding support for Dr. Hattori-Uchima as she pursued her Ph.D.

The University of Guam Cancer Research Center and the University of Hawaii Cancer Center presented the 2012 Cancer Research Update on November 30th. The presentation featured an overview of the UOG/UHCC Partnership Grant that has been funded by the National Institutes of Health / National Cancer Institute in Washington, D.C.

University of Guam Marine Lab scientist, Tom Shils and coauthor Heroen Verbruggen of the University of Melbourne have recently published an article describing a new species of algae found in the waters of Guam. *Rhipilia coppejansii* is the fifth green alga described from the Mariana Islands and the first one since 1978.

Some recent changes have occurred with the staffing of my office. Former DIMC Cathleen Moore Linn has been appointed Director, Professional and International Programs. Jonas Macapinlac has been

appointed to serve as Director, Integrated Marketing Communications. Please join me in congratulating both of these individuals, who have both demonstrated commitment to the growth of the University. I also want to recognize Dr. Frankie Laanan, the new Dean for School of Education.

The University of Guam (UOG) is one step closer to creating a NOAA Sea Grant College Program. UOG Sea Grant's excellent performance since 2004 has earned it a promotion in the four-tiered system NOAA follows to establish new Sea Grant College programs, which are funded by NOAA to promote the wise stewardship of coastal resources. UOG Sea Grant is a part of a national network of programs located at coastal and Great Lakes colleges, administered by NOAA. NOAA and the University of Guam established Guam Sea Grant as a "Project" in 2004.

10. Travel

I will be traveling to Washington DC next month to attend the CHEA conference.

Chairperson W. Chris Perez will give his remarks.

President Robert A. Underwood will give his report.

Reports from the Standing Committees will be heard at this time.

Acting AP&T Committee Chairperson Marcos Fong will report on the AP&T Committee meeting.



**UNIVERSITY OF GUAM
UNIBETSEDAT GUAHAN
BOARD OF REGENTS**

RESOLUTION NO. 13-01

**RELATIVE TO THE APPROVAL AND RATIFICATION OF THE NEGOTIATED AGREEMENT
BETWEEN THE BOARD OF REGENTS AND THE UNIVERSITY OF GUAM FACULTY
UNION, AMERICAN FEDERATION OF TEACHERS LOCAL 6282**

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

WHEREAS, the governance and well-being of the University is vested in the Board of Regents (BOR); and

WHEREAS, the University has a regional mission of teaching, research and service; and

WHEREAS, Article V. D. 2. of the University's Rules, Regulations and Procedures Manual, states that the Board of Regents, or their designee, will, upon the specific request of an employee organization granted exclusive recognition, negotiate a written agreement with the employee organization; and

WHEREAS, BOR Resolution No. 04-23 acknowledges the University of Guam Faculty Union, American Federation of Teachers Local 6282 ("Faculty Union") to be the successor to the representation rights of the GFT/UOG Faculty Union, GFT Local 1581, an organization which was granted recognition as the sole bargaining agent of the University Faculty; and

WHEREAS, the Board and the Faculty Union recognize that the fulfillment of the mission and purposes of the University of Guam requires a mutual understanding and definition of the relationships between the Board and the Administration on the one hand and the Faculty on the other hand; and

WHEREAS, a negotiated Board/Union Agreement is the primary legally binding document that defines those relationships; and


WHEREAS, the Administration's negotiating team (comprised of Dr. Helen J.D. Whippy as chief negotiator, along with Dr. Lee Yudin, Dr. Anita B. Enriquez, Dr. Julie Ulloa-Heath, and Mr. Larry Gamboa with Ms. Kathy Wood and Ms. Christine Scott-Smith as alternates), and the Union's negotiating team (comprised of Dr. Donald L. Platt as chief negotiator, along with Dr. James McConnell, Dr. Kyle Smith, Dr. Gary Denton, and Dr. Roseann M. Jones) negotiated a draft Agreement in record time in early January 2013, demonstrating the goodwill of both parties and the willingness to listen and think creatively about solutions; and

WHEREAS, University of Guam Faculty Union members ratified the negotiated Agreement in a vote that was held on February 14, 2013, and Dr. Donald L. Platt, Faculty Union President certified the official results of the vote; and

WHEREAS, the Academic, Personnel, and Tenure Committee recommends to the Board approval of the proposed Board of Regents/Faculty Union Contract as negotiated by the two teams and ratified by the members of the Faculty Union.

NOW, THEREFORE, BE IT RESOLVED, that the Board of Regents approves and ratifies the negotiated 2013 Agreement between the Board of Regents and the University of Guam Faculty Union.

Adopted this 28th day of February, 2013.



Dr. W. Chris Perez, Chairman

ATTESTED:



Dr. Robert A. Underwood, Executive Secretary

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ARTICLE I

PREAMBLE

The Board of Regents of the University of Guam, hereinafter referred to as the “Board,” and the University of Guam Faculty Union, Local 6282 of the American Federation of Teachers, hereinafter referred to as the “Union,” and the University President, hereinafter referred to as the “President,” recognize that the fulfillment of the mission and purposes of the University of Guam requires a mutual understanding and definition of the relationships between the Board and the Administration on the one hand and the Faculty on the other hand. Attainment of these objectives is a mutual responsibility and requires collegial participation in the consideration of matters of mutual concern.

The Board and the Union further recognize that the attainment of these objectives requires cooperation among the Board, the Administration, and the Faculty. To this end, the free and open exchange of views is necessary with all parties participating. The Union and the Board are committed to the principle of shared governance. To ensure an independent Faculty voice, representatives of the Faculty shall be selected by the Faculty according to procedures determined by the Faculty.

In the exercise of its rights and responsibilities, the Board shall consult with the Union, in the spirit of collegiality and good faith, in the determination of appropriate conditions of employment for Faculty members.

The Board and the Union recognize that there are many issues that are of mutual concern to labor and management and that can best be addressed through cooperative action. It is the Board’s and Union’s position that the majority of University Faculty and Administrators are committed to this process.

Committed efforts shall be made by the Board and the Union to preserve the integrity and intent of this *Agreement*.

ARTICLE II

RECOGNITION

A. BOARD RECOGNITION OF THE UNION AS SOLE BARGAINING AGENT

The Board hereby recognizes the Union as the exclusive and sole negotiation agent for the bargaining unit composed of the non-supervisory, full-time employees (hereinafter referred to as "Faculty") in the following classes of positions at the University of Guam:

Assistant Instructor
Instructor
Assistant Professor
Associate Professor
Professor
Extension Agents I, II, III, IV
Extension Specialist

B. UNION RECOGNITION OF THE BOARD'S PREROGATIVES

The Union recognizes that the operations and administration of the University shall be fully vested in its Board of Regents and the President, as the executive agent of the Board and the Chief Executive Officer of the University, and their duly designated representatives.

The Board retains the right and responsibility for the operations and administration of the University, through their duly designated Administrators, in accordance with all applicable laws and University policies, rules, regulations, guidelines, practices, and provisions of this *Agreement*. For example, the Administration has the regulated authority to hire, assign, transfer, suspend, promote, evaluate, discipline, lay off, or discharge Faculty members.

C. RECOGNITION OF THE FACULTY SENATE

Without waiving any Union rights as the sole bargaining agent, the Union and the Board of Regents recognize the desirability of a democratic governance system for Faculty in areas of academic concern. Such a governance system is implemented through a democratically elected and representative Faculty Senate.

ARTICLE III

UNION RIGHTS CLAUSE

A. UNION ACCESS TO UNIVERSITY PREMISES

Duly certified representatives of the Union shall be permitted on University premises at all reasonable hours for the purpose of conducting official Union business such as assisting in the resolution of Faculty complaints and grievances, and the maintenance and monitoring of this *Agreement*.

B. UNION USE OF UNIVERSITY FACILITIES

The Union may use the University's facilities and equipment, upon request, subject to the University's policies and procedures.

C. UNION USE OF UNIVERSITY COMMUNICATION SERVICES

The Union shall be permitted to use the University's communication services for the purposes of intracampus distribution, subject to the University's policies and procedures.

D. UNION USE OF BULLETIN BOARDS AT THE UNIVERSITY

The Union may post bulletins and notices pertaining to official Union business on official bulletin boards. All such postings shall be made over the signature of a certified Union representative and shall be coordinated with the individual responsible for the bulletin board.

E. UNION ACCESS TO INFORMATION FROM THE BOARD

Upon written request, the Board shall provide the Union with information necessary for the Union to adequately represent the bargaining unit, provided the information is available and is not confidential.

F. WORK LOAD OF THE FACULTY UNION PRESIDENT

1. The Faculty Union President shall receive a one-quarter (0.25) FTE load allocation each semester to conduct Union business related to the implementation of this *Agreement*. If the Faculty Union President holds a nine-month Faculty appointment, he or she will be placed on a twelve-month appointment with a one-quarter (0.25) FTE load allocation each semester for work related to the implementation of this *Agreement*. The Dean/Director will assign the remainder of the Union President's duties, and the Union President may petition the Dean/Director for an additional load allocation when warranted by the workload related to the implementation of this *Agreement*.

2. It is understood that the Faculty Union President's one-quarter (0.25) FTE load allocation related to the implementation of this *Agreement* does not preclude a load allocation for other responsibilities.

G. PRINTING AND DISTRIBUTION OF THE *AGREEMENT*

Upon ratification by the Board and the Union, this *Agreement* shall be printed and distributed to all affected persons. The Board and the Union shall share expenses for this printing, and any subsequent printing, on an equal basis.

H. NONDISCRIMINATION AGAINST UNION OFFICERS OR MEMBERS

1. Neither the Board nor the Administration shall discriminate against, or discipline, any officer of the Union Executive Board for legitimate activities undertaken while performing his or her duty of fair representation.
2. Neither the Board nor the Administration shall discriminate against any Faculty member with respect to hours, wages, or terms and conditions of employment by reason of his or her membership in the Union.

I. MONTHLY MEETING BETWEEN THE UNIVERSITY PRESIDENT AND THE UNION PRESIDENT

The President of the University and the Union President shall schedule a conference at least once each month. Other participants may be invited by mutual agreement.

J. CONSULTATION

1. The Faculty Union shall have the right to present its views to the Board and the Board's representatives on matters of concern. It shall also have the right to hold consultations and discussions with the Administration about personnel policies, practices, and other matters affecting the specific working conditions of bargaining unit members as enumerated in this *Agreement*.
2. The Faculty Union President may attend all regular and special Board meetings (excluding executive sessions). He or she may speak on each issue as it is discussed.
3. The Executive Secretary of the Board of Regents shall provide the Faculty Union President with notices, agenda, and minutes of all regular, special, and sub-committee meetings of the Board; and copies of all proposed actions and official non-confidential correspondence related to wages, hours, and working conditions. All such documents shall be given to the Union President when they are given to the Board members.

4. The President shall be responsible for ensuring and providing the Faculty Union President the opportunity for consultation regarding policies and procedures related to personnel policies, practices and any other matter affecting the specific working conditions of bargaining unit members prior to approval or submission to the Board.

ARTICLE IV

FACULTY RIGHTS AND RESPONSIBILITIES

A. FACULTY RIGHTS

The Board of Regents and the Union agree that the Board and the Administration shall accord just and equitable treatment to all Faculty members in the exercise of their professional rights, privileges, and responsibilities. The two parties further agree that the Board and the Administration shall not deprive any Faculty member of their rights and privileges within the University without due process. Faculty members shall exercise these rights, privileges, and responsibilities in a professional manner as members of the University community and with due regard for the attendant rights of all others.

The Board of Regents and the Union agree that the following are rights the Board and the Administration shall accord to all Faculty members:

1. Academic freedom rights, which include:
 - a. the right to introduce controversial topics into the classroom as long as these topics are related to the subject under study;
 - b. the right to pursue research and to publish research findings as part of one's academic duties, and to conduct their research honestly and report their findings accurately; and
 - c. the right to express their views (orally or in writing) on controversial matters within as well as beyond their areas of special expertise without being subject to censorship or disciplinary action by the Administration.
2. Freedom of speech and expression;
3. Freedom to communicate with members of the Board, with any member of the University Administration, with officials of the Government of Guam and the Legislature, with members of accrediting bodies, and with the media without being subject to censorship or disciplinary action by the Administration.

It is understood that unless authorized to serve as such, Faculty members are not the official spokespersons for the University, and Faculty members have the duty to make it clear if and when they do not speak for the University;
4. Freedom of association;
5. Freedom from any discrimination that violates the University's statement of nondiscrimination and affirmative action;

6. The right to privacy, safety, and security of their possessions while on University premises. Faculty members, however, are responsible for securing their personal property with due diligence. This right to security does not abridge the Administration's right to access all offices for safety and security reasons.

B. DUE PROCESS AND JUST CAUSE IN DISCIPLINARY ACTIONS

If the Administration takes any action against a Faculty member that could result in discipline up to and including dismissal, or result in the loss of Faculty rights granted and specifically stated in this *Agreement*, University policy, or both, such action shall comply with the provisions of due process and such action shall be for just cause.

C. FILES ON FACULTY

Files on Faculty maintained by the Administration are governed by the following rules:

1. Number and location

The Administration may keep any number of files in various locations on Faculty members, but the Administration shall maintain only one (1) Official Personnel File for each Faculty member. The Official Personnel File shall be located in the Human Resources Office. The Official Personnel File shall contain all documents (including official BOR-approved student evaluations) and other information that relate to the work performance of, or may affect the employment status of, the Faculty member. Only documents in the Official Personnel File, materials supplied by the Faculty member, or materials requested by an Administrator or the Promotion and Tenure Committee during the course of an evaluation conducted under Article V of this *Agreement*, shall be used in evaluating the Faculty member regarding his or her work performance or employment status. All files maintained on Faculty by Administration are subject to the Privacy Act of 1972.

2. Contents of the Official Personnel File

The Faculty member shall have the right to have full knowledge of the Official Personnel File's contents, and the file may be comprised of anything that documents or supports performance or employment status. Such documentation could include, but would not be limited to, personnel actions, commendations, and copies of official Board-approved student evaluations. Each Faculty member has the right to review the contents of his or her Official Personnel File in the Human Resources Office upon request during normal business hours.

3. Persons authorized to place material in, have access to, and copy contents of Official Personnel Files

Only the Faculty member or the Administration may have documentation placed in the Official Personnel File. Other than documents generated on a routine basis, all documents placed in the File shall include a written notation identifying who had the document placed in the File. Only an authorized official, the Faculty member, or a person authorized by the Faculty member, may inspect and read the contents of the Official Personnel File.

If the Faculty member requests a copy of any document(s) in the Official Personnel File, the Administration shall, absent extraordinary circumstances, provide the requested copies within five (5) business days of the Faculty member's request. The Faculty member shall pay for the copies at the current duplication costs per page.

4. Notification of placement of materials in the Official Personnel File

Faculty members must be notified, in writing, or by receiving a copy of, any document placed in their Official Personnel File at the time such document is placed in the file.

5. Anonymous documents and the Official Personnel File

With the exception of Board-approved student evaluations, no anonymous document shall be placed in a Faculty member's Official Personnel File. If any Administrator receives an anonymous document about a Faculty member, the Administrator shall immediately destroy the document.

6. Unsolicited signed documents

No unsolicited signed documents (including e-mail messages) received by an Administrator, directly relating to a Faculty member's work performance or employment status, shall be placed in the Faculty member's Official Personnel File until the following occur:

- a. the Faculty member receives a copy of the unsolicited document; and
- b. there is a ten (10) business-day period during which the Administrator will substantiate authorship of the document; and

- c. communication occurs (at the option of the Faculty member) between the Administrator and the Faculty member about the contents of the document within ten (10) business days from when the Faculty member received notification of receipt of the document from the Administrator(s).

If the author of the document in question is a fellow Faculty member, the Dean/Director(s), after meeting with the author, may, at the discretion of the Administrator(s), also place a copy of the document in the author's Official Personnel File or return the document to the author.

7. Faculty comments and removal of documents from the Official Personnel File

Faculty members have the right to insert comments concerning any document in their Official Personnel File, and such documents shall be attached to the document of concern. Documents may only be permanently removed from an Official Personnel File by mutual written agreement between the Faculty member and the Dean/Director.

D. FACULTY INPUT

Article I of this *Agreement* contains principles that require input from the Faculty. Such input can come from the Faculty as a whole at the University-wide level, or the College/School/Research center level/**Other Assigned Area**, or the Division level. Whenever Faculty input is required, it will only come through the appropriate elected representatives.

Individual Faculty may provide input to the Administration, but the individual Faculty member speaks only for himself or herself.

E. THE FACULTY ELECTION COMMISSION

The Faculty Election Commission is the body responsible for conducting the election of Faculty representatives as required by this *Agreement* and the University of Guam *Rules, Regulations and Procedures Manual (RR&PM)* and will be responsible for:

1. Scheduling and announcing elections;
2. Certifying the eligibility of candidates;
3. Certifying the eligibility of voters;
4. Conducting the balloting;
5. Certifying and publishing election results; and
6. Arbitrating protests concerning any step of the election process.

A grievance cannot be filed based on any Faculty Election Commission decision.

The Faculty Election Commission shall create and distribute election procedures and rules to be followed in conducting Faculty Elections.

The Faculty Election Commission shall consist of six (6) at-large full-time Faculty members. Members shall be elected in the Spring semester by the full-time Faculty. Faculty Election Commission members will be elected for staggered two-year terms. Every Spring semester, one-half of the members shall be up for election. Their terms shall begin the first day of the following Fall semester. At the beginning of the Fall semester, the Commission members shall choose one of their members to be Chair for that Academic Year.

For Faculty elections, the Office of the Senior Vice President for Academic and Student Affairs (Senior Vice President) will give appropriate clerical assistance and support to the Faculty Election Commission. Also, at the start of each semester, the Human Resources Office will provide the Commission with an updated list of full-time Faculty. Beyond that, there shall be no other involvement of the Administration in the Faculty election process. A grievance cannot be filed against the Office of the Senior Vice President or the Human Resources Office for failure to comply with these provisions.

The Faculty Election Commission deals only with University required elections and has no involvement with the Faculty Union electing its officers or any other intra-union election.

F. ELECTION AND DUTIES OF DIVISION CHAIRS IN COLLEGES AND SCHOOLS

1. Eligibility and election

All Colleges and Schools shall be divided into Divisions. Divisions shall have a Chair who is elected by a majority vote of the full-time Faculty members of the Division. All Chairs must be tenured or tenure-track Faculty members of the Division.

Each Division shall hold its election for Chair within the month of April, and the Chair shall take office on the first day of the following Fall Semester.

2. Term of office

The Division Chair's term of office shall be two (2) years, with the possibility of running for consecutive terms.

3. Acting Chair

At no time shall the office of Chair remain vacant.

When a Chair is unavailable to fulfill his or her duties for a short-term period of up to four (4) weeks, he or she shall designate another tenured or tenure-track Faculty member as acting Chair subject to the Dean/Director's approval of the leave. The acting Chair need not be a member of the same Division. When a Chair is unable to fulfill his or her duties for four weeks or more, then the position is declared to be an unforeseen vacancy.

4. Unforeseen vacancy

In case of an unforeseen vacancy, the senior Faculty member of the Division (based first on rank, and then time in rank at UOG) shall assume the duties of Chair. A new Chair shall be elected within fifteen (15) business days, and shall serve the remainder of the uncompleted term.

5. Role, compensation, and duties

The Chair provides leadership to the Faculty in the Division for the improvement of academic advisement, instruction, assessment, research, and other CFES endeavors. The Chair's primary duty is to serve as the elected leader and representative of the Division Faculty. In carrying out all of their duties, Chairs are accountable to their Dean/Director.

Compensation of Division Chairs shall remain as described in the 2008 Agreement for those whose term ends in May 2014. Starting with Division Chairs elected in Spring Semester 2014, for the term of this (2013) Agreement, compensation shall be \$3,000 per semester. In addition, load allocations for the work of Division Chair may be negotiated with the Dean/Director.

The Division Chair has no authority to make final decisions regarding hiring, assigning, transferring, suspending, promoting, evaluating, or disciplining any Faculty member of the Division.

The duties of the Chair shall be as follows:

- a. hold and direct meetings of the Division at least once a month during the Academic Year. The regular schedule for these meetings shall be set at the beginning of each semester. The schedule shall be set so as to allow all Faculty members to attend during business days. A tentative agenda for each meeting shall be distributed at least two (2) business days prior to each meeting. Copies of the minutes shall be provided to Division Faculty and the Dean/Director.

The latest edition of *Roberts Rules of Order* shall be used at Division meetings as the Parliamentary procedure.

- b. represent the ideas, needs, and recommendations of the Division to the Dean/Director, and for conveying information and requirements from the Dean/Director to the members of the Division, on a continuous basis.
- c. represent the Division on the College's Academic Affairs Committee and be responsible for informing the Division membership of all actions of the Academic Affairs Committee relevant to that Division on a continuous basis.
- d. coordinate preparation of the Division class schedule with the Faculty and each individual Division member's load assignments that are consistent with the scheduling criteria of the College/School and the University, conferring with Faculty in each program about their respective schedules. Submit these documents as recommendations to the Dean/Director on or before the dates established by the coordinated College/School and University schedules.
- e. confer with the Division members regarding overloads and hiring of part-time Faculty. He or she shall then provide the Dean/Director with the Division's recommendations at the appropriate or scheduled times.
- f. monitor the ordering and receipt of textbooks with the Division staff, after receiving Division member's requests, for all classes offered by full or part-time Faculty of the Division, on or before the date established by the Academic/Administrative Calendar.
- g. convey recommendations to the Academic Affairs Committee regarding curriculum changes or modifications requested by the Division. Review for accuracy the drafts of Division programs in the University Undergraduate Catalog and (if applicable) in the Graduate Bulletin, and assist as needed in periodic reviews of the on-line catalog.
- h. monitor preparation of Program Reviews within the Division.
- i. facilitate the activities of the Division with respect to priorities, deadlines, and available resources.
- j. facilitate resolution of Faculty/student disputes in accordance with the *Student Handbook*.
- k. coordinate mentoring of new Faculty within the Division.
- l. fulfill such other assignments as the Dean/Director may require to carry out the statutory mission of the University.

6. Removal from office for inadequate performance of duties

There are two mechanisms that may be used to remove a Chair from his or her elected position:

- a. at any time during the Chair's term, a recall vote of two-thirds (2/3) of the Division's full-time Faculty members shall remove a Chair.
- b. after the Chair has served at least three (3) months, the Dean/Director has the authority to remove the Chair following consultation with the Division. The Chair shall have the opportunity to be heard by the Dean/Director before a final decision is made.

The Chair who is removed from office is ineligible to be reelected for the remainder of the uncompleted term.

G. ORGANIZATION AND FACULTY REPRESENTATION IN AREAS OUTSIDE THE COLLEGES AND SCHOOLS WHERE FACULTY ARE ASSIGNED

Faculty in each of these areas shall develop a schedule for monthly meetings and the means for providing input to the Administration along the parameters listed above in Section F. The latest edition of *Roberts Rules of Order* shall be used at their Faculty meetings as the Parliamentary procedure.

H. COURSE REQUIREMENTS AND CONDUCTING CLASSES

Before the end of the first full week of classes, Faculty shall provide a course syllabus to the students and the Dean/Director that communicates University and instructor course requirements and any other information the instructor deems appropriate to the conduct of the course.

Faculty are expected to abide by the contact hour requirements of the course schedule.

I. STUDENT GRADES

Faculty members shall have the right to determine the individual grades of students in their classes, in accordance with University grading policies, subject to a student's right to grieve a grade in accordance with University policy. Faculty members shall assess students in an ethical and responsible manner, shall maintain appropriate records, and shall ensure that each student in their classes is aware of both the criteria for grades and the process by which grades will be determined.

J. STUDENT EVALUATIONS

The Administration shall provide student evaluation forms to the Faculty no later than three (3) weeks prior to the end of each semester, and no later than three (3) days prior to the end of intersession and Summer session classes. The Faculty member shall ensure that class time is set aside for conducting the student evaluations.

K. FINAL EXAMS AND SUBMISSION OF FINAL GRADES

The Administration shall set the schedule for final exams and Faculty members shall adhere to this schedule by meeting with the students at the established time.

For graduating seniors, Faculty members shall have two (2) business days after the completion of the last scheduled day of final exams to submit final grades. For all other students, Faculty members shall have three (3) business days after the completion of the last scheduled day of final exams to submit final grades.

L. DUTY DAYS

For nine-month Faculty, duty days are all business days between the first and last day of the semester as defined by the Academic Calendar.

M. FACULTY APPLICATION TO ANY VACANT ACADEMIC POSITION

Faculty members may apply for any vacant academic position at the University of Guam, under University guidelines, without any detriment to their present position.

N. ADDITIONAL COMPENSATED EMPLOYMENT

Faculty may engage in additional employment, either internal or external to the University of Guam, and outside of duties indicated on the CFES plan, subject to the following guidelines:

1. The additional compensated employment shall be neither so extensive nor so demanding as to interfere with the Faculty member's full-time performance of his or her primary duties to the University.
2. Before undertaking additional compensated employment, or annually if it is ongoing, Faculty members shall notify the Dean/Director. The Faculty member shall submit details of the extent of the employment in their Comprehensive Faculty Evaluation System Plan and Faculty workload form, and amend these documents as outside compensated employment commitments change.

If at any time the Dean/Director considers that the additional employment interferes with the performance of the official duties, or determines that there is a conflict of commitment or conflict of interest for the Faculty member, the Faculty member and the Dean/Director shall meet to discuss the matter. They will work toward resolution and discuss either reducing or ceasing the additional employment. Absent mutual agreement on a satisfactory resolution, the Dean shall make the final decision.

3. No Faculty member shall use, or allow to be used, any University facilities, supplies, or equipment for anything other than University-approved duties and activities.

ARTICLE V

FACULTY EVALUATIONS

A. RIGHT TO EVALUATION AND REVIEW BY PEERS AND ADMINISTRATORS

Faculty members have a right and obligation to be evaluated and reviewed by their peers. Faculty also have a right and obligation to be evaluated and reviewed by their Dean/Director in accordance with the Comprehensive Faculty Evaluation System.

The Deans/Directors shall call for Faculty to submit CFES plans for the coming year and reports for the previous year. Deans/Directors shall choose an appropriate time for the start of the call period no later than twenty (20) business days before the date the increment is due to begin. The call period shall end twenty (20) business days after the date the increment was due to begin. The Dean's/Director's office must provide documented confirmation to the Faculty member of receipt of CFES materials. If the Faculty member submits these materials within the call period, and the evaluation is positive, the applicable increment shall become effective at the start of the semester appropriate to the initial hire date of the Faculty member, or on the anniversary date of initial hire for twelve-month Faculty.

If the Faculty member fails to submit the corroborative materials required for his or her CFES review within the call period, the Faculty shall receive a negative CFES evaluation and any applicable increment shall be forfeited.

If the Dean/Director fails to submit the completed forms to the Human Resources Office (HRO) within forty-five (45) business days of the date the applicable increment was due to begin, and the Faculty member provides HRO with evidence that he or she submitted materials within the timeline, the increment shall become automatic and HRO shall process the increment.

B. RIGHT TO EVALUATION BY STUDENTS

Faculty members also have a right and responsibility to be evaluated by their students. However, in no case will the Board-approved student evaluations account for more than 25% of the total weight allotted for the evaluation of the teaching role. Student evaluation systems and instruments will be used in accordance with the Comprehensive Faculty Evaluation System.

C. TIMEFRAME FOR VARIOUS PEER REVIEWS AND REVIEWS BY APPROPRIATE ADMINISTRATORS

Faculty members are responsible for developing a Faculty evaluation package based on the Comprehensive Faculty Evaluation System. Faculty will typically undergo evaluations within the following order and timeframe:

1. Increment interview with the Dean/Director

This shall occur in the second consecutive semester of service, and once each consecutive year thereafter.

2. Promotion

Depending on their rank, tenure-track Faculty may first apply in either the third, fourth, or fifth year of consecutive academic service.

3. Tenure

Tenure-track Faculty may first apply in the fifth year of consecutive academic service, but no later than the first semester of the sixth continuous Academic Year.

4. Post-tenure review

This review shall occur following two (2) consecutive negative annual CFES reviews.

5. Voluntary peer review

At any time, a Faculty member may notify the Dean/Director that he or she would like a peer review. The Dean/Director shall then direct the Faculty member's Division or Other Assigned Area to form an ad hoc peer review committee according to the process outlined below in Section F.

6. Administrative procedures for each review

The final written review will follow this path at the administrative level:

- a. for the increment interview, the Dean/Director sends his or her evaluation and recommendation to the Human Resources Office to be processed and placed in the Faculty member's Official Personnel File.
- b. for post-tenure and voluntary peer review, the Dean/Director shall attach his or her written comments and recommendations to the ad hoc peer review committee's final report, and forward it to the Senior Vice President for action, with a copy sent to the Human Resources Office to be placed in the Faculty member's Official Personnel File. For post-tenure review, the recommendation may include disciplinary action including adverse action.

In the Research Units, however, the Director will be the first Administrator to handle the written review.

D. FACULTY RIGHTS WHILE UNDERGOING INCREMENT REVIEWS

Faculty members who are undergoing an increment review with the Dean/Director shall have the following rights:

1. The right to be evaluated only on substantiated information.
2. The right to have the Dean/Director consider only materials that by their content honor the University's legal and moral commitment to nondiscrimination.
3. The right to have access to all evidence that the Dean/Director uses to conduct his or her evaluation.
4. The right to be given the opportunity to review and comment, in writing, on the Dean/Director's conclusions, and to attach the written comments to the Dean/Director's report before it is forwarded to the Human Resources Office.

E. FACULTY RIGHTS WHILE UNDERGOING POST-TENURE OR VOLUNTARY PEER REVIEW

Faculty members undergoing post-tenure or voluntary peer review shall have their review conducted by an ad hoc peer review committee.

In the course of any of these two reviews, the Faculty member shall have the following rights:

1. The right to have advance notice of at least five (5) business days before the convening of any meeting by the ad hoc peer review committee.
2. The right to be evaluated only on substantiated information.
3. The right to have the ad hoc peer review committee consider only materials that by their content honor the University's legal and moral commitment to nondiscrimination.
4. The right to have access to all evidence that the ad hoc peer review committee may consider in fulfilling its mandate.
5. The right to be given the opportunity to review and comment, in writing, on the ad hoc peer review committee's conclusions, and to attach the written comments to the committee's report before it is forwarded to the next administrative level.
6. The right to be given the opportunity, at each administrative level, to review and comment, in writing, on the relevant Administrator's conclusions, and to attach the written comments to the relevant Administrator's report before it is forwarded to the next administrative level.

F. PEER REVIEW PROCESS FOR POST-TENURE OR VOLUNTARY PEER REVIEW

The peer review process for post-tenure or voluntary peer review shall be conducted as follows:

1. An ad hoc peer review committee shall be formed consisting of five (5) members, at least two (2) of whom must be from the Faculty member's Division or Other Assigned Area, and the committee shall be constituted as follows:
 - a. Upon direction from the Dean/Director, the Faculty member's Division or Other Assigned Area will elect two (2) members from the Division or Other Assigned Area, and the Faculty member to be reviewed will name two (2) members from any Division or Other Assigned Area. Those four (4) committee members shall name a fifth Faculty member who shall serve as committee chair.
 - b. Ad hoc peer review committee members must be full-time **tenured** Faculty members **at the rank of Professor or Extension Specialist**, and must have been a Faculty member for at least **three (3) consecutive Academic Years** at the University of Guam.
2. Deadlines for the various reviews are as follows:
 - a. Post-tenure review
 - (1) The ad hoc peer review committee shall, at the direction of the Dean/Director, be established within the first four (4) weeks of the beginning of the Fall or Spring Semester.
 - (2) Absent extraordinary circumstances, the final report will be sent to the Faculty member and the Dean/Director prior to the end of the semester during which the review took place.
 - (3) Under extraordinary circumstances, however, the ad hoc peer review committee may extend its work up to six (6) weeks beyond the end of the semester with the written concurrence of the Dean/Director and the Faculty member under review. At the conclusion of this extension, the final report shall be sent to the Faculty member and the Dean/Director.
 - b. Voluntary peer review
 - (1) At the direction of the Dean/Director, the ad hoc peer review committee shall be established at the next regularly scheduled Division or Other Assigned Area meeting.

- (2) Absent extraordinary circumstances, the final report will be sent to the Faculty member and the Dean/Director within forty-five (45) business days from the time the ad hoc peer review committee was formed.

G. CRITERIA FOR ALL REVIEWS

For all reviews, the criteria shall be those listed in the Board-approved Comprehensive Faculty Evaluation System (CFES).

H. FACULTY COMMENTS ON THE AD HOC PEER REVIEW COMMITTEE'S FINAL REPORT

1. The ad hoc peer review committee shall give a copy of its preliminary report to the Faculty member. If the Faculty member wishes to discuss the report with the committee, he or she may request to do so, and the committee shall honor the request. After meeting with the Faculty member, the committee may alter the report if it feels such a change is appropriate.
2. If the Faculty member disputes the committee's final report, he or she may do so, in writing, and attach the comments to the report. The Faculty member's written response shall then become an attachment to the committee's report.

I. REAPPOINTMENT

Reappointment is a prerogative of the Administration and therefore the procedure for reappointment shall be created by the Administration. During the Faculty member's first year of employment, the Administration will inform him or her, in writing, of the procedure to use in applying for reappointment.

Absent extraordinary circumstances, if the Faculty member has applied in accordance with the procedures as distributed by the Dean/Director, the Faculty member will be informed of the Administration's decision, to reappoint or not, at least twelve (12) months prior to the expiration of the Faculty member's initial employment contract.

The decision not to reappoint the Faculty member is not an adverse action as defined in Article X of this *Agreement* and therefore the provisions of Article X shall not apply.

Violation of the Administration's procedures during reappointment review, failure to reappoint and failure to inform the Faculty member of the decision to not reappoint within twelve (12) months prior to the expiration of the initial employment contract are not grievable and Article IX of this *Agreement* shall not apply to these cases.

J. PROMOTION AND TENURE EVALUATION PROCESS

To assist the Administration in determining whether an individual Faculty member should be promoted, or granted tenure, or both, there shall be a University Promotion and Tenure Committee. The Committee, as an advisory body, does not promote or tenure Faculty members. It shall only receive, act upon, and make objective recommendations regarding all Faculty requests for promotion or tenure in accordance with the criteria established by the Board of Regents.

1. Election of the Committee and eligibility of its members
 - a. The Promotion and Tenure Committee shall consist of eight (8) at-large members who must be tenured Faculty holding the rank of Professor or Extension Specialist.
 - b. Members shall be elected in the Spring semester by the full-time tenure-track or tenured Faculty. Their terms shall begin the first day of the following Fall semester, and their terms shall be for two (2) years. These are staggered terms, and every Spring semester, one-half of the Committee will be up for election.
 - c. The Faculty Senate Committee on Faculty Excellence (SCFE) shall, after consultation with an ad hoc Committee of former P&T Chairs convened by the SCFE, maintain a pool of at least eight (8) eligible Faculty willing to serve on the P&T Committee. For each scheduled general election, the SCFE shall nominate no more than two (2) names for every open seat.

Any eligible Faculty member may also nominate himself or herself.

There shall be no provision for write-in votes for the P&T Committee election, and write-in votes shall not be counted.

Should a P&T Committee member be unable to complete an elected term of service, the P&T Committee Chair shall, within five (5) business days after verification of the vacancy, notify the SCFE to nominate from the existing pool a new member to fill the remainder of the uncompleted term. The SCFE shall, within five (5) business days of receiving notice of the vacancy, submit the name to the Faculty Senate to be placed on the agenda of the next scheduled Senate meeting. Upon approval by the Senate, the Faculty member shall immediately assume his or her place on the P&T Committee.

- d. Following the Committee election, and during the Spring Semester, both the old Committee and the newly elected Committee shall meet to conduct transition business. At this meeting, the new Committee shall elect a Chair by a majority vote of the returning members and the newly elected members. The Chair shall be elected from returning Committee members and newly elected members who have served a minimum of one year on the Committee in earlier terms, and the Chair shall receive a one-quarter (.25) load allocation each semester of his or her term as Chair for service on the Committee.

The Senior Vice President and the Faculty Union President shall meet with the Committee at this transition meeting to review procedures and answer questions about the promotion and tenure process.

- e. At the same meeting, a Vice Chair and a Secretary shall be elected by a majority vote of the returning members and the newly elected members. Any of these members are eligible to run for the positions of Vice Chair and Secretary. The Chair, Vice Chair and Secretary shall have full voting rights.

2. Quorum

When voting on an application for promotion or tenure, a quorum shall consist of seven (7) members. For all other business, a quorum shall consist of a majority of the Committee.

3. Support services

- a. The Administration shall provide the Committee with sufficient support services to ensure the timely and efficient performance of the Committee's duties and obligations.
- b. The Human Resources Office shall continue to provide secretarial support and secure space for applicants' files.
- c. The Human Resources Office shall also assist the Committee by certifying information requested by the Committee about an applicant. This information shall include, but is not necessarily limited to, the following: date of tenure-track employment; current rank; effective date of applicant's reappointment; date of last promotion at UOG; and date of tenure.
- d. The Senior Vice President makes the final decision on eligibility for promotion and tenure for all applicants.

4. Possible exclusion of a Committee member from evaluating an applicant

Applicants for promotion or tenure shall have the right to request, in writing, that one Committee member be excluded from hearing their application for a stated cause. If the exclusion is deemed appropriate by a majority of the Committee, the Committee shall excuse that member from consideration of that case.

5. General operations of the Promotion and Tenure Committee

If the Committee has questions about the interpretation of the promotion and tenure procedures in the *Agreement*, the Committee shall refer the matter to the Agreement Implementation Committee (see Article XII.D in this *Agreement*).

Only full-time tenure-track Faculty members at the University of Guam will be considered and evaluated by the Committee. The Committee will make a reasonable effort to ensure that all information, recommendations, and evaluations placed before it in each case are substantiated in order that all applicants receive fair and equitable treatment.

a. Confidentiality

During Committee meetings, all evaluative comments about an applicant's Completed Application Package are to be confidential. Violation of this confidentiality requirement may result in a letter of censure from the Committee to the offending person(s), with a copy of the letter being sent to the Senior Vice President and President.

b. Call for applications

- (1) The Committee shall publicize a call for applications for promotion, or tenure, or both, no later than the fifteenth day of September.
- (2) Application for promotion, or tenure, or both, is by self-application. The applicant shall submit to the Committee a completed application package.

c. Completed Application Package

The completed application package shall include:

- (1) an application form (available from the Human Resources Office) indicating what action is being requested and what roles are to be evaluated in support of the requested action;
- (2) a signed statement authorizing access to the applicant's Official Personnel File by members of the Committee;
- (3) a comprehensive statement elaborating the applicant's roles;
- (4) documentation supporting the comprehensive statement including an up-to-date vita;
- (5) all CFES Plans since date of last promotion or date of initial tenure-track hire, whichever applies;
- (6) the Dean/Director's annual CFES evaluative letters since date of last promotion or date of initial tenure-track hire, whichever applies; and
- (7) a list of no fewer than five (5) persons from whom the Committee shall seek recommendations.

This list of names shall include at least two (2) current members of the applicant's Division or Other Assigned Area. At least one (1) of those two (2) names shall be a current member of the applicant's academic discipline at the University of Guam, except when the applicant is the only member of that academic discipline.

Applicants are encouraged to include in their list of references the names of academic or professional peers from outside the University.

Applicants shall send their completed application packages to the Committee in care of the Human Resources Office.

d. Notification of Dean/Director

At the time of application, the applicant shall notify his or her Dean/Director, in writing, that he or she has applied for promotion, or tenure, or both.

- e. Priority in consideration of application packages
 - (1) The Committee shall consider applications on a first come-first served basis using the date of receipt of the completed application package by the Human Resources Office as the determining factor.
 - (2) All completed application packages received by the Human Resources Office no later than 5 PM of the last day of the Fall semester shall be guaranteed a recommendation by the Committee before the end of the following Spring semester.
 - (3) All completed application packages received by the Human Resources Office no later than 5 PM of the last day of the Spring semester shall be guaranteed a recommendation by the Committee before the end of the following Fall Semester.

- f. Timelines and possible extensions
 - (1) No timeline stated in this Article starts until the Human Resources Office receives the completed application package.
 - (2) When either the Committee, or the Senior Vice President, or the President, or the Board is reviewing the application package, the applicant and the appropriate party may, by mutual written agreement, extend the timelines specified in this Article. The written agreement shall specify the new extension date.

- g. Letters of recommendation and evaluation
 - (1) Letters from individuals named in the list of references

Within five (5) business days of receipt of the completed application package, the Committee shall request letters of recommendation from the individuals named in the list of five (5) or more names submitted by the applicant.
 - (2) Letters from the University community

Following receipt of the completed application package, the Committee shall announce to the University community the candidates' names, roles, and action(s) requested, and it shall accept recommendations and comments regarding each application. Recommendations and comments from the University community shall become part of the applicant's completed application package.

Absent extraordinary circumstances, if the Committee does not receive letters of recommendation within twenty (20) business days from the date of request, the Committee shall proceed to consider the application without them. Letters received after the twenty (20) business days shall not be accepted and shall be returned to the sender. However, referees may send letters by fax or e-mail during the twenty (20) business days with a signed original postmarked within the twenty (20) business days.

(3) Letter from the Dean/Director

When the letters of recommendation are received by the Committee, or no later than twenty-five (25) business days after the completed application package is received by the Committee, the Chair shall request a recommendation from the applicant's Dean/Director.

The Dean/Director shall be provided access to the applicant's completed application package and letters from nominees and the University community in order to prepare the requested recommendation.

The Dean/Director shall have ten (10) business days to supply the requested recommendation. If the Committee has not received the Dean/Director's recommendation within ten (10) business days, the Committee shall proceed to consider the application.

(4) Additional letters requested by the Committee

At any time, the Committee may request, in writing, additional letters of evaluation to clarify, substantiate, or resolve questions germane to the application. When a request is made, the Committee shall provide a copy of the request to the applicant.

(5) Option of applicant receiving copies of all letters

If any applicant requests so in writing, a copy of all letters of recommendation, comments, evaluations, and replies to requests by the Committee shall be provided to him or her within five (5) business days of said documents being received by the Committee. The applicant shall have ten (10) business days to make written comment on any or all of the above referenced documents.

Applicants may examine the materials and letters in their completed application packages at any time during business hours.

The closing date for material to be placed in the completed application package is ten (10) business days prior to the meeting where the applicant's package is scheduled for presentation before the Committee. The Committee Chair shall notify the applicant five (5) business days before the closing date.

h. Review and verification of the applicant's completed application package

Prior to presentation, the Committee shall have at least ten (10) business days in which to study the material in each application package.

For each applicant, the Committee shall assign at least two (2) members to be the applicant's presenters. They shall have the responsibility for substantiating evidence placed before the Committee.

Unless the applicant has previously challenged an official evaluation, in writing, the Committee shall accept the official evaluation at face value. The Committee shall verify all other materials as it sees fit. Any information before the Committee that has not been substantiated shall be removed from the file and returned to the sender.

In the event that statements by the applicant in the completed application package have not been documented to the satisfaction of the Committee, the Chair shall notify the applicant. He or she shall then be given the opportunity to provide further documentation.

At any level of this process, only criteria contained in either this *Agreement* or Board-approved policy shall influence the outcome of any application for promotion or tenure.

i. Voting on an applicant's completed application package

In each case before the Committee, the decision to recommend shall be determined by secret ballot with at least seven (7) members voting. Members shall vote by paper ballot. A majority of the votes cast must be affirmative votes before an application can be sent forward with a positive recommendation.

In the event that an application does not receive a majority of the votes cast as affirmative votes, the Chair shall provide the applicant a letter detailing the Committee's rationale for its vote and suggest that the applicant withdraw the application.

The applicant who has received an initial negative vote from the Committee has the right to address the Committee at its next meeting. At that meeting, the Faculty member will have the opportunity to present his or her reasons why the Committee should reconsider its initial negative recommendation. At the next Committee meeting following the applicant's request for reconsideration, the Committee shall re-vote on the applicant's completed application package.

If any applicant does not withdraw his or her application, the Committee shall forward the applicant's completed application package, with the Committee's recommendation, to the Senior Vice President within five (5) business days after the Committee's final vote.

A decision by the Administration or Board of Regents that reverses the Committee's recommendation shall be in writing and shall include justification for the reversal. Absent extraordinary circumstances, the Administration or the Board shall, within five (5) business days following their decision, present their written justification to the Committee.

6. Promotion application procedures

Concurrently with the annual increment review, the Dean/Director and each Faculty member eligible for promotion shall discuss the Faculty member's development and fitness for the position held by the Faculty member, and the Faculty member's plan for working toward promotion. The Dean/Director shall summarize the discussion, in writing, and make specific recommendations regarding activities for achieving promotion. The Dean/Director shall then provide a copy of this statement to the Faculty member.

A Faculty member is considered for promotion through self-application.

a. Eligibility and criteria

- (1) Faculty members become eligible for promotion from Assistant Instructor to Instructor, or from Extension Agent I to Extension Agent II, or from Instructor to Assistant Professor, or from Extension Agent II to Extension Agent III, after three (3) years in rank. They may apply in their third year.
- (2) Faculty members become eligible for promotion from Assistant Professor to Associate Professor, or from Extension Agent III to Extension Agent IV, after four (4) years in rank. They may apply in their fourth year.

- (3) Faculty members become eligible for promotion from Associate Professor to Professor, or from Extension Agent IV to Extension Specialist, after five (5) years in rank. They may apply in their fifth year.
- (4) For Faculty whose initial appointment began in the Spring semester, the sequence of their years of academic service is Spring/Fall, rather than Fall/Spring. Therefore, depending on the rank sought, they can first apply for promotion in the Spring semester at the start of either their third, fourth, or fifth year of academic service.
- (5) At least three (3) years of the time-in-rank requirement must be in full-time employment at the University of Guam.
- (6) In addition to the above time-in-rank and employment requirements, all Faculty members affected must possess all required degrees as specified in University policy.
- (7) Faculty may not apply for promotion during their first two (2) consecutive years at the University of Guam.
- (8) Time spent as an Administrator shall not be counted toward time-in-rank and employment requirements for the purposes of this Faculty promotion process.
- (9) Promotion to Professor shall not automatically include tenure. Tenure is earned separately.
- (10) At all levels of review, criteria as defined, published, and approved by the Board shall be the sole basis on which judgment for promotion shall be made.

b. Submission of completed application package after the call

The Faculty member may not submit his or her completed application package to the Committee until after the call for applications.

c. Review by Senior Vice President if the Committee fails to forward a recommendation

In the event that the Committee fails to make a recommendation to the Senior Vice President within the time permitted under this *Agreement*, the Senior Vice President may nevertheless consider and act upon the application and forward a recommendation to the President.

d. Grievances regarding the promotion process

No grievance concerning this process may be filed or considered until the President has made the final decision regarding the promotion application.

e. Material in the completed application package

- (1) The Faculty member is responsible for the development of the materials in the completed application package that are relevant to the review and evaluation for promotion.
- (2) At any level of the review or evaluation, the Committee or Administration may request additional information and materials from individuals or Divisions or Other Assigned Areas, either on-campus or off-campus, that are germane to the application package.
- (3) A copy of such requests shall be provided to the applicant at the time the requests are made. If the applicant requests so in writing, the Committee or the Administration shall provide the applicant with copies of any responses and replies after the Committee or the Administration has officially received them. The applicant has the right to comment in writing on any responses and replies at any level of the review or evaluation.
- (4) If, after the Committee has forwarded the completed application package to the next review level, the Senior Vice President, or the President, receives any unsolicited letters about the applicant, the applicant shall be notified in accordance with Article IV, section C, of this *Agreement*.

f. Administrative procedures for the promotion evaluation

Following the procedures detailed above in this Article, the application and Committee recommendations, if forwarded, shall be transmitted to the Senior Vice President. If they are not forwarded, the Committee will notify the applicant to pick up his or her materials at the Human Resources Office.

Upon receipt of a recommendation from the Promotion and Tenure Committee, the Senior Vice President shall evaluate the application.

Absent extraordinary circumstances, the Senior Vice President shall act upon the application and forward a recommendation to the President within **thirty (30)** business days of receiving the Committee's recommendation.

Upon receipt of a recommendation from the Senior Vice President, the President shall evaluate the application.

Absent extraordinary circumstances, the President shall issue a decision within **thirty (30)** business days of receiving the recommendation of the Senior Vice President.

Promotions approved by the President shall become effective upon the commencement of the first semester following the completion of the required time in service or rank, or the first semester following the approval of the President, whichever is later.

Copies of all recommendations made about each applicant by the Committee, Dean/Director, the Senior Vice President, and the President shall, absent extraordinary circumstances, be sent to the applicant within five (5) business days of issuance.

Failure of the Promotion and Tenure Committee or any Administrator to notify an applicant of action taken regarding a promotion application shall not constitute grounds for automatic promotion.

7. Tenure application procedures

Concurrently with the annual increment review, the Dean/Director and each Faculty member eligible for tenure shall discuss the Faculty member's development and fitness for the position held by the Faculty member, and the Faculty member's plan for working toward tenure. The Dean/Director shall summarize the discussion, in writing, and make specific recommendations regarding activities for achieving tenure. The Dean/Director shall then provide a copy of this statement to the Faculty member.

A Faculty member is considered for tenure through self-application.

a. Eligibility and criteria

- (1) Faculty members are eligible to apply for tenure after completing four (4) consecutive Academic Years of probationary service, and they may apply during the fifth year. Only employment under a tenure-track contract shall be considered in determining the length of probationary service.

For Faculty whose initial appointment began in the Spring semester, the sequence of their consecutive years of academic service is Spring/Fall, rather than Fall/Spring, and they can first apply for tenure in the Spring semester at the start of their fifth consecutive year of academic service.

- (2) Approved administrative and University-paid leave shall be counted for purposes of computing years of service and shall not suspend the timeline for computing years of service.

Leaves of absence without pay for one semester or more, may count as service toward tenure if the Senior Vice President gives prior written approval. If approved, the timeline for computing years of service toward tenure shall not be suspended. Otherwise, the timeline for computing years of service is suspended.

- (3) Time spent as an Administrator suspends the timeline for computing years of service for tenure.
- (4) At all levels of review, criteria as defined, published, and approved by the Board shall be the sole basis on which judgment for tenure shall be made.

- b. Submission of completed application package after the call

The Faculty member may not submit his or her completed application package to the Committee until after the call for applications.

- c. Review by Senior Vice President if the Committee fails to forward a recommendation

In the event that the Committee fails to make a recommendation to the Senior Vice President within the time permitted under this *Agreement*, the Senior Vice President may nevertheless consider and act upon the application and forward a recommendation to the President.

- d. Grievances regarding the tenure process

No grievance concerning this process may be filed or considered until the Board of Regents has made the final decision regarding the tenure application.

- e. Material in the completed application package

- (1) The Faculty member is responsible for the development of the materials in the completed application package that are relevant to the review and evaluation for granting tenure.
- (2) At any level of the review or evaluation, the Committee or Administration may request additional information and materials from individuals or Divisions or Other Assigned Areas, either on-campus or off-campus, that are germane to the application package.

- (3) A copy of such requests shall be provided to the applicant at the time the requests are made. If the applicant requests so in writing, the Committee or the Administration shall provide the applicant with copies of any responses and replies after the Committee or the Administration has officially received them. The applicant has the right to comment in writing on any responses and replies at any level of the review or evaluation.
- (4) If, after the Committee has forwarded the completed application package to the next review level, the Senior Vice President, or the President, or the Board of Regents receives any unsolicited letters about the applicant, the applicant shall be notified in accordance with Article IV, section C, of this *Agreement*.

f. Administrative procedures for the tenure evaluation

Following the procedures detailed above in this Article, the application and Committee recommendations, if forwarded, shall be transmitted to the Senior Vice President. If they are not forwarded, the Committee will notify the applicant to pick up his or her materials at the Human Resources Office.

Upon receipt of a recommendation from the Promotion and Tenure Committee, the Senior Vice President shall evaluate the application.

Absent extraordinary circumstances, the Senior Vice President shall act upon the application and forward a recommendation to the President within **thirty (30)** business days of receiving the Committee's recommendation.

Upon receipt of a recommendation from the Senior Vice President, the President shall evaluate the application.

Absent extraordinary circumstances, the President shall issue a recommendation to the Board of Regents within thirty (30) business days of receiving the recommendation of the Senior Vice President.

The Board of Regents shall consider the application and, absent extraordinary circumstances, render a decision within sixty (60) business days of receiving the President's recommendation. All Board discussions concerning the application shall take place in Executive Session.

Absent extraordinary circumstances, the Faculty member shall be notified of the Board's decision within five (5) business days of its being rendered.

The granting of tenure shall become effective as of the date of the Board's final decision. Faculty members awarded tenure by the Board shall enjoy all rights and privileges accorded to tenured Faculty.

Tenured Faculty may not be terminated except for cause, and the tenured employment may not be interrupted except for lay off as defined in Article XI, section B, of this *Agreement*.

Copies of all recommendations made in each case by the Committee, Dean/Director, the Senior Vice President, the President, and the Board of Regents shall, absent extraordinary circumstances, be sent to the applicant within five (5) business days of issuance.

Failure of the Promotion and Tenure Committee or any Administrator to notify an applicant of action taken regarding a tenure application shall not constitute grounds for automatic tenure.

8. Tenure and security of employment

For full-time tenure-track Faculty whose initial appointment began in Fall semester, the sequence of their consecutive Academic Years of service is Fall/Spring. The earliest they can apply for tenure is the Fall semester of their fifth consecutive Academic Year, and the latest they can apply is the Fall semester at the start of their sixth consecutive Academic Year.

For full-time tenure-track Faculty whose initial appointment began in the Spring semester, the sequence of their consecutive Academic Years of service is Spring/Fall, rather than Fall/Spring. The earliest they can apply for tenure is the Spring semester of their fifth consecutive Academic Year, and the latest they can apply is the Spring semester at the start of their sixth consecutive Academic Year of service.

Failure to be granted tenure by the end of the Faculty member's sixth consecutive Academic Year of full-time, tenure-track employment at the University of Guam, shall result in termination at the end of the Faculty member's seventh consecutive Academic Year.

ARTICLE VI

WORKING CONDITIONS

A. VARIETY OF WORKLOAD ALLOCATIONS

Both the Board and the Union agree that Faculty responsibilities typically encompass activities in instruction, service, and creative/scholarly activity or research. They also agree that Faculty shall endeavor to accomplish their responsibilities in a variety of workload allocations as determined by the Dean/Director in consultation with the Faculty member. The Board and Administration shall endeavor to provide sufficient resources to help Faculty carry out these responsibilities.

The work of the Faculty in their areas of responsibility is professional in character, and thus it does not conform to the exact pattern of an eight-hour day or forty-hour workweek. As a point of reference, though, and for formulating workloads and developing the budget, the workload of the Faculty shall be considered equivalent to a forty-hour workweek. This is not intended to be applied as an eight-hour, five-day workweek, but rather to establish the general parameters of the Faculty member's obligation.

B. OFFICE HOURS

Office hours shall be approved by the Dean/Director, and shall be at least six (6) hours over at least three (3) business days per week. Faculty members shall post their office hours and **contact information on their office doors** and provide a copy to the Dean/Director, and shall inform the Dean/Director of any modification or inability to meet posted office hours.

Full-time Faculty members teaching in the evening **or on weekends** shall schedule some but not all office hours during evenings **or weekends and are encouraged to offer additional office hours during times when their students are available.**

Office hours must be held in the Faculty member's campus office.

C. STUDENT ADVISEMENT

The Dean/Director shall approve the times for Faculty to assist with student advisement. During the Academic Year, Faculty members shall be available for advisement during the registration periods specified in writing by the Administration.

D. INSTRUCTIONAL LOAD

For Faculty whose primary role is teaching, twelve (12) credit hours of lecture per semester, or twelve (12) contact hours per week of science laboratory, will typically constitute a full instructional load. In special circumstances, the Dean/Director may permit variations to the twelve-credit-hour policy.

To assure full transparency of all teaching assignments to Faculty, schedules of all academic courses leading to a degree offered by the University, including not only courses offered by the schools and colleges, but also offered by the Office of Professional and International Programs (for example, Course by Conference, Special Projects, Credit by Exam, or other regular courses), shall be available online as soon as the assignment is approved by the Dean/Director. These schedules shall include the names of the instructors assigned to each course.

Faculty of the Division or Other Assigned Area concerned shall be consulted by the Dean/Director regarding changes in load allocation of 0.25 or more that are assigned to routine activities such as committee chair, program coordinator, or other similar academic non-instructional support functions.

The Board and the Union recognize the impossibility of creating an instructional load formula that is universally applicable to the complex academic programs at the University. To meet each Division's varying instructional, service and research commitments, each Division, through its Division Chair, shall have considerable flexibility to recommend Faculty work loads for the Academic Year to the Dean/Director. For Faculty in Other Assigned Areas, each Faculty member meets directly with their Dean/Director to agree on the Faculty member's work load.

E. APPOINTMENT OF FACULTY TO DIVISIONS OR OTHER ASSIGNED AREAS

Faculty appointment to a Division or Other Assigned Area shall be a matter of initial contractual arrangement.

Subsequent reassignment shall be made in consultation with the affected Faculty member and the Division(s) or Other Assigned Area(s) concerned, taking into consideration educational, research, and programmatic concerns and the Faculty member's professional training and experience. The President shall make the final decision on reassignment.

A full-time Faculty member shall be assigned to one Division or Other Assigned Area.

F. TEACHING COURSES BEYOND A FULL INSTRUCTIONAL LOAD

The Faculty Division meets and recommends a schedule of proposed courses to the Dean/Director.

Teaching courses beyond a full instructional load is an overload. Overloads are not an entitlement, but are subject to Administrative approval. Faculty cannot be required to teach beyond their full instructional load. However, for Faculty approved to teach overload courses, compensation shall be at the rate approved by the Administration.

Instructional overloads must be approved by the Dean/Director and may not exceed 0.50 FTE. Programmatic exceptions for special circumstances may only be granted by the Senior Vice President upon recommendation from the Dean/Director.

Overload assignments by the Dean/Director will be based on work performance, using the CFES as an evaluative measure. If the Dean/Director determines that no full-time Faculty members in the affected academic program are available, the program Faculty shall recommend part-time Faculty for these assignments.

G. POOL OF PART-TIME FACULTY

The full-time Faculty members in each program shall develop a pool of individuals who have the program's recommendation to be hired as part-time Faculty. The full-time members of the program shall develop and continuously update the pool by either adding or removing individuals from the list after evaluating them using the CFES instructional and collegiality criteria, and a copy of the confidential evaluation shall be given to the Dean/Director, via the Division Chair.

Full time Faculty may request to teach courses in another college, School, or program. Such a request shall be in writing to the Chair of the Division containing the program, who will refer the request to the program Faculty. The program Faculty shall consider the request and add the name to the list or not.

These recommendations are forwarded to the Dean/Director by the appropriate Division Chair.

Absent extraordinary circumstances, only part-time Faculty listed in this pool will be employed.

When the need arises to assign a part-time Faculty member to a course, the Dean/Director will first try to select from the pool of recommended part-time Faculty.

If it is not possible to choose from the recommended list, the Dean/Director may recommend hiring an individual not included in the pool. In such cases, the Dean/Director shall advise the Division Chair concerning the person hired. The full-time Faculty in the affected program, or concentration where appropriate, will then conduct an evaluation of that person for possible inclusion in the pool and forward their evaluation and recommendation to the Dean/Director.

H. CLASS ENROLLMENT CAPS

Each Division's Faculty shall recommend to the Dean/Director the appropriate minimum and maximum enrollment caps for their classes. Due consideration will be given to the physical facilities available, the nature of the class, and the assigned instructor. In any event, class size shall not exceed room capacities such as may be set by OSHA or other safety authorities. The Dean/Director's decision on enrollment caps is final.

The Board and the Union acknowledge that economic and academic factors require a minimum class size in many cases. But in order to prepare academic majors in a given field, it is sometimes necessary to hold classes that are less than the minimum size. Average class sizes throughout an academic Division will be considered when making a decision on whether to allow a small class to proceed.

I. WORK ENVIRONMENT

The Board shall endeavor to provide a safe, secure, and healthy work environment with adequate office space that provides privacy. Suggestions and questions relating to the safety, security, size, privacy, or health concerns of the work environment will be referred to the Dean/Director.

J. STAFF SUPPORT

The Board shall endeavor to provide sufficient resources to meet all appropriate staff support needs.

K. FACULTY DEVELOPMENT

Faculty development is a priority for the University and is a joint responsibility of the University and the individual Faculty member.

Both the Board and the Union recognize the need for increased funding of Faculty development. Each Academic Year, therefore, the Administration and the Faculty shall endeavor to obtain a significant, real increase in funds, from external and local resources, for Faculty development activities. Such funds shall be distributed in the fairest manner possible, taking into consideration the goals and desires of individual Faculty members, the needs of their College/School, and the needs of the University.

The Board and the Union also recognize that Faculty travel is an important component of Faculty development and for the enhancement of Faculty skills and knowledge. Faculty members shall have the right to apply for financial support to defray the costs of travel in connection with professional activities in accordance with University policy.

At the end of each Academic Year, the Senior Vice President shall produce an annual report on Faculty development. This report shall include a breakdown of the distribution of funds, and shall be distributed to the University community.

L. FACULTY COMPLIANCE WITH POLICIES AND PROCEDURES

Faculty members are expected to be aware of, and comply with, the policies, practices, rules, regulations, or guidelines of the University and their College/School or Other Assigned Area, as published and distributed by the Administration. Practices, rules, regulations, or guidelines shall be standardized whenever possible.

M. CONSULTATION ON CHANGES IN THE ACADEMIC YEAR CALENDAR

The Senior Vice President and the Union President will consult on any proposed changes in the Board-approved Academic Year Calendar.

ARTICLE VII

SALARIES AND FRINGE BENEFITS

A. SALARY SCHEDULES

Salary schedules for Faculty will be established by the Board, depending upon the availability of funds, and may be adjusted from time to time at the Board's discretion.

B. SALARY COMMITTEE

A Salary Committee shall be formed. Members of the Salary Committee shall be appointed each year by September 1. The membership shall consist of two (2) persons appointed by the President and two (2) members appointed by the Union.

The Salary Committee shall meet to formulate Faculty salary recommendations, encompassing both rate and structure for both regular and overload compensation, to be submitted to the President by the last business day of the Spring Semester. The President shall forward and give an oral report on these recommendations to the appropriate Board Subcommittee before the November regular meeting of the Board of Regents.

The Board of Regents will consider these Salary Committee recommendations for the budget of the following fiscal year. These recommendations shall take into consideration recent changes in the cost-of-living index, the compatibility of University of Guam salaries with those of similar institutions and the University of Guam's financial conditions.

C. SALARY INCREMENTS

If, after the annual increment review and evaluation, the Dean/Director certifies that a Faculty member's performance has been satisfactory in the preceding year, the Faculty member, if not at the top step available of his or her rank, shall be granted an increment subject to availability of funds.

In certifying a Faculty member's performance, the Dean/Director shall, in writing, justify all salary increment decisions, identify any deficiencies in the Faculty member's roles as outlined in the Faculty member's evaluation plan, and make recommendations for improvement.

D. PROMOTION DIFFERENTIAL

Any Faculty member who is promoted in rank shall receive a differential equivalent to two (2) steps. Faculty may also receive an increment for which they are eligible in accordance with Article VII, Section C of this *Agreement*.

E. PAID HOLIDAYS

The Board shall observe all official holidays designated by Guam Statute. Absent extraordinary circumstances, all such holidays shall be non-working days with pay for the Faculty.

F. EQUITABLE COMPENSATION AND WORKING CONDITIONS

Comparable and equitable compensation and working conditions for nine-month and twelve-month Faculty shall continue.

G. COMPENSATION FOR WORK BETWEEN SEMESTERS

If an Academic Year (nine-month contract) Faculty member is requested to work during the periods between semesters, compensation shall be negotiated with the Dean/Director.

H. TUITION WAIVERS FOR FACULTY MEMBERS, THEIR SPOUSES, AND THEIR DEPENDENT CHILDREN

Tuition waivers for Faculty members, their spouses, and their dependent children shall continue for the term of this *Agreement*. Tuition waivers are designed to enable Faculty members, their spouses, and their dependent children to enroll in or audit a class where there is excess instructional capacity. Faculty members, their spouses, and their dependent children will not have to pay tuition for institutional credit-bearing courses. For the purposes of this tuition waiver program, dependent children are defined as those individuals listed on the Faculty member's income tax return as "dependents" for the most recent filing period.

Students who are under the tuition waiver program shall not be counted in the tally for determining minimum enrollment for the instructor's compensation

I. FACULTY COMPUTER EQUIPMENT

In order to enhance Faculty effectiveness, the University will endeavor to provide all Faculty with computers, printers, software, and broadband Internet access.

J. COMPENSATION FOR PROVIDING SUBSTANTIAL COVERAGE OF ANOTHER FACULTY MEMBER'S CLASSES

When a Faculty member provides class/laboratory coverage for more than two (2) continuous weeks for another Faculty member, the Dean/Director shall make an attempt to provide compensation where appropriate. If provided compensation, then compensation shall be for the entire period covered if the coverage extends beyond the two (2) continuous weeks.

ARTICLE VIII

LEAVES

A. APPLYING FOR LEAVE

Faculty shall have the right to apply for any of the various forms of leave as detailed in University policy and all applicable laws. Absent extraordinary circumstances, any leave or combination of leaves shall not exceed two (2) consecutive academic years.

When applying for leave, Faculty shall provide full and accurate information.

The University Administration shall evaluate each application on its own merits, giving due consideration to the needs and priorities of both the individual and the institution. A timely response to each request for leave shall be provided in writing to the applicant.

B. FULFILLMENT OF FACULTY RESPONSIBILITIES DURING LEAVE

Leave must be approved in advance by the Dean/Director. Whenever a Faculty member requests leave, he or she shall make written arrangements for the fulfillment of his or her essential obligations and responsibilities, such as assigned classes, committee obligations, or work assignments.

In case of an unanticipated absence, barring extraordinary circumstances, the Faculty member must immediately contact the Dean/Director to arrange for the fulfillment of his or her essential obligations and responsibilities.

C. FACULTY WORKING IN MORE THAN ONE AREA OF SUPERVISION

In cases in which Faculty members are assigned to work in more than one area of supervision, such arrangements shall be subject to approval by all appropriate Dean/Directors.

D. FACULTY RANK AND SALARY WHILE ON LEAVE

Faculty members on leave shall have the right to return to their rank and salary.

Faculty members on approved leave shall receive all salary entitlements as specified in this *Agreement* and in University policy, provided the Faculty member presents documentation for evaluation by the Dean/Director as mutually agreed upon in the leave application.

E. CHANGE IN A FACULTY MEMBER'S ORIGINAL POSITION WHILE ON LEAVE

The Dean/Director shall be responsible for notifying the Faculty member on leave of any change in the Faculty member's appointment to a College, School, Division, or Other Assigned Area.

ARTICLE IX

GRIEVANCE PROCEDURES

A. STATEMENT OF PURPOSE

In any labor-management relationship, there may occasionally be disagreements and conflict. This *Agreement* provides a formal framework for an equitable, dispassionate, and expeditious resolution of labor-management conflict at the University. All parties, however, are encouraged to communicate and attempt to resolve their differences informally before, during, and after any formal conflict resolution procedure.

Nothing in this *Agreement* abrogates either party's right to pursue judicial remedies for resolving the grievance after the grievance procedure is completed.

B. DEFINITION OF GRIEVANCE

A grievance means a Faculty member's, or a group of Faculty members', expressed feeling of dissatisfaction with aspects of the working conditions and working relationships which are outside the Faculty member's control, including appeals from adverse disciplinary actions not covered by paramount law or regulation.

The grievance procedure stated herein shall extend only to the interpretation or application of existing agreements or to University of Guam personnel policies and regulations and shall not extend to the settlement of disputes or allegations of unfair labor practices for which procedures are otherwise provided by law and regulations.

A grievance cannot be filed against another Faculty member.

Further, a grievance cannot be filed regarding: 1) reappointment decisions; or 2) the refusal of the President to grant promotion or the Board to grant tenure.

C. REPRESENTATION RIGHTS DURING THE GRIEVANCE PROCEDURE

1. At any level of the grievance procedure, both parties are barred from having attorneys present at grievance proceedings, however, either party has the right to designate an advisor of their choice (who is a full-time employee of the University or Union representative) who may be at the proceedings.

In the spirit of expeditious resolution of a grievance, parties are required to communicate directly with each other during the process. If an advisor is present, the advisor's role is to consult with, and/or advise their party, and he or she may, if requested, speak in that role during the meeting.

2. At each step of the grievance procedure, the Union President shall be notified of all grievance proceedings. The Union President, or designee, and President, or designee, shall have the right to attend all grievance proceedings as observers.

D. PROHIBITION ON FACULTY REPRESENTING THE ADMINISTRATION DURING THE GRIEVANCE PROCEDURE

Under this *Agreement*, all full-time Faculty are covered as members of the collective bargaining unit. Therefore, a full-time Faculty member cannot serve in any capacity as an Administrator's advisor during the grievance procedure.

E. TIMELINES

The business day following an event, or the business day following receipt of any official correspondence filed in relation to a grievance, shall be considered the first business day.

Absent extraordinary circumstances, failure by either party to adhere to any of the timelines at any level of the grievance procedure shall result in the grievance being settled in favor of the other party.

At any level of the grievance procedure, and prior to the expiration of any timeline, both parties may, by mutual written agreement, stipulate to extend any timeline prescribed in the grievance procedure. The written agreement shall stipulate the new extension, and a copy of the agreement shall be sent to the Union President and the Human Resources Office.

F. DELIVERY OF OFFICIAL CORRESPONDENCE

All official correspondence and documents filed in accordance with the grievance procedure shall be hand delivered to the designated recipient. The correspondence or documents shall be received and dated at the location where it is served, with a receipted copy returned to the originator.

If a recipient is unavailable at the time of delivery, the official correspondence or documents may be given to the recipient by registered mail, or by facsimile or to the recipient's designated representative. Service by mail shall be deemed accomplished on the date of the postmark, and a facsimile shall be deemed accomplished according to confirmation of transmittal.

G. GRIEVANCE FILES AT THE HUMAN RESOURCES OFFICE

The Human Resources Office must establish and maintain the grievance files separate from the Personnel Files of the parties involved. Only the grievant or designee, the Faculty Union President or designee, and the Administration shall have access to the grievance file. The Human Resources Office shall hold the files for a period of five (5) years after action has been taken on that grievance. The files shall then be destroyed.

H. REQUESTING INFORMATION

One party may possess relevant information that the other party may need to investigate and process the grievance. If either party requests such information in writing (and if the information sought is not confidential as defined by Guam statute or Federal law), the other party shall, absent extraordinary circumstances, provide the requested information within five (5) business days at the current duplication costs.

I. GRIEVANCE PROCEDURE

Prior to filing any grievance, Faculty are encouraged to speak with a Union representative to be aware of the process and their rights.

Any Faculty member, group of Faculty members, or the Union may file a grievance based on the following procedure:

1. Step One: Meeting with the Administrator being grieved
 - a. Within five (5) business days of the alleged violation, or within five (5) business days from when the Faculty member(s) or Union became aware of, or reasonably should have been aware of the alleged violation, the grievant shall request, in writing, a meeting with the Administrator being grieved in an attempt to work out a resolution to the alleged problem. The written request shall include:
 - (1) a description of the facts surrounding the issue, including who was involved, what happened, when it happened, and where it happened, and;
 - (2) a citation of the sections of the *Agreement* or the University of Guam personnel policies and regulations that have been allegedly violated;
 - (3) a statement of what the grievant seeks as a remedy; and
 - (4) a request to meet with the Administrator being grieved to discuss the issues contained in the written statement.

The grievant shall also supply a copy of the written request to the Union President on the same day the Administrator receives the written request.

- b. Within five (5) business days of receipt of the written request for the formal meeting, the Administrator being grieved and the grievant shall meet.

- c. Within five (5) business days of the formal meeting, the Administrator being grieved shall send his or her written decision to the grievant.
2. Step Two: Meeting with the Administrator's Supervisor
 - a. If the grievant does not receive the remedy that he or she requested at the Step One meeting, or does not receive an alternative remedy satisfactory to the grievant, then the grievant may, within five (5) business days of receiving the Step One decision, submit the written statement to the supervisor of the Administrator being grieved. This written statement shall include all of the information from the previous step.
 - b. The grievant and the Administrator's supervisor shall meet within five (5) business days of the supervisor's receipt of the written statement and discuss the issues raised.
 - c. The Administrator's supervisor shall not consider any new alleged violations or charges other than those presented at Step One.
 - d. Within five (5) business days of meeting with the grievant, the supervisor shall meet with the Administrator concerned to discuss the grievance.
 - e. After the meeting with the Administrator, the supervisor has five (5) business days to reply in writing to the grievant.
 - f. If the grievant does not receive the remedy that he or she requested, or does not receive an alternative remedy satisfactory to the grievant, then the grievant has the right to appeal to an ad hoc Grievance Hearing Committee.
3. Step Three: Appeal to the ad hoc Grievance Hearing Committee
 - a. If the grievance has not been settled at Step Two, then within five (5) business days after the grievant's receipt of the written decision of the Administrator's supervisor, the grievant may appeal the decision by requesting a hearing by an ad hoc Grievance Hearing Committee by giving written notice to that effect in person or by registered or certified mail, directed to the President, the Administrator being grieved, and the Faculty Union President.

The ad hoc Grievance Hearing Committee shall consist of five (5) members, all of whom shall be selected from among all Administrators and tenured Faculty of the University. Members cannot be selected if they have a family relationship, as defined in the *RR&PM*, to either the grievant or the Administrator being grieved. Two (2) members shall be selected by the Faculty member and two (2) members shall be appointed by the Administrator being grieved. Those four (4) members will select the fifth member who shall be the Chair. Neither the affected Faculty member nor the President shall serve as a member of the ad hoc Grievance Hearing Committee.

- b. Process of the hearing
 - (1) The request shall be in writing stating the Faculty member's desire for a hearing, and include all of the information from each of the previous steps. The request shall be filed with the President, the Administrator being grieved and Faculty Union President.
 - (2) Within five (5) business days of receipt of the written request, the Faculty member will select two (2) members to serve on the Grievance Hearing Committee and the Administrator being grieved will select two (2) members to serve on the Grievance Hearing Committee.
 - (3) Within five (5) business days of their selection, the four (4) members will select the fifth member.
 - (4) Within five (5) business days of the selection of the fifth member, the Grievance Hearing Committee shall determine a time and place for the hearing and shall notify, in writing, both parties. The hearing must take place no later than ten (10) business days after the Grievance Hearing Committee notifies both parties, unless the Committee notifies all parties of an extension not to exceed ten (10) business days.
 - (5) The Grievance Hearing Committee shall conduct the hearing and issue a written decision within ten (10) business days of the date of the hearing to the grievant, the Administrator being grieved, the Union President, and the President.
- c. The Grievance Hearing Committee shall not consider any new alleged violations or charges other than those presented at Step One.

- d. If either party disputes the grievability of the issue, the Grievance Hearing Committee shall first determine whether the issue is indeed grievable. If the issue is not grievable, it shall be referred back to the parties without decision or recommendation on its merits.
- e. The decision of the Grievance Hearing Committee shall be final and binding upon the parties. There shall be no appeal from the Grievance Hearing Committee's decision by either party, if such decision is within the scope of the Grievance Hearing Committee's authority as described below:
 - (1) The final written decision of the Grievance Hearing Committee shall be limited to addressing the violation(s) listed in the Step One written request, and, with a supporting rationale, (a) granting the full relief requested, or (b) granting partial relief, or (c) denying the relief requested, or (d) granting an alternative relief that addresses the violation(s).
 - (2) The Grievance Hearing Committee shall not have the power to add to, subtract from, disregard, alter, or modify any of the terms of this *Agreement* or University policy.
 - (3) The Grievance Hearing Committee's decision must be consistent with the terms of this *Agreement* and University policy.
 - (4) Within twenty (20) business days of receipt of the Committee's decision, if the grievant or the Administrator being grieved produces evidence that the Committee did not adhere to (2) or (3) above, or new evidence is now available that could have a substantial impact on the grievance, then either party may request, in writing, a reconsideration by the Committee. The Committee shall issue a decision within ten (10) business days of receiving the request for reconsideration. There shall be no further appeal.

The supervisor of the Administrator grieved shall ensure that all the terms of the decision are implemented, and the Faculty Union shall monitor implementation of the decision.

ARTICLE X

DISCIPLINARY ACTION INCLUDING ADVERSE ACTION

A. STATEMENT OF PURPOSE

This Article of the *Agreement* provides a formal framework for an equitable, expeditious, and systematic resolution of matters involving disciplinary action, including Adverse Action. The purpose of disciplinary action, including Adverse Action, by the Administration, is to recognize, address, and, if possible, correct inappropriate behavior.

The underlying principle in disciplinary cases is to ensure that the Faculty member is afforded procedural rights during the disciplinary action, including Adverse Action, and that the disciplinary action, including Adverse Action, by the Administration is for cause and is appropriate to the offense.

All parties, however, are encouraged to communicate and attempt to resolve the matter informally before, during, and after any formal disciplinary action procedure.

Nothing in this *Agreement* abrogates either party's right to pursue judicial remedies for resolving the disciplinary action after the process described in this Article is completed.

B. NOTICE TO FACULTY ABOUT ALLEGED INAPPROPRIATE BEHAVIOR

A Faculty member shall be provided an opportunity to explain his or her perspective before an Administrator begins any disciplinary or adverse action procedure for alleged inappropriate behavior.

When an Administrator receives information alleging that a Faculty member has behaved inappropriately, the Administrator and the affected Faculty member shall meet to discuss the allegation before any disciplinary or adverse action procedures are implemented as described below in sections C and D of this Article.

The requirement for notice in this section does not apply to egregious acts, such as threats or acts of violence.

C. LEVELS OF DISCIPLINARY ACTIONS INCLUDING ADVERSE ACTION

Disciplinary action shall be appropriate to the seriousness and nature of the offense, shall take into account the past record of the Faculty member, and shall be based on the model of progressive discipline. However, depending on the severity of the alleged offense, the appropriate Administrator may proceed to Level 2 or Level 3 of disciplinary actions. The following is a list of levels of disciplinary actions that the Dean/Director may pursue in addressing and correcting, if possible, inappropriate conduct in a reasonable manner:

1. Level One (no loss of pay or loss of job; not an Adverse Action)
 - a. an oral or a written warning (not placed in the Faculty member's Official Personnel File) about the possible consequences if the inappropriate behavior continues. Such a warning may include a recommendation to seek counseling and/or a request to provide a development plan to correct the inappropriate behavior, and/or a restriction of privileges; and/or
 - b. a written warning, placed in the Faculty member's Official Personnel File, about the possible consequences if the inappropriate behavior continues. Such a warning may include a recommendation to seek counseling and/or a request to provide a development plan to correct the inappropriate behavior, and/or a restriction of privileges; and/or
 - c. a letter of reprimand placed in the Faculty member's Official Personnel File; this is a formal expression of institutional rebuke, conveyed by the Dean/Director. Such a letter may include a recommendation to seek counseling and/or a requirement to provide a development plan to correct the inappropriate behavior, and/or a restriction of privileges.
2. Level Two (loss of pay; an Adverse Action)
 - a. docking of pay; and/or
 - b. suspension without pay; and/or
 - c. loss of step; and/or
 - d. demotion in rank
3. Level Three (loss of job; an Adverse Action)

The disciplinary action at this level is dismissal from employment at the University of Guam.

The President of the University has sole authority to dismiss any tenured or non-tenured Faculty member. In all cases where dismissal is being considered, the President shall consult with the Faculty Union President prior to dismissing any member of the Faculty.

Termination due to failure to be granted reappointment, or due to failure to be granted tenure by the end of the sixth academic year, or due to expiration of a limited-term contract is not an adverse action as defined in Article X herein.

Disciplinary actions such as letters of reprimand, which the Administration can issue but which do not involve Adverse Actions as defined in Article X herein, may be subjects of a grievance as provided for in Article IX herein. If such action is grieved, the Human Resources Office must establish and maintain the disciplinary action files separate from the Official Personnel Files of the parties involved. Only the Faculty member or designee, the Union President or designee, and the Administration shall have access to the disciplinary action file.

If the disciplinary action is upheld, then the Human Resources Office shall, within seven (7) days of receipt of the final decision, add the disciplinary action to the Faculty member's Official Personnel File.

If disciplinary action is not upheld, then the Human Resources Office shall, within seven (7) days of receipt of the final decision, certify the expungement of the disciplinary action.

D. **DEFINITIONS OF ADVERSE ACTION**

1. Adverse action means the suspension, demotion or dismissal of a Faculty member for causes outlined in **section E** of this Article.
2. Suspension means the temporary removal of a Faculty member from his or her position with loss of pay as a disciplinary measure.
3. Demotion means the involuntary reduction of a Faculty member's Rank or the involuntary reduction of a Faculty member's salary steps within the same Rank as a disciplinary measure.
4. Dismissal means the termination of a Faculty member from his or her position for cause.

E. AUTHORIZED CAUSES FOR DISCIPLINARY ACTION INCLUDING ADVERSE ACTION

Authorized causes for disciplinary action, including adverse action, against a Faculty member shall be limited to the following:

1. fraud in securing appointment, promotion, or tenure;
2. misconduct in research as defined in the UOG *RR&PM*;
3. demonstrated incompetence in his or her academic discipline, work performance, or employment;
4. inexcusable neglect of duty related to work performance or employment;

5. willful dishonesty related to work performance or employment;
6. inexcusable absence without approved leave;
7. insubordination, which means willful failure to obey a direct, legitimate order from an Administrator in the Faculty member's direct supervisory chain;
8. intoxication or illegal drug use while on campus;
9. addiction to the use of illegal drugs;
10. conviction of a misdemeanor involving moral turpitude;
11. conviction of a felony;
12. insulting, rude, or belligerent treatment of the public, students, or other University employees;
13. misuse of government property in violation of law, rules, or regulations;
14. other gross personal misconduct, either during or outside duty hours, that is of such a nature that it causes discredit to the University;
15. illegal job action as defined in **the Public Employee-Management Relations Act of Guam (PEMRA)**;
16. consumption of alcohol on campus without prior approval from appropriate authority;
17. **Sexual harassment as defined in the University EEO policy;**
18. violation of any provision of the contract and or any provision of the University policy, rules and regulations.

F. PROCEDURES

1. Each Faculty member is entitled to the following procedural rights during Adverse Action proceedings:
 - a. the right to be notified of the charges, and to be supplied with a copy of any documents and investigation reports that involve the charges;
 - b. the right to have a Union representative in any interview the Administration might hold with the Faculty member to investigate a possible discipline charge against a Faculty member;

- c. the right to have, and be present at, a fair hearing by the Adjudication Committee;
- d. the right to representation at any formal hearing;
- e. the right to confront accusers; and
- f. the right to answer the charges and present evidence and witnesses.

2. Representation Rights During the Adverse Action Procedures

- a. At each step of the adverse action procedures, the Union President shall be notified, in writing, of all adverse action proceedings. The Union President, or designee, shall have the right to attend all adverse action proceedings.
- b. At each step of the adverse action proceedings, the Faculty member shall have the right to designate an advisor (or Union representative) of his or her choice who may be present to consult with, advise, and speak for the Faculty member.
- c. At each step of the adverse action proceedings, either party retains the right to representation by legal counsel.

3. Prohibition on Faculty Representing the Administration During Disciplinary Action Procedures

Under this *Agreement*, all full-time Faculty are covered as members of the bargaining unit. Therefore, a full-time Faculty member cannot serve in any capacity as an Administrator's advisor during the adverse action procedure.

4. Timelines

For purposes of this Article, "day" shall mean calendar day. The day after an event or the day following receipt of any official correspondence filed in relation to an adverse action, shall be considered the first day of the next indicated timeline.

At any level of the Adverse Action procedure, and prior to the expiration of any timeline, both parties may, by mutual written agreement, stipulate to extend any timeline prescribed in the Adverse Action procedure. The written agreement shall stipulate the new extension, and a copy of the agreement shall be sent to the Union President and the Human Resources Office.

5. Delivery of Official Correspondence

All official correspondence and documents filed in accordance with the disciplinary action procedure shall be hand delivered to the designated recipient. The correspondence or documents shall be received and dated at the location where it is served, with a receipted copy returned to the originator.

If a recipient is unavailable at the time of delivery, the official correspondence or documents may be given to the recipient by registered mail, using the address on file in the Human Resources Office, or by facsimile, or to his or her representative as designated in writing.

Service by mail shall be deemed accomplished on date of postmark and a facsimile shall be deemed accomplished according to confirmation of transmittal.

6. Adverse Action Files at the Human Resources Office

The Human Resources Office must establish and maintain the adverse action files separate from the Personnel Files of the parties involved. Only the Faculty member or designee, the Faculty Union President or designee, and the Administration shall have access to the adverse action file.

If the adverse action is implemented, then the Human Resources Office shall, within seven (7) days of implementation, add the adverse action to the Faculty member's Official Personnel File.

If the adverse action is modified by the Adjudication Committee, then the Human Resources Office shall, within seven (7) days of receipt of the final decision, replace the original adverse action with the modified adverse action in the Faculty member's Official Personnel File.

If the adverse action is revoked by the Adjudication Committee, then the Human Resources Office shall, within seven (7) days of receipt of the final decision, destroy the adverse action file or purge the Faculty member's Official Personnel File of the adverse action.

7. Requesting Information

One party may possess relevant information that the other party may need to investigate and process the adverse action or the appeal of the adverse action. If either party requests such information in writing (and if the information sought is not confidential as defined by Guam statute or Federal law), the other party shall, absent extraordinary circumstances, provide the requested information within seven (7) days at the current duplication costs.

8. Adverse Action Procedures

a. Notice of Proposed Adverse Action

A Faculty member against whom adverse action is sought is entitled to written notice stating any and all causes, with the bases of specific charges expressed in detail, for the proposed action.

b. Faculty member's Answer

A Faculty member is entitled to twenty (20) days for answering charges in a notice of proposed adverse action and for furnishing affidavits in support of his or her answer.

If the Faculty member fails to answer within twenty (20) days of receipt of the adverse action notice, the charges will be deemed admitted and the Faculty member shall forfeit the right to answer.

If the Faculty member answers, the President shall consider his or her answer in reaching a decision.

The Faculty member may answer orally or in writing or both. The right to answer personally includes the right to answer orally in person by being given a reasonable opportunity to make any representations which the Faculty member believes might sway the final decision in the case, but does not include the right to a trial or formal hearing with examinations of witnesses.

When the Faculty member requests, in writing, an opportunity to answer personally, the President shall meet with the Faculty member to hear his or her answer.

c. Duty Status During Notice Period

A Faculty member against whom adverse action is proposed is entitled to be retained in an active duty status during the notice period.

However, when circumstances are such that the retention of the Faculty member in active duty in his or her position may result in damage to University property or may be detrimental to the interests or operations of the University or injurious to the Faculty member, fellow workers, or the general public, the President may temporarily assign the Faculty member to duties in which these conditions will not exist or place him or her on suspension with pay.

d. Notice of Adverse Action

The Faculty member is entitled to notice of the President's decision at the earliest practicable date but no later than twenty (20) days following the due date of the Faculty member's response.

The University shall deliver the notice of decision to the Faculty member at or before the time the action will be made effective. The notice shall be in writing, be dated, inform the Faculty member of the specific statement of the charges upon which such action is based, inform the Faculty member of his or her right to appeal, and inform him or her of the time limit within which an appeal may be submitted, all as provided in Article X, section D, subsection 11, of this *Agreement*.

The Adverse Action is effective the date of the Notice of Adverse Action. Implementation of the adverse action decision, from its effective date, is subject to the provisions in Article X, section D, subsection 12, of this *Agreement*.

9. Appeals of Adverse Action

This section sets forth procedures to provide a simple, orderly method through which a Faculty member may seek prompt reconsideration of an adverse action against him or her.

a. Definitions

- (1) Appeal means a request by a Faculty member for reconsideration of an adverse action against him or her.
- (2) Original Adverse Action means an adverse action by the University against a Faculty member as defined in Article X, section D, subsection 1, of this *Agreement*.
- (3) "Day" shall mean calendar day.
- (4) Adjudication Committee means the constituted ad hoc body to hear and adjudicate adverse action appeals.

The Adjudication Committee shall consist of five (5) members, all of whom shall be selected from among all Administrators and tenured Faculty of the University. Two (2) members shall be selected by the affected Faculty member and two (2) members shall be appointed by the President. Those four (4) members will select the fifth member who shall be the Chair. Members cannot be selected if they have a family relationship, as defined in the *RR&PM*, to either the President or the affected Faculty member. Neither the affected Faculty member nor the President shall serve as a member of the Adjudication Committee.

b. The Appeal

(1) Right to Appeal or Terminate Appeal

- (a) Any full-time Faculty member is entitled to appeal an adverse action.
- (b) A regular contract Faculty member occupying a permanent position with the University is entitled to appeal adverse actions imposed during the term of his or her contract. Non-renewal of contract is not considered an adverse action and is not subject to appeal.
- (c) The Faculty member may terminate his or her appeal at any time before the President's final decision and the request for termination shall be honored by the Administration.

(2) Process of Appeal

- (a) An appeal shall be in writing stating the Faculty member's desire for adjudication and it shall be filed with the President within seven (7) days of the date of the Notice of Adverse Action.
- (b) Within seven (7) days of the President's receipt of the written appeal, the Faculty member will select two (2) members of the Adjudication Committee and the President will appoint two (2) members of the Adjudication Committee.
- (c) Within seven (7) days of their selection/appointment, the four (4) members will select the fifth member.

- (d) Within seven (7) days of the selection of the fifth member, the Adjudication Committee shall determine a time and place for the hearing and shall notify, in writing, both parties. The hearing must take place no earlier than fourteen (14) days after the Committee notifies both parties, unless otherwise agreed to in writing.
 - (e) The Adjudication Committee shall conduct the hearing and issue a written decision to both parties within sixty (60) days of the date of the Notice of Adverse Action. In the event the sixtieth day falls on a holiday or a weekend, the next working day shall be considered the sixtieth day.
- (3) Basis of Appeal and Rebuttal
- (a) Within fourteen (14) days of filing the appeal, the Faculty member shall submit to the Committee a written statement that sets forth clearly the basis of the appeal, stating all relevant facts pertaining to the issues raised in the appeal and specifying the statutes, rules and regulations, if any, upon which the Faculty member relies.

Absent extraordinary circumstances, if the written statement is not submitted on or before the expiration of the fourteen (14) day period, the Faculty member shall forfeit appeal rights, and the adverse action shall be implemented.
 - (b) The Committee shall immediately provide the President with a copy of the Faculty member's written statement.
 - (c) The President shall within fourteen (14) days after receipt of the Faculty member's written statement, forward to the Adjudication Committee the Administration's statement of defense. The Administration's statement of defense shall contain objections to any or all issues raised by the appeal, objections to the form of the appeal, the Administration's view of the facts, a rebuttal to any matter raised in the appeal, a description of testimonial and/or documentary evidence upon which the Administration will rely in its defense of the appeal.

A statement of defense shall be deemed a specific denial of all aspects of the appeal not expressly admitted. All objections as to the form of the appeal shall be deemed waived, unless objected to as provided herein.

Absent extraordinary circumstances, if a statement of defense is not submitted on or before the expiration of the fourteen (14) day period, the Administration shall forfeit defense rights, and the adverse action shall be revoked.

- (d) The Committee shall immediately provide the Faculty member with a copy of the Administration's statement of defense.

(4) Presentation of Appeal

In presenting an appeal, a Faculty member shall be assured freedom from restraint, interference, coercion, discrimination, or reprisal and shall have the right to be accompanied, represented, and advised by a representative of his or her own choosing.

If the Faculty member designates a representative, the representative shall be assured freedom from restraint, interference, coercion, discrimination, or reprisal.

c. Hearing Procedures before the Adjudication Committee

- (1) The Adjudication Committee shall keep minutes of its procedures and maintain records of the hearing. The record of hearing shall contain a summary of all testimony presented and copies of all documents submitted to the Committee.
- (2) Each party shall have the following rights: the right to counsel; to call and examine witnesses; to introduce exhibits; to cross-examine opposing witnesses on any matter relevant to the issues even though the matter may not have been covered in the direct examination; to impeach any witness and to rebut the evidence against him or her. It shall be the right of the Faculty member to decide if the hearing shall be open or closed to the public.
- (3) The Faculty member shall first present his or her case by calling witnesses and offering evidence. The Administration shall then present its defense and any rebuttal to the Faculty member's case. The Faculty member may then rebut the Administration's defense. Summation by each side then follows in the same order.

The burden of proof is on the Administration.

The hearing need not be conducted according to technical rules of evidence. Any relevant evidence shall be admitted if it is the sort of evidence on which responsible persons are accustomed to rely in the conduct of serious affairs, regardless of the existence of any common law or statutory rule of evidence. Irrelevant and unduly repetitious evidence shall be excluded.

- (4) Within sixty (60) days after the date of the Notice of Adverse Action, the Adjudication Committee shall deliver its written recommendation for action to the Faculty member, the Union President, and the President. The recommendation for action shall be based on the preponderance of evidence; shall be in writing; and shall contain findings of fact, a determination of the issues and defenses presented, and remedial action to be taken, if any. The Adjudication Committee shall recommend sustaining, modifying or revoking the adverse action. One copy of the record of hearing shall be provided to the Faculty member, the Union President, and the President.

d. Decision of the President

Following receipt and review of the Adjudication Committee's recommendation, the President shall sustain, modify or revoke the adverse action against the Faculty member. The decision of the President is final and there is no further right of administrative appeal. The President's final written decision shall be made within seven (7) days after receipt of the Adjudication Committee's recommendation. One copy of the President's final decision shall be provided to both the Faculty member and the Union President.

e. Death of the Faculty member

When an appeal is properly filed before the death of the Faculty member, the Adjudication Committee and President shall process it to completion.

10. Effective date of implementation of Adverse Actions

- a. If the adverse action is for suspension without pay for five (5) days or less, or for demotion of two (2) pay steps or less, the adverse action shall be implemented on the effective date of the final Notice of Adverse Action. The Faculty member may then appeal the adverse action following the procedures outlined in this Article.
- b. If the adverse action is for anything else, the implementation date shall be sixty (60) days after the effective date of the final Notice of Adverse Action, or on the date of the final decision by the President, whichever is earlier.

- c. If a Notice of Proposed Adverse Action is issued against a nine-month Faculty member or a twelve-month Faculty member on approved leave at a time when it is not possible to communicate with or contact the Faculty member, the Administration may continue the adverse action process through the final Notice of Adverse Action. The Administration shall place the Notice of Adverse Action in an adverse action file in the Human Resources Office as provided for in this Article and shall be effective as of that date.

However, implementation of the adverse action against the Faculty member shall be suspended until one of the following events occurs, whichever is first: (1) the Faculty member is contacted by or communicates with the Administration or (2) the first day of the next regular semester or (3) the Faculty member returns from approved leave. At such time, the timelines for the process of appeal shall be reactivated and commenced as of that date.

- d. If a Notice of Proposed Adverse Action is issued against a nine-month Faculty member or a twelve-month Faculty member who is absent without approved leave at a time when it is not possible to communicate with or contact the Faculty member, the Administration may continue the adverse action process through the final Notice of Adverse Action. The Administration shall place the Notice of Adverse Action in both the adverse action file and the Official Personnel File in the Human Resources Office as provided for in this Article. The adverse action shall be effective and implemented as of that date.

ARTICLE XI

RECRUITMENT, LAYOFFS, AND RECALL

A. FACULTY RECRUITMENT

Recruitment is a mutual concern of all in the University community. The Administration shall give serious consideration to recommendations from the Division(s) or Other Assigned Area(s) concerned when filling a Faculty vacancy.

No tenure-track or non-tenure-track full-time Faculty position can be filled unless a search is conducted according to the procedures in this Article.

1. Formation of Search Committees

Search Committees for Faculty positions shall be established in the following manner:

- a. The Dean/Director shall request approval from the Senior Vice President to fill a vacancy.
- b. Upon approval, the Dean/Director shall request that the Division or Other Assigned Area forward names of full-time Faculty members to serve on the search committee.
- c. The Division or Other Assigned Area will then elect from three (3) to five (5) members (the exact number is left up to the Faculty) from all the full-time Faculty members of the Division or Other Assigned Area. The Division or Other Assigned Area will forward the names of the selected individuals to the Dean/Director.
- d. The Dean/Director shall appoint these Faculty members to the Search Committee. The Dean/Director may also appoint up to two (2) additional full-time Faculty members. The Dean/Director shall then convene the Search Committee and appoint the Committee Chair from the elected members.
- e. In fulfilling its Faculty recruitment responsibilities, the Search Committee shall invite all full-time Faculty members in the Division or Other Assigned Area to have input into the process. The Search Committee shall establish criteria for selection with the concurrence of the Dean/Director and the Senior Vice President. The criteria shall be in accordance with University-wide and College-wide standards and the University's policy on nondiscrimination and affirmative action.

2. Length of service for non-tenure-track full-time Faculty

After ten (10) consecutive or non-consecutive semesters of non-tenure-track contracts, the faculty member must again be selected for the position using the search procedure as described in this Article before he or she can be rehired on another non-tenure-track contract.

This provision only applies to full-time Faculty positions funded by Guam legislative appropriations to the University of Guam.

3. Emergency-hire Faculty

In the event of an unexpected vacancy in a Faculty position (due to, for example, death, sudden resignation or retirement, or serious illness, or absence without approved leave), the Dean/Director shall first attempt to reassign duties to other Faculty in the program.

If it is not possible to reassign duties to other Faculty in the program, the Dean/Director may recommend a candidate for an emergency full-time hire to the Senior Vice President and the President. Such an emergency hire may be conducted without going through the search process described in this Article. The employment period of the emergency-hire Faculty shall be for a term no longer than the completion of the Academic Year in which the vacancy occurred.

4. Advance notice of salary schedule and fringe benefits

Newly recruited Faculty members shall be given notice of the salary schedule and fringe benefits in advance of being expected to sign the initial employment contract. Following the receipt of the signed contracts, the Human Resources Office shall send to the Union a copy of the names and addresses of the new Faculty members.

B. FACULTY LAYOFFS

The Board recognizes that laying off Faculty is a most serious separation step for an institution of higher learning. It may be necessary to lay off a Faculty member because of a bona fide financial exigency as specified below.

Faculty layoffs shall only be taken as a final step in an orderly planned consultative process. No Faculty layoffs shall take place until all other reasonable cost-saving measures have been exhausted, and until after a total freeze on the hiring of any personnel to fill any newly created University positions has been in place for at least six (6) months. This hiring freeze only applies to positions funded by Guam legislative appropriations to the University of Guam.

To this end, different processes and procedures shall apply, according to the nature and reason for the layoff.

1. Layoff due to financial exigency

After the Board has declared that a layoff of Faculty members is necessary due to a bona fide financial exigency, the Administration shall consult with Faculty members of the affected Division or Other Assigned Area and with the Union.

In determining which Faculty member's employment to discontinue for reasons of financial exigency, a multi-level review process shall be used. The first level of review shall focus on the single criterion of programmatic needs. Once this review has identified the program areas to be eliminated or cut-back, the final selection of layoffs shall be undertaken by the Administration. Once programmatic needs have been established, preference for retention shall be given to those holding tenured positions, starting at the rank of Professor. Part-time Faculty, or non-tenured Faculty, or both, shall be released first.

In making this determination on layoff, the Administration shall actively solicit recommendations from the various Faculty Divisions or Other Assigned Areas and organizations of the University including the Union and shall give due consideration to all recommendations. Such recommendations shall be transmitted in writing to the President within forty-five (45) business days of notice of impending layoffs.

2. Layoff procedures

Before any layoff is declared, the Administration, supported by affected Faculty members and the Union, shall make a documented and demonstrated effort to locate appropriate, alternative, or equivalent employment within the University for those Faculty members subject to layoff. Written notice of these efforts shall be shared with the affected Faculty members and with the Union. Once programmatic needs have been established, preference for retention shall be given to those holding tenured positions, starting at the rank of Professor. Part-time Faculty, or non-tenured Faculty, or both shall be released first.

No full-time Faculty members shall be laid off unless and until the alternatives below have been considered, and if deemed feasible, implemented:

- a. Shared load between Divisions or Other Assigned Areas;

- b. Reassignment to another Division or Other Assigned Area, but only after consultation with the affected Faculty member and with the Division or Other Assigned Area to which the Faculty member may be reassigned, taking into consideration educational, research, and programmatic concerns and the Faculty member's professional training and experience;
- c. Supplementation of assigned duties with alternative duties;
- d. Transfer to a vacant position (but only with the consent of a majority of Faculty members of the Division or Other Assigned Area wherein there is the vacant position);
- e. Reduced appointment;
- f. Negotiated separation package;
- g. Early retirement.

Faculty members who are to be laid off shall be given at least one (1) year's notice. The Administration shall make every reasonable effort to find appropriate employment for the laid off Faculty member outside the University.

3. Special Circumstances for extramurally funded Faculty

In any University there are always Faculty members whose circumstances of employment merit special consideration such as those funded extramurally. In regards to layoff, such cases will be considered individually in consultation with the Union.

4. Ad Hoc Special Appeals Committee

Appeals of specific layoff decisions may be filed by the affected Faculty member(s) with an ad hoc Special Appeals Committee. The committee shall consist of three (3) members, all of whom shall be selected from among Administrators and all tenured Faculty of the University. One (1) member shall be selected by the Faculty member and one (1) member shall be appointed by the President. Those two (2) members will select the third member who shall be the Chair. Neither the affected Faculty member nor the President shall serve as a member of the ad hoc Special Appeals Committee.

The committee shall conduct a hearing within ten (10) business days of receiving the appeal, and shall give a decision within five (5) business days of that hearing.

Appeals of the Special Appeals Committee decision by either party will be heard by the Board of Regents. Any appeal must be filed in, writing, to the Executive Secretary of the BOR within ten (10) business days of the receipt of the decision of the Special Appeals Committee. The appeal shall be heard by the Board of Regents no later than at the next regularly scheduled meeting occurring ten (10) or more business days after the appeal is filed. All appeals shall be in writing and shall be restricted to the proposed implementation of the decisions of the Board of Regents. The Union shall be notified of the time and place of any hearing and may attend.

C. FACULTY RECALL

1. The Administration shall compile and keep current a list of Faculty members who have been laid off, the layoff date, and addresses. Names will remain on the list for a period of three (3) years. Laid off Faculty members shall be responsible for providing timely information as to their whereabouts and availability in order to keep files up to date.
2. Promotion and tenure timelines shall be suspended for up to three (3) years for Faculty terminated by reason of layoff.
3. If positions become available within three (3) years of the lay off actions, eligible Faculty members who were laid off will have first priority for recall in reverse order of lay off, so long as this can be accomplished while accommodating the University's programmatic needs. These Faculty members shall be so notified by registered letter sent to their last known address. In order to exercise this right of recall, the Faculty member must be available within one year. Recall rights shall expire three (3) years from the date of lay off or upon failure to accept an offer of recall made within the three-year period.
4. In all cases of layoff of Faculty members for reasons described in this Article, the position of the Faculty member laid off shall not be filled by a replacement unless:
 - a. the laid off Faculty member has been offered reinstatement and has failed to accept within thirty (30) business days of receipt of such an offer; or
 - b. after mailing the offer of reinstatement, the Administration receives an official notice of undeliverability of the letter within thirty (30) business days of the mailing; or
 - c. the laid off Faculty member declines to accept the offer of reinstatement.

5. No retraining of returning Faculty members or upgrading of Faculty skills can be required by the University without the written approval of the Faculty member. Should such approval be given, the Board of Regents shall give due consideration to Faculty member requests for training in the awarding of Government of Guam student financial aid.

D. SPECIAL ISSUES

If a special issue arises that would affect the continuous employment of tenured Faculty, the Administration will provide ninety (90) business days notice to the Union of such intent to implement.

The Administration and the Union will immediately commence negotiations as to the impact and implementation of such change. If agreement by both parties is not reached through negotiations, another ninety (90) business days will be given as notice. During this second period of ninety (90) business days, efforts will continue to obtain an Impact and Implementation agreement.

Upon the completion of the one-hundred eighty (180) business days, absent an agreement, management may proceed with implementation.

ARTICLE XII

SAVINGS CLAUSE, ACT OF GOD CLAUSE,
AND INTEGRATION OF THE *AGREEMENT* WITH UNIVERSITY POLICY

A. SAVINGS CLAUSE

In the event any portion of this *Agreement*, in whole or in part, is declared to be illegal, void, or invalid by any court of competent jurisdiction, all other items, conditions, and provisions of this *Agreement* shall remain in full force and effect to the same extent as if that portion had never been incorporated in this *Agreement*, and in such event the remainder of this *Agreement* shall continue to be binding upon the parties thereto.

B. ACT OF GOD CLAUSE

It may happen that a portion of this *Agreement*, in whole or in part, cannot be implemented or upheld as the result of the direct, immediate, and exclusive operation of the forces of nature, uncontrolled or uninfluenced by the power of humans, and without human intervention, which is of such character that it could not have been prevented, or avoided by foresight or prudence. Such forces of nature include, but are not limited to, wars, civil insurrection, earthquakes, typhoons, and sudden illness or death of a person. In these cases, the *Agreement* still applies, but timelines may be altered by the circumstances.

C. INTEGRATION OF THE *AGREEMENT* WITH UNIVERSITY POLICY, RULE, REGULATION, GUIDELINE, OR PRACTICE

For the life of this *Agreement*, the *Agreement* shall prevail over all University policies, practices, rules, regulations, or guidelines, whether written or unwritten, and over any policy, practice, rule, regulation, or guideline, whether written or unwritten, of any component of the University.

1. Policy, rule, regulation, guideline, or practice not covered by the *Agreement*

The Board and the Union agree that there is a body of written policy, rule, etc., and written interpretation of those policies, rules, etc., governing administrative decisions concerning wages, hours, or working conditions that this *Agreement* may not cover. In the event of a conflict of any University policies, rules, etc., with this *Agreement*, the *Agreement* shall prevail.

2. Policy, rule, regulation, guideline, or practice not in conflict with the *Agreement*

Any University policies, rules, etc., that do not conflict with this *Agreement* may be either continued for the term of this *Agreement* or changed or eliminated.

If changed or eliminated, however, the Union, as the exclusive bargaining agent of the Faculty, must be consulted in ample time to review the policy, rule, etc., and advise the Administration before the policy, rule, etc., goes into effect or is discontinued. Representatives of the Administration will meet and consult with Union representatives and shall give serious consideration to their views of the matter under discussion. For the life of this *Agreement*, no new policies, rules, etc., of the University shall be created that conflict with the provisions of this *Agreement*.

3. Practices

Concerning practices, if the Administration decides to establish or rely upon a specific practice in making a discretionary decision concerning wages, hours, and/or working conditions, the Union, as the exclusive bargaining agent of the Faculty, must receive notification to that effect. Representatives of the Administration will meet and consult with Union representatives and shall give serious consideration to their views of the matter under discussion.

D. ALTERING, AMENDING, SUPPLEMENTING, ENLARGING, OR MODIFYING THE *AGREEMENT*

Both parties for the lifetime of this *Agreement*, agree that they shall not be obligated to bargain collectively with respect to any subject matter referred to or governed by this *Agreement*, unless the Board and the Union mutually agree in writing to alter, amend, supplement, enlarge or modify any of its provisions.

No labor-management contract is able to cover every contingency. Therefore, both parties agree to allow the formulation of Memorandums of Understanding to address contingencies as they arise. Due to the unique nature of University life, and following a ten (10) business day notice and comment period from the parties to this *Agreement*, only the President and the UOG Faculty Union President can sign Memorandums of Understanding.

In addition, either party (the President or Union President) may convene an ad hoc *Agreement* Implementation Committee (AIC) that includes at least one (1) other member from each of the Administration's and Union's negotiating teams for this *Agreement*. The main role and purpose of the ad hoc *Agreement* Implementation Committee will be to clarify the intent of the *Agreement* and, if necessary, to recommend resolution of disputes over interpretation of the *Agreement* via a Memorandum of Understanding as described in this Article.

E. DISCLAIMER REGARDING ACCESS TO FILES

Pursuant to the terms and conditions in this collective bargaining agreement, the Administration is obligated and authorized to provide access to specific files and to disclose and release information contained therein to authorized members of the Faculty Union. In fulfilling such obligation, the University of Guam shall not be held liable by the members of the collective bargaining unit.

F. ECONOMIC IMPACT

The Board and the Union recognize that implementation of this *Agreement* has an economic impact. In the continuing spirit of collegiality and good faith, the Union and the Administration will consult to alleviate any possible negative economic impact that may arise regarding implementation of this *Agreement*.

ARTICLE XIII

IMPLEMENTATION

The intent of Interest-Based Bargaining is to create a permanent collaborative relationship between the University's Faculty and the Administration. Therefore, the Board and the Union recognize that the spirit of this *Agreement* calls for a serious collaborative effort to work out issues that will arise in the implementation of this *Agreement*.

A. ISSUES RELATED TO THE COMPENSATION OF THE UNION REPRESENTATIVES INVOLVED WITH NEGOTIATING THE COLLECTIVE BARGAINING AGREEMENT

Starting in Spring Semester 2013, the Administration and the Union will begin formal consultation on resolving issues related to UOG policies and Guam law as they relate to the compensation of the Union Representatives involved with negotiating the Collective Bargaining Agreement.

B. ISSUES RELATED TO FACULTY COMPENSATION FOR GRANTS AND CONTRACTS, AND FACULTY MANAGEMENT OF GRANTS AND CONTRACTS

Understanding the importance and complexity of these issues, the Administration and the Union shall, in good faith and in a timely manner, develop an MOU addressing both Faculty compensation for grants and contracts, and Faculty management of grants and contracts.

ARTICLE XIV

DURATION

This *Agreement* shall go into effect at 12:00 o'clock a.m. on March 1, 2013, and shall remain in effect until 12:00 o'clock a.m. on February 28, 2018. This *Agreement* supersedes all earlier *Agreements* and understandings, written or unwritten, between the Board of Regents and the Union.

If a new *Agreement* has not been successfully negotiated by the expiration date of February 28, 2018, the existing *Agreement* shall remain in effect until a new *Agreement* is finalized, but such an extension shall not exceed six (6) months, unless mutually agreed to continue the *Agreement* for an agreed upon specified period of time.

If at the end of the six-month extension, the new *Agreement* is not yet completed, the agreed to sections of the *Agreement* shall be submitted to the Board of Regents and the UOG Faculty Union membership for a vote. Any portion(s) of the *Agreement* not agreed to shall be submitted to binding arbitration.

No sooner than February 28, 2018, and no later than March 21, 2018, either party may notify the other of its desire to negotiate another *Agreement*. Upon receipt of such notice, negotiations on modalities shall commence no later than April 15, 2018, and negotiations on the actual *Agreement* shall commence no later than May 1, 2018.

The Administration and Union negotiation teams shall each be composed of at least four (4) members but no more than six (6) members.

ARTICLE XV

DEFINITIONS

These definitions are for clarity, and are not intended to alter, amend, supplement, enlarge, or modify the terms of this *Agreement*.

ACADEMIC AFFAIRS COMMITTEE: A representative body in each College and School composed of at least, the Dean/Director, Associate Dean(s), Associate Director(s), as applicable, and all Division Chairs in the College or School. Those AAC members may authorize additional members by majority vote.

ACADEMIC EMPLOYEES: Faculty and Administrators.

ACADEMIC YEAR: The time period covered by the regular Fall and Spring Semesters as defined by the Academic Calendar, usually mid-August to mid-December and mid-January to mid-May respectively.

ACTING ADMINISTRATOR: A full-time Faculty member who chooses to accept an administrative position in an acting capacity (without going through the formal search process). Absent extraordinary circumstances, if an Administrator takes leave of four (4) weeks or less, Faculty shall not serve as the short-term acting Administrator.

A Faculty member choosing to accept a position as an acting Administrator retains his or her status as a Faculty member for a maximum period of one (1) year (365 consecutive calendar days) only for the purpose of applying for promotion or tenure. This time period as an acting Administrator shall count towards satisfying time in rank/employment requirements for promotion or tenure. In all other aspects, that individual shall be considered an Administrator.

ADMINISTRATOR:	An individual employed by the University of Guam in a position defined on the President's approved list of Administrative Positions. Administrators may sometimes teach classes, but their primary assignment is administration. No University personnel may be both Administrator and Faculty at the same time.
BUSINESS DAY:	A regular weekday University class day during the Academic Year for nine-month Faculty. For twelve-month Faculty, a regular weekday, excluding holidays, during the calendar year. For purposes of grievances or disciplinary actions, days when the Faculty member concerned is on approved leave shall not count as business days. Days lost due to Acts of God are not considered business days.
CALENDAR DAY:	All days, including Business days, weekends and holidays.
CALL PERIOD:	Deans/Directors shall choose an appropriate time for the start of the call period no later than twenty (20) business days before the date the increment is due to begin. The call period shall end twenty (20) business days after the date the increment was due to begin.
CONSULTATION WITH FACULTY:	Consultation with Faculty by an Administrator means that the Faculty concerned must receive notification as to a proposed new action, apart from anticipated routine matters, and that all Faculty concerned must be provided the time and opportunity during business days to review and respond to the proposed action before it is approved. Absent extraordinary circumstances, notification to the affected Faculty shall be at least ten (10) business days before the proposed new action is approved.

CONSULTATION WITH THE UNION:	Consultation with the Union by the Administration or the Board of Regents means written notification to the Faculty Union President as to a proposed action as described in Article XII, and that the Faculty Union President must be provided the time and opportunity to review and respond to the proposed action before it is approved. Absent extraordinary circumstances, notification shall be at least twenty (20) business days before the proposed action is approved, or a shorter period of time if mutually agreed to by both parties.
DIVISION:	The smallest organizational structure in the Colleges and Schools as recommended by the full-time Faculty to the Dean/Director and approved by the President. A Division is comprised of full-time Faculty, and no full-time Faculty member may be a member of more than one Division or Other Assigned Area at any one time.
EXTRAORDINARY CIRCUMSTANCES:	A circumstance or set of circumstances that is beyond an individual's control and that he or she could not have reasonably been expected to have taken into account at the time or to have avoided or overcome it or its consequences.
FACULTY:	See Article II of this <i>Agreement</i> .
GRIEVANT(S):	Faculty member(s) initiating a grievance.
MORAL TURPITUDE:	Conduct that is an extreme departure from ordinary standards of honesty, good morals, justice, or ethics.
NON-SUPERVISORY:	No authority to make decisions regarding hiring, assigning, transferring, suspending, promoting, evaluating or disciplining any Faculty member.
NON-TENURE TRACK:	Faculty who are limited term full-time hires as indicated on their UG-1.

NOTIFICATION:	Means a written document placed in a Faculty member's or Administrator's official campus mail box. Notification to the UOG Faculty Union means a written document sent to the UOG Faculty Union President's campus mail box.
OFFICIAL PERSONNEL FILE:	The only official file on a Faculty member that the University Administration uses as the basis for personnel action.
OTHER ASSIGNED AREA:	An organizational structure of the University approved by the President where full-time Faculty are assigned that is not part of a College or School. No full-time Faculty member may be a member of more than one Other Assigned Area or Division at any one time.
OVERLOAD	Paid teaching, research, or service beyond a full work load as defined by this <i>Agreement</i> and the Faculty member's approved CFES plan.
PEMRA:	The Public Employee-Management Relations Act of Guam.
PRIVILEGES:	As used in Article X, this includes, but is not limited to, travel grants, intramural research grants, sabbatical leave, overloads, and load allocations.
SEMESTER:	Academic periods, as defined by the Academic Calendar, traditionally called Fall or Spring, and usually running from mid-August to mid-December in the Fall, and mid-January to mid-May in the Spring.
SUBSTANTIATE:	To confirm the source and authorship of a document or other material.
TENURE-TRACK:	Faculty who are hired full-time and hold a position that would allow them to apply for promotion or tenure as described in Article V of this <i>Agreement</i> .

SIGNATURE SHEET

The undersigned are duly authorized representatives of the Board of Regents and the University of Guam Faculty Union, Local 6282, of the American Federation of Teachers.

IN WITNESS WHEREOF THE PARTIES HERETO AGREE TO ALL THE PROVISIONS SET FORTH IN THIS *AGREEMENT* AND HAVE SET THEIR HANDS ON THIS DAY OF 2013.

Dr. Helen J. D. Whippy
Chief Negotiator for the Board
and
Senior Vice President

Dr. Donald L. Platt
Chief Negotiator for the Faculty
and
President, UOG Faculty Union

Dr. W. Chris Perez
Chair, Board of Regents
University of Guam

Dr. Robert A. Underwood
President
University of Guam

SASARHD Chairperson Marcos Fong will report on the SASARHD Committee meeting.



UNIVERSITY OF GUAM
UNIBETSEDAT GUAHAN
BOARD OF REGENTS

RESOLUTION NO. 13-02

RELATIVE TO APPROVING THE RULES AND REGULATIONS FOR THE STUDENT FINANCIAL ASSISTANCE PROGRAMS EFFECTIVE AY 2013-2014

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

WHEREAS, the provisions of Title 17 of the Guam Code Annotated, Chapter 15a, governing the Student Financial Assistance Fund, state that the Student Financial Assistance Fund shall be administered and granted by the BOR ; and

WHEREAS, in accordance with the applicable provisions, the Student Affairs, Scholarship, Alumni Relations & Honorary Degree (SASARHD) Committee held a public hearing on February 26, 2013 to address the proposed Rules and Regulations for the Student Financial Assistance Programs for AY 2013-2014 and thereafter; and,

WHEREAS, the Senior Vice President for Academic and Student Affairs, the Dean of Enrollment Management and Student Services, and the Director of Financial Aid have all certified that the Proposed Rules and Regulations for the Student Financial Assistance Programs complies with appropriate Public Laws and the BOR's Rules and Regulations; and,

WHEREAS, the SASARHD Committee recommends to the Board, approval of the Proposed Rules and Regulations for the Student Financial Assistance Programs effective AY 2013-2014.


NOW, THEREFORE, BE IT RESOLVED, that the Board of Regents hereby approves the Rules and Regulations for the Student Financial Assistance Programs effective AY 2013-2014 and thereafter.

Adopted this 28th day of February, 2013.



Dr. W. Chris Perez, Chairperson

ATTESTED:



Dr. Robert A. Underwood, Executive Secretary



FA

STUDENT FINANCIAL ASSISTANCE PROGRAMS

PROPOSED RULES AND REGULATIONS
FOR ACADEMIC YEAR BEGINNING 2013-2014
Administered by the University of Guam Board of Regents



STUDENT FINANCIAL ASSISTANCE PROGRAMS

PROPOSED RULES AND REGULATIONS
FOR ACADEMIC YEAR BEGINNING 2013-2014
Administered by the University of Guam Board of Regents

MERIT AWARDS

Rules and Regulations

MERIT AWARD RULES AND REGULATIONS

Award Year 2013-2014

1.0. STUDENTS ENTITLED TO MERIT AWARDS. _____

There are established annual merit awards for high school students in the graduating classes of public high schools, non-public high schools, and Department of Defense Education Activity (DoDEA) high schools on Guam. The students entitled to these awards shall be the students having the highest scholastic standing in the graduating classes of each such public and non-public school on Guam.

2.0. BACKGROUND AND STATUTORY AUTHORITY. _____

The Board of Regents of the University of Guam is authorized under Title 17 of the Guam Code Annotated, to formulate rules and regulations to equitably and efficiently administer the Student Financial Assistance Programs, as listed in Chapter 15A of Title 17 of the Guam Code Annotated.

3.0. DEFINITIONS. _____

As used in these rules and regulations, the following terms will have the following meaning.

- (a) **Academic Standing:** Rank according to cumulative numeric grades, and is the same as scholastic standing.
- (b) **Academic Year:** As defined by the University of Guam.
- (c) **Awardee:** The recipient of the Merit Award who was selected on the basis of that recipient's high academic standing from that recipient's high school graduating class.
- (d) **Board:** The Board of Regents of the University of Guam.
- (e) **Cash Repayment:** Monetary cash repayment for the period the deficiency was made and no service credit allowed.
- (f) **Co-Signers:** Guam residents who sign promissory notes, thereby becoming financially and legally responsible for repayment of the award obligation, if any, in accordance with the rules and regulations specified under the program.
- (g) **Cumulative Numeric Grades:** Computed on the basis of freshman (9th), sophomore (10th), junior (11th), and/or senior (12th) years in school on a scale of 0-100 points, or higher, for honor courses and calculated to the thousandth decimal place (to be truncated).
- (h) **Fee:** General fees as stated in the current University of Guam catalog applied to all students. Also defined to mean laboratory and course fees.
- (i) **Full-time Status: Undergraduate:** Twelve (12) or more credit hours per semester during the regular semesters or six (6) or more credit hours for Inter-session and/or Summer Session (any combination of A, B, and C session).
- (j) **Generally Open:** Public, non-public, and DoDEA high schools on Guam.
- (k) **Graduating Class:** High school seniors who graduate at the close of the school calendar year (no later than June of each academic year).
- (l) **Intersession:** The period between Fall Semester and Spring Semester as defined by the University of Guam Academic Calendar (optional attendance and subject to the availability of funding).
- (m) **Major Program:** The specific academic program of study, which will be undertaken to achieve the desired degree.
- (n) **Nominee:** A student nominated by an eligible school who has met the academic criteria and eligibility criteria as established by the Merit Rules and Regulations of the University of Guam.
- (o) **Promissory Note:** Document signed by the student and their guarantors promising to repay the loan in accordance with the rules and regulations specified under the program.
- (p) **Resident:** A resident of Guam for a continuous period of not less than five (5) years immediately preceding June 15th of the year the award is to be awarded.
- (q) **Service Credit:** Repayment of award obligation through employment service, upon completion of studies and award of degree.
- (r) **Stipend:** Payment disbursed on a monthly installment basis subject to availability of funds.
- (s) **Summer:** the period between Spring Semester and Fall Semester as defined by the University of Guam Academic Calendar (optional attendance and subject to the availability of funding).
- (t) **Total Disability:** Any physiological or psychological condition that will prevent the recipient from obtaining or maintaining any form of gainful employment for a period of not less than three (3) years.

MERIT AWARD RULES AND REGULATIONS

Award Year 2013-2014

Such condition will require the certification of two (2) physicians licensed to practice in the United States or Guam.

4.0. NUMBER OF AWARDS. _____

Undergraduate: Each graduating class of the public, non-public, and DoDEA high schools on Guam, is entitled to one (1) award for every fifty (50) graduates or fraction thereof of a school's graduating class each academic year (August through June), (schools with less than fifty (50) graduating seniors that meet all other requirements herein shall be entitled to one (1) award). If there should be a tie of the equal scholastic standing of two (2) or more graduates, the following mechanism will be used to break the tie:

- (a) The high school cumulative numeric grades going to the third (3rd) decimal place is required to break the tie;
- (b) If a tie still exists, then the Scholastic Aptitude Test (SAT) scores will be used to break the tie;
- (c) If a tie still exists, then the University of Guam (UOG) placement exam will be used to break the tie;
- (d) If a tie still exists, the UOG President will convene an Ad Hoc Committee (with 5 faculty members) to review the competing student's scholastic record, course completed (i.e. honors), student leadership activities, and club organizations to determine which student shall receive the award.

Each student must meet the eligibility requirements established in §15A301 of Chapter 15 (Article 3A) of Title 17 of the Guam Code Annotated. The actual number of diplomas awarded on graduation day will determine the number of awards.

5.0. CRITERIA OF ELIGIBILITY. _____

To qualify for a **Merit Award**, the student:

- (a) must be a graduate from a public high school or private high schools licensed to do business on Guam, or DoDEA high school;
- (b) shall be one(s) having the highest academic scholastic standing of their respective graduating classes based on; a minimum of three (3) but *no more than* four (4) academic years and meets all academic credit requirements for graduation from a high school on Guam.
- (c) must have achieved a cumulative high school Grade Point Average of not less than 3.000 at the time of graduation;
- (d) (1) a United States citizen; or
(2) a permanent resident alien; and
- (e) must be a legal resident of Guam for a continuous period of not less than five (5) calendar years immediately preceding June 15th of the year the award is to be awarded.

If any student is ineligible for an award solely because the student does not meet the requirements of §§5(d) and (e), or if any eligible student declines an award when first offered such award, the award shall be offered to the next eligible student in academic standing in the class.

6.0. NOMINATION PROCEDURE. _____

Merit Undergraduate Award: Each eligible high school shall submit a list of nominees on Form A, as attached, for the awards in descending order of rank, based on the academic standing and who meet the eligibility requirements as stated in Section 5, to the Board of Regents, no later than June 30th of each year. In the event any nominee declines to accept the award, the next graduate in academic standing in the class shall be offered the award; or in the case of a tie, the student that was eliminated by the tiebreaker, will be offered the award.

Each nominee shall sign a statement of acceptance or rejection of the Merit Award (Form B) that must be submitted with the Form A to the University of Guam, Financial Aid Office. If an eligible student accepts an award, such student must complete the Form C that confirms citizenship and Guam residency (must be

MERIT AWARD RULES AND REGULATIONS

Award Year 2013-2014

notarized). If an eligible student declines to accept an award when first offered, such student cannot accept such an award after it has been offered or granted to another student.

7.0. SELECTION PROCEDURE. _____

- (a) The Board of Regents shall direct the Financial Aid Director or designee to certify academic standing of the nominees on Form A submitted by the schools.
- (b) The Board of Regents shall, at a regular or special meeting, approve the selection of the awardees.
- (c) Within five (5) working days of the Board's action, notice of award shall be sent certified mail to each awardee. The awardee of a Merit Award must notify the Board of Regents within thirty (30) days of postmarked or stamped date of notice of the award whether the awardee will accept the award. If the awardee fails to do so, the award is thereby forfeited and the award shall be offered to the next eligible student. If an awardee declines to accept a Merit Award after it has been offered, such awardee shall no longer be entitled to receive such award from the Board of Regents.
- (d) All awardees shall attend a mandatory orientation to complete the award process. Failure to attend said orientation is cause to deny the Merit Award. All documents required by the Financial Aid Office to complete the award process will be received and completed by the recipient during the orientation process.

8.0. ATTENDANCE. _____

Merit Recipient(s): All awardees are to attend the University of Guam.

9.0. PROMISSORY NOTE. _____

All Merit Awardees shall execute a Promissory Note with two (2) responsible co-signers, who are residents of Guam and are financially able to repay the award in the event the student fails to comply with service obligations one hundred eighty (180) days from required employment date. Financial ability to repay includes but is not limited to documentation such as tax forms, employment verifications, business license, etc. The Board may thereafter extend cash repayment for a period not to exceed ten (10) years at an annual percentage rate of not less than ten percent (10%) No funds under this Program shall be disbursed while the student is attending the student's approved institution-until the note is submitted to the Financial Aid Office, Student Financial Assistance Program and the student is found to be in compliance with the requirements under this Program.

10.0. AWARD BENEFITS. _____

Merit Undergraduate Awardees are entitled to the following benefits:

- (a) Tuition and fees each academic year to be paid by the Student Financial Assistance fund for a period of not more than four (4) academic years in an undergraduate program at the University of Guam.
- (b) A nine (9) month stipend based on the following (beginning September and ending in May of each year)
 - (1) Three Hundred Dollars (\$300.00) per month for students in their first and second year under the Undergraduate Merit Award Program.
 - (2) Five Hundred Dollars (\$500.00) per month for students in their third and fourth year under the Undergraduate Merit Award Program.
- (d) An allowance of Three Hundred Fifty Dollars (\$350.00) per semester and One Hundred Dollars (\$100.00) maximum for summer will be granted for textbooks to be disbursed in accordance with regulations adopted by the Board. Awardees attending inter-session between the Fall and Spring semesters on a full-time basis are eligible for the maximum of One Hundred Dollars (\$100.00) for books.
- (e) Optional Inter-Session Attendance Allowed.
 - (1) Summer. Each awardee shall be entitled to tuition, fees, and textbooks for summer courses on a full-time basis, subject to availability of funds.

MERIT AWARD RULES AND REGULATIONS

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- (2) Between Fall and Spring Semester (Intersession). Each awardee shall be entitled to tuition, fees, and textbooks for inter-session courses on a full-time basis, subject to availability of funds. Awardees attending inter-session between Fall and Spring Semester shall not be entitled to an additional stipend.

11.0. OBLIGATIONS OF RECIPIENTS. _____

The recipient of an award must fulfill the following obligations:

- (a) Comply with all Merit regulations as established by the Board of Regents and duly adjudicated.
- (b) Merit Awardees must maintain a cumulative grade-point average of not less than 3.00 at the end of each semester as defined by the University of Guam Rules and Regulations. Failure to maintain full-time enrollment and the required cumulative grade-point average will result in monetary repayment of the semester award. Any awardee who fails to comply with this regulation shall be placed on probation and must meet the academic standard prescribed herein by the end of the term immediately following the term in which the awardee incurred probationary status.
- (c) Merit Awardees must enroll for and maintain full-time student status, minimum twelve (12) credit hours per semester/quarter. Failure to maintain the full-time enrollment and required cumulative grade-point average will result in monetary repayment of the semester award. Should the college or university's policy not reflect this standard full-time enrollment, the awardee must obtain verification certifying the full-time status for that term.
- (d) Obtain written approval (special request) from the Board before:
- (1) transferring to another institution; transfer(s);
 - (2) changing major program;
 - (3) withdrawing from the University of Guam, unless such withdrawal was due to circumstances beyond the awardees control and the Board subsequently approves such withdrawal in writing.
- (e) Changes to award status known as 'special requests' shall be submitted in writing from an awardee to the Financial Aid Office. Special requests shall be forwarded to the Administration and then to the Board of Regents for consideration. Such requested status changes shall include, but will not be limited to the following: change of major (i.e. double major, adding a minor, etc.), change of professional or technical program, change of graduation date, deferment of attendance, or deferment of service obligation. This subsection is applicable to all awardees beginning Academic Year 1996-97.
- (1) Except for deferment requests and change of graduation date, special requests shall be submitted to the Financial Aid Office no later than two (2) months (sixty (60) calendar days) prior to the start of the academic term for which the request is to take effect. Requests received after the two (2) months (sixty (60) calendar days), shall be acknowledged and may be returned without any action indicating non-compliance with the deadline requirement.
- (h) By accepting the award the awardee is required to attend:
- (1) An initial mandatory orientation prior to disbursement of the Merit award; and
 - (2) An exit interview upon completion of degree program with the staff from the Financial Aid Office.
- (i) All awardees must agree to work on Guam for one calendar year for each academic year for which assistance was provided
- (j) All awardees must provide proof of full-time employment within six (6) months after graduation by submitting a Verification of Employment, certification or 1040 tax forms or W-2 forms. For self-employment, a Business License, Gross Receipt Tax and a notarized statement of earnings is required. Employment verifications shall be submitted by the recipient annually. If an awardee wishes to continue the awardee's education as a full-time student at a graduate or professional school, the awardee may defer his/her employment obligation on Guam until such additional studies are complete; provided, written approval has been granted from the Board.

MERIT AWARD RULES AND REGULATIONS

Award Year 2013-2014

Failure to begin employment on Guam within six (6) months of graduation shall be cause for monetary repayment to become immediately due and payable in monthly monetary payments.

- (k) Any awardee who signs a cash repayment promissory note and is current with payment shall be eligible to receive a Preferential Hiring letter. Preferential hiring letters will not be issued if requested four (4) years after the completion of a student's degree program for which they received the merit award from the University of Guam.
- (l) By accepting the award, the awardee acknowledges that the University of Guam may obtain any or all information from the respective institution as needed to comply with Board regulations.

12.0. CANCELLATION/FORFEITURE OF AWARD. _____

Any of the following shall result in the cancellation/forfeiture of an award. Forfeiture results in the monetary repayment obligation for any and all funds received.

- (a) Failure to enroll in the Fall semester/quarter of the academic year immediately following the granting of the Award, unless deferment of enrollment in that semester/quarter is approved in advance by the Board of Regents. An awardee granted such deferment will forfeit the award for failure to enroll in the next semester/quarter immediately following the approved deferment.
- (b) *Failure to maintain a cumulative grade-point average of 3.0 or its equivalent (acceptable by the Board), except an awardee may be allowed one academic term to regain this average without cancellation of award.
- (c) *Failure to maintain full-time status. Fails to meet the academic and/or other requirements governing full-time students at the University of Guam, except an awardee shall be allowed one (1) academic term in which to regain full-time student status before cancellation of such recipient's award. The awardee must sign a Cash Repayment Promissory Note before receiving benefits for the next eligible semester/quarter.
- (d) Suspension or dismissal for:
 - i. Academic deficiency;
 - ii. Disciplinary reason(s);
 - iii. Conviction of a felony.
- (e) Change of institution and major without prior approval from the Board.
- (f) Failure to comply with other Board Regulations.

*An awardee who forfeits an award and who regains entitlement of the award pursuant to §§12(b) and (c) shall not be required to repay the amount awarded for that academic term in which the academic deficiency or failure to maintain full-time status occurred until after graduation, or other termination of studies for any other reason.

13.0. SERVICE CREDIT. _____

For the purpose of repayment, the awardee shall receive:

- (a) **Service Credit.** The awardee shall receive service credit for each year of employment on Guam. If the awardee (a) returns to Guam and (b) begins employment on Guam within six (6) months after graduation without interruption, the awardee is considered to have met the obligation to the Board and will receive credit beginning on the date of employment. A year of service credit is twelve (12) months. In the event that any portion of the assistance is not repaid through service credit, the amount unpaid in service credit shall become due and payable (§15A203).
- (b) **Postponement.** If the awardee wishes not to begin employment as required by §13(a) herein within six (6) months after graduation to continue studies at a graduate or professional school on a regular full-time, on-campus basis, at an accredited institution of higher education, as recognized by the Council for Higher Education Accreditation (CHEA), an appeal may be submitted in writing to the Board for approval. Furthermore, postponement of service obligation through service may be granted those who are experiencing a family or medical emergency or active duty military status, in which an appeal may be submitted in writing to the Board for approval (§15A203). Should such approval be granted, the repayment obligation shall be deferred for the period granted to continue studies.

MERIT AWARD RULES AND REGULATIONS

Award Year 2013-2014

- (c) **Unapproved Postponement.** If prior approval from the Board is not obtained, the awardee who does not return and begin employment on Guam within six (6) months of graduation must pay in cash the total amount received per year, calculated on a daily rate for each day the person is not employed on Guam. The daily rate will be calculated by the University of Guam Bursar's Office, based on the applicable promissory notes. Once this amount has been paid in full, the awardee is entitled to use service credit for the remaining amount of the debt for each year of employment on Guam.
- (d) **Interruption.** If an awardee receiving service credit wishes to temporarily terminate employment on Guam to continue studies at a graduate or professional school on a regular full-time on-campus basis, at a U.S. accredited institution of higher education, as recognized by the Council for Higher Education Accreditation (CHEA), an appeal in writing must be submitted to the Board of Regents for approval. Should such approval be granted, the repayment obligation shall be deferred for the period granted to continue studies. If prior approval of the Board is not obtained, the awardee must pay in cash per day for each day the awardee is not employed on Guam, at a rate determined by the University of Guam Bursar's Office/Collection Department. Once the amount is paid in full, the awardee is entitled to use service credit on the remaining debt.
- (e) **Ineligibility for Service Credit.** Any awardee who did not receive the degree pre-approved by the Board of Regents, shall be ineligible for service credit. All monies disbursed during attendance under the Merit Award will become due and payable and shall be subject to an annual interest rate of ten percent (10%) in monthly installment payments. Such payments must not exceed ten (10) years pursuant to the law (§15A203). The University of Guam Collections Department/Bursar's Office will compute the awardee's monthly installment payments in the event of default. Furthermore, permanent transfer to an off-Island office or branch of a Guam employer shall not count towards service credit and shall result in default on the date of transfer, and interest shall begin on such date of default.
- (f) **Death.** Any obligation on the note shall be terminated upon the death of an awardee during studies or while completing service, and upon receipt of death certificate (§15A203) by the Financial Aid Office. The death of a recipient does not result in the dissolution of obligation under the program if in monetary repayment.
- (g) **Total Disability.** Any obligation on the note shall be terminated upon the total disability (physiological or psychological), of the awardee while completing service credit, upon the certification of two (2) physicians licensed to practice in the United States or Guam (§15A203).
- (h) **Leave of Absence.** It is the responsibility of the awardee to inform the University of Guam of any leave of absence longer than forty-five (45) days. The awardee must remain employed pursuant to §13(a) herein to receive service credit while on off-Island temporary leave status (§15A203).
- (i) **Annual Proof of Employment.** It is the responsibility of the awardee to provide the Financial Aid Office or Bursar/Collection Office, documentary evidence (See Section 11.j) of such employment, and each year thereafter, until such obligation is fulfilled.

14.0. CONFLICT. _____

Previous regulation(s) under which an awardee was awarded financial assistance shall continue to apply to the awardee for the remainder of the awardee's studies, notwithstanding any revised regulation which conflicts with the previous regulation(s), unless specifically stated otherwise.



STUDENT FINANCIAL ASSISTANCE PROGRAMS

PROPOSED RULES AND REGULATIONS

FOR ACADEMIC YEAR BEGINNING 2013-2014

Administered by the University of Guam Board of Regents

JESUS U. TORRES PROFESSIONAL / TECHNICAL AWARDS

Rules and Regulations

JESUS U. TORRES PROFESSIONAL/TECHNICAL AWARD RULES AND REGULATIONS Award Year 2013-2014

1.0. BACKGROUND AND STATUTORY AUTHORITY. _____

The Board of Regents of the University of Guam is authorized under Title 17 of the Guam Code Annotated to formulate rules and regulations to equitably and efficiently administer the Jesus U. Torres Professional/Technical Award in accordance with Chapter 15A of Title 17 of the Guam Code Annotated.

2.0. DEFINITIONS. _____

As used in these rules and regulations, the following terms will have the following meaning:

- (a) Academic year: Fall and Spring Semesters for semester calendar system and Fall, Winter and Spring Quarters for a quarter calendar system, or as defined by the institution of attendance.
- (b) Academic program: The specific academic program of study, which will be undertaken to achieve the desired degree.
- (c) Accreditation: As recognized by the Council for Higher Education Accreditation ('CHEA').
- (d) Board: The Board of Regents of the University of Guam.
- (e) Bona fide resident: Resident of Guam for a period of not less than ten (10) years prior to application.
- (f) Cash Repayment: Monetary cash repayment for the period the deficiency was made and no service credit allowed.
- (g) Eligible Foreign Medical School: A medical school listed in the World Health Organization (WHO) listing of medical schools and approved by the Guam Board of Medical Examiners or the Council on Medical Education and Hospitals of the American Medical Association; or a foreign medical school approved by a private non-profit accrediting body approved by the Guam Board of Medical Examiners
- (h) Eligible Online Degree Program / Distance Education Program: A regionally accredited online degree program or distance education program. Note that Correspondence Courses are not online degree programs or distance education programs.
- (i) FAFSA: Free Application for Federal Student Aid. Application available at <http://www.fafsa.gov>
- (j) Fees: General fees applied to all students including laboratory and course fees.
- (k) Financial Need: institutional cost minus expected family contribution (COA-EFC=Financial Need. EFC is determined through the FAFSA
- (l) Full-time Status: Enrollment status defined by an education institution to mean full-time attendance status, usually defined as nine (9) or more credit hours per semester/quarter, or quarter equivalent to nine (9) semester hours for graduate students.
- (m) Professional/Technical Program: Any graduate degree program in areas listed in the Career Priority.
- (n) Promissory Note: The document sign by student promising to repay the award in accordance with the rules and regulations specified under the program.
- (o) SAR: Student Aid Report resulting from the processed FAFSA.
- (p) Service Credit: Repayment of award obligation through employment service, upon completion of studies.

3.0. ELIGIBILITY. _____

To be eligible for a Professional/Technical Award, the applicant:

- (a) must be a bona fide resident of Guam for a continuous period of not less than ten (10) years prior to application, and either be:
 - (1) a citizen of the United States; or
 - (2) a permanent resident alien;
- (b) must be a college graduate, or a full-time student in good standing in a graduate program at a U.S. accredited institution of higher education or professional school as recognized by CHEA; or attending an eligible foreign medical school; or an eligible online /distance education program;
- (c) must have an overall grade-point average of at least 3.0 in the applicant's undergraduate studies, or 3.33 in the applicant's master's program if that person is pursuing a doctorate degree, or an irrevocable letter of acceptance from a U.S. accredited institution or professional school at the time of submission of application;
- (d) must provide evidence of financial need through the completion and processing of the 'Free Application for Federal Student Aid' as reported in the Student Aid Report ('SAR'), or the Institutional Student Information Report received from the U.S. Department of Education Processing Center; and;
- (e) must have been unconditionally accepted for admission into a professional/technical program at a U.S. accredited institution of higher education, a professional school as recognized by CHEA, or an eligible foreign medical school, as a full-time student at the time of submission of application.

JESUS U. TORRES PROFESSIONAL/TECHNICAL AWARD RULES AND REGULATIONS Award Year 2013-2014

4.0. SELECTION OF AWARDEE. _____

The Board of Regents shall direct the Financial Aid Office Student Financial Assistance Program Staff to review and evaluate the applications of all student loan applicants on the following:

- (a) the applicant's scholastic record, aptitude, financial need; or
- (b) the Board may use work-or lifetime experience and achievement criteria in place of the aptitude if because of such experience, it can be reasonably determined that the applicant will succeed in the course of study.
- (c) Guam's need for professional personnel in the career field selected by the applicant and based on the career priorities determined by the Board.
- (d) The applicant must have evidence of financial need through submission of a Student Aid Report (SAR) processed by the U.S. Department of Education Processing Center upon completion of a Free Application for Federal Student Aid (FAFSA).

5.0. BENEFITS. _____

An award recipient is entitled to the following benefits:

- (a) Payment of tuition and other fees of up to Ten Thousand Dollars (\$10,000.00) per academic year for a period designated in the college bulletin to complete the program which should not be more than four (4) academic years.
- (b) An annual grant loan for not more than Ten Thousand Dollars (\$10,000.00) for room and board, books and educational supplies.
- (c) Cost of airfare for a one-way, economy airline ticket to the school of attendance, not to exceed One Thousand Dollars (\$1,000.00) and a one-way ticket to return to Guam, not to exceed One Thousand Dollars (\$1,000.00) upon completion of studies.
- (d) Total for items (a) and (b) shall not exceed Twenty Thousand Dollars (\$20,000.00) per year for a period of not more than four (4) scholastic years for studies at an off-Island institution.

The total amount of an award is contingent on the availability of funds.

6.0. APPLICATION PROCEDURE AND REQUIREMENTS. _____

An applicant for an award must provide the following documents:

- (a) A completed application must be received on or before 12 noon on the last Friday of May, to the Financial Aid Office, University of Guam.
- (b) An official letter affirming that the applicant has been unconditionally accepted for admission to a U.S. accredited higher education institution or professional school as recognized by the Council on Higher Education Association ('CHEA'), an eligible foreign medical school, or an eligible online/distance education program, as a regular full-time graduate student in a specific professional/technical program, or that the applicant is enrolled in the Program and in good standing. No Award will be granted for studies at an off-Island institution in an academic/technical program that is available at the University of Guam.
- (c) A complete official college transcript of the applicant's studies at all institutions attended.
- (d) College/university catalog or bulletin applicable to student's enrollment containing information regarding the applicant's professional/technical program and the institution's published annual cost of attendance and the normal number of years or semester for completion of program.
- (e) The Student Aid Report ('SAR') or Institutional Student Information Report, as evidence of need for financial assistance as a result of the processed FAFSA by the U.S. Department of Education Processing Center. The FAFSA applications are obtainable from the Financial Aid Office or apply directly to www.fafsa.gov.
- (f) Must submit proof of U.S. citizenship (Birth Certificate, Naturalized Certificate, or Passport) or proof of permanent resident alien status (Permanent Resident Alien Card and Passport).
- (g) Must provide any combination of the following as proof of ten (10) years residency on Guam:
 - (1) Copies of filed Guam income tax records or tax return transcripts.
 - (2) If a recipient of Public Assistance, provide a certified statement from Guam agencies that assistance was provided and the duration assistance was provided.
 - (3) Certified statement from the Guam Election Commission on Voter registration for the past three (3) general elections; or
 - (4) Bank statement of mortgage on principal residence.
 - (5) Official transcripts from schools attended on Guam (high school, middle school, etc.)

JESUS U. TORRES PROFESSIONAL/TECHNICAL AWARD RULES AND REGULATIONS Award Year 2013-2014

7.0. OBLIGATION OF AWARD RECIPIENTS. _____

The recipient of an Award must fulfill the following obligations:

- (a) Comply with all award regulations established by the Board of Regents.
- (b) Enroll for and maintain full-time student status as defined by their education institution.
- (c) Maintain a grade-point average of not less than 3.0 each semester/quarter; or be officially certified by the institution that the recipient is in good academic standing. A student who fails to comply with this regulation shall be placed on probation and must meet the academic standard prescribed herein by the end of the term immediately following the term in which the probationary status incurred.
- (d) Submit an official copy of academic transcripts every academic year.
- (e) Submit an unofficial copy of academic transcripts and a detailed billing statement of tuition and fees no later than thirty (30) days at the end of each semester/quarter.
- (f) Obtain written approval by the Board before:
 - (1) Transferring to another institution; transfer(s) may be approved by the Board if such transfer(s) would not extend the length of time required to complete the program.
 - (2) Changing academic/technical program; change(s) may be approved by the Board if such change(s) would not extend the length of time required to complete the program. Such change must be within the established career priorities determined by the Board for the initial year the Award was approved.
 - (3) Withdrawing from any institution, unless such withdrawal was due to circumstances beyond the recipient's control, and such withdrawal is subsequently approved in writing by the Board.
 - (4) Be employed on Guam on the basis of two years (2:1) for each year that assistance was received by the recipient under the Award. The recipient's employment on Guam shall commence within six (6) months after the completion of studies. If a recipient continues that person's education as a full-time student at a graduate or professional school, the recipient may defer that person's return to Guam until such additional studies are completed; provided, that written approval is obtained from the Board. A graduate requiring specialized training may postpone that person's employment on Guam while undergoing specialized training as long as the recipient is certified by the director of the training program on an annual basis and upon written approval from the Board.

Service credit may be postponed upon written approval from the Board, for up to six (6) years while the recipient is serving in active duty in a branch of the U.S. Armed Services; provided, however, that the student applies for postponement within ninety (90) days of entering the Armed Services and continues to maintain Guam as that person's place of residence;

- (5) By accepting the award, the recipient agrees that the University of Guam may obtain any or all information from the recipient's respective institution as needed to comply with Board rules and regulations. Additionally, the recipient will be required to attend:
 - (1) A pre-award interview prior to disbursement of the award; and
 - (2) an exit interview upon completion of degree with the staff from the Financial Aid Office.

8.0. PROMISSORY NOTE. _____

The recipient shall execute a non-interest bearing promissory note with two (2) responsible co-signers, who are residents of Guam and are financially able to repay the note in the event that the recipient fails to comply with service obligation one hundred eighty (180) days from the required initial date of employment. The note becomes interest bearing on any amounts unpaid by service credit that are due and payable, which shall be subject to interest on the annual rate of ten percent (10%). The total amount of the note shall be determined upon completion of studies in which assistance was provided by the award. No funds under this Program shall be disbursed until the note has been complied with in accordance to the prescribed rules and regulations of this Program. This Note shall be executed by the Financial Aid Office, Student Financial Assistance Program.

9.0. CONDITIONS FOR CONTINUATION OF AN AWARD. _____

The conditions for continuation of the Award shall include the following:

- (a) The recipient must have maintained that person's status as a regular full-time student at the institution to which the recipient was admitted and in the academic/technical program for which the award was granted, unless a transfer to another institution or a change of academic/professional/technical program has been authorized in writing in accordance with the Board's regulations §§7.0(f1) and/or (f2).
- (b) The recipient must maintain satisfactory academic standing in accordance with Regulations §7.0(c).
- (c) Submit necessary documents as outlined in §§7(d) and (e).

JESUS U. TORRES PROFESSIONAL/TECHNICAL AWARD RULES AND REGULATIONS Award Year 2013-2014

- (d) The recipient must provide a copy of their SAR and award letter from their institution to determine continued financial need. No Award shall be continued beyond the number of years normally required to complete studies in the specific academic/technical degree program for which the Award was granted. No award shall be extended beyond four (4) academic years.
- (e) The recipient must have complied with all other regulations governing the Award.

10.0. FORFEITURE OF AWARD. _____

Forfeiture of an award shall result from any of the causes listed below, and any award forfeited shall be immediately due and payable.

- (a) Suspension or dismissal for academic deficiency, disciplinary reasons, or conviction of a felony.
- (b) Withdrawal from the institution in anticipation of any action under (a), above or for any other reason(s) not authorized by the Board.
- (c) Failure to maintain status as a full-time student, except a recipient may be allowed by the Board one-academic term to regain full-time status without cancellation of the award, or a recipient may be permitted to carry less than full-time load, if it would not result in the student's failing to graduate within the normal time for completing the program of studies. In the event that an exception is granted pursuant to this Subsection, the student shall be required to sign a cash repayment promissory note to repay in cash the amount awarded for the academic term in which the failure to maintain full-time status occurred and not be eligible for service credit pursuant to §11.0 following graduation or termination of studies for any reason.
- (d) Violation of other Board regulations.

11.0. SERVICE CREDIT. _____

For the purpose of repayment of the Award, the recipient shall receive:

- (a) **Service Credit.** The recipient shall receive service credit on a two-to-one (2:1) ratio for each year that assistance was provided or its equivalence of Ten Thousand Dollars (\$10,000.00) per year when employed on Guam. If the recipient (a) returns to Guam and (b) begins employment on Guam within six (6) months after graduation without interruption, the recipient is considered to have met the obligation to the Board and will receive credit beginning on the date of employment.
- (b) **Postponement.** If the recipient wishes not to begin employment on Guam within six (6) months after graduation to continue studies on a full-time basis at an accredited institution of higher education, the recipient may appeal in writing to the Board for permission. Should such permission be granted, the repayment obligation shall be deferred for the period granted to continue the recipient's studies. Without the prior approval of the Board, the recipient who does not return to Guam within six (6) months, must pay in cash Twenty-seven Dollars and Seventy-seven Cents (\$27.77) per day (Ten Thousand Dollars (\$10,000.00) per year) for each day between the date of graduation and the date of employment on Guam. Once this amount has been made, the recipient is entitled to use service credit for the remaining amount of the debt for each year of employment on Guam.
- (c) **Interruption.** If a person receiving service credit wishes to temporarily terminate employment on Guam to continue that person's studies on a full-time basis at an accredited institution of higher education as recognized by the Council on Higher Education Accreditation ('CHEA'), or an eligible foreign medical school, that person may appeal in writing to the Board for permission. Should such permission be granted, the repayment obligation shall be deferred for the period granted to continue that person's studies. Without the prior approval of the Board, the recipient must pay in cash Twenty-seven Dollars and Seventy-seven Cents (\$27.77) per day (Ten Thousand Dollars (\$10,000.00) per year) for each day the person is not employed on Guam. Upon payment of such amount, the recipient is entitled to use service credit on the remaining debt.
- (d) **Ineligibility for Service Credit.** Any recipient who did not receive the degree that that person sought with assistance from Board, without prior written approval, shall be ineligible for service credit. All monies disbursed during attendance under the Professional and Technical Award will become due and payable under the note, and shall be subject to an annual interest rate of ten percent (10%) in monthly installment payments. Such payments shall not exceed ten (10) years pursuant to the law. The University of Guam Collections Department / Bursar's Office will be charged with computing the recipient's monthly installment payments in the event of default.
- (e) **Leave of Absence.** It is the responsibility of the recipient to inform the University of Guam of their intended leave of absence if such leave is longer than forty-five (45) days. The recipient must remain employed on Guam to receive service credit while on off-Island leave status.
- (f) **Death or Total Disability:** In the event the recipient should become totally disabled (physiological or psychological) or upon death, while completing service credit, any obligation on the note shall be termination upon certification of two (2) physicians licensed to practice in the United States.

**JESUS U. TORRES PROFESSIONAL/TECHNICAL AWARD
RULES AND REGULATIONS
Award Year 2013-2014**

(g) **Annual Proof of Employment.** It is the responsibility of the recipient to provide the Board of Regents documentary evidence of such employment and, each year thereafter, until such obligation is fulfilled.

12.0. CONFLICT. _____

In the event any revised regulation herein is found to be in conflict with a previous regulation under which a student was awarded financial assistance, the regulation in effect at the time of the award shall continue to apply to the student for the remainder of the recipient's studies for which the award was made.

CHAPTER 15A, TITLE 17, Guam Code Annotated
Approved by the Board of Regents on _____, effective AY 2013-2014, | Resolution No. 13-

UNIVERSITY OF GUAM
FINANCIAL AID OFFICE
STUDENT FINANCIAL ASSISTANCE PROGRAM
ACADEMIC YEAR 2013-2014

JESUS U. TORRES PROFESSIONAL/TECHNICAL AWARD

INSTRUCTIONS TO APPLICANTS

These instructions are for the Jesus U. Torres Professional/Technical Award Program sponsored by the Government of Guam for graduate and professional studies. The Board of Regents selects the recipients of this award on the basis of scholastic ability, financial need, and aptitude. The Board may also use work or life-time experience and achievement criteria in place of the aptitude criterion, if through such experience, it can be reasonably determined that the applicant will succeed in a course of study.

Please read these instructions carefully. **IF YOUR APPLICATION AND SUPPORTING DOCUMENTS ARE LATE AND/OR INCOMPLETE, IT WILL NOT BE SUBMITTED TO THE BOARD OF REGENTS SCHOLARSHIP COMMITTEE FOR CONSIDERATION.**

THE PROFESSIONAL/TECHNICAL AWARD APPLICATION FORM

1. You must complete all sections and sign the application form. Please do not leave any section blank. If the section does not apply to you, please indicate with a "N/A" or "none".
2. You must have the application **NOTARIZED**. Please note that the Notary Public will require your signature in his/her presence and may require a fee.
3. You must submit the completed application form and all required documents to the Financial Aid Office, [located at the University of Guam Field House](#), by **12:00 P.M. (Noon) May 31, 2013**. **Applications submitted by mail must be postmarked on or before May 31, 2013.**

APPLICATION AND REQUIRED DOCUMENTS

Please complete the following sections on the application form attached. You must also submit the required documents to support the information given.

SECTION 1: PERSONAL DATA

- [] You must provide **PROOF OF U.S. CITIZENSHIP or PERMANENT RESIDENT ALIEN** status:
- a) If you are claiming U.S. Citizenship, please submit a copy of your official birth certificate, U.S. Passport, or a copy of your naturalization certificate.
 - b) If you are a permanent resident alien, please submit a copy of your alien registration card.

SECTION 2: EDUCATIONAL DATA

- [] You must submit an **ACCEPTANCE LETTER or ENROLLMENT CERTIFICATION**:
- a) If you are entering as a new student, you must submit an irrevocable letter of acceptance from the college/university you will attend.
 - b) If you are currently enrolled in the institution, submit an official certification of enrollment from your institution's Admission and Records department along with the irrevocable letter of acceptance.
- [] You must submit **OFFICIAL ACADEMIC TRANSCRIPTS** for all institutions attended.
- a) For new graduate students, you must submit your official transcript conferring your bachelor's degree.
 - b) If you are currently in a graduate level program, submit an official college transcript from your most current institution and all prior post-secondary institutions attended.

SECTION 3: COST OF ATTENDANCE

- [] You must submit a copy of the **2013-2014 CATALOG and COST OF ATTENDANCE** from the Institution you plan to attend.
- * If your catalog is only available on-line you must printout the catalog and tab the required sections as indicated below.
 - * Please highlight and tab the following sections in the catalog: (1) accreditation, (2) tuition and fees, (3) degree programs, and (4) academic major description/requirements for the degree you plan to pursue.
 - * Please highlight on the Cost of Attendance Sheet, your (1) housing plans, (2) meal plans, (3) tuition/fee rates, and any other expenses applicable to you.

UNIVERSITY OF GUAM
FINANCIAL AID OFFICE
STUDENT FINANCIAL ASSISTANCE PROGRAM
ACADEMIC YEAR 2013-2014

JESUS U. TORRES PROFESSIONAL/TECHNICAL AWARD

SECTION 4: FINANCIAL AID INFORMATION

- [] If applicable, you must provide a copy of **FINANCIAL AID AWARD LETTER** from the off-island institution, which you were accepted to for the upcoming academic year.

SECTION 5: STATEMENT OF RESIDENCY

- [] You must submit **PROOF OF TEN-YEAR GUAM RESIDENCY** by providing **ANY** of the following (or a combination thereof) to satisfy the ten year residency period.
- a) A voter registration for elections certified by the Guam Election Commission.
 - b) *Copies of filed income tax records stamped received by the Guam Department of Revenue and Taxation or Tax Transcripts provided by the Guam Department of Revenue and Taxation.
 - c) Proof of Recipient of Public Assistance on Guam through submission a certified statement indicating period of assistance from agencies providing the assistance.
 - d) Official transcripts of all schools attended on Guam (public or private high schools, middle schools, elementary schools, etc.)
 - e) Bank statement of Mortgage on principal residence.
- *Applicant must be listed on all documents submitted by parents or guardians.

ADDITIONAL DOCUMENTS REQUIRED

- [] You must apply for the **2013-2014 FAFSA**. You must include UOG Title IV Code 003935 in the School Selection section of the FAFSA. While students may mail completed FAFSA forms to USDOE, we encourage all students to apply through the Internet at www.fafsa.ed.gov. Upon completion of the FAFSA, you will receive a Student Aid Report (SAR). The SAR must be submitted to the Financial Aid Office, with this application to complete your file.

PRELIMINARY SCREENING AND SELECTION(S):

If your application with the above supporting documents is COMPLETE, it will be submitted to the Board of Regents Scholarship Committee for their recommendation. It will then be forwarded to the Board of Regents regular meeting for action. We will notify you in writing of the Board's decision on your application (around September/October for the Academic Year of application). If approved, you will be required to attend a MANDATORY PRE-AWARD ORIENTATION prior to receiving the award benefits.

APPLICATION DEADLINE: 12:00 P.M. (NOON) MAY 31, 2013

FOR ADDITIONAL INFORMATION, YOU MAY CONTACT OUR OFFICE AT: Telephone (671) 735-2288 or Fax (671) 734-2907. We can also be reached by e-mail at – sfap@uguam.uog.edu

UNIVERSITY OF GUAM
FINANCIAL AID OFFICE
STUDENT FINANCIAL ASSISTANCE PROGRAM
ACADEMIC YEAR 2013-2014

JESUS U. TORRES PROFESSIONAL/TECHNICAL AWARD

INFORMATION

DEFINITIONS

The following terms whenever used in these regulations shall have the meaning indicated herein, except when the text otherwise requires:

1. *Awards*: all awards for grants and loans.
2. *Board*: the Board of Regents of the University of Guam.
3. *Bona Fide Resident*: a United States citizen or a permanent resident alien having resided on Guam for a period of not less than ten (10) years prior to application.
4. *Eligible Foreign Medical School*: a medical school listed in the World Health Organization (WHO) listing of medical schools and approved by the Guam Board of Medical Examiners or the Council on Medical Education and Hospitals of the American Medical Association; or a foreign medical school approved by a private non-profit accrediting body approved by the Guam Board of Medical Examiners
5. *Eligible Online Degree Program / Distance Education Program*: A regionally accredited online degree program or distance education program. Note that Correspondence Courses are not online degree programs or distance education programs.
6. *FAFSA*: Free Application for Federal Student Aid.
7. *Full-time*: nine (9) or more credit hours per semester/quarter, or quarter equivalent to nine (9) semester hours, for graduate students, or as defined by the awardee's institution.
8. *Major Program*: the specific academic program of study, which will be undertaken to achieve the desired degree.
9. *Professional/Technical program*: any graduate degree program in areas listed in the Career Priority Listing.

ELIGIBILITY REQUIREMENTS

1. You must be a bona fide resident of Guam for a period of not less than ten (10) years prior to application, AND either be a citizen of the United States or a Permanent Resident Alien.
2. You must have an overall grade-point average of at least 3.0 in your undergraduate studies if you are pursuing a master's degree, or a 3.3 cumulative grade point average in your master's program if you are pursuing a doctorate degree or an irrevocable letter of acceptance from a U.S. accredited institution or professional school at the time of submission of application.
3. You must show financial need. Calculation: Cost of Attendance (COA) minus Estimated Family Contribution (EFC) equals unmet need (COA – EFC = Unmet Need).
4. You must be pursuing your *first* master's, doctorate degree, or professional degree, i.e. MD, JD.
5. You must have been unconditionally accepted for admission into a professional/technical program at a U.S. accredited institution of higher education or professional school as recognized by Council of Higher Education and Administration (CHEA) or an eligible foreign medical school as a full-time student at the time of submission of application.
6. You must be a college graduate, or a full-time student in good academic standing in a graduate program at a U.S. accredited institution of higher education or professional school as recognized by Council of Higher Education and Administration (CHEA);
7. Your major program or its equivalent **MUST** be listed on the approved Career Priority Listing (CPL) for AY 2013-2014. If you strongly feel that the major program you are pursuing is equivalent to one that is listed on the CPL, please provide justification from your institution.

BENEFITS (*Amounts are contingent on the availability of funds.)

1. Payment of tuition/fees for a period designated in the college bulletin to complete the program which should not be more than four (4) scholastic years.
2. An annual grant loan for not more than Ten Thousand Dollars (\$10,000.00) for room and board, books and educational supplies.
3. Cost of airfare for one-way, economy airline ticket to the school of attendance and one-way ticket to return to Guam upon completion of studies. (Reimbursement shall not exceed \$1,000 for each way)
4. Total for tuition/fees and grant loan shall not exceed Twenty Thousand Dollars (\$20,000.00) per year for a period of not more than four (4) scholastic years for studies at an off-island institution.

REPAYMENT OBLIGATION

1. Be employed for a period of one (1) year for each Ten Thousand (\$10,000.00) received by the recipient. Employment on Guam shall commence within six (6) months after the completion of studies.
2. Any loan found to be forfeited shall be immediately due and payable monetarily.

PROHIBITIONS

1. No awards shall be granted to recipients applying for a second master's, or a second doctorate degree.
2. No awards shall be granted for the purpose of pursuing theological studies.
3. No money may be expended for awards unless such awards are authorized by the Board through Resolution.
4. No person receiving benefits under one subchapter of Division 3, GCA Title 17 shall be entitled to benefits under any sub-chapter, and no person receiving benefits under any other teacher training, in-service training program or other Government of Guam educational program shall be entitled to benefits provided under the Student Financial Assistance Program (Chapter 15A).



STUDENT FINANCIAL ASSISTANCE PROGRAMS

PROPOSED RULES AND REGULATIONS

FOR ACADEMIC YEAR BEGINNING 2013-2014

Administered by the University of Guam Board of Regents

ACCESS TO HIGHER EDUCATION FINANCIAL ASSISTANCE PROGRAM

Rules and Regulations

ACCESS TO HIGHER EDUCATION FINANCIAL ASSISTANCE PROGRAM RULES AND REGULATIONS Award Year 2013-2014

1.0. BACKGROUND AND STATUTORY AUTHORITY. _____

The Board of Regents of the University of Guam is authorized under Title 17 of the Guam Code Annotated to formulate rules and regulations to equitably and efficiently administer this program under the Student Financial Assistance Programs as listed in Chapter 15A of Title 17 of the Guam Code Annotated.

2.0. DEFINITIONS. _____

As used in these rules and regulations, the following terms will have the following meaning:

- (a) Academic year: As defined by the University of Guam.
- (b) Academic program: As defined by University of Guam and published in the University Catalog.
- (c) Board: The Board of Regents of the University of Guam.
- (d) Guam resident: Resident of Guam for a continuous period of not less than four (4) years immediately preceding June 15th of the year award is to be given. Must not be/been incarcerated.
- (e) Cash Repayment: Monetary cash repayment for the period the deficiency was made and no service credit allowed.
- (f) FAFSA: Free Application for Federal Student Aid. Application available at <http://www.fafsa.gov>
- (g) Financial Need: Cost of Attendance minus expected family contribution (COA-EFC=Financial Need.) EFC is determined through the FAFSA
- (h) Full-time Status: Status of enrollment as defined by the University of Guam.
- (i) President: Refers to the President of the University of Guam.
- (j) Promissory Note: The document sign by student promising to repay the award in accordance with the rules and regulations specified under the program.
- (k) SAR: Student Aid Report resulting from the processed FAFSA.
- (l) Satisfactory Academic Progress: Maintaining a cumulative Grade Point Average (GPA) of 2.5 and completing seventy-five percent (75%) of credits attempted per semester.
- (m) Service Credit: Repayment of award obligation through employment service, upon completion of studies. For every year that a recipient receives assistance under this program, the recipient must work on Guam for one year.

3.0. ELIGIBILITY. _____

To be eligible for a Access to Higher Education Financial Assistance Grant, the applicant:

- (a) must be a bona fide resident of Guam for a continuous period of not less than four (4) years immediately preceding June 15th of the year award is to be given; and either be:
 - (1) a citizen of the United States; or
 - (2) a permanent resident alien;
- (b) must have a cumulative 2.50 high school Grade Point Average (GPA) or a cumulative 2.50 Grade Point Average (GPA) at the University of Guam or any other University (transfer students) in the semester prior to application;
- (c) must provide evidence of financial need through the completion and processing of the 'Free Application for Federal Student Aid' as reported in the Student Aid Report ('SAR'), or the Institutional Student Information Report received from the U.S. Department of Education Processing Center; and;
- (d) must be pursuing their first undergraduate degree (grant is not available to students pursuing a second undergraduate degree or a graduate degree).

4.0. SELECTION OF AWARDEE. _____

The Board of Regents shall direct the Financial Aid Office Student Financial Assistance Program Staff to review and evaluate the applications of all applicants on the following:

- (a) the applicant's scholastic record, residency; and
- (b) the applicant must have evidence of financial need through submission of a Student Aid Report (SAR) processed by the U.S. Department of Education Processing Center upon completion of a Free Application for Federal Student Aid (FAFSA).

5.0. DETERMINATION OF AWARD / BENEFITS. _____

An award recipient is entitled to the following benefits:

- (a) A grant amount between Five Hundred Dollars (\$500.00) to Three Thousand Dollars (\$3,000.00) disbursed in equal amounts over two semesters (Fall and Spring). The total amount of an award is contingent on the availability of funds.

ACCESS TO HIGHER EDUCATION FINANCIAL ASSISTANCE PROGRAM RULES AND REGULATIONS Award Year 2013-2014

- (b) The amount of the award to each eligible student shall be based on the awarding scale created by the Financial Aid Office and approved by the Board every academic year.
- (c) The President, through a memorandum co-signed by the Chairman of the Board of Regents, may supplement existing award levels defined in Section 5.0 (b) to any student at the University of Guam who meets the eligibility criteria set in Section 3, as an incentive to pursue studies in certain high needs fields. No supplement award shall exceed Three Thousand Dollars (\$3,000.00) per academic year.
- (d) A recipient may only receive the award for eight (8) total semesters.
- (e) A recipient of this grant may not receive or be a current recipient of any other financial assistance program listed under Title 17 Chapter 15 and 15A of the Guam Code Annotated.

6.0. APPLICATION PROCEDURE AND REQUIREMENTS. _____

An applicant for an award must provide the following documents:

- (a) A completed application must be received on or before 12 noon on the last Friday of June, to the Financial Aid Office, University of Guam.
- (b) A complete official high school transcript or college transcript of the applicant's studies at all institutions attended.
- (c) Must submit proof of U.S. citizenship (Birth Certificate, Naturalized Certificate, or Passport) or proof of permanent resident alien status (Permanent Resident Alien Card and Passport).
- (d) Must provide any of the following, or a combination, as proof of four (4) years residency on Guam immediately preceding June 15th:
 - (1) copies of filed income tax records or tax return transcripts for a period of four (4) years;
 - (2) if a recipient of Public Assistance, must have certified statement from agencies that assistance was provided and indicating the time duration of the assistance;
 - (3) certified statement from the Guam Election Commission on Voter registration for the past two (2) general elections;
 - (4) on-island high school transcripts;
 - (5) undergraduate transcripts from the University of Guam or the Guam Community College.

7.0. OBLIGATION OF AWARD RECIPIENTS. _____

The recipient of an Award must fulfill the following obligations:

- (a) Comply with all award regulations established by the Board of Regents.
- (b) Enroll for and maintain full-time student status as defined by the University of Guam.
- (c) Maintain a grade-point average of not less than 2.5 each semester at the University of Guam. A student who fails to comply with this regulation shall be placed on probation and must meet the academic standard prescribed herein by the end of the term immediately following the term in which the probationary status incurred.
- (d) Obtain written approval by the Board before:
 - (1) Complete withdrawal from all classes at the University of Guam, unless such withdrawal was due to circumstances beyond the recipient's control, and such withdrawal is subsequently approved in writing by the Board.
 - (2) Be employed on Guam on the basis of one year for every academic year (1:1) in which assistance was received by the recipient under the grant. The recipient's employment on Guam shall commence within six (6) months after the completion of studies.

Service credit may be postponed upon written approval from the Board, for up to six (6) years while the recipient is serving in active duty in a branch of the U.S. Armed Services; provided, however, that the student applies for postponement within ninety (90) days of entering the Armed Services.

8.0. PROMISSORY NOTE. _____

The recipient shall execute a non-interest bearing promissory note with two (2) responsible co-signers, who are residents of Guam and are financially able to repay the note in the event that the recipient fails to comply with service obligation one hundred eighty (180) days from the required initial date of employment. The note becomes interest bearing on any amounts unpaid by service credit that are due and payable, which shall be subject to interest on the annual rate of ten percent (10%). The total amount of the note shall be determined upon completion of studies in which assistance was provided by the award. No funds under this Program shall be disbursed until the note has been complied with in accordance to the prescribed rules and regulations of this Program. This Note shall be executed by the Financial Aid Office, Student Financial Assistance Program.

9.0. CONDITIONS FOR CONTINUATION OF AN AWARD. _____

ACCESS TO HIGHER EDUCATION FINANCIAL ASSISTANCE PROGRAM RULES AND REGULATIONS Award Year 2013-2014

The conditions for continuation of the Award shall include the following:

- (a) The recipient must have maintained regular full-time status at the University of Guam.
- (b) The recipient must maintain satisfactory academic progress as defined in Section 2.0.
- (c) The recipient must have complied with all other regulations governing the Award.

10.0. FORFEITURE OF AWARD. _____

Forfeiture of an award shall result from any of the causes listed below, and any award forfeited shall be immediately due and payable.

- (a) Suspension or dismissal for academic deficiency, disciplinary reasons, or conviction of a felony.
- (b) Withdrawal from the University of Guam in anticipation of any action under (a), above or for any other reason(s) not authorized by the Board.
- (c) Failure to maintain status as a full-time student, except a recipient may be allowed by the Board one-academic term to regain full-time status without cancellation of the award, or a recipient may be permitted to carry less than full-time load, if it would not result in the student's failing to graduate within the normal time for completing the program of studies.
- (d) Violation of other Board regulations.

11.0. SERVICE CREDIT. _____

For the purpose of repayment of the Award, the recipient shall receive:

- (a) **Service Credit.** For every year that the student is employed on Guam, the student shall receive a service credit equal to one (1) year of grant funding received (1:1). If the recipient begins employment on Guam within six (6) months after graduation without interruption, the recipient is considered to have met the obligation to the Board and will receive credit beginning on the date of employment.
- (b) **Postponement.** If the recipient wishes not to begin employment on Guam within six (6) months after graduation to continue studies on a full-time basis at an accredited institution of higher education, the recipient may appeal in writing to the Board for permission. Should such permission be granted, the repayment obligation shall be deferred for the period granted to continue the recipient's studies.
- (c) **Interruption.** If a person receiving service credit wishes to temporarily terminate employment on Guam to continue that person's studies on a full-time basis at an accredited institution of higher education as recognized by the Council on Higher Education Accreditation ('CHEA'), or an eligible foreign medical school, that person may appeal in writing to the Board for permission. Should such permission be granted, the repayment obligation shall be deferred for the period granted to continue that person's studies.
- (d) **Ineligibility for Service Credit.** Any recipient who did not receive the degree that that person sought with assistance from Board, without prior written approval, shall be ineligible for service credit. All monies disbursed during attendance under the grant will become due and payable under the note, and shall be subject to an annual interest rate of ten percent (10%) in monthly installment payments. Such payments shall not exceed ten (10) years pursuant to the law. The University of Guam Collections Department / Bursar's Office will be charged with computing the recipient's monthly installment payments in the event of default.
- (e) **Leave of Absence.** It is the responsibility of the recipient to inform the University of Guam of their intended leave of absence if such leave is longer than forty-five (45) days. The recipient must remain employed on Guam to receive service credit while on off-Island leave status.
- (f) **Death or Total Disability:** In the event the recipient should become totally disabled (physiological or psychological) or upon death, while completing service credit, any obligation on the note shall be termination upon certification of two (2) physicians licensed to practice in the United States.
- (g) **Annual Proof of Employment.** It is the responsibility of the recipient to provide the Board of Regents documentary evidence of such employment and, each year thereafter, until such obligation is fulfilled.

12.0. CONFLICT. _____

In the event any revised regulation herein is found to be in conflict with a previous regulation under which a student was awarded financial assistance, the regulation in effect at the time of the award shall continue to apply to the student for the remainder of the recipient's studies for which the award was made.

**ACCESS TO HIGHER EDUCATION FINANCIAL ASSISTANCE PROGRAM
RULES AND REGULATIONS**

Award Year 2013-2014

Approved by the Board of Regents on _____, effective AY 2013-2014, | Resolution No. 13-____

UNIVERSITY OF GUAM
FINANCIAL AID OFFICE
STUDENT FINANCIAL ASSISTANCE PROGRAM
ACADEMIC YEAR 2013-2014

ACCESS TO HIGHER EDUCATION GRANT PROGRAM

INSTRUCTIONS TO APPLICANTS

These instructions are for the Access to Higher Education Grant Program sponsored by the Government of Guam. The Board of Regents selects the recipients of this award on the basis of scholastic ability, residency, financial need, and aptitude. The Board may also use work or life-time experience and achievement criteria in place of the aptitude criterion, if through such experience, it can be reasonably determined that the applicant will succeed in a course of study.

Please read these instructions carefully. **IF YOUR APPLICATION AND SUPPORTING DOCUMENTS ARE LATE AND/OR INCOMPLETE, IT WILL NOT BE SUBMITTED TO THE BOARD OF REGENTS SCHOLARSHIP COMMITTEE FOR CONSIDERATION.**

THE ACCESS TO HIGHER EDUCATION GRANT APPLICATION:

1. You must complete all sections and sign the application form. Please do not leave any section blank. If the section does not apply to you, please indicate with a "N/A" or "none".
2. You must have the application **NOTARIZED**. Please note that the Notary Public will require your signature in his/her presence and may require a fee.
3. You must submit the completed application form and all required documents to the Financial Aid Office, [located at the University of Guam Field House](#), by **12:00 P.M. (Noon) June 28, 2013**. **Applications submitted by mail must be postmarked on or before June 28, 2013.**

APPLICATION AND REQUIRED DOCUMENTS

Please complete the following sections on the application form attached. You must also submit the required documents to support the information given.

SECTION 1: PERSONAL DATA

- [] You must provide **PROOF OF U.S. CITIZENSHIP or PERMANENT RESIDENT ALIEN** status:
- a) If you are claiming U.S. Citizenship, please submit a copy of your official birth certificate, U.S. Passport, or a copy of your naturalization certificate.
 - b) If you are a permanent resident alien, please submit a copy of your alien registration card.

SECTION 2: EDUCATIONAL DATA

- [] You must submit an **ACCEPTANCE LETTER**:
- a) If you are entering as a new student, you must submit a copy of your letter of acceptance from the University of Guam.
- [] You must submit **OFFICIAL ACADEMIC TRANSCRIPTS** for all institutions attended.
- a) For new undergraduate students, you must submit your official transcript conferring your high school diploma.
 - b) If you are currently attending the University of Guam, submit an official transcript from the University.

SECTION 3: STATEMENT OF RESIDENCY

- [] You must submit **PROOF OF FOUR (4) YEAR GUAM RESIDENCY** by providing **ANY** of the following to satisfy the four year residency period. (Residency period of not less than four (4) years immediately preceding June 15th of the year award is to be given)
- a) A voter registration for elections certified by the Guam Election Commission.
 - b) *Copies of filed income tax records stamped received by the Guam Department of Revenue and Taxation or Tax Transcripts provided by the Guam Department of Revenue and Taxation.
 - c) *Proof of Recipient of Public Assistance on Guam through submission a certified statement indicating period of assistance from agencies providing the assistance.

UNIVERSITY OF GUAM
FINANCIAL AID OFFICE
STUDENT FINANCIAL ASSISTANCE PROGRAM
ACADEMIC YEAR [2013-2014](#)

ACCESS TO HIGHER EDUCATION GRANT PROGRAM

- d) Official transcripts of all schools attended on Guam (public or private high schools, middle schools, elementary schools, etc.)
 - e) Bank statement of Mortgage on principal residence.
- *Applicant must be listed on all documents submitted by parents or guardians.

ADDITIONAL DOCUMENTS REQUIRED

[] You must apply for the [2013-2014 FAFSA](#). You must include UOG Title IV Code 003935 in the School Selection section of the FAFSA. While students may mail completed FAFSA forms to USDOE, we encourage all students to apply portion of the FAFSA. The FAFSA can be accessed at www.fafsa.ed.gov. Upon completion of the FAFSA, you will receive a Student Aid Report (SAR). The SAR must be submitted to the Financial Aid Office, with this application to complete your file.

PRELIMINARY SCREENING AND SELECTION(S):

If your application with the above supporting documents is COMPLETE, it will be submitted to the Board of Regents Scholarship Committee for their recommendation. It will then be forwarded to the Board of Regents regular meeting for action. We will notify you in writing of the Board's decision on your application (around September/October for the Academic Year of application). If approved, you will be required to attend a MANDATORY PRE-AWARD ORIENTATION prior to receiving the award benefits.

APPLICATION DEADLINE: [12:00 P.M. \(NOON\) JUNE 28, 2013](#)

FOR ADDITIONAL INFORMATION, YOU MAY CONTACT OUR OFFICE AT: Telephone (671) 735-2288 or Fax (671) 734-2907. We can also be reached by e-mail at – sfap@ugam.uog.edu

STUDENT FINANCIAL ASSISTANCE PROGRAM

ACADEMIC YEAR 2013-2014

(Please indicate program for this application – Selection only ONE)

ACCESS TO HIGHER EDUCATION GRANT PROGRAM APPLICATION

Please use typewriter or block letters in ink. Submit the completed application to the Financial Aid Office, located at the University of Guam Field House on or before 12:00 P.M. (NOON) MAY 31, 2013. LATE and INCOMPLETE applications and those without supporting documents **WILL NOT** be considered. Refer to INSTRUCTIONS TO APPLICANTS accompanying this application form.

SECTION 1: PERSONAL DATA

APPLICANT'S NAME:		CITIZEN OF THE UNITED STATES:	
LAST	FIRST	MIDDLE	Please attach a copy of your official birth certificate, a copy of your U.S. Passport, or a copy of your Naturalization certificate. Please indicate documentation attached for verification: <input type="checkbox"/> BIRTH CERTIFICATE <input type="checkbox"/> NATURALIZATION CERTIFICATE <input type="checkbox"/> U.S. PASSPORT
SOCIAL SECURITY NO.:			
DATE OF BIRTH:	PLACE OF BIRTH:		
SEX:	MARITAL STATUS:		
PERMANENT HOME ADDRESS:			
MAILING ADDRESS:			
EMAIL ADDRESS:			
PLACE OF RESIDENCE:	TELEPHONE NO.:		
YOUR POSITION TITLE:			
NAME OF EMPLOYER:	TELEPHONE NO.:		
SPOUSE'S NAME:			FOR PERMANENT RESIDENT ALIENS:
FATHER'S NAME:			Alien Registration No.: _____
MOTHER'S NAME:			Date: _____
PARENT'S MAILING ADDRESS:			Country of Citizenship: _____
			Resident of Guam since (month/year): _____
SPOUSE'S NAME:			SPOUSE'S OCCUPATION•EMPLOYER•WORK PHONE:
FATHER'S NAME:			FATHER'S OCCUPATION•EMPLOYER•WORK PHONE:
MOTHER'S NAME:			MOTHER'S OCCUPATION•EMPLOYER•WORK PHONE:
PARENT'S MAILING ADDRESS:			PARENT'S CONTACT NO.:

SECTION 2: EDUCATIONAL DATA

<input type="checkbox"/> BACHELORS <input type="checkbox"/> MASTERS <input type="checkbox"/> DOCTORATE <input type="checkbox"/> JURIS DOCTORATE	MAJOR PROGRAM:	
ACCEPTED FOR ADMISSIONS TO: (Name, address of institution)	MINOR:	
	DEGREE EXPECTED:	MONTH/YEAR EXPECTED:
	STUDIES TO COMMENCE: (Circle One) Fall Spring <input type="checkbox"/> Semester <input type="checkbox"/> Quarter _____ Academic Year	

UNIVERSITY OF GUAM
FINANCIAL AID OFFICE

STUDENT FINANCIAL ASSISTANCE PROGRAM
ACADEMIC YEAR 2013-2014

Have you received Government Assisted Scholarship/Loan before this Academic Year? Yes No

If yes, (name of program) _____

When? _____

SECTION 3: STATEMENT OF RESIDENCY. (This section must be signed in the presence of a Notary Public)

I, _____, Social Security No. _____, do hereby declare that I am a:

- CITIZEN OF THE UNITED STATES
- PERMANENT RESIDENT ALIEN

Residing in _____, Island of Guam; that I was born in _____ on _____
(Village) (City, State)

_____; that I have resided in Guam since _____; that I intend to remain in and as
(Date of Birth) (Date)

a legal resident of Guam indefinitely; and that I am not a resident of any other territory or any state or foreign country.

PARENT'S OR GUARDIAN'S SIGNATURE DATE: _____ APPLICANT'S SIGNATURE DATE: _____

SUBSCRIBED and sworn to before me on this _____ day of _____, 20_____, at _____.

NOTARY PUBLIC _____

My commission expires on _____

I hereby certify that the information I have given in this application and in the supporting documents are true and correct to the best of my knowledge and belief. I agree to comply with all the regulations and laws that are applicable to the financial assistance, which may be awarded to me by the Board of Regents.

APPLICANT'S SIGNATURE: _____

DATE: _____

**Government of Guam
 Access to Higher Education Grant Program
 Payment Schedule for Determining
 Scheduled Award for the 2013-2014 Academic Year**

Estimated Family Contribution (EFC)							
	0 to 1000	1001 to 2500	2501 to 3500	3501 to 4500	4501 to 5500	5501 to 6000	6001 to 7000
Award	\$1,000.00	\$1,500.00	\$2,000.00	\$2,500.00	\$3,000.00	\$2,000.00	\$1,000.00



STUDENT FINANCIAL ASSISTANCE PROGRAMS

PROPOSED RULES AND REGULATIONS

FOR ACADEMIC YEAR BEGINNING 2013-2014

Administered by the University of Guam Board of Regents

DR. ANTONIO C. YAMASHITA TEACHER CORPS SCHOLARSHIP PROGRAM

Rules and Regulations

**DR. ANTONIO C. YAMASHITA TEACHER CORPS PROGRAM
RULES AND REGULATIONS
Award Year 2013-2014**

1.0 BACKGROUND AND STATUTORY AUTHORITY. _____

The Board of Regents of the University of Guam is authorized under Title 17 of the Guam Code Annotated, to formulate rules and regulations to equitably and efficiently administer the Yamashita Teacher Corps Scholarship Program, in accordance with Chapter 15A of Title 17 of the Guam Code Annotated.

2.0 DEFINITIONS. _____

As used in these rules and regulations, the following terms will have the following meaning.

- (a) **Academic Year:** Fall and Spring Semesters for semester calendar system.
- (b) **Board:** the Board of Regents of the University of Guam.
- (c) **Cash Repayment:** monetary cash repayment for the period the deficiency was made and no service credit allowed.
- (d) **Fee:** student, general laboratory and course fees applied to all students.
- (e) **Full-time Status:** Twelve (12) or more credit hours per semester (Fall and Spring). Six (6) or more credit hours for Summer term (any combination of A, B, or C session).
- (f) **Major Program:** selected students will pursue the prescribed program leading to the attainment of a Bachelor's degree in Education, as approved by the Board of Regents at the time they are selected and enrolled in the Program.
- (g) **Promissory Note:** Document signed by the student and their guarantors promising to repay the loan in accordance with the rules and regulations specified under the program.
- (h) **Recipient:** an applicant of the Yamashita Teacher Corps program who was selected based on meeting all eligibility requirements, certified by the School of Education and approved by the Board of Regents.
- (i) **Resident:** a United States Citizen or Permanent Resident Status (Green card holder) who has been a resident of Guam for a continuous period of at least one (1) year by *June 15th prior to the beginning of the academic year the award is to be awarded.*
- (j) **Service Credit:** repayment of award obligation through employment service, upon completion of studies.
- (k) **Stipend:** payment disbursed on a monthly installment.
- (l) **Co-Signers:** Guam Residents who are financially and legally responsible.

3.0 LIMITATIONS AND PRIORITIES. _____

The number of students in the program annually shall be limited only by the available space at the University Of Guam School Of Education and the amount of funding available. However, the University of Guam may prioritize awards to students pursuing areas in teaching considered high needs by the Guam Department of Education in consultation with the University of Guam.

4.0 APPLICATION PROCEDURE AND REQUIREMENTS. _____

An applicant for the Yamashita Teacher Corps scholarship must comply with the following procedures and requirements:

- (a) Applicants must submit the official application prescribed by the Board and obtainable at the University of Guam Financial Aid Office. Applications shall include the following information:
 - 1. Evidence of eligibility in accordance with Section 5.0
 - 2. Evidence of acceptance into the School of Education.
- (b) Completed applications must be submitted to the Financial Aid Office no later than **12:00 p.m. (noon) on the last Friday of May**, in order to be eligible for Financial Assistance for the Fall semester or **12:00 p.m. (noon) on the last Friday of November**, in order to be eligible for Financial Assistance for the Spring semester.

DR. ANTONIO C. YAMASHITA TEACHER CORPS PROGRAM
RULES AND REGULATIONS
Award Year 2013-2014

5.0 CRITERIA OF ELIGIBILITY. _____

The following are eligibility requirements for the Yamashita Teacher Corps Program:

- (a) Applicant must be a United States citizen or a permanent resident alien and a resident of Guam for at least one (1) year prior to the academic semester or term the student is admitted, registered, and enrolled in the program.
- (b) Applicant must have been admitted to the School of Education.
- (c) Applicants must be pursuing a field in teaching identified as "high needs area" by the Guam Department of Education.
- (d) Applicants seeking funding for certification may qualify under this program if the area of certification is considered high need as defined by the Guam Department of Education.

6.0 SELECTION PROCEDURE. _____

- (a) Each eligible applicant (determined by an initial review by the Financial Aid Office) will be placed on a list submitted to the School of Education for certification of acceptance/non-acceptance into the school. In the event any applicant is not accepted into the School of Education, a decline letter will automatically be sent to applicant.
- (b) A panel of reviewers consisting of two (2) representatives appointed by the Superintendent of the Guam Department of Education, two (2) representatives appointed by the Dean of the School of Education at the University of Guam, and a representative appointed by the President of the University of Guam, shall be empaneled to review all eligible applicants for final determination of award.
- (c) The Yamashita Teacher Corps Review and Evaluation Panel, consisting of members defined in Section 6.0 (b), shall conduct interviews for the purpose of selecting scholarship recipients. The passing of the oral interviews and the meeting of established University of Guam entrance and academic requirements shall constitute the primary criteria for selection of Yamashita Teacher Corps scholarship recipients.
- (d) Notice of award shall be sent to each recipient. If a recipient declines to accept the Yamashita Teacher Corps scholarship after it has been offered, such recipient shall not longer be entitled to receive such award from the Board of Regents during the award period and may reapply for the next academic year.
- (e) All recipients shall attend a mandatory orientation to complete the award process. Failure to attend said orientation is cause to deny the Yamashita Teacher Corps Scholarship Award. All documents required by the Financial Aid Office to complete the award process will be received and completed by the recipient during the orientation process.

7.0 ATTENDANCE. _____

Recipients are to attend the University of Guam, School of Education.

8.0 PROMISSORY NOTE. _____

All Yamashita Teacher Corps recipients shall execute a Promissory Note with two (2) responsible co-signers, who are residents of Guam and are financially able to repay the award in the event the student fails to comply with service obligations one hundred eighty (180) days from required employment date. Financial ability to repay includes but is not limited to documentation such as tax forms, employment verifications, business license, etc. No funds under this Program shall be disbursed while the recipient is attending the recipient's approved institution until the note is submitted to the Financial Aid Office and the recipient is found to be in compliance with the requirements under this Program.

All monies disbursed during attendance under the Yamashita Teacher Corps will become due and payable in event of default or for cash (non-service credit) and shall be subject to an annual interest rate of ten percent (10%) in monthly installment payments. Such payments must not exceed ten (10) years. The University of Guam Collections Department/Bursar's Office will compute the

DR. ANTONIO C. YAMASHITA TEACHER CORPS PROGRAM
RULES AND REGULATIONS
Award Year 2013-2014

recipient's monthly installment payments, in the event of default or for cash (non-service credit) repayments.

9.0 AWARD BENEFITS. _____

No recipients under this program may receive benefits beyond four (4) calendar years. Recipients are entitled to the following benefits:

- (a) Tuition and fees each academic year for a period of not more than four (4) years.
- (b) A nine (9) month stipend (beginning September and ending in May of each year) of Two Hundred Dollars (\$200.00) per month for students who are below the Senior level and Four Hundred Dollars (\$400.00) per month for Seniors.
- (c) An allowance of Three Hundred Fifty Dollars (\$350.00) per semester and One Hundred Fifty Dollars (\$150.00) maximum for summer will be granted for textbooks
- (d) Optional – Summer: Each recipient shall be entitled to tuition, fees, and textbooks for Summer session (any combination of A, B, or C) courses on a full-time basis.

10.0 TRANSACTION. _____

Under the direction of the President, the Office of Administration & Finance shall be responsible for:

- (a) Disbursements and collection of funds and/or service credit awarded recipients under the Yamashita Teacher Corps Program.
- (b) Disbursements of tuition/fees, books, and stipends to recipients shall be made upon certification by the School of Education that all requirements for stipends are met. Stipends are based on the recipient's level in the teacher training program, as determined by School of Education.
- (c) Stipends at the beginning of each academic year will be disbursed in September (for August and September).
- (d) Summer stipends will be disbursed in July (for June and July).

11.0 OBLIGATION OF RECIPIENTS. _____

In order to remain in good standing and to continue in the scholarship program, recipients shall be required to meet the following:

- (a) Comply with all Yamashita Teacher Corps program regulations as established by the Board of Regents and duly adjudicated.
- (b) Maintain a ***minimum cumulative*** grade point average of not less than ***2.75*** each semester or Summer in the program. *In the event a recipient drops below the minimum cumulative grade point average, the recipient shall be placed on probation for a period to be determined by the Board of Regents, but such probationary period shall not exceed two (3) semesters, exclusive of summers or intercessions.*
- (c) Must enroll for and maintain full-time student status, minimum twelve (12) credit hours per semester (Fall/Spring) and minimum of six (6) credit hours for Summer session. The Dean of the School of Education may allow for less than full-time enrollment, but no arrangement shall cause the extension of the completion time of degree under this program.
- (d) Obtain written approval by special request from the Board before (with or without funding):
 - (1) changing major emphasis within the teaching program: change(s) may be approved by the Board if such change(s) would not extend the length of time required to complete the program (change of major is not allowed during the last academic year of attendance);
 - (3) full withdrawal from the program, unless such withdrawal was due to circumstances beyond the recipient's control and the Board subsequently approves such withdrawal in writing.

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- (e) Changes to award status, known as 'special requests', shall be submitted in writing from a recipient to the Financial Aid Office. Such status change shall include, but not be limited to the following: change of academic program, change of institution, change of graduation date, deferment of attendance, or deferment of service obligation.
 - (1) Except for deferment requests and change of graduation date, special requests shall be submitted to the Financial Aid Office no later than two (2) months (sixty (60) calendar days) prior to the start of the academic term for which the request is to take effect. Requests received after the two (2) months (sixty (60) calendar days), shall be acknowledged and returned without any action indicating non-compliance with the deadline requirement.
- (f) A recipient who fails two or more subjects during any semester or Summer is subject to dismissal from the scholarship program.
- (g) A recipient may appeal to the Board through *the Financial Aid Office* for reinstatement to the program.
- (h) A recipient must be certified as remaining in good standing by the School of Education at the end of each semester with a cumulative GPA of 2.75
- (i) All recipients must agree to work at a public school on Guam, for two years for each year assistance was provided (2:1).
- (j) All recipients must provide proof of full-time employment within six (6) months after graduation by submitting a Verification of Employment. Employment verifications shall be submitted by the recipient every six (6) months (June and December of each year). If a recipient wishes to continue the recipient's education as a full-time student at a graduate or professional school, the recipient may defer his/her employment obligation on Guam until such additional studies are complete; provided, written approval has been granted from the Board. Failure to begin employment on Guam within six (6) months of graduation shall be cause for monetary repayment to become immediately due and payable in monthly monetary payments.
- (k) By accepting the award, the recipient agrees that the University of Guam may obtain any or all information from the respective institution as needed to comply with Board regulations.

12.0 FORFEITURE. _____

Any one or combination of the following may constitute sufficient reason for dismissal from the program:

- (a) Suspension or dismissal for academic deficiency, disciplinary reason(s) or conviction of a felony.
- (b) Forfeiture of the award under any one or combination of the provisions herein established.
- (c) Failure to enroll in the Fall semester of the academic year immediately following the granting of the award, unless deferment of the enrollment in that semester is approved by the Board of Regents. A recipient granted such deferment will forfeit the award for failure to enroll in the next semester immediately following the approved deferment.
- (d) Failure to maintain a cumulative grade point average of 2.75 each term, except a recipient may be allowed not more than two (2) regular academic terms to regain this average without cancellation of award.
- (e) Failure to maintain full-time status, unless waived by the Dean of the School of Education. Such waiver shall not be approved by the Board if such waiver extends the original time of graduation.
- (f) Failure to abide by any one or combination of the provisions of these policies as established by the Board of Regents of the University of Guam.

A recipient who forfeits an award and who regains entitlement of the award pursuant to §§12(c) (d) and (e) shall not be required to repay the amount awarded for that academic term in which the

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academic deficiency or failure to maintain full-time status occurred until after graduation, or other termination of studies for any other reason.

13.0 SERVICE CREDIT. _____

For the purpose of repayment, the recipient shall receive:

- (a) As a condition of selection in the program, each recipient shall agree to begin employment within six (6) months from completion of his/her degree in the public school system of Guam and to continue in such employment for a period of time equal to two (2) calendar years for each academic year of support under the program.
- (b) A recipient shall further agree that, in the event he fails to complete the program or refuses to fulfill the obligation set forth in (a), he/she shall then repay the Government of Guam through the Financial Aid Office, an amount equal to the total of tuition, fees, textbooks, stipends, and supplies paid on behalf of the recipient.
- (c) **Service Credit.** The recipient shall receive service credit for each year of employment on Guam. If the recipient begins employment on Guam within six (6) months after graduation without interruption, the recipient is considered to have met the obligation to the Board and will receive credit beginning on the date of employment. A year of service credit is twelve (12) months. In the event that any portion of the assistance is not repaid through service credit, the amount unpaid in service credit shall become due and payable.
- (d) **Postponement.** If the recipient does not begin employment as required by §13(a) herein within six (6) months after graduation to continue his/her higher education goals at a graduate or professional school on a regular full-time, on-campus basis, at an accredited institution of higher education, as recognized by the Council for Higher Education Accreditation (CHEA), an appeal may be submitted in writing to the Board for approval. Furthermore, postponement of service obligation through service may be granted those who are experiencing a family or medical emergency, in which an appeal may be submitted in writing to the Board for approval.
- (e) **Unapproved Postponement.** The recipient who does not obtain prior approval from the Board and who does not return and begin employment on Guam within six (6) months after graduation must pay in cash the total amount received per year, calculated on a daily rate for each day the person is not employed on Guam. The daily rate will be calculated by the University of Guam Collections Department/Bursar's Office based on applicable promissory notes.
Once this amount has been paid in full, the recipient is entitled to use service credit for the remaining amount of the debt for each year of employment on Guam.
- (f) **Interruption.** If a recipient receiving service credit wishes to temporarily terminate employment on Guam to continue his/her education at a graduate or professional school on a regular full-time on-campus basis, at a U.S. accredited institution of higher education, as recognized by the Council for Higher Education Accreditation (CHEA), an appeal in writing must be submitted to the Board of Regents for approval. Upon approval, the repayment obligation shall be deferred for the period granted to continue studies. If prior approval of the Board is not obtained, the recipient must pay in cash for each day the person is not employed on Guam at a rate determined by the University of Guam Collections Department/Bursar's Office. Once the amount is paid in full, the recipient is entitled to use service credit on the remaining debt.
- (g) **Ineligibility for Service Credit.** Any recipient who did not receive the degree pre-approved by the Board of Regents, shall be ineligible for service credit. All monies disbursed during attendance under the Yamashita Teacher Corps Program will become due and payable and shall be subject to an annual interest rate of ten percent (10%) in monthly installment payments. Such payments must not exceed ten (10) years pursuant to law. The University of Guam Collections Department/Bursar's Office will compute the recipient's monthly installment payments in the event of default. Furthermore, permanent transfer to an off-Island office or branch of a Guam employer shall not count towards service credit and shall result in default on the date of transfer, and interest shall begin on such date of default.

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- (h) **Leave of Absence.** It is the responsibility of the recipient to inform the University of Guam of any leave of absence longer than forty-five (45) days. The recipient must remain employed pursuant to §13(a) herein to receive service credit while on off-Island temporary leave status.
- (i) **Annual Proof of Employment.** It is the responsibility of the recipient to provide the Financial Aid Office or Bursar/Collection Office, documentary evidence (See Section 11, k) of such employment and each year thereafter, until such obligation is fulfilled.

14.0. CONFLICT. _____

Previous regulation(s) under which a recipient was awarded financial assistance shall continue to apply to the recipient for the remainder of the recipient's studies, notwithstanding any revised regulation which conflicts with the previous regulation(s), unless specifically stated otherwise.

CHAPTER 15A, TITLE 17, Guam Code Annotated

Approved by the Board of Regents on _____, effective AY 2013-2014, | Resolution No. 13-

UNIVERSITY OF GUAM
FINANCIAL AID OFFICE
STUDENT FINANCIAL ASSISTANCE PROGRAM
ACADEMIC YEAR 2013-2014 (Fall 2013 Award)

DR. ANTONIO C. YAMASHITA TEACHER CORPS

INSTRUCTIONS TO APPLICANTS

These instructions are for the Dr. Antonio C. Yamashita Teacher Corps sponsored by the Government of Guam for teacher education studies at the University of Guam.

Please read these instructions carefully. **IF YOUR APPLICATION AND SUPPORTING DOCUMENTS ARE LATE AND/OR INCOMPLETE, IT WILL NOT BE SUBMITTED TO THE COMMITTEE FOR CONSIDERATION.**

THE APPLICATION FORM

1. You must complete all sections of the application form. Please do not leave any sections blank. If the section does not apply to you, please indicate with a "N/A" or "none".
2. You must sign the application form. Obtain your parent's signature if you are a minor.
3. You must have the application **NOTARIZED**. Please note that the Notary Public will require your signature in his/her presence and may require a fee.
4. You must submit the completed application form and all required documents to the Financial Aid Office, located at the University of Guam Field House. Application deadlines: 12:00 noon on the last Friday of May for Fall Semester awarding and 12:00 noon on the last Friday of November for Spring Semester awarding.

APPLICATIONS AND REQUIRED DOCUMENTS

Please complete the following sections on the application form attached. You must also submit the required documents to support the information given.

SECTION 1: PERSONAL DATA

- [] You must provide **PROOF OF U.S. CITIZENSHIP or PERMANENT RESIDENT ALIEN** Status:
- a) If you are claiming U.S. Citizenship, please submit a copy of your official birth certificate, U.S. Passport, or a copy of your naturalization certificate.
 - b) If you are a permanent resident alien, please submit a copy of your alien registration card.

SECTION 2: EDUCATIONAL DATA

Bachelor's in Education

Teacher Certification (Chamorro Language instruction)

- [] You must submit **OFFICIAL ACADEMIC TRANSCRIPTS** (select applicable category and submit required official transcript):
- a) If you are currently in an undergraduate level program at UOG, you must submit an official transcript from UOG.
 - b) If you are working on your Master's degree for specialty areas that require graduate training as a minimum requirement for Certification, based on recruitment needs of GDOE.
 - c) For individuals working on Teacher Certification, you must submit a copy of your official transcript that confers your most recent Bachelor's degree along with a copy of the Teacher Certification form from Guam Commission for Educator Certification (GCEC).

SECTION 3: STATEMENT OF RESIDENCY

- [] You must submit **PROOF OF ONE-YEAR GUAM RESIDENCY***, by providing **ONE OR MORE** of the following:
- a) *Copies of personal and/or parent's income tax forms filed and stamped received by the Department of Revenue and Taxation for 2011; or a certified statement from Department of Revenue and Taxation.
 - b) *Applicants under Public Assistance may submit a certified statement indicating types of assistance from agencies providing assistance for 2011.
 - c) If the applicant is eighteen (18) years or younger, must provide an official transcript from the Department of Education Middle School or Guam Private Elementary/Middle School.
- *Applicant must be listed on all documents submitted by parents or guardians.

UNIVERSITY OF GUAM
FINANCIAL AID OFFICE
STUDENT FINANCIAL ASSISTANCE PROGRAM
ACADEMIC YEAR 2013-2014

DR. ANTONIO C. YAMASHITA TEACHER CORPS

APPLICATION AND REQUIRED DOCUMENTS (Continued)

ADDITIONAL DOCUMENTS REQUIRED

- [] Essay: "Why I Want to Become a Teacher?" – 2 page, typewritten, double-spaced, and signed essay.
- [] Letter of Recommendation(s):
 - a) 2 – Letters of recommendations as defined below:
 - i. An educator, including teacher/instruction, counselor or school administrator who worked in an educational institution;
 - ii. By any other individual other than a relative who can attest to the character of an applicant.
 - b) 1 – Additional letter of recommendation if you are Employees of Guam Department of Education as defined below from assigned supervisor attesting to applicants job duties.
 - i. School aides, library technicians, and teachers with a bachelor's degree or higher who are seeking Teacher Certification in Chamorro Language Instruction.
 - ii. Chamorro language teachers who do not have a Bachelors degree.
- [] Academic Planning Sheet: Submit a plan that is completed, approved and signed by an appropriate Academic Advisor.
- [] SOE Letter of Acceptance

If your application with the above supporting documents is COMPLETE, it will be submitted to the Yamashita Educator Corps Evaluation and Selection Panel. The Panel will then forward their recommendation to the Scholarship Committee. It will then be forwarded to the Board of Regents regular meeting for action. If approved, you will be required to attend a MANDATORY PRE-AWARD ORIENTATION prior to receiving the award benefits. Please keep in mind that all award benefits are based on financial need and subject to the availability of funding.

APPLICATION DEADLINE:
12:00 P.M. Last Friday of May for Fall Award
12:00 P.M. Last Friday of November for Spring Award

FOR ADDITIONAL INFORMATION, YOU MAY CONTACT OUR OFFICE AT: Telephone (671) 735-2284/2288 or FAX (671) 734-2907. You may also reach us by e-mail at sfap@ugum.uog.edu

UNIVERSITY OF GUAM
FINANCIAL AID OFFICE
STUDENT FINANCIAL ASSISTANCE PROGRAM
ACADEMIC YEAR 2013-2014

DR. ANTONIO C. YAMASHITA TEACHER CORPS

INFORMATION

DEFINITIONS

The following terms whenever used in these regulations shall have the meaning indicated herein, except when the text otherwise requires:

1. *Board*: the Board of Regents of the University of Guam.
2. *Bona fide resident*: a United States citizen or a permanent resident alien having resided on Guam for one (1) year immediately preceding the starting date of the academic year the assistance will be used.
3. *Full-time status*: minimum of twelve (12) or more credit hours per regular semesters; minimum of six (6) credit hours per semester for Summer term.
4. *Major Program*: consists of students who have declared their intention to become educators.

ELIGIBILITY REQUIREMENTS

1. You must be a bona fide resident of Guam for one (1) year immediately preceding award of the assistance AND either a citizen of the United States or a permanent resident alien.
2. You must have an overall grade-point average (GPA) of not less than:
 - 2.5 overall grade point average;
3. You must be admitted to the School of Education at the University of Guam;
4. Agree to practice education in a public school funded by the government of Guam in areas of need upon graduation and certification to practice on Guam.
5. Recommended to the program by: 1) an educator, including teacher/instruction, counselor or school administrator who worked in an educational institution; and 2) by any other individual other than a relative who can attest to the character of an applicant.

BENEFITS (Total amount of the loans are contingent upon the availability of funds.)

1. Payment of tuition and fees.
2. An allowance of up to five hundred dollars (\$500) per regular semester, and up to one hundred dollars (\$100) per summer semester for textbooks.
3. A monthly stipend

REPAYMENT OBLIGATION

1. Be employed for a period of one (1) year for every academic year of scholarship received by the recipient, the semester immediately upon conferral of degree.
2. Any loan found to be forfeited shall be immediately due and payable monetarily.

PROHIBITIONS

1. No awards shall be granted to recipients applying for a 2nd bachelor's, masters, or doctorate degree.
2. No awards shall be granted for the purpose of pursuing theological studies.
3. No money may be expended for awards unless such awards are authorized by the Board through Resolution.
4. No person receiving benefits under one subchapter of Division 3, GCA Title 17 shall be entitled to benefits under any other subchapter, and no person receiving benefits under any Government of Guam educational program shall be entitled to benefits provided under the Student Financial Assistance Program.



STUDENT FINANCIAL ASSISTANCE PROGRAMS

PROPOSED RULES AND REGULATIONS

FOR ACADEMIC YEAR BEGINNING 2013-2014

Administered by the University of Guam Board of Regents

NURSING TRAINING SCHOLARSHIP PROGRAM

Rules and Regulations

NURSING TRAINING SCHOLARSHIP PROGRAM Award Year 2013-2014

1.0 BACKGROUND AND STATUTORY AUTHORITY. _____

The Board of Regents of the University of Guam is authorized under Title 17 of the Guam Code Annotated, to formulate rules and regulations to equitably and efficiently administer the Nursing Training Scholarship Program, in accordance with Chapter 15A of Title 17 of the Guam Code Annotated.

2.0 DEFINITIONS. _____

As used in these rules and regulations, the following terms will have the following meaning.

- (a) **Academic Year:** Fall and Spring Semesters for semester calendar system.
- (b) **Board:** the Board of Regents of the University of Guam.
- (c) **Cash Repayment:** monetary cash repayment for the period the deficiency was made and no service credit allowed.
- (d) **Fee:** student, general laboratory and course fees applied to all students.
- (e) **Full-time Status:** twelve (12) or more credit hours per semester (Fall and Spring) Six (6) or more credit hours for Summer term (any combination of A, B, or C session). (Summer attendance in the program is optional)
- (f) **Major Program:** selected students will pursue the prescribed program leading to the attainment of an Associate's or Bachelor's degree in Nursing, as approved by the Board of Regents at the time they are selected and enrolled in the Program.
- (g) **Part-time Status:** enrolled for less than twelve (12) credit hours per semester or less than six(6) credit hours for the Summer term. (Summer attendance in the program is optional)
- (h) **Promissory Note:** Document signed by the student and their guarantors promising to repay the loan in accordance with the rules and regulations specified under the program.
- (i) **Recipient:** an applicant of the Nursing Training Scholarship program who was selected based on meeting all eligibility requirements, certified by the School of Nursing as a Nursing student, and approved by the Board of Regents.
- (j) **Resident:** a United States Citizen or Permanent Resident Status (Green card holder) who has been a resident of Guam for a continuous period of at least one (1) year by *June 15th prior to the beginning of the academic year the award is to be awarded.*
- (k) **Service Credit:** repayment of award obligation through employment service, upon completion of studies.
- (l) **Stipend:** payment disbursed on a monthly installment.
- (m) **Co-Signers:** Guam Residents who are financially and legally responsible.
- (n) **2nd Bachelor's degree:** a student who holds a Bachelor's Degree in any subject other than Nursing shall be eligible for the program, provided that all other eligibility requirements are met.

3.0 LIMITATIONS AND PRIORITIES. _____

The number of students in the program annually shall be limited only by the available space at the University of Guam and/or the availability of funds. In the event of limited space and/or funds, priority shall be given to students at the highest level of training and closest to the completion of their program as indicated on application and concurred by the School of Nursing.

4.0 APPLICATION PROCEDURE AND REQUIREMENTS. _____

An applicant for nursing scholarship must comply with the following procedures and requirements:

- (a) Applicants must submit the official application prescribed by the Board and obtainable at the University of Guam Financial Aid Office. Applications shall include the following information:
 - 1. Evidence of eligibility in accordance with Section 5.0
 - 2. Evidence of acceptance into a nursing program clearly defined in Section 5.0(c)
- (b) Completed applications must be submitted to the Board through the Financial Aid Office no later than **12:00 p.m. (noon) on May 31, 2013**, in order to be eligible for Financial Assistance for the following Fall/Spring semester.

NURSING TRAINING SCHOLARSHIP PROGRAM

Award Year 2013-2014

5.0 CRITERIA OF ELIGIBILITY. _____

The following are eligibility requirements for the Nursing Training Program:

- (a) Applicant must have completed high school or otherwise be declared eligible for admission to the Nursing program by the University of Guam.
- (b) Applicant must be a United States citizen or a permanent resident alien and a resident of Guam for at least one (1) year prior to the academic semester or term the student is admitted, registered, and enrolled in the program. (Refer to definition above for residency)
- (c) Applicant must have satisfactorily completed all pre-nursing program requirements and be recommended by the appropriate authority in the School of Nursing, who will certify that the applicant has been admitted or is eligible for admission into the undergraduate nursing degree program.
- (d) Acceptance to the University of Guam as a full-time student to register for a minimum of 12 credit hours each semester and a minimum of 6 credit hours during the Summer session (Summer session attendance is optional).

6.0 SELECTION PROCEDURE. _____

- (a) Each eligible applicant will be placed on a list submitted to the School of Nursing for certification of acceptance/non-acceptance into the Nursing program. In the event any applicant is not accepted into the Nursing program, a decline letter will automatically be sent to applicant. A final list of eligible applicants will be prepared and forwarded to the Board of Regents for approval/denial.
- (b) The Board of Regents shall, at a regular or special meeting, approve the selection of the recipients.
- (c) Notice of award shall be sent to each recipient. The recipient of the Nursing Training Scholarship Program must notify the Board of Regents within thirty (30) days from award notification indicating whether the recipient will accept the award. If the recipient fails to do so, the award is thereby forfeited and offered to the next eligible recipient (if applicable). If a recipient declines to accept the Nursing scholarship after it has been offered, such recipient shall not longer be entitled to receive such award from the Board of Regents during the award period and may reapply for the next academic year.
- (d) All recipients shall attend a mandatory orientation to complete the award process. Failure to attend said orientation is cause to deny the Nursing Training Scholarship program. All documents required by the Financial Aid Office to complete the award process will be received and completed by the recipient during the orientation process.

7.0 ATTENDANCE. _____

Recipients are to attend the University of Guam, School of Nursing to obtain an Associates Degree in Nursing or a Bachelor of Science degree in Nursing.

8.0 PROMISSORY NOTE. _____

All Nursing Training Program recipients shall execute a Promissory Note with two (2) responsible co-signers, who are residents of Guam and are financially able to repay the award in the event the student fails to comply with service obligations one hundred eighty (180) days from required employment date. Financial ability to repay includes but is not limited to documentation such as tax forms, employment verifications, business license, etc. No funds under this Program shall be disbursed while the recipient is attending the recipient's approved institution until the note is submitted to the Financial Aid Office and the recipient is found to be in compliance with the requirements under this Program.

All monies disbursed during attendance under the Nursing Training Scholarship Program will become due and payable in event of default or for cash (non-service credit) and shall be subject to

NURSING TRAINING SCHOLARSHIP PROGRAM Award Year 2013-2014

an annual interest rate of ten percent (10%) in monthly installment payments. Such payments must not exceed ten (10) years. The University of Guam Collections Department/Bursar's Office will compute the recipient's monthly installment payments, in the event of default or for cash (non-service credit) repayments.

9.0 AWARD BENEFITS. _____

No recipient may receive benefits beyond four (4) calendar years. Recipients are entitled to the following benefits:

- (a) Tuition and fees each academic year to be paid by the Student Financial Assistance fund for a period of not more than four (4) years in an undergraduate program at the University of Guam.
- (b) A nine (9) month stipend (beginning September and ending in May of each year) of Four Hundred Dollars (\$400.00) per month.
- (c) An allowance of Three Hundred Fifty Dollars (\$300.00) per semester and One Hundred Fifty Dollars (\$150.00) maximum for summer will be granted for textbooks
- (d) Optional – Summer: Each recipient shall be entitled to tuition, fees, and textbooks for Summer session (any combination of A, B, or C) courses on a full-time basis.

10.0 TRANSACTION. _____

Under the direction of the President, the Office of Administration & Finance shall be responsible for:

- (a) Disbursements and collection of funds and/or service credit awarded recipients under the Nursing Training Program.
- (b) Disbursements of tuition/fees, books, and stipends to recipients shall be made upon certification by the School of Nursing that all requirements for stipends are met. Stipends are based on the recipient's level in the nursing training program, as determined by School of Nursing.
- (c) Stipends at the beginning of each academic year will be disbursed in September (for August and September).
- (d) Summer stipends will be disbursed in July (for June and July).

11.0 OBLIGATION OF RECIPIENTS. _____

In order to remain in good standing and to continue in the scholarship program, recipients shall be required to meet the following:

- (a) Comply with all Nursing Training Scholarship program regulations as established by the Board of Regents and duly adjudicated.
- (b) Maintain a ***minimum cumulative*** grade point average of not less than ***2.70*** each semester or Summer in the program. *In the event a recipient drops below the minimum cumulative grade point average, the recipient shall be placed on probation for a period to be determined by the Board of Regents, but such probationary period shall not exceed three (3) semesters, exclusive of summers or intercessions.*
- (c) Must enroll for and maintain full-time student status, minimum twelve (12) credit hours per semester (Fall/Spring) and minimum of six (6) credit hours for Summer session. The Director of the School of Nursing and Health Sciences may allow for less than full-time enrollment, but no arrangement shall cause the extension of the completion time of degree under this program.
- (d) Obtain written approval by special request from the Board before (with or without funding):
 - (1) transferring to another institution: transfer(s) may be approved by the Board if such transfer(s) would not extend the length of time required to complete the program;
 - (2) changing a major within the nursing program: change(s) may be approved by the Board if such change(s) would not extend the length of time required to complete the program (change of major is not allowed during the last academic year of attendance);

NURSING TRAINING SCHOLARSHIP PROGRAM Award Year 2013-2014

- (3) Withdrawing from any institution, unless such withdrawal was due to circumstances beyond the recipient's control and the Board subsequently approves such withdrawal in writing.
- (e) Changes to award status, known as 'special requests', shall be submitted in writing from a recipient to the Financial Aid Office. Such status change shall include, but will not be limited to the following: change of major, change of professional or technical program, change of institution, change of graduation date, deferment of attendance, or deferment of service obligation.
 - (1) Except for deferment requests and change of graduation date, special requests shall be submitted to the Financial Aid Office no later than two (2) months (sixty (60) calendar days) prior to the start of the academic term for which the request is to take effect. Requests received after the two (2) months (sixty (60) calendar days), shall be acknowledged and returned without any action indicating non-compliance with the deadline requirement.
- (f) A recipient who fails in two or more subjects during any semester or Summer is subject to dismissal from the scholarship program.
- (g) A recipient may appeal to the Board through the *Nursing Administrator via the Financial Aid Office* for reinstatement to the program.
- (h) A recipient must be certified as remaining in good standing in the Nursing Program at the end of each semester, with certification being provided by the appropriate Nursing Program authority to the Financial Aid Office.
- (i) All recipients must agree to work on Guam, for each year assistance was provided (1:1).
- (j) All recipients must provide proof of full-time employment within six (6) months after graduation by submitting a Verification of Employment. Employment verifications shall be submitted by the recipient every six (6) months (June and December of each year). If a recipient wishes to continue the recipient's education as a full-time student at a graduate or professional school, the recipient may defer his/her employment obligation on Guam until such additional studies are complete; provided, written approval has been granted from the Board. Failure to begin employment on Guam within six (6) months of graduation shall be cause for monetary repayment to become immediately due and payable in monthly monetary payments.
- (k) By accepting the award, the recipient agrees that the University of Guam may obtain any or all information from the respective institution as needed to comply with Board regulations.

12.0 FORFEITURE. _____

Any one or combination of the following may constitute sufficient reason for dismissal from the program:

- (a) Suspension or dismissal for academic deficiency, disciplinary reason(s) or conviction of a felony.
- (b) Forfeiture of the award under any one or combination of the provisions herein established.
- (c) Failure to enroll in the Fall semester of the academic year immediately following the granting of the award, unless deferment of the enrollment in that semester is approved by the Board of Regents. A recipient granted such deferment will forfeit the award for failure to enroll in the next semester immediately following the approved deferment.
- (d) Failure to maintain a cumulative grade point average of 2.7 each term, except a recipient may be allowed not more than three regular academic terms to regain this average without cancellation of award.
- (e) Failure to maintain full-time status.
- (f) Failure to abide by any one or combination of the provisions of these policies as established by the Board of Regents of the University of Guam.

A recipient who forfeits an award and who regains entitlement of the award pursuant to §§12(b) and (c) shall not be required to repay the amount awarded for that academic term in which the academic deficiency or failure to maintain full-time status occurred until after graduation, or other termination of studies for any other reason.

NURSING TRAINING SCHOLARSHIP PROGRAM Award Year 2013-2014

13.0 SERVICE CREDIT. _____

For the purpose of repayment, the recipient shall receive:

- (a) As a condition of selection in the program, each recipient shall agree to accept employment within six (6) months from completion of his/her nursing degree upon becoming a licensed registered nurse or a licensed practical nurse in the public health system of Guam including Guam Memorial Hospital Authority, the Department of Public Health and Social Services, and the Department of Mental Health and Substance Abuse, Guam Public School System (school health counselor) or the Guam Community College (school health counselor), or in private clinics licensed to do business on Guam, and to continue in such employment for a period of time equal to one calendar year for each academic year of training under the program.
- (b) A recipient shall further agree that, in the event he fails to complete the program or refuses to fulfill the obligation set forth in (a), he/she shall then repay the Government of Guam through the Collections Office/Bursar's Office at the University of Guam, an amount equal to the total of tuition, fees, textbooks, and supplies paid on behalf of the recipient and the total monthly allowance paid to the recipient.
- (c) **Service Credit.** The recipient shall receive service credit for each year of employment on Guam. If the recipient begins employment on Guam within six (6) months after graduation without interruption, the recipient is considered to have met the obligation to the Board and will receive credit beginning on the date of employment. A year of service credit is twelve (12) months. In the event that any portion of the assistance is not repaid through service credit, the amount unpaid in service credit shall become due and payable.
- (d) **Postponement.** If the recipient does not begin employment as required by §13(a) herein within six (6) months after graduation to continue Nursing or a Health Related field of studies at a graduate or professional school on a regular full-time, on-campus basis, at an accredited institution of higher education, as recognized by the Council for Higher Education Accreditation (CHEA), an appeal may be submitted in writing to the Board for approval. Furthermore, postponement of service obligation through service may be granted those who are experiencing a family or medical emergency, in which an appeal may be submitted in writing to the Board for approval.
- (e) **Unapproved Postponement.** The recipient who does not obtain prior approval from the Board and who does not return and begin employment on Guam within six (6) months after graduation must pay in cash the total amount received per year, calculated on a daily rate for each day the person is not employed on Guam. The daily rate will be calculated by the University of Guam Collections Office / Bursar's Office based on applicable promissory notes.

Once this amount has been paid in full, the recipient is entitled to use service credit for the remaining amount of the debt for each year of employment on Guam.

- (f) **Interruption.** If a recipient receiving service credit wishes to temporarily terminate employment on Guam to continue Nursing or a Health Related field of studies at a graduate or professional school on a regular full-time on-campus basis, at a U.S. accredited institution of higher education, as recognized by the Council for Higher Education Accreditation (CHEA), an appeal in writing must be submitted to the Board of Regents for approval. Upon approval, the repayment obligation shall be deferred for the period granted to continue studies. If prior approval of the Board is not obtained, the recipient must pay in cash for each day the person is not employed on Guam at a rate determined by the University of Guam Collections Department. Once the amount is paid in full, the recipient is entitled to use service credit on the remaining debt.

NURSING TRAINING SCHOLARSHIP PROGRAM
Award Year 2013-2014

- (g) **Ineligibility for Service Credit.** Any recipient, who did not receive the degree pre-approved by the Board of Regents, shall be ineligible for service credit. All monies disbursed during attendance under the Nursing Training Scholarship Program will become due and payable and shall be subject to an annual interest rate of ten percent (10%) in monthly installment payments. Such payments must not exceed ten (10) years pursuant to law. The University of Guam Collections Department will compute the recipient's monthly installment payments in the event of default. Furthermore, permanent transfer to an off-Island office or branch of a Guam employer shall not count towards service credit and shall result in default on the date of transfer, and interest shall begin on such date of default.
- (h) **Leave of Absence.** It is the responsibility of the recipient to inform the University of Guam of any leave of absence longer than forty-five (45) days. The recipient must remain employed pursuant to §13(a) herein to receive service credit while on off-Island temporary leave status.
- (i) **Annual Proof of Employment.** It is the responsibility of the recipient to provide the Financial Aid Office or Bursar/Collection Office, documentary evidence (See Section 11, k) of such employment and, each year thereafter, until such obligation is fulfilled.

14.0. CONFLICT. _____

Previous regulation(s) under which a recipient was awarded financial assistance shall continue to apply to the recipient for the remainder of the recipient's studies, notwithstanding any revised regulation which conflicts with the previous regulation(s), unless specifically stated otherwise.

****Note**

1. **Financial Aid has the primary responsibility to evaluate applications/supporting documents and award/disburse financial aid benefits.**
2. **School of Nursing has the responsibility to certify the acceptance of recipients/applicants to the Nursing program in order for students to obtain Nursing Training Scholarship benefits;**
3. **Board of Regents is the final authority to approve applicants and continuing recipients.**

CHAPTER 15A, TITLE 17, Guam Code Annotated

Approved by the Board of Regents on _____, effective AY 2013-2014, | Resolution No. 13-

UNIVERSITY OF GUAM
FINANCIAL AID OFFICE
STUDENT FINANCIAL ASSISTANCE PROGRAM
ACADEMIC YEAR 2013-2014

NURSING TRAINING PROGRAM

INSTRUCTIONS TO APPLICANT

These instructions are for the Nursing Training Program as mandated by Title 17 of the Guam Code Annotated (GCA), Chapter 15A for undergraduate studies on Guam. Please read these instructions carefully. **If your application and supporting documents are INCOMPLETE, it will not be submitted to the Board of Regents Scholarship Committee for consideration.**

PURPOSE

The Nursing Training Program is designed to prepare nursing students for the public health system, including Guam Memorial Hospital, Public Health and Social Services, and the Department of Mental Health and Substance Abuse, as a school health counselor in Department of Education or Guam Community College, or private clinics licensed to do business on Guam; and to continue employment for a period of time equal to the period of training in the program. Priority will be given to persons demonstrating intent to remain on Guam after graduation, even beyond the normal period required for repayment through service obligation, as required by 17 GCA Chapter 15A.

THE NURSING TRAINING PROGRAM APPLICATION FORM

1. You must complete all sections and sign the application form. Please do not leave any sections blank. If the section does not apply to you, please indicate with a "N/A" or "none".
2. You must sign the application form. Obtain your parent's signature if you are a minor.
3. You must have the application **NOTARIZED**. Please note that the Notary Public will require your signature in his/her presence and may require a fee.
4. You must submit the completed application form and all required documents to the Financial Aid Office, [located at the University of Guam Field House](#) by **12:00 P.M. May 31, 2013** *Applications submitted by mail must be postmarked on or before **May 31, 2013**.*

INCOMPLETE APPLICATIONS WILL NOT BE ACCEPTED

APPLICATION AND REQUIRED DOCUMENTS

Please complete the following sections on the application form attached. You must also submit the required documents to support the information given.

SECTION 1: PERSONAL DATA

[] PROOF OF U.S. CITIZENSHIP or PERMANENT RESIDENT ALIEN

- a) If you are claiming U.S. Citizenship, please submit a copy of your official birth certificate, U.S. Passport, or a copy of your naturalization certificate.
- b) If you are a permanent resident alien, please submit a copy of your alien registration card.

SECTION 2: EDUCATIONAL DATA

[] CERTIFICATION LETTER FROM COLLEGE OF NURSING

- a) You must submit a certification letter from an academic dean/advisor from the School of Nursing, certifying that you have completed all of the pre-nursing requirements and that you have been admitted **or** are eligible for admission into the undergraduate nursing degree program.

[] OFFICIAL ACADEMIC TRANSCRIPT(S)

- a) You must also submit an official academic college transcript(s) of all institutions attended, beyond high school.

SECTION 3: COST OF ATTENDANCE

- []** You must COMPLETE this section. You may estimate the cost.

UNIVERSITY OF GUAM
FINANCIAL AID OFFICE
STUDENT FINANCIAL ASSISTANCE PROGRAM
ACADEMIC YEAR 2013-2014

NURSING TRAINING PROGRAM

APPLICATION AND REQUIRED DOCUMENTS (Continued)

SECTION 4: STATEMENT OF RESIDENCY

[] PROOF OF ONE-YEAR GUAM RESIDENCY

You must submit **ONE OR MORE** of the following:

- a) *Copies of personal and/or parent's income tax forms filed and stamped received by the Department of Revenue and Taxation*; or a certified statement from Department of Revenue and Taxation.
- b) *Applicants under Public Assistance may submit a certified statement indicating period of assistance from agencies providing assistance.
- c) Voter registration for the last two (2) recent elections certified by Guam Election Commission {i.e. 2012 & 2010}.
- d) If the applicant is eighteen (18) years or younger, must provide an official transcript from the Department of Education Middle School or Guam Private Elementary/Middle School.
- e) Official transcripts from the University of Guam and/or Guam Community College.

*Applicant must be listed on all documents submitted by parents or guardians.

PRELIMINARY SCREENING AND SELECTION(S):

If your application and the required documents are COMPLETE, the Financial Aid Office will review your application and forward their recommendation(s) to the Board of Regents Scholarship Committee. The Scholarship Committee will then forward their recommendation(s) to the full Board of Regents, for final action, at their regular meeting. You will be notified, in writing, of the Board's decision on your application (around September/October for the Academic year of application). If your application is approved, you will be required to sign and submit a NURSING TRAINING PROGRAM AGREEMENT and attend a MANDATORY PRE-AWARD ORIENTATION before any funds can be disbursed.

APPLICATION DEADLINE: 12:00 P.M. MAY 31, 2013

FOR ADDITIONAL INFORMATION, YOU MAY CONTACT THE FOLLOWING OFFICES:

Financial Aid Office
School of Nursing

Telephone No.: (671) 735-2288/2297
Telephone No.: (671) 735-2650/1

Fax No.: (671) 734-2907
Fax No.: (671) 734-2906

You may also reach us by e-mail at sfap@uquam.uog.edu

UNIVERSITY OF GUAM | FINANCIAL AID OFFICE
STUDENT FINANCIAL ASSISTANCE PROGRAM
 ACADEMIC YEAR 2013-2014

(Please indicate program for this application – Selection only ONE)

J.U. Torres PROTECH Award Nursing Training Program Yamashita Teacher Corp Doc Sanchez

*Please use typewriter or block letters in ink. Submit the completed application to the Financial Aid Office, located at the University of Guam Field House on or before 12:00 P.M. (NOON) MAY 31, 2013. LATE and INCOMPLETE applications and those without supporting documents **WILL NOT** be considered. Refer to INSTRUCTIONS TO APPLICANTS accompanying this application form.*

SECTION 1: PERSONAL DATA

APPLICANT'S NAME:		CITIZEN OF THE UNITED STATES:	
LAST	FIRST	MIDDLE	Please attach a copy of your official birth certificate, a copy of your U.S. Passport, or a copy of your Naturalization certificate. Please indicate documentation attached for verification: <input type="checkbox"/> BIRTH CERTIFICATE <input type="checkbox"/> NATURALIZATION CERTIFICATE <input type="checkbox"/> U.S. PASSPORT
SOCIAL SECURITY NO.:			
DATE OF BIRTH:	PLACE OF BIRTH:		
SEX:	MARITAL STATUS:		
PERMANENT HOME ADDRESS:			
MAILING ADDRESS:			
EMAIL ADDRESS:			
PLACE OF RESIDENCE:	TELEPHONE NO.:		
YOUR POSITION TITLE:			
NAME OF EMPLOYER:	TELEPHONE NO.:		
SPOUSE'S NAME:		FOR PERMANENT RESIDENT ALIENS:	
FATHER'S NAME:		Alien Registration No.: _____	
MOTHER'S NAME:		Date: _____	
PARENT'S MAILING ADDRESS:		Country of Citizenship: _____	
		Resident of Guam since (month/year): _____	
		SPOUSE'S OCCUPATION•EMPLOYER•WORK PHONE:	
		FATHER'S OCCUPATION•EMPLOYER•WORK PHONE:	
		MOTHER'S OCCUPATION•EMPLOYER•WORK PHONE:	
		PARENT'S CONTACT NO.:	

SECTION 2: EDUCATIONAL DATA

<input type="checkbox"/> BACHELORS <input type="checkbox"/> MASTERS <input type="checkbox"/> DOCTORATE <input type="checkbox"/> JURIS DOCTORATE	MAJOR PROGRAM:
ACCEPTED FOR ADMISSIONS TO: (Name, address of institution)	MINOR:
	DEGREE EXPECTED: MONTH/YEAR EXPECTED:
	STUDIES TO COMMENCE: (Circle One) Fall Winter Spring <input type="checkbox"/> Semester <input type="checkbox"/> Quarter _____ Academic Year

YOU MUST SUBMIT OFFICIAL COLLEGE TRANSCRIPT(S) OF EACH UNDERGRADUATE INSTITUTION(S) ATTENDED.

HIGHEST DEGREE EARNED _____ DATE EARNED _____ MAJOR PROGRAM _____

FROM (Name, address of college/university) _____

If you attended other higher education institutions, please provide the information below along with the official transcript(s).

NAME & LOCATION OF INSTITUTION	PERIOD OF ATTENDANCE	DEGREE OR CREDIT HOURS EARNED	MAJOR



UNIVERSITY OF GUAM
UNIBETSEDAT GUAHAN
BOARD OF REGENTS

RESOLUTION NO. 13-03

**RELATIVE TO APPROVING THE STUDENT FINANCIAL ASSISTANCE PROGRAM
FY2014 BUDGET, INCLUDING THE YAMASHITA TEACHER CORPS, WHICH PROVIDES
BENEFITS FOR AY 2013-2014 FOR NEW APPLICANTS AND CONTINUING RECIPIENTS**

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

WHEREAS, the provisions of Title 17 of the Guam Code Annotated, Chapter 15, governing the Student Financial Assistance Fund, state that the Student Financial Assistance Fund shall be administered and granted by the BOR; and

WHEREAS, in accordance with applicable provisions, the Student Affairs, Scholarship, Alumni Relations & Honorary Degree (SASARHD) Committee held a meeting on February 14, 2013 to address the Student Financial Assistance Program FY2014 Budget; and

WHEREAS, the Budget, Finance, Investments and Audit (BFIA) Committee reviewed the SFAP budget at its meeting on February 19, 2013; and

WHEREAS, the Senior Vice President for Academic & Student Affairs, the Dean of Enrollment Management & Student Services, and the Director of the Financial Aid Office have all certified that the Student Financial Assistance Program FY2014 Budget as recommended at the February 14, 2013 meeting is consistent with appropriate Public Laws and the BOR's Rules and Regulations; and

WHEREAS, as a result of that meeting, the SASARHD Committee and the BFIA Committee recommend to the Board approval of the Student Financial Assistance Program FY2014 Budget.

NOW, THEREFORE, BE IT RESOLVED, that the University of Guam Student Financial Assistance Program FY2014 budget named above is hereby approved for submission to the Legislature.

Adopted this 28th day of February, 2013.


Dr. W. Chris Perez, Chairman

ATTESTED:



Dr. Robert A. Underwood, Executive Secretary

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

FY 2014 PROPOSED BUDGET

	FY2013 BOR Approved Budget (Resolution No. 12-03)	FY2013 Budget Re-apportioned (Resolution No. 12-30)	FY2014 Budget Proposed (Resolution No. 13-)
A. REVENUE			
From CF Balance	\$ 300,000	\$ 300,000	\$ 300,000
Collection Projections	\$ 625,000	\$ 625,000	\$ 550,000
SFAP Legislative Appropriation	\$ 2,550,670	\$ 3,599,358	\$ 3,599,358
YTC Legislative Appropriation	\$ 1,238,127	(YTC and SFAP Combined) (YTC and SFAP Combined)	
Hero Scholarship (Judicial Building Fund)			
TOTAL REVENUE	\$ 4,713,797	\$ 4,524,358	\$ 4,449,358
B. EXPENDITURES			
SFAP Awards			
Advance High School Placement	\$ 20,000	\$ 20,000	\$ 20,000
John Quan	\$ -	\$ -	\$ -
Merit Award	\$ 1,655,847	\$ 1,617,993	\$ 1,589,646
Nursing Training Program**	\$ 500,000	\$ 500,000	\$ 500,000
Student Loan	\$ 350,000	\$ 384,358	Program ended (PL 31-237)
J.U. Torres PROTECH Award	\$ 350,000	\$ 350,000	\$ 375,000
Pedro "DOC" Sanchez***	\$ 300,000	\$ 300,000	\$ 300,000
Yamashita Teacher Corps	\$ 1,067,950	\$ 900,000	\$ 580,000
Access to Higher Ed Award (PL 31-237)	\$ -	\$ -	\$ 640,000
Hero Scholarship	\$ -	\$ -	\$ -
Regent Scholar Program	\$ -	\$ -	\$ -
ROTC Program	\$ -	\$ -	\$ -
Marine Lab Graduates	\$ -	\$ -	\$ -
<i>Sub-Total of SFAP Awards</i>	\$ 4,243,797	\$ 4,072,351	\$ 4,004,646
Administrative Operations			
<i>Sub-Total of Administrative Operations</i>	\$ 470,000	\$ 452,007	\$ 444,712
TOTAL EXPENDITURES	\$ 4,713,797	\$ 4,524,358	\$ 4,449,358
C. SURPLUS/DEFICIT SFAP AWARDS	\$ -	\$ -	\$ -
D. LEGISLATIVE APPROPRIATION REQUEST	\$ 3,788,797	\$ 3,599,358	\$ 3,599,358
TOTAL APPROPRIATION	\$ 3,788,797	\$ 3,599,358	\$ 3,599,358

Regent John Arroyo, Chairman of the BFIA and Investment Committees, will report on the committees' meetings.

BOR Regular Meeting_28Feb2013 (Reporting Requirement) - Reports from Standing Committees

UNIVERSITY OF GUAM

**Statement of Revenues, Expenses, and Changes in Net Assets (for BFIA)
For the month ending December 31, 2012 (UNAUDITED)**

			Cash Basis	VARIANCE	VARIANCE
	Dec. 31, 2011	Nov. 30, 2012	Dec. 31, 2012	Dec 2012 vs Nov 2012	Dec 2012 vs Dec 2011
A-OPERATING REVENUES					
Student tuition and fees, net	6,002,431	4,015,104	6,119,840	2,104,736	117,409
Discount	(1,994,619)	(3,024,668)	(3,868,084)	(843,416)	(1,873,465)
Federal grants/contracts	8,322,147	7,716,480	10,850,449	3,133,969	2,528,302
GovGuam grants & contracts	733,273	143,057	222,286	79,229	(510,987)
Nongovt. grants & contracts	263,114	89,233	252,535	163,302	(10,579)
Sales & services of education dept.	232,596	161,858	207,616	45,758	(24,980)
Auxiliary enterprises	120,940	77,834	141,660	63,826	20,720
Bookstore	82,917	46,797	76,507	29,710	(6,410)
Housing	11,170	(1,502)	17,135	18,637	5,965
English Language Institute	15,920	20,570	34,238	13,668	18,318
Other auxiliary enterprises	10,933	11,969	13,780	1,811	2,847
Other revenues	775,357	763,023	1,113,187	350,164	337,830
Total operating revenues	14,455,239	9,941,921	15,039,489	5,097,568	(5,593,342)
B-OPERATING EXPENSES					
Educational and general:					
Instruction	5,534,441	2,763,557	4,840,725	2,077,168	(693,716)
Research	2,250,073	1,608,490	2,586,976	978,486	336,903
Public service	2,891,009	1,460,934	2,344,392	883,458	(546,617)
Academic support	1,825,220	1,250,645	2,151,380	900,735	326,160
Student services (net of allowance)	894,049	597,010	1,069,376	472,366	175,327
Institutional support	1,917,238	1,442,164	2,200,531	758,367	283,293
Operations and maintenance plant	1,369,641	733,224	1,335,008	601,784	(34,633)
Depreciation	665,869	494,554	779,105	284,551	113,236
Scholarships & fellowships	2,919,130	4,684,687	4,621,882	(62,805)	1,702,752
Auxiliary enterprises	494,808	190,948	375,732	184,784	(119,076)
Bookstore	293,939	70,378	130,790	60,412	(163,149)
Housing	96,492	60,419	119,043	58,624	22,551
English Language Institute	56,972	38,587	72,509	33,922	15,537
Other auxiliary enterprises	47,405	21,564	53,390	31,826	5,985
Total operating expenses	20,761,478	15,226,213	22,305,107	7,078,894	(3,106,206)
Operating income (loss)	(6,306,239)	(5,284,292)	(7,265,618)	(1,981,326)	(2,487,136)
C-NONOPERATING REVENUES (EXPENSES)					
GovGuam appropriations	3,206,781	1,454,696	2,693,536	1,238,840	(513,245)
Investments income (net of expense)	941,269	96,769	591,767	494,998	(349,502)
Interest on capital assets - debt related	(187,515)	(125,010)	(187,515)	(62,505)	-
Other non-operating revenues/expenses	1,660	6,614	6,614	-	4,954
Net nonoperating revenues	3,962,195	1,426,455	3,097,788	1,671,333	(862,747)
Income before other revenues/expenses	(2,344,044)	(3,857,837)	(4,167,830)	(309,993)	(3,349,883)
D-OTHERS					
Expended for plant facilities-net	(2,571,228)	(17,026)	(17,026)	-	2,554,202
Debt service - DOA bond	(506,889)	(337,983)	(506,958)	(168,975)	(69)
Transfer-Agencies-net	-	-	60,000	60,000	60,000
Total other revenues/expenses	(3,078,117)	(355,009)	(463,984)	(108,975)	2,614,133
Increase (Decrease) in net assets	(5,422,161)	(4,212,846)	(4,631,814)	(418,968)	(735,750)
E-NET ASSETS					
Net assets beginning	92,364,723	106,759,825	106,759,825	-	14,395,102
Net assets ending YTD FY2013	86,942,562	102,546,979	102,128,011	(418,968)	15,031,175

increase in pell award and SFAP - timing in awards for pell and loans was awarded in Oct. due to problems in decrease in govguam grants

decrease in salary/benefits
increase in grants salary/benefits
decrease in salary/benefits
increase in salary/benefits/contracts
increase in salary/benefits/contracts
increase in salary/benefits

increase in Pell/loans-cut off

cash basis
Actual per MSSB report

sunset of ARRA
MATCHING SBDC/BoG

Net Assets decreased to \$4.2M using CASH BASIS, and increased to \$194k using the ACCRUAL BASIS. GovGuam is \$4.8M in arrears as of 1.31.2013.

Breakdown of General Operations Appropriation Re	Budget	Requested	Received	Balance Due
General Operations (from General Fund)	26,688,064	6,672,015	2,140,672	4,531,343
Less: 15% Allotment Control *	(4,003,210)	(1,000,803)	-	(1,000,803)
Net Appropriation - General Operations	22,684,854	5,671,213	2,140,672	3,530,541
Capital Improvement Fund	500,000	500,000	-	500,000
Special Appropriations (excludes CIP, KPRG & Guamp	6,434,364	1,608,590	552,864	1,055,726
Less: 15% Allotment Control *	(1,040,155)	(260,039)	-	(260,039)
Total Appropriations	28,579,064	7,519,764	2,693,536	4,826,228

BOR Regular Meeting_28Feb2013 (Reporting Requirement) - Reports from Standing Committees

UNIVERSITY OF GUAM
 FY2013 ALLOTMENT REPORT
 As of 02/05/13

Programs	Fund Source	Appropriation	15% Allotment Reserve (F = D - E * 15%)	Net Appropriation (G = D - F)	Amount Requested	Amount Paid	Unpaid from Amount Requested (P = J - M)	Unpaid from Total Appropriations (R = D - M)
UOG Operations								
UOG Operations	General Fund	25,688,064.00	3,853,209.60	21,834,854.40	10,703,360.00	6,422,016.00	4,281,344.00	19,266,048.00
UOG Operations TEFF	TEFF	1,000,000.00	150,000.00	850,000.00	416,665.00	-	416,665.00	1,000,000.00
Total UOG General Operations		26,688,064.00	4,003,209.60	22,684,854.40	11,120,025.00	6,422,016.00	4,698,009.00	20,266,048.00
						58%	42%	
Special Appropriations								
Student Financial Assistance Program	General Fund	3,599,358.00	539,903.70	3,059,454.30	1,499,735.00	1,199,788.00	299,947.00	2,399,570.00
Aquaculture Development and Training Center	General Fund	125,254.00	18,788.10	106,465.90	52,185.00	41,748.00	10,437.00	83,506.00
WERI - Guam Hydrologic Survey	General Fund	182,694.00	27,404.10	155,289.90	76,125.00	60,900.00	15,225.00	121,794.00
WERI - Comprehensive Water Monitoring Program	General Fund	155,626.00	23,343.90	132,282.10	64,844.00	51,876.00	12,968.00	103,750.00
Northern/Southern Soil and Water Conservation District	General Fund	149,384.00	22,407.60	126,976.40	62,245.00	49,796.00	12,449.00	99,588.00
Capital Improvements Fund	Highway Fund	500,000.00	75,000.00	425,000.00	500,000.00	-	500,000.00	500,000.00
Rhinoceros Beetle Program	Tourist Attraction	200,000.00	30,000.00	170,000.00	83,335.00	50,001.00	33,334.00	149,999.00
Guam Farmers' Cooperative	General Fund	200,000.00	30,000.00	170,000.00	83,330.00	66,664.00	16,666.00	133,336.00
Total Special Appropriations		5,112,316.00	766,847.40	4,345,468.60	2,421,799.00	1,520,773.00	901,026.00	3,591,543.00
Agency Funds								
KPRG (Public Radio)	General Fund	89,467.00	13,420.05	76,046.95	37,275.00	29,820.00	7,455.00	59,647.00
Guampedia Foundation	Tourist Attraction	140,000.00	21,000.00	119,000.00	58,335.00	35,001.00	23,334.00	104,999.00
Guam Cancer Trust Fund	Healthy Futures	1,822,048.00	273,307.20	1,548,740.80	759,185.00	151,837.00	607,348.00	1,670,211.00
Total Agency Funds		2,051,515.00	307,727.25	1,743,787.75	854,795.00	216,658.00	638,137.00	1,834,857.00
Grand Total PL 31-77,PL31-126,PL30-80		33,851,895.00	5,077,784.25	28,774,110.75	14,396,619.00	8,159,447.00	6,237,172.00	25,692,448.00

FY13 Estimated Holdback amount		\$ 2,000,000	
Tuition Appropriation	(470,000)	1,530,000	
15% financial management controls imposed on NAF	(801,159)	728,841	
15% financial management controls on Gen Ops non-personnel	(508,625)	220,217	
Retirements	(214,195)	6,022	
Utility Rate Increases (Power)	200,000	206,022	
Voluntary Furlough (budgeted, not yet achieved)	55,393	261,415	
Transition of 12-Month Faculty target (budgeted, not yet achieved)	100,000	361,415	
Flat enrollment-based on Summer12 & Fall12 figures	478,000	839,415	Original estimates included 3% increase in Fall13 & Summer12 revenues did not meet projection
each 1% increase in credit hour production	(152,978)	686,436	

BOR Regular Meeting_28Feb2013 (Reporting Requirement) - Reports from Standing Committees

University of Guam
Collections Report
as of
January 31, 2013

1. SFAP Receivables Data Jan-31-13

	Principal \$	Interest \$	Paid \$	Balance
Service Credit	14.3M	N/A	3.86M	10.44M
Deferred	1.55M	N/A	N/A	1.55M
In-School	3.70M	N/A	N/A	3.70M
Paying	1.73M	408K	897K	1.24M
Non-Paying	6.60M	1.96M	1.50M	7.06M

} 8.30M

3. Combined Total Outstanding

	Jan. '13	Dec. '12	Nov. '12	Oct. '12
YEC	1,591,615	1,635,225	1,639,652	1,613,438
Merit	2,434,779	2,444,208	2,471,843	2,454,752
Nurses	218,961	220,262	221,464	223,970
DocFellow	591,415	591,915	592,664	593,164
Doc Sanchez	150,296	150,596	150,796	151,196
Pro-Tech	1,121,933	1,129,043	1,048,586	1,137,399
Student Loan	2,191,361	2,221,857	2,196,692	2,247,572
Total	8,300,360	8,393,106	8,321,697	8,421,491

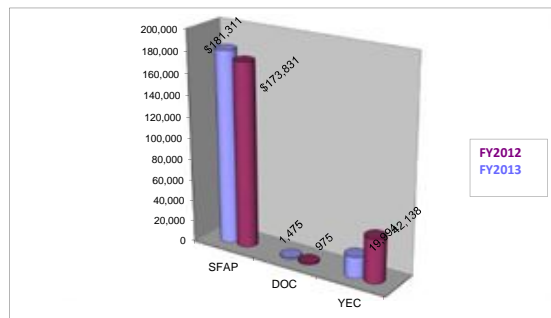
1.a. Monthly Aging Summary (Paying/Non-Paying)

	TOTAL	0-30	31-60	61-90	over 90
YEC	1,591,615	100,334	83,062	27,001	1,381,218
Merit	2,434,779	149,320	223,355	34,807	2,027,297
Nurses	218,961	28,075	20,178	3,466	167,242
DocFellow	591,415	245,282	0	0	346,133
Doc Sanchez	150,296	15,577	0	25,653	109,066
Pro-Tech	1,121,933	49,265	15,490	110,000	947,178
Student Loan	2,191,361	49,056	38,042	19,799	2,084,464
Total	\$8,300,360	\$636,909	\$380,127	\$220,726	\$7,062,598

	ACTUAL COLLECTIONS						Forecast by Bursar	1 mo Actual
	FY2007	FY2008	FY2009	FY2010	FY2011	FY2012		
SFAP	624,302	491,655	395,951	571,176	614,500	501,629	465,889	181,311
DOC	15,371	16,912	11,520	4,111	5,120	4,445	4,111	1,475
YEC	167,775	123,065	116,420	117,956	98,762	109,950	80,000	19,994
Total	\$ 807,448	\$ 631,632	\$ 523,891	\$ 693,243	718,382	616,024	550,000	\$ 202,780

PROJECTION: \$660,000 \$690,000 \$710,000 \$585,000 625,000 625,000 550,000 33% Actual
33% Forecast

Collections Comparison 2012 and 2013 YTD ending January 31, 2013



2. Collections Data

	FY2012	FY2013	YTD 12/11	YTD 12/12
	Month end Jan. 12	Month end Jan. '13	YTD Jan. 12	YTD Jan. '13
1 SFAP	\$ 31,366	\$ 29,090	\$ 173,831	\$ 181,311
2 DOC	300	300	975	1,475
3 YEC	3,218	2,613	42,138	19,994
Total	\$ 34,884	\$ 32,003	\$ 216,944	\$ 202,780

183,333 per forecast Jan. 2013
\$ 202,780 collected as of Jan. 2013
\$ 19,447 decrease from forecast
10.61% decrease as of Jan, 2013

0.179104 overforecast
208333.3

Shaded area is under review



UNIVERSITY OF GUAM
UNIBETSEDĀT GUAHAN

Administration and Finance
Office of the Comptroller

**FY 2013 Procurement Report
As of January 2013**

Compliance with BOR Resolution 05-54 (Adopted 12/5/05): At each monthly Board meeting, the Board requires a listing of approved procurement transactions and contracts greater than \$100,000.

	Purchase Order > \$100k		Vendor	Description
	Count	\$ Value		
October 2012	1	\$228,591.77	G4S Security System (Guam)	Security Service renewal and alarm system maintenance for FY2013
November 2012	0	\$0	NA	NA
December 2012	0	\$0	NA	NA
January 2013	0	\$0	NA	NA
February 2013				
March 2013				
April 2013				
May 2013				
June 2013				
July 2013				
August 2013				
September 2013				
	Contracts > \$100k			
October 2012	1	\$177,244.00	James W. Stanford	Review of the Micronesia Bio-security Plan and develop a strategic implementation plan
	2	\$187,477.00	Premier International, inc. dba Carpet Master & The Shutters	Office Graduate Studies UOG BID P41-12 Installation of new storm shutters @ HSS, EC, and Marine Lab
	3	\$144,580.00	U.S. Geological Survey (USGS)	Cooperative Water Program agreements for water resource monitoring (WERI)
	4	\$400,000.00	Guam Cancer Care	Cancer Support Services Guam Cancer Research
November 2012	0	\$0	NA	NA
December 2012	1	\$156,423.00	Department Public Health	CEDDERS Training & technical support for Project Bisita I Families program
	2	\$103,249.00	Social Services	Guam Cancer Registry support of the program
	3	\$405,166.00	Department Public Health Social Services	Graduate Studies, SP&R Military Integration and growth initiative Amend to original contract period extension
	4	\$169,571.40	Office of the Governor	CNAS-CES for School Lunch and breakfast cost study
	5	\$359,990.00	Guam Department of Education Guam Department of Labor	UOG Americorps Success Center In support of the program at UOG
January 2013	0	\$0	NA	NA
February 2013				
March 2013				
April 2013				
May 2013				

June 2013				
July 2013				
August 2013				
September 2013				

VPAF O'Brien will report on the consultation between President Underwood and the Chairpersons of the BOR, the BFIA committee and the SASARHD committee as required in BOR Resolution No. 12-32 Relative to Approving the Proposed Tuition Changes.



UNIVERSITY OF GUAM
UNIBETSEDAT GUAHAN
BOARD OF REGENTS

RESOLUTION NO. 13-04

**RELATIVE TO ACCEPTING THE RESULTS OF THE DELOITTE AND TOUCHE LLP
FINANCIAL STATEMENTS AUDIT AND COMPLIANCE AUDIT FOR THE FISCAL YEAR
ENDED 30 SEPTEMBER 2012**

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

WHEREAS, the governance and well-being of UOG is vested in the Board of Regents (BOR); and

WHEREAS, the University's financial statements have received a clean (unqualified) audit opinion from Deloitte & Touche LLP for the fiscal year ended 30 September 2012

WHEREAS, Deloitte & Touche LLP identified two non-compliance findings related to the American Recovery and Reinvestment Act stimulus (ARRA grant) and the Area Health Educations Centers grant (AHEC), and a third finding was related to monitoring of construction in progress, for which corrective procedures are underway by the University; and

WHEREAS, the audit results have been reviewed with the administration and the Guam Office of Public Accountability (OPA); and

WHEREAS, the Management Discussion and Analysis provided overview and understanding of the FY12 financial position and results of activities, as required supplemental information to the financial statements and the footnotes; and

WHEREAS, while the University's overall financial condition showed that net assets increased by \$8.2 million, after adjusting for the capitalization of one-time ARRA projects, the operational surplus is a more representative \$1.7 million increase, or 2% of revenues, which is a direct result of the efforts of faculty, staff and administrators; and

WHEREAS, the audit will be issued March 4, 2013, within timeframes established by the Guam OPA; and

WHEREAS, the President and the BOR's Budget, Finance, Investments and Audit Committee have reviewed and recommend that the BOR accept the FY12 audit.

NOW, THEREFORE, BE IT RESOLVED, that the Board of Regents hereby accepts the results of the Deloitte & Touche LLP audit for the fiscal year ended 30 September 2012.

BE IT FURTHER RESOLVED, that the Board of Regents recognizes the efforts of Administration and Finance employees in the timely completion and positive results contained in the audit.

BE IT FURTHER RESOLVED, that the Board of Regents commends the efforts of all faculty, staff and administrators for managing significant financial challenges, maintaining the University's financial health and ensuring the delivery of high quality education to its students within the resources available.

Adopted this 28th day of February, 2013.



Dr. W. Chris Perez,
Chairperson

Attested:



Dr. Robert A. Underwood, Executive
Secretary

FOR DISCUSSION PURPOSES
DRAFT COPY [02/25/13]

**UNIVERSITY OF GUAM
(A COMPONENT UNIT OF THE
GOVERNMENT OF GUAM)**

**FINANCIAL STATEMENTS,
ADDITIONAL INFORMATION AND
INDEPENDENT AUDITORS' REPORT**

YEARS ENDED SEPTEMBER 30, 2012 AND 2011

**UNIVERSITY OF GUAM
(A COMPONENT UNIT OF THE GOVERNMENT OF GUAM)**

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Years Ended September 30, 2012 and 2011

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INDEPENDENT AUDITORS' REPORT

Board of Regents
University of Guam:

We have audited the accompanying financial statements of the University of Guam (the University) and its discretely presented component unit, collectively a component unit of the Government of Guam, as of and for the year ended September 30, 2012, and which collectively comprise the University's basic financial statements as set forth in Section II of the forgoing table of contents. These financial statements are the responsibility of the University's management. Our responsibility is to express an opinion on the respective financial statements based on our audit. The basic financial statements of the University as of and for the year ended September 30, 2011 were audited by other auditors whose report, dated February 27, 2012, expressed an unqualified opinion.

We conducted our audit in accordance with auditing standards generally accepted in the United States of America and the standards applicable to financial audits contained in Government Auditing Standards, issued by the Comptroller General of the United States. Those standards require that we plan and perform the audit to obtain reasonable assurance about whether the financial statements are free of material misstatement. The financial statements of the discretely presented component unit were not audited in accordance with *Government Auditing Standards*. An audit includes consideration of internal control over financial reporting as a basis for designing audit procedures that are appropriate in the circumstances, but not for the purpose of expressing an opinion on the effectiveness of the University's internal control over financial reporting. Accordingly, we express no such opinion. An audit also includes assessing the accounting principles used and the significant estimates made by management, as well as evaluating the overall financial statement presentation. We believe that our audit provides a reasonable basis for our opinions.

In our opinion, the financial statements referred to previously present fairly, in all material respects, the respective financial position of the University and its discretely presented component unit as of September 30, 2012, and the respective changes in financial position and cash flows, where applicable, for the year then ended in conformity with accounting principles generally accepted in the United States of America.

In accordance with *Government Auditing Standards*, we have also issued our report dated _____, 2013, on our consideration of the University's internal control over financial reporting and on our tests of its compliance with certain provisions of laws, regulations, contracts, and grant agreements and other matters. The purpose of that report is to describe the scope of our testing of internal control over financial reporting and compliance and the results of that testing, and not to provide an opinion on internal control over financial reporting or on compliance. That report is an integral part of an audit performed in accordance with *Government Auditing Standards* and should be considered in assessing the results of our audit.

Accounting principles generally accepted in the United States of America require that the Management's Discussion and Analysis on pages 3 through 11 be presented to supplement the basic financial statements. Such information, although not a part of the basic financial statements, is required by the Governmental Accounting Standards Board who considers it to be an essential part of financial reporting for placing the basic financial statements in an appropriate operational, economic, or historical context. We have applied certain limited procedures to the required supplementary information in accordance with auditing standards generally accepted in the United States of America, which consisted of inquiries of management about the methods of preparing the information and comparing the information for consistency with management's responses to our inquiries, the basic financial statements, and other knowledge we obtained during our audit of the basic financial statements. We do not express an opinion or provide any assurance on the information because the limited procedures do not provide us with sufficient evidence to express an opinion or provide any assurance.

Our audit was conducted for the purpose of forming opinions on the financial statements that collectively comprise the University's financial statements. The schedules of salaries, wages and benefits and the schedules of expenses by object category on pages 39 through 42 are presented for purposes of additional analysis and are not a required part of the financial statements. Such information is the responsibility of management and was derived from and relates directly to the underlying accounting and other records used to prepare the financial statements. The 2012 information has been subjected to the auditing procedures applied in the audit of the financial statements and certain additional procedures, including comparing and reconciling such information directly to the underlying accounting and other records used to prepare the 2012 financial statements or to the 2012 financial statements themselves, and other additional procedures in accordance with auditing standards generally accepted in the United States of America. In our opinion, the 2012 schedule of salaries, wages and benefits and schedule of expenses by object category are fairly stated in all material respects in relation to the 2012 financial statements as a whole. The 2011 schedule of salaries, wages and benefits and schedule of expenses by object category, and employee information were subjected to auditing procedures applied by the other auditors whose report, dated February 27, 2012, referred to above, stated that such schedules are fairly stated in all material respects in relation to the basic financial statements taken as a whole.

Our audit was conducted for the purpose of forming opinions on the financial statements that collectively comprise the University's financial statements. The 2012 schedule of employee information on page 43 is presented for the purpose of additional analysis and is not a required part of the 2012 basic financial statements. Such 2012 information has not been subjected to the auditing procedures applied in the audit of the basic financial statements, and accordingly, we do not express an opinion or provide any assurance on it.

_____, 2013

UNIVERSITY OF GUAM
(A Component Unit of the Government of Guam)

Management's Discussion and Analysis
Year Ended September 30, 2012

INTRODUCTION

Management's discussion and analysis (MD&A) provides an overview and better understanding of the University's financial position and results of activities for the fiscal year ended September 30, 2012. Management has prepared this overview as required supplemental information to the financial statements and the footnotes that follow. This MD&A should be read in conjunction with the financial statements and accompanying footnotes.

The University. Public Law 13-194, The Higher Education Act of 1976, established the University as a non-membership, non-profit, public corporation under a Board of Regents appointed by the Governor with the advice and consent of the Guam Legislature. The University is a public, open-admissions, four-year, land-grant institution on Guam in the Marianas Islands. It has been continuously accredited by the Western Association of Schools and Colleges (WASC). The 3,702 students (Fall'12) are multicultural, multilingual and 51% Pacific Islander, 41% Asian, 4% White/ Non-Hispanic, 4% other. There are 15 master's degree programs, 34 bachelor's degree programs and 1 nursing associates degree program. Continuing education, professional development and English language training are offered. There are 824 employees, including 186 full-time faculty, 31 administrators and 607 full-and-part-time staff and faculty adjuncts.

The Leadership. The University is governed by a nine-member Board of Regents. W. Chris Perez MD is the Chair. Kathy Sgro is Vice Chair. John Arroyo is Treasurer and audit committee chair. Robert A. Underwood, Ed.D., is the University's tenth President, Helen J.D. Whippy, Ph.D., is Senior Vice President of Academic and Student Affairs. David M. O'Brien is Vice President of Administration and Finance. John Peterson, Ph.D., is Assistant Vice President for Sponsored Programs, Graduate Studies and Research. Zeny Asuncion-Nace is Comptroller.

The University is focused on its mission of *Ina, Deskubre, Setbe (to Enlighten, to Discover, to Serve)* and on its core commitments: i) academic quality; ii) student success, enrollment growth, retention, and institutional visibility; iii) community engagement; and iv) institutional effectiveness and efficiency. Under the leadership of President Underwood, the University has embarked on a Good-to-Great initiative and has identified three overarching themes: the Natural Choice, UOG Green (Center for Island Sustainability) and Leading Change.

THE FINANCIAL STATEMENTS

The report includes three financial statements: i) the Statement of Net Assets; ii) the Statement of Revenues, Expenses and Changes in Net Assets; and iii) the Statement of Cash Flows. They are prepared in accordance with Governmental Accounting Standards Board (GASB) principles, which establish standards for external financial reporting for colleges and universities. The University's fiscal year ends September 30.

The University is reported as a component unit of the Government of Guam. The University also reports the financial statements of our component unit, the UOG Endowment Foundation. The Foundation is a legally separate, tax-exempt, private corporation, whose fiscal year ends December 31. While the University does not control the Foundation, the resources and income of the Foundation can only be used by or for the University's benefit.

UNIVERSITY OF GUAM

Management’s Discussion and Analysis
Year Ended September 30, 2012

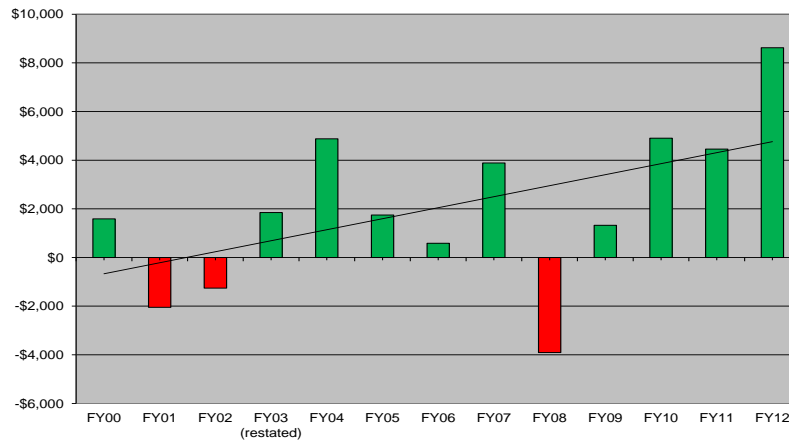
FY2012 FINANCIAL HIGHLIGHTS AND STRATEGIC INSTITUTIONAL OUTCOMES

One of the most important questions in evaluating the financial health of an institution is whether the financial position has improved or deteriorated as a result of the year's operations. For FY12 the University’s net assets increased \$8.2 million, which is 8% of consolidated revenues. However, after adjusting for the \$6.5 million capitalization of one-time ARRA projects, the net asset increase is a more representative \$1.7 million, 2% of consolidated revenues.

‘The \$8.2 million net asset increase is \$3.7 million more than last year’s \$4.5M increase. The primary factors for the FY12 increase are the following:

- \$6.5 million is due to ARRA capital contributions’ being recognized on the income statement, while project costs are capitalized on the balance sheet (and depreciated over the asset life). This required treatment inflates this year’s net asset increase. ARRA cash has been fully expended on the approved projects.
- After accounting for ARRA, the University had a net \$1.7 million surplus for ongoing operations. This is due to University-generated revenue growth and investment gains coupled with strict adherence to a cash-based financial management plan in response to government allotment holdbacks and payment delays.

CHANGE IN NET ASSETS (SURPLUS, DEFICIT IN \$000’S)



Important financial trends include:

- There has been a financial surplus in nine of the last ten years, averaging \$2.8 million and 3% of revenues. This has bolstered the University's reserves, established by Board policy as a best practice for financial stability and long-term viability. Adequate reserves are increasingly important in a period marked by institutional growth, economic challenges, and a changing higher education environment.
- Over the last decade the University has grown an average of 9% p.a. into an \$104 million revenue organization, up from 2002’s \$56 million. The University generates 67% of these revenues.
- Over the last decade grants and contracts have grown to \$50 million, an over 200% increase.
- Expenses have been held in check even with increased enrollment, explosive growth in grant spending, stepped-up facility maintenance, merit-based salary increments, and utility and retirement rate hikes.

UNIVERSITY OF GUAMManagement's Discussion and Analysis
Year Ended September 30, 2012

Significant institutional outcomes that affected the financial statements include:

- The University has held tuition rates the same since 2009.
- Fall'11 and Fall'12 student enrollment are the two highest since Fall'99. Enrollment has grown an annual average of 2.6% over the last five years, reaching 3,701 students in Fall 2012.
- The University conferred 489 undergraduate and graduate degrees, and graduated its 14,000th student. University alumni are the professional workforce of our island and region.
- The University's academic quality is evidenced by primary accreditation for eight (8) years from the Western Association of Schools and Colleges (WASC) and by secondary accreditation for the professional schools.

STATEMENT OF NET ASSETS

The statement of net assets is similar to a balance sheet. It presents information on assets, liabilities and the resources remaining after liabilities are satisfied. The statement is an indicator of overall financial condition, and whether financial health has improved or deteriorated during the fiscal year.

SUMMARY STATEMENTS OF NET ASSETS (IN \$000'S)

	<u>2012</u>	<u>2011</u>	<u>2010</u>
Non-Capital Assets	\$ 60,759	\$ 52,910	\$ 48,352
Capital Assets	<u>71,103</u>	<u>68,528</u>	<u>68,793</u>
Total Assets	\$ <u>131,862</u>	\$ <u>121,438</u>	\$ <u>117,145</u>
Current Liabilities	\$ 15,150	\$ 12,746	\$ 13,091
Non-Current Liabilities	<u>15,082</u>	<u>15,310</u>	<u>15,129</u>
Total Liabilities	<u>30,232</u>	<u>28,056</u>	<u>28,220</u>
Invested in Capital Assets, Net of Related Debt	58,707	55,913	56,006
Restricted Assets	7,295	6,270	6,386
Unrestricted Assets	<u>35,628</u>	<u>31,199</u>	<u>26,533</u>
Total Net Assets	<u>101,630</u>	<u>93,382</u>	<u>88,925</u>
Total Liabilities and Net Assets	\$ <u>131,862</u>	\$ <u>121,438</u>	\$ <u>117,145</u>

Since FY10, the University's overall financial condition has strengthened each year. Total net assets, the residual interest in assets net of liabilities, grew to \$102 million, an \$8.2 million increase (9%) over FY11 and a \$12.7 million increase (14%) over FY10.

Net assets grew due to investment in ARRA-funded capital assets, net revenue growth including appreciation in investment values, and adherence to a cash-based financial management plan. Tuition receivables increased over the prior year due to a lower provision for bad debt associated with improved collections systems and analysis.

After falling slightly in FY11, liabilities increased in FY12 by \$2.2 million (8%) due to additional payables for capital investment and grant award growth. Current assets covered current liabilities 2.5 times, a positive liquidity indicator.

STATEMENT OF REVENUES, EXPENSES AND CHANGES IN NET ASSETS

The statement of revenues, expenses and changes in net assets provides details of operating and non-operating revenues and expenditures, similar to an income statement.

UNIVERSITY OF GUAM

Management’s Discussion and Analysis
Year Ended September 30, 2012

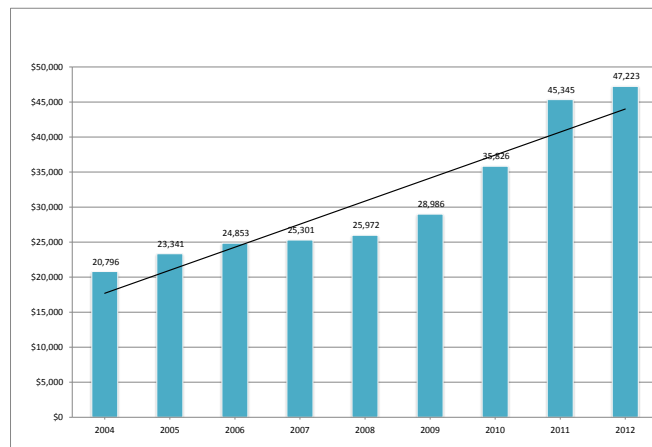
SUMMARY STATEMENTS OF REVENUES, EXPENSES AND CHANGES IN NET ASSETS (IN \$000’S)

	<u>2012</u>	<u>2011</u>	<u>2010</u>
Operating Revenues	\$ 62,365	\$ 65,773	\$ 57,216
Operating Expenses	<u>94,479</u>	<u>91,785</u>	<u>84,349</u>
Operating Revenues Net of Operating Expenses ¹	(32,114)	(26,012)	(27,133)
Non-Operating and Other Revenues and Expenses	33,835	29,357	32,039
ARRA Capital Contribution	<u>6,528</u>	<u>1,112</u>	<u>-</u>
Increase (Decrease) in Net Assets	8,249	4,457	4,906
Net Assets – Beginning of Year	<u>93,382</u>	<u>88,925</u>	<u>84,019</u>
Net Assets – End of Year	\$ <u>101,631</u>	\$ <u>93,382</u>	\$ <u>88,925</u>

FY12 consolidated revenues (operating, non-operating and ARRA capital contributions, net of investments and bad debt provision/recovery) grew to \$104.3 million, an \$6.7 million increase (7%) over FY11 and a \$14 million increase (16%) over FY10. University-generated revenues have increased across the board. They are now 67% of total revenues. Government of Guam appropriations are 33% of the total. Expenses were held in check at a 3% increase associated with expensed ARRA renovations, new technology and equipment purchases.

- Since FY10, student enrollment growth has led to \$21.8 million of tuition and fee revenues, a \$1.1 million (5%) increase. Tuition rates have remained flat since 2009.
- Over the same three years grants and contracts revenues have increased \$12.5 million (33%) to \$50 million and have also increased year-over-year. In FY12 there were over 100 unique federal awards totaling over \$47 million. Large, multi-year, federal awards include student financial aid, ARRA stimulus, cancer research and CEDDERS.

GRANTS AND CONTRACTS REVENUE (IN \$000’S)



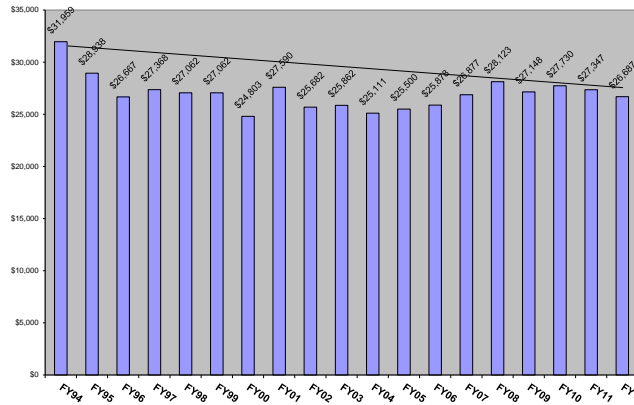
¹ Operating Revenues Net of Operating Expense is negative because local government appropriations are reported as non-operating revenues rather than operating revenues under GASB 35 reporting requirements

UNIVERSITY OF GUAM

Management’s Discussion and Analysis
Year Ended September 30, 2012

- In FY12 the University’s appropriation for general operations decreased 3% from FY11 and 4% from FY10. The fall-off in support would be even more noticeable should the appropriations be adjusted for inflation. However, overall appropriations increased by \$2.3 million (7%) over FY11 and \$1.1 million (3%) over FY10 primarily due to the assignment of oversight responsibility for the Guam Cancer Trust Fund. The government held back an average of \$1.2 million p.a. from appropriations over the three year period.

**GENERAL OPERATIONS APPROPRIATION FROM GOVERNMENT OF GUAM (IN \$000’s)
(FIGURES DO NOT INCLUDE ALLOTMENT HOLDBACKS)**

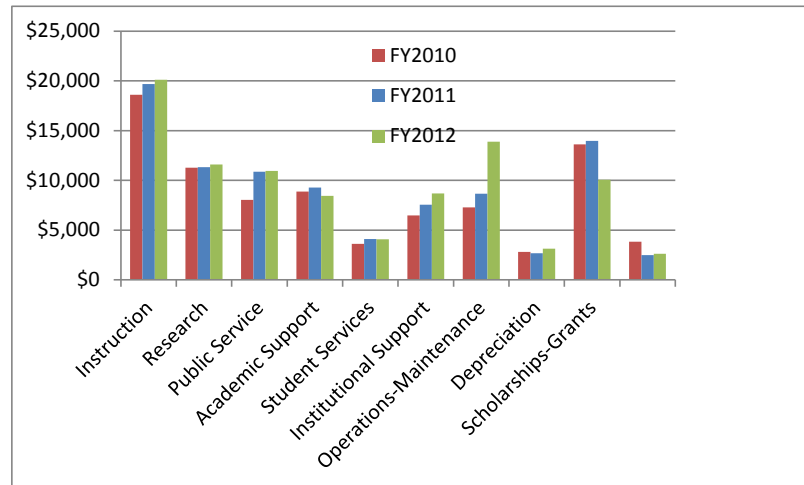


- In FY12 investment income was \$2.6 million (primarily unrealized), reflecting an equity markets rebound.
- In FY12 expenses increased \$2.7 million (3%) over FY11 and \$10.1 million (12%) over FY10, driven primarily by ARRA operational renovation expenditures and new technologies. Revenue growth adequately covered added expenditures associated with increased enrollment, growth in grant spending, stepped-up facility maintenance, merit-based salary increments, and utility and retirement contribution rate hikes. The University spent \$42.6 million directly on its core mission. Of that, 47% went to instruction, 27% to public service and 26% to research. \$6.5 million of ARRA projects and equipment was expensed on the income statement; another \$6.5 million was capitalized to the balance sheet. Fall Semester’12 federal student financial aid awards were delayed, resulting in lower scholarship discounts/allowances and scholarship expense. There was a lower provision for bad debt associated with improved collections systems and analysis. The University recorded a provision for merit bonus expenses, as established under PL21-59. Encumbrances (recorded obligations) were \$5.5 million. Encumbrances decreased \$14.1 million from FY11, as most ARRA projects were completed and paid in FY12.

UNIVERSITY OF GUAM

Management’s Discussion and Analysis
Year Ended September 30, 2012

OPERATIONS EXPENSE (IN \$000’S)



STATEMENT OF CASH FLOWS

This statement provides information about the ability to generate the cash flows needed to meet financial obligations and the extent to which external financing is being used to fund operations.

STATEMENTS OF CASH FLOW (IN \$000’S)

	<u>2012</u>	<u>2011</u>	<u>2010</u>
Cash Provided by (Used in):			
Operating Activities	\$ (26,822)	\$ (25,252)	\$ (26,197)
Non-capital Financing Activities	34,802	29,147	33,666
Capital and Financing Activities	(3,168)	(4,879)	(3,397)
Investing Activities	<u>(831)</u>	<u>1,873</u>	<u>(2,885)</u>
Net Change in Cash and Cash Equivalents	3,981	889	1,187
Cash and Equivalents – Beginning of Year	<u>6,235</u>	<u>5,346</u>	<u>4,159</u>
Cash and Equivalents – End of Year	\$ <u>10,216</u>	\$ <u>6,235</u>	\$ <u>5,346</u>

In FY12 the University’s cash at fiscal year-end increased by \$4.0 million. Most of this can be attributed to increases in ARRA grant funding and collections of government appropriations, particularly associated with the Guam Cancer Trust Fund. Typically, the University’s cash position at fiscal year end is higher than its normal cash position during the year. This is because Fall semester tuition payments are booked at fiscal year-end, and the government makes catch-up allotment payments close to fiscal year-end. Tuition revenues are subsequently allocated for academic expenses during the remainder of the academic year, which overlaps the fiscal year. Financial planning requires that there be an adequate amount of cash on hand at the start of the new fiscal year to pay for prior year encumbrances, insurance premiums, continuing infrastructure restoration and operating needs. University policy requires cash reserves for financial stability and long-term viability. A reserve fund and sub-accounts were established and funded in FY09-11 and further funding from FY12 will be assessed. As in prior years, cash flows during the fiscal year were negatively influenced by the Government of Guam deficit, which led to delays and shortfalls in allotment payments.

UNIVERSITY OF GUAMManagement's Discussion and Analysis
Year Ended September 30, 2012**ECONOMIC AND OTHER FACTORS EXPECTED TO AFFECT THE UNIVERSITY ²**2012: Sluggish Recovery, but Economic Momentum

In 2012 the U.S economy recovery was sluggish, showing modest growth. Positive economic factors included tame inflation, strong corporate productivity and profitability, and the Federal Reserve's continued commitment to stimulus and employment growth through accommodative, low interest rates. Equity markets soared broadly on U.S. economic recovery expectations, the Fed's monetary policy, the European Union's commitment to addressing its debt crisis, and the extension of the Bush tax cuts, except for those with income of \$400,000. U.S. fixed income returns were more moderate, but were strong in riskier high yield debt and corporate debt.

In 2012 the Guam economy began the year strongly with positive signs in tourism and the military build-up. However, by year end there were delays and uncertainties about the buildup. Tourism increased substantially, rebounding in the key Japanese market after the 2011 earthquake and tsunami, resulting in higher hotel occupancy and room rates. The September 2012 unemployment fell to 10.9%, but still remains high compared to 7.8% in the U.S. Job growth, underemployment and discouraged workers remain challenges. Economic bright spots included low inflation and increasing tourism from Korea, Taiwan, China and Russia. Construction of a new, private hospital began and there were other construction projects. The government of Guam issued or prepped several bonds that were favorably received by markets and investors, reflecting positive changes in the economy and fiscal management. A large portion of long overdue tax refunds was paid. FY12 General Fund revenues were the highest in 20 years. The government of Guam expects a \$10 million operational surplus in its General Fund (unaudited), the first surplus in quite a while and a significant improvement over FY11's \$303 million deficit.

2013: Economic Growth and Optimism

The 2013 U.S. economic outlook appears to range from sluggish to moderate recovery. There has been renewed consumer spending, steady improvement in employment/ unemployment, and promising news in more housing markets. Optimism is held in check by politically contentious issues related to the fiscal cliff sequestration, budget deficits, debt ceiling and the related political posturing. Consumer spending, a key economic driver, benefits from wealth effects associated with the new stock market highs, increasing home prices combined with still historically low mortgage interest rates, and low inflation.

Economic forecasts are favorable for regional economies important to Guam. Strong growth is forecasted for Korea, Taiwan and particularly China. The Japanese economy, which remains mired yet resilient, is expected to battle again with yet-another-change in political leadership, renewed government stimulus efforts, and export growth. The Korean economy faces military threats from its northern neighbor. The increasingly important Chinese economy, now an international powerhouse, benefitted from a stable political leadership transition and a soft landing from the heights of economic growth to a still-robust 8% growth forecast.

²With thanks for their input, perspectives and forecasts to; i) Gary Hiles, Chief Economist, Guam Department of Labor, "Economic Outlook for Guam" for FY13 and FY14 as well as "The Unemployment Situation on Guam: September 2012"; ii) Dr. Maria Claret Ruane, Professor of Economics at the School of Business and Public Administration and Resident Development Economist, Pacific Center for Economic Initiatives, University of Guam, "Economic Forecast, 2012-2013 Guam-CNMI Edition," copyrighted by First Hawaiian Bank, and "Guam Economic Forecast 2013", prepared for Standard & Poor's; iii) John Rios, Director of Bureau of Budget and Management Research, Government of Guam; and iv) Director Benita Manglona and Comptroller Kathy Kakigi, Department of Administration, Government of Guam.

UNIVERSITY OF GUAMManagement's Discussion and Analysis
Year Ended September 30, 2012

Guam's economy is expected to tread water. Japanese tourism and new tourism markets underpin the economy. While not at the level once expected with the military buildup, a solid level of construction projects and investments fuel the economy and add jobs. The first quarter's General Fund revenues are up over last year, and are tracking at or above forecasts. The government is attending to fiscal discipline and deficit reduction and has committed to working with the U.S. and Japan in regards to the military buildup, which is now expected to be three to five years away. The Calvo-Tenorio administration has implemented tough 15% allotment controls for FY13, substantially higher than the 3% in prior years. Significant challenges and economic policy issues remain, related to the government debt, unbudgeted expenditures, cash shortfalls, and several court cases with economic consequences.

University of Guam: Good-to-Great Initiative

In 2012 the University community celebrated our 60th Anniversary with events, research conferences, and business partnerships. The University graduated its 14,000th alumni, and completed the over \$16 million of ARRA projects. These federally funded projects are an extraordinary infrastructure investment in technology, equipment and building renovations. The Capital Campaign received several substantial donations.

In 2013 President Underwood has engaged the institution in a Good-to-Great initiative. We are a good university with good programs. We have the potential to be a great university with great programs by focusing on our mission, our purpose and our dynamic role in the social, economic and political development of our region. In a time of financial challenges in the U.S. and Guam and of falling government appropriations, this means making program decisions, reviewing resource allocation priorities, and aligning all activities with our mission and core purpose in a sustainable way. To lead change and drive economic growth, the University will educate the region's professional class, build new capacity through community outreach, seek innovation through research, and develop initiatives that empower the economy.

The University community and its stakeholders have already begun building the Great UOG.

- The Governor and Guam Legislature passed two public laws that support affordable, accessible higher education. PL31-237 gives the University control of student financial aid, enabling the tailoring of awards to policy areas, performance, student retention and degree completion. PL31-276 provides \$1.5 million p.a. of tuition support in FY13 and FY14, and enables a five-year run without tuition rate increases.
- Students have taken advantage of opportunities such as courses at California's Scripps Institute and Japan's Meio University through agreements that partner the University with the world's premiere ocean and earth science institute and with several regional universities.
- Faculty, staff and administrators have been called upon to assess academic and administrative programs based on their relationship to the core mission, financial performance, market demand and quality.
- The U.S. National Science Foundation awarded an Experimental Program to Stimulate Competitive Research planning grant (EPSCoR) to develop the University's research capacity.
- The federal ARRA grant has funded the purchase of new technologies and renovation of the physical infrastructure. Post-ARRA, the University is seeking new funding sources to maintain facilities on its own.
- UOG Vision 2025 lays out the 21st century Physical Master Plan to accommodate 5,000 Tritons on-campus and another 5,000 on-line. It will be the plan for the University's Capital Campaign.

UNIVERSITY OF GUAM

Management's Discussion and Analysis Year Ended September 30, 2012

- The Governor and Guam Legislature passed PL31-229, appropriating up to \$1 million p.a. for 40 years to construct a Student Services Center and Engineering Sciences Annex. The University is moving forward on these facilities in partnership with the UOG Endowment Foundation, which is applying for low-cost financing through the U.S. Department of Agriculture's Rural Development Community Facilities Program.
- The University is pursuing the establishment of the Research Corporation of the University of Guam. Closely tied to the University's Office of Sponsored Programs and Research, RCUOG will be a more flexible vehicle for driving the island's economy by growing federal grants and contracts and developing businesses from intellectual property and patents.
- Resources, budgets and plans are being aligned with priorities, fiscal realities and new opportunities.
- The Governor's Office, Guam Department of Administration, and Bureau of Budget and Management Research work closely and plan ahead with the University in managing our allotment payments and cash.

In summary, change is upon us – there's optimism and opportunity tempered by fiscal reality. The University will be responsive to the challenges our island societies face to develop a sustainable economy that protects our environment and enhances the quality of our lives.

For further news and up-to-date information concerning the University of Guam, please visit the website at www.uog.edu for the University's annual report, interim financial statements, WASC reports and other publications.

UNIVERSITY OF GUAM
(A Component Unit of the Government of Guam)

Statements of Net Assets
September 30, 2012 and 2011

	<u>2012</u>	<u>2011</u>
<u>Assets</u>		
Current Assets:		
Cash and cash equivalents	10,215,789	\$ 6,234,760
Time certificates of deposit	8,561,733	7,787,898
Due from Government of Guam	6,115,359	6,720,464
Tuition receivable, net of an allowance for doubtful accounts of \$3,807,796 in 2012 and \$4,870,538 in 2011	4,846,466	3,765,977
Due from the US Federal government	6,287,675	6,215,053
Due from University of Guam Endowment Foundation, Inc.	-	300,000
Other receivables, net of an allowance for doubtful accounts of \$26,471 in 2012 and \$805,491 in 2011)	1,581,096	2,132,858
Inventories	488,335	555,628
Other current assets	301,915	316,200
	<u>38,398,368</u>	<u>34,028,838</u>
Noncurrent Assets:		
Restricted cash and cash equivalents	3,851,756	3,076,640
Investments	8,865,948	7,695,923
Endowment investments	9,643,037	8,108,128
Depreciable capital assets, net of accumulated depreciation	68,170,723	64,635,835
Nondepreciable capital assets	2,932,362	3,892,529
	<u>93,463,826</u>	<u>87,409,055</u>
	<u>\$ 131,862,194</u>	<u>\$ 121,437,893</u>
<u>Liabilities and Net Assets</u>		
Current Liabilities:		
Current portion of long-term debt	\$ 192,704	\$ 187,857
Accounts payable and accrued liabilities	7,199,982	5,477,986
Deferred revenue	6,638,847	6,289,749
Current portion of accrued annual leave	1,118,564	790,178
	<u>15,150,097</u>	<u>12,745,770</u>
Noncurrent Liabilities:		
Long-term debt, net of current portion	12,203,319	12,427,945
Deposits held on behalf of others	63,791	115,188
Accrued annual leave	726,234	1,047,446
DCRS sick leave liability	2,088,199	1,720,001
	<u>15,081,543</u>	<u>15,310,580</u>
	<u>30,231,640</u>	<u>28,056,350</u>
Net Assets:		
Invested in capital assets, net of related debt	58,707,062	55,912,562
Restricted, nonexpendable	5,126,907	5,126,907
Restricted, expendable	2,168,394	1,142,853
Unrestricted	35,628,191	31,199,221
	<u>101,630,554</u>	<u>93,381,543</u>
	<u>\$ 131,862,194</u>	<u>\$ 121,437,893</u>

See accompanying notes to financial statements.

UNIVERSITY OF GUAM ENDOWMENT FOUNDATION, INC.

Statements of Financial Position
December 31, 2011 and 2010

<u>ASSETS</u>	<u>2011</u>	<u>2010</u>
Cash and cash equivalents	\$ 510,200	\$ 248,728
Pledges receivable, net of an allowance for doubtful accounts of \$26,325 and \$18,000 at December 31, 2011 and 2010, respectively	348,309	433,609
Equipment, net	11,755	1,399
Investment in Bank of Guam stock	191,053	191,053
Investments in securities	<u>6,966,453</u>	<u>7,339,746</u>
	<u>\$ 8,027,770</u>	<u>\$ 8,214,535</u>
 <u>LIABILITIES AND NET ASSETS</u> 		
Liabilities:		
Accounts payable and accrued expense	\$ 42,231	\$ 28,602
Due to University of Guam	<u>304,316</u>	<u>230,195</u>
Total liabilities	<u>346,547</u>	<u>258,797</u>
Net assets:		
Unrestricted	402,491	411,257
Temporarily restricted	6,766,977	7,043,082
Permanently restricted	<u>511,755</u>	<u>501,399</u>
Total net assets	<u>7,681,223</u>	<u>7,955,738</u>
	<u>\$ 8,027,770</u>	<u>\$ 8,214,535</u>

See accompanying notes to financial statements.

UNIVERSITY OF GUAM
(A Component Unit of the Government of Guam)

Statements of Revenues, Expenses and Changes in Net Assets
Years Ended September 30, 2012 and 2011

	<u>2012</u>	<u>2011</u>
Operating Revenues:		
Student tuition and fees	\$ 21,860,683	\$ 21,629,754
Less scholarship discounts and allowances	<u>(9,138,640)</u>	<u>(12,090,988)</u>
	12,722,043	9,538,766
Federal grants and contracts	40,694,251	44,233,770
Government of Guam grants and contracts	1,864,290	2,366,475
Private grants and contracts	1,054,053	927,977
Sales and services of education department	578,030	747,776
Auxiliary enterprises	2,216,440	2,364,324
Other revenue	<u>4,397,496</u>	<u>4,355,310</u>
Total operating revenues	<u>63,526,603</u>	<u>64,534,398</u>
Recovery from (provision for) bad debts	<u>(1,161,036)</u>	<u>1,238,378</u>
Net operating revenues	<u>62,365,567</u>	<u>65,772,776</u>
Operating Expenses:		
Instruction	20,098,681	19,681,460
Public service	11,579,437	10,858,966
Research	10,948,816	11,327,217
Operational and maintenance, plant	14,862,076	8,655,578
Scholarships and fellowships	10,067,221	15,509,117
Institutional support	8,667,247	7,539,321
Academic support	8,439,982	9,277,889
Student services	4,082,511	3,793,670
Depreciation	3,116,418	2,663,474
Auxiliary enterprises	2,617,231	2,477,894
Healthcare costs to retirees	<u>-</u>	<u>-</u>
Total operating expenses	<u>94,479,620</u>	<u>91,784,586</u>
Operating loss	(32,114,053)	(26,011,810)
Nonoperating Revenues (Expenses):		
Government of Guam appropriations:		
Operations	27,788,915	27,284,023
Student financial aid program	3,599,358	3,788,797
Guam Cancer Trust Fund	2,308,635	363,089
Capital expenditure loan repayment	500,000	500,000
Retiree healthcare costs	-	-
Net investment income	2,647,660	198,332
Loss on abandoned capital projects	(232,049)	-
Interest on capital assets - debt related	(530,281)	(578,299)
Debt service - DOA bond	<u>(2,247,590)</u>	<u>(2,199,249)</u>
Net nonoperating revenues	<u>33,834,648</u>	<u>29,356,693</u>
Capital contributions	<u>6,528,416</u>	<u>1,111,482</u>
Net increase in net assets	8,249,011	4,456,365
Net assets at beginning of year	<u>93,381,543</u>	<u>88,925,178</u>
Net assets at end of year	<u>\$ 101,630,554</u>	<u>\$ 93,381,543</u>

See accompanying notes to financial statements.

UNIVERSITY OF GUAM ENDOWMENT FOUNDATION, INC.

Statement of Activities
Year Ended December 31, 2011

	Unrestricted	Temporarily Restricted	Permanently Restricted	Total
Revenues, gains and other income (losses):				
Net investment losses	\$ (187,601)	\$ (14,572)	\$ -	\$ (202,173)
Contributions	5,880	211,240	-	217,120
In-kind donations	139,672	4,395	-	144,067
Fundraising activities	373,442	94,207	-	467,649
Grants	-	75,672	-	75,672
Others	6,453	(11,653)	11,653	6,453
Net assets released from restrictions:				
Satisfaction of program restrictions	635,394	(635,394)	-	-
Total revenues	<u>973,240</u>	<u>(276,105)</u>	<u>11,653</u>	<u>708,788</u>
Expenses and losses:				
Program services:				
Donations for debt service - UOG	200,000	-	-	200,000
Scholarships	15,238	-	-	15,238
Total program services	<u>215,238</u>	<u>-</u>	<u>-</u>	<u>215,238</u>
Support services:				
Management and general	319,740	-	1,297	321,037
In-kind expenses	144,067	-	-	144,067
Fundraising activities	302,961	-	-	302,961
Total support services	<u>766,768</u>	<u>-</u>	<u>1,297</u>	<u>768,065</u>
Total expenses	<u>982,006</u>	<u>-</u>	<u>1,297</u>	<u>983,303</u>
Change in net assets	(8,766)	(276,105)	10,356	(274,515)
Net assets at beginning of year	<u>411,257</u>	<u>7,043,082</u>	<u>501,399</u>	<u>7,955,738</u>
Net assets at end of year	<u>\$ 402,491</u>	<u>\$ 6,766,977</u>	<u>\$ 511,755</u>	<u>\$ 7,681,223</u>

See accompanying notes to financial statements.

UNIVERSITY OF GUAM ENDOWMENT FOUNDATION, INC.

Statement of Activities
Year Ended December 31, 2010

	Unrestricted	Temporarily Restricted	Permanently Restricted	Total
Revenues, gains and other income:				
Net investment earnings	\$ 514,467	\$ 57,908	\$ 24,212	\$ 596,587
Contributions	147,891	138,993	-	286,884
In-kind donations	57,589	-	-	57,589
Fundraising activities	102,077	41,275	-	143,352
Net assets released from restrictions:				
Satisfaction of program restrictions	790,275	(716,528)	(73,747)	-
Total revenues	1,612,299	(478,352)	(49,535)	1,084,412
Expenses and losses:				
Program services:				
Donations for debt service - UOG	200,000	-	-	200,000
Scholarships	60,587	-	-	60,587
Total program services	260,587	-	-	260,587
Support services:				
Management and general	280,749	-	1,186	281,935
In-kind expenses	57,589	-	-	57,589
Fundraising activities	161,857	-	-	161,857
Total support services	500,195	-	1,186	501,381
Total expenses	760,782	-	1,186	761,968
Change in net assets	851,517	(478,352)	(50,721)	322,444
Net assets at beginning of year	(440,260)	7,521,434	552,120	7,633,294
Net assets at end of year	<u>\$ 411,257</u>	<u>\$ 7,043,082</u>	<u>\$ 501,399</u>	<u>\$ 7,955,738</u>

See accompanying notes to financial statements.

UNIVERSITY OF GUAM
(A Component Unit of the Government of Guam)

Statements of Cash Flows
Years Ended September 30, 2012 and 2011

	2012	2011
Cash flows from operating activities:		
Student tuition and fees, net	\$ 10,829,616	\$ 11,241,442
Grants, contracts and appropriations	43,539,972	46,716,070
Sales and services of education department	578,030	747,776
Auxiliary services	2,216,440	2,270,010
Other receipts	5,212,146	3,011,456
Payments to education and general expenses	(79,131,320)	(75,266,017)
Payments to students for financial aid	(10,067,221)	(13,972,752)
	(26,822,337)	(25,252,015)
Net cash used for operating activities		
Cash flows from noncapital financing activities		
Government of Guam appropriations collected	34,802,013	29,146,736
	34,802,013	29,146,736
Cash flows from capital and related financing activities:		
Interest paid on capital debt	(530,281)	(578,299)
Purchases of capital assets	(5,923,188)	(2,398,564)
Capital contributions received	6,528,416	1,111,482
Principal paid on capital debt	(2,467,369)	(2,370,920)
Changes in restricted cash	(775,116)	(642,389)
	(3,167,538)	(4,878,690)
Net cash used for capital and related financing activities		
Cash flows from investing activities:		
Investment income	741,812	198,332
Purchases of investments	(4,698,927)	-
Proceeds from sale and maturities of investments	3,126,006	1,674,208
	(831,109)	1,872,540
Net cash (used for) provided by investing activities		
Net change in cash and cash equivalents	3,981,029	888,571
Cash and cash equivalents, beginning of year	6,234,760	5,346,189
	6,234,760	5,346,189
Cash and cash equivalents, end of year	\$ 10,215,789	\$ 6,234,760

Supplemental information on noncash activities:

During the years ended September 30, 2012 and 2011, the University recorded appropriations of \$_____ and \$_____, respectively, for retirees' healthcare costs paid by Government of Guam on behalf of the University.

In 2012, the University incurred a loss of \$232,049 from abandoned CIP projects recorded in previous years.

See accompanying notes to financial statements.

UNIVERSITY OF GUAM
(A Component Unit of the Government of Guam)

Statements of Cash Flows, Continued
Years Ended September 30, 2012 and 2011

	<u>2012</u>	<u>2011</u>
Reconciliation of operating loss to net cash used for operating activities:		
Operating loss	\$ (32,114,053)	\$ (26,011,810)
Adjustments to reconcile operating loss to net cash used for operating activities:		
Depreciation	3,116,418	2,663,474
Provision for (recovery from) bad debts	1,161,036	(1,238,378)
Changes in assets and liabilities:		
Accounts receivable, net	(1,462,385)	(579,568)
Inventory	67,293	(12,017)
Other assets	14,285	(82,296)
Accounts payable and accrued liabilities	1,670,599	(335,987)
Annual leave	7,174	21,644
Sick leave	368,198	196,684
Deferred revenue	<u>349,098</u>	<u>126,239</u>
Net cash used for operating activities	<u>\$ (26,822,337)</u>	<u>\$ (25,252,015)</u>

See accompanying notes to financial statements.

UNIVERSITY OF GUAM
(A Component Unit of the Government of Guam)

Notes to Financial Statements
September 30, 2012 and 2011

1. Organization and Basis of Presentation

Organization

Administrative autonomy was granted to the University of Guam (the University) with the enactment of Public Law No. 13-194, "The Higher Education Act of 1976," which became effective on November 3, 1976. The Act, with subsequent amendments, established the University as a non-membership, not-for-profit corporation of the Government of Guam, under the control and operation of a nine-member Board of Regents appointed by the Governor with the advice and consent of the Legislature. The University is a component unit of the Government of Guam.

Financial Statement Presentation

In June 1999, the Governmental Accounting Standards Board (GASB) issued Statement No. 34, *Basic Financial Statements-and Management's Discussion and Analysis-for State and Local Governments*. This was followed in November 1999 by GASB Statement No. 35, *Basic Financial Statements-and Management's Discussion and Analysis-for Public Colleges and Universities*. The financial statement presentation required by GASB No. 34 and 35 provides a comprehensive, entity-wide perspective of the University's assets, liabilities, net assets, revenues, expenses, changes in net assets, and cash flows, and replaces the fund-group perspective previously required.

Basis of Accounting

For financial statement purposes, the University is considered a special-purpose government engaged only in business-type activities. Accordingly, the University's financial statements have been presented using the economic resources measurement focus and the accrual basis of accounting. Under the accrual basis, revenues are recognized when earned, and expenses are recorded when an obligation has been incurred. All significant intra-university transactions have been eliminated. The University reports as a business-type activity, as defined by GASB Statement No. 35. Business-type activities are those that are financed in whole or in part by fees charged to external parties for goods or services.

GASB Statement No. 20, *Accounting and Financing Reporting for Proprietary Funds and Other Governmental Entities that Use Proprietary Fund Accounting*, requires that proprietary activities apply all applicable GASB pronouncements as well as Statements and Interpretations issued by the Financial Accounting Standards Board (FASB), Accounting Principles Board Opinions and Accounting Research Bulletins of the Committee on Accounting Procedures issued on or before November 30, 1989, except those that conflict with a GASB pronouncement. The University has implemented GASB 20 and elected not to apply FASB Statements and Interpretations issued after November 30, 1989.

UNIVERSITY OF GUAM
(A Component Unit of the Government of Guam)

Notes to Financial Statements
September 30, 2012 and 2011

1. Organization and Basis of Presentation, Continued

Reporting Entity

The University of Guam Endowment Foundation (the Foundation) is a legally separate, tax-exempt entity which meets the criteria set forth for component units under GASB Statement No. 39, *Determining Whether Certain Organizations are Component Units*. The Foundation provides financial support for the objectives, purposes and programs of the University. Although the University does not control the timing, purpose, or amount of receipts from the Foundation, the resources (and income thereon) that the Foundation holds and invests are restricted to the activities of the University. Because the resources held by the Foundation can only be used by, or for the benefit of, the University, the Foundation is considered a component unit of the University and its Statements of Financial Position and Statements of Activities and Statements of Cash Flows are separately presented in the University's financial statements. In addition, the Foundation's significant notes are summarized in Note 2.V below.

The Foundation is a private organization that reports under FASB standards, including FASB Accounting Standards Codification Topic ASC 958 ("ASC 958"). As such, certain revenue recognition criteria and presentation features are different from GASB revenue recognition criteria and presentation features. No modifications have been made to the Foundation's financial information in the University's financial reporting entity for these differences.

The Foundation's fiscal year-end is as of December 31. Copies of the Foundation's report can be obtained by contacting the Foundation or visit its website at www.uogendowment.org.

2. Summary of Significant Accounting Policies

- A. Cash and Cash Equivalents. Cash and cash equivalents include cash on hand, cash in banks, money market accounts and time certificates of deposit with original maturities of three months or less.
- B. Restricted Cash and Cash Equivalents. Cash and cash equivalents that are restricted to make debt service payments and purchases or enhance learning resources materials and technology are classified as noncurrent assets in the Statement of Net Assets.
- C. Use of Restricted/Unrestricted Net Assets. When an expense is incurred for purposes for which both restricted and unrestricted net assets are available, the University's policy is to apply restricted net assets first.
- D. Short-term Investments. Short-term investments include time certificates of deposit with original maturities of more than three months.
- E. Investments. The University accounts for its investments at fair value in accordance with GASB Statement No. 31, *Accounting and Financial Reporting for Certain Investments and for External Investment Pools*. Realized gains and losses are recognized upon disposition, while unrealized gains and losses on the carrying value of investments are reported as a part of net investment income in the Statement of Revenues, Expenses and Changes in Net Assets.

UNIVERSITY OF GUAM
(A Component Unit of the Government of Guam)

Notes to Financial Statements
September 30, 2012 and 2011

2. Summary of Significant Accounting Policies, Continued
- F. Accounts Receivable. Accounts receivable consist of tuition and fee charges to students and charges for auxiliary enterprise services provided to students, faculty and staff. Accounts receivable also includes amounts due from U.S. Federal agencies for various federal grant awards as well as amounts due from GovGuam for local appropriations. Accounts receivable are recorded net of an estimated allowance for doubtful accounts, an amount which management believes will be adequate to absorb possible losses on accounts receivable that may become uncollectible based on evaluations of the collectibility of these accounts and prior collection experience. The allowance is established through a provision for bad debts charged to expense.
- G. Due from Government of Guam. Due from Government of Guam consists of the remaining balance of legislative annual appropriations and student financial aid funding that have not been received at September 30, 2012 and 2011.
- H. Accounts Receivable - U.S. Federal Government. Accounts receivable from the U.S. Government consist of amounts due from the federal government in connection with reimbursement of allowable expenditures made pursuant to the University's grants and contracts.
- I. Other Receivables. Other receivables consist primarily of auxiliary enterprise services provided to students, faculty, staff, other departments within the University, and to the public. Other receivables also include amounts due from the local government or private sources in relation to the performance of grants and contracts.
- J. Inventory Method. Inventory is stated at the lower of cost or market with cost being determined using the first-in, first-out method of valuation.
- K. Capital Assets. Depreciation is calculated using the straight-line method over estimated useful lives of 5 -50 years for buildings and improvements and 5 - 15 years for equipment and land improvements. The University's capitalization policy requires acquisitions greater than \$5,000 to be capitalized and depreciated over their estimated useful lives. The assets are carried at cost, except for land and buildings transferred to the University, which were recorded at management's estimate of fair market value at the date of acquisition.
- L. Deferred Revenues. Deferred revenues include amounts received for tuition and fees and certain auxiliary activities prior to the end of the fiscal year but related to the subsequent fiscal year. Deferred revenues also include amounts received from grant and contract sponsors that have not yet been earned.
- M. Compensated Absences. Compensated absences are accrued and reported as liability in the period earned. Annual leave expected to be paid out within the next fiscal year is accrued and included in current liabilities. All annual leave credit is convertible to pay upon termination of employment. The maximum accumulation amount of annual leave is limited to 320 hours. Pursuant to Public Law 27-106, employees who have accumulated annual leave in excess of 320 hours as of February 28, 2003, may carry over their excess and shall use the excess amount of leave prior to retirement or termination from service. Any unused leave over 320 hours shall be lost upon retirement. Public Law 26-86 allows members of the Defined Contribution Retirement System to receive a lump sum payment of one-half of their accumulated sick leave upon retirement.

UNIVERSITY OF GUAM
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September 30, 2012 and 2011

2. Summary of Significant Accounting Policies, Continued

- N. Grants-in-Aid. Tuition and fees revenue includes grants-in-aid charged to scholarship and fellowship expense for senior citizens, faculty, staff and their dependents. The total of these grants for 2012 and 2011 was \$290,137 and \$315,531, respectively.
- O. Noncurrent Liabilities. Noncurrent liabilities include (1) long-term debt with contractual maturities greater than one year, and (2) estimated amounts for accrued compensated absences, sick leave and other liabilities that will not be paid within the next fiscal year.
- P. Net Assets. The University's net assets are classified as follows:

Invested in Capital Assets, Net of Related Debt - This represents the University's total investment in capital assets, net of outstanding debt obligations related to those capital assets. To the extent debt has been incurred but not yet expended for capital assets, such amounts are not included in this section.

Restricted Net Assets - Expendable - Restricted expendable net assets include resources that the University is legally or contractually obligated to spend in accordance with restrictions imposed by external third parties.

Restricted Net Assets - Nonexpendable - Nonexpendable restricted net assets consisting of endowment and similar type funds in which donors or other outside sources have stipulated, as a condition of the gift instrument, that the principal is to be maintained inviolate and in perpetuity, and invested for the purpose of producing present and future income, which may either be expended or added to principal.

Unrestricted Net Assets - Unrestricted net assets represent resources derived from student tuition and fees, state appropriations, sales and services of educational departments and auxiliary enterprises, and indirect revenue on federal grants. These resources are used for transactions relating to the educational and general operations of the University, and may be used at the discretion of the governing board to meet current expenses for any purpose. These resources also include auxiliary enterprises, which are substantially self-supporting activities that provide services for students, faculty and staff.

- Q. Classification of Revenues. The University has classified its revenues as either operating or nonoperating according to the following criteria:

Operating Revenues - include activities that have the characteristics of exchange transactions, such as (1) student tuition and fees, net of scholarship discounts and allowances, (2) sales and services of auxiliary enterprises, (3) most federal, state and local grants and contracts and federal appropriations, and (4) interest on institutional student loans.

Nonoperating Revenues - include activities that have the characteristics of nonexchange transactions, such as gifts and contributions, and other revenue sources that are defined as nonoperating revenues by GASB Statement No. 9, *Reporting Cash Flows of Proprietary and Nonexpendable Trust Funds and Governmental Entities that Use Proprietary Fund Accounting*, and GASB Statement No. 34, such as local government appropriations and investment income.

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Notes to Financial Statements
September 30, 2012 and 2011

2. Summary of Significant Accounting Policies, Continued

- R. Scholarship Discounts and Allowances. Student tuition and fee revenues, and certain other revenues from students, are reported net of scholarship discounts and allowances in the Statement of Revenues, Expenses and Changes in Net Assets. Scholarship discounts and allowances are the difference between the stated charge for goods and services provided by the University, and the amount that is paid by students and/or third parties making payments on the students' behalf. Certain governmental grants, such as Pell grants, and other federal, state or nongovernmental programs, are recorded as either operating or nonoperating revenues in the University's financial statements. To the extent that revenues from such programs are useful to satisfy tuition and fees and other student charges, the University has recorded a scholarship discount and allowance.
- S. Financial Assistance Revenue. Government of Guam appropriations designated for student financial assistance programs are made annually for the period from October 1 to September 30. As certain restrictions are placed on these funds, revenue is realized only to the extent that such funds are expended for current purposes.
- T. Estimates. The preparation of financial statements in conformity with accounting principles generally accepted in the United States of America requires management to make estimates and assumptions that affect the reported amounts of assets and liabilities and disclosure of contingent assets and liabilities at the date of the statement of net assets and the reported amounts of revenue and expenses during the reporting period. Actual results could differ from those estimates.
- U. Risk Management. The University is exposed to various risks of loss related to torts; theft of, damage to, and destruction of assets; errors and omissions; injuries to employees; and natural disasters. The University has elected to purchase commercial insurance from independent third parties for the risks of loss to which it is exposed. Settled claims from these risks have not exceeded commercial insurance coverage in any of the past three years.
- V. Economic Dependency. The University is dependent on ongoing appropriations from the Government of Guam.
- W. UOG Endowment Foundation Pledges Receivable and Investments

UOG Endowment Foundation Pledges Receivable:

Pledges receivable consist of donations pledged to the Foundation but not yet received as of December 31, 2011 and 2010. These pledges are payable in installments over periods ranging from one to forty-three years. Unconditional promises to give that are expected to be collected for future years are recorded at the present value of the estimated cash flows. Amortization of discount will be included in contribution revenue. Management of the Foundation is of the opinion that the net outstanding balance is collectible in subsequent fiscal years and has reserved for all other long-term receivables.

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September 30, 2012 and 2011

2. Summary of Significant Accounting Policies, Continued

W. UOG Endowment Foundation Pledges Receivable and Investments, Continued

UOG Endowment Foundation Pledges Receivable, Continued:

Included in pledges receivable as of December 31, 2011 and 2010 are the following unconditional promises to give:

	<u>2011</u>	<u>2010</u>
SBPA (School of Business and Public Administration Building)	\$ 317,548	\$ 423,467
Other	<u>57,086</u>	<u>28,142</u>
	374,634	451,609
Less allowance for doubtful accounts	<u>(26,325)</u>	<u>(18,000)</u>
	<u>\$ 348,309</u>	<u>\$ 433,609</u>

UOG Endowment Foundation Investments:

Investments are carried at fair market value. Gains and losses on investments are reported in the statements of activities as increases or decreases in unrestricted net assets unless their use is temporarily or permanently restricted by explicit donor stipulations or by law.

The composition of investments in securities as of December 31, 2011 and 2010 follows:

	<u>2011</u>	<u>2010</u>
Cash	\$ 167,979	\$ 206,571
Equities	4,465,292	5,787,842
Fixed income	<u>2,333,182</u>	<u>1,345,333</u>
	<u>\$ 6,966,453</u>	<u>\$ 7,339,746</u>

The composition of net investment (losses) earnings for the years ended December 31, 2011 and 2010 is as follows:

	<u>2011</u>	<u>2010</u>
Net unrealized (losses) gains	\$ (646,631)	\$ 26,186
Net realized gains	312,830	328,801
Interest income	210,234	199,681
Dividends	12,307	114,822
Other expense, net	<u>(90,913)</u>	<u>(72,903)</u>
	<u>\$ (202,173)</u>	<u>\$ 596,587</u>

Investments also include 23,392 shares of stock in Bank of Guam (BOG) of which 19,892 shares are recorded at published market values as of December 31, 2004, before the shares were removed from the public market. The remaining 3,500 BOG shares are recorded at cost. Dividends received from these shares will be used for scholarship purposes and/or repurchase of additional BOG stock as it is available for sale within weighted average/market price. The BOG shares contain no restrictions and are classified as unrestricted net assets.

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2. Summary of Significant Accounting Policies, Continued

X. New Accounting Standards. During the year ended September 30, 2012, the University implemented the following pronouncements:

- GASB Statement No. 57, *OPEB Measurements by Agent Employers and Agent Multiple-Employer Plans*, which amends Statement No. 43, *Financial Reporting for Postemployment Benefit Plans Other Than Pension Plans*, and Statement No. 45, *Accounting and Financial Reporting by Employers for Postemployment Benefits Other Than Pensions*, and addresses issues related to the frequency and timing of measurements for actuarial valuations first used to report funded status information in OPEB plan financial statements. The implementation of this pronouncement did not have a material effect on the accompanying financial statements.
- GASB Statement No. 64, *Derivative Instruments: Application of Hedge Accounting Termination Provisions* (an amendment of GASB Statement No. 53), which will improve financial reporting by state and local governments by clarifying the circumstances in which hedge accounting continues to be applied when a swap counterparty, or a swap counterparty's credit support provider, is replaced. The implementation of this pronouncement did not have a material effect on the accompanying financial statements.

In December 2010, GASB issued Statement No. 60, *Accounting and Financial Reporting for Service Concession Arrangements*, which addresses how to account for and report service concession arrangements (SCAs), a type of public-private or public-public partnership that state and local governments are increasingly entering into. The provisions of this statement are effective for periods beginning after December 15, 2011. Management does not believe that the implementation of this statement will have a material effect on the financial statements of the University.

In December 2010, GASB issued Statement No. 61, *The Financial Reporting Entity: Omnibus*, which is designed to improve financial reporting for governmental entities by amending the requirements of Statements No. 14, *The Financial Reporting Entity*, and No. 34, *Basic Financial Statements - and Management's Discussion and Analysis - for State and Local Governments*, to better meet user needs and address reporting entity issues that have come to light since those Statements were issued in 1991 and 1999, respectively. The provisions of this statement are effective for periods beginning after June 15, 2012. Management does not believe that the implementation of this statement will have a material effect on the financial statements of the University.

In December 2010, GASB issued Statement No. 62, *Codification of Accounting and Financial Reporting Guidance Contained in Pre-November 30, 1989 FASB and AICPA Pronouncements*, which is intended to enhance the usefulness of its Codification by incorporating guidance that previously could only be found in certain Financial Accounting Standards Board (FASB) and American Institute of Certified Public Accountants (AICPA) pronouncements. The provisions of this statement are effective for periods beginning after December 15, 2011. Management does not believe that the implementation of this statement will have a material effect on the financial statements of the University.

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Notes to Financial Statements
September 30, 2012 and 2011

2. Summary of Significant Accounting Policies, Continued

X. New Accounting Standards, Continued

In July 2011, GASB issued Statement No. 63, *Financial Reporting of Deferred Outflows of Resources, Deferred Inflows of Resources, and Net Position*, which establishes guidance for reporting deferred outflows of resources, deferred inflows of resources, and net position in a statement of financial position. The provisions of this statement are effective for periods beginning after December 15, 2011. Management has not yet determined the effect of implementation of this statement on the financial statements of the University.

In April 2012, GASB issued Statement No. 65, *Items Previously Reported as Assets and Liabilities*, which clarifies the appropriate reporting of deferred outflows of resources and deferred inflows of resources to ensure consistency in financial reporting. The provisions of this statement are effective for periods beginning after December 15, 2012. Management has not yet determined the effect of implementation of this statement on the financial statements of the University.

In April 2012, GASB issued Statement No. 66, *Technical Corrections - 2012*, which enhances the usefulness of financial reports by resolving conflicting accounting and financial reporting guidance that could diminish the consistency of financial reporting. The provisions of this statement are effective for periods beginning after December 15, 2012. Management has not yet determined the effect of implementation of this statement on the financial statements of the University.

In June 2012, GASB issued Statement No. 67, *Financial Reporting for Pension Plans*, which revises existing guidance for the financial reports of most pension plans, and Statement No. 68, *Accounting and Financial Reporting for Pensions*, which revises and establishes new financial reporting requirements for most governments that provide their employees with pension benefits. The provisions in Statement 67 are effective for financial statements for periods beginning after June 15, 2013. The provisions in Statement 68 are effective for fiscal years beginning after June 15, 2014. Management has not yet determined the effect of implementation of these statements on the financial statements of the University.

Y. Reclassifications. Certain account balances in 2011 have been reclassified to conform to the 2012 financial statement presentation.

3. Deposits and Investments

The deposit and investment policies of the University are governed by pertinent restrictions existing under the laws of Guam with respect to investments. The Board of Regents, with the assistance of a consultant, is required to engage investment managers to manage the fund assets.

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Notes to Financial Statements
September 30, 2012 and 2011

3. Deposits and Investments, Continued

Legally authorized investments are as follows:

(i) General Guidelines

- a. U.S. and Non-U.S. Equities include American Depository Receipts, convertible bonds, preferred stock, fixed-income securities, mutual funds and short-term securities.
- b. No individual security of any issuer, other than that of the U.S. Government, shall constitute more than 5% (at cost) of the total fund or 10% (at cost) of any manager's portfolio.
- c. 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 approval from the University.
- d. Holdings of any issuer shall constitute no more than 5% of the outstanding securities of such issuer.
- e. Investments in a registered mutual fund managed by the investment manager are subject to prior approval of the University.
- f. The following securities and transactions are not authorized without prior written approval from the University: letter stock and other unregistered securities; non-negotiable securities; commodities or other commodity contracts; options; futures; short sales; and margin transactions.

(ii) U.S. Fixed Income

- a. All fixed income securities held in the portfolio shall have Moody's, Standard & Poor's and/or Fitch's credit quality rating of no less than "BBB".
- b. 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.
- c. No more than 20% of the market value of the portfolio shall be rated less than single "A" quality, unless the manager has specific prior written authorization from the University.
- d. Total portfolio quality (capitalization weighted) shall maintain an "A" minimum weighting.

(iii) Equities

- a. Consistent with the desire to maintain broad diversification, allocation to any economic or industry sector should not be excessive.
- b. Equity holdings shall be restricted to readily marketable securities of corporations that are actively traded on the major exchanges and over the counter.
- c. The managers shall have the discretion to invest a portion of the assets in cash reserves when they deem appropriate.

UNIVERSITY OF GUAM
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Notes to Financial Statements
September 30, 2012 and 2011

3. Deposits and Investments, Continued

- d. 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.

(iv) Cash and Cash Equivalents

- a. 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 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.
- b. In the case of Certificates of Deposit, they 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 \$250,000 unless the deposit is fully collateralized by U.S. Treasury Securities.
- c. No single issue shall have a maturity of greater than two years.
- d. Custodial Sweep Account portfolios must have an average maturity of less than one year.

A. Deposits

Custodial credit risk is the risk that in the event of a bank failure, the University's deposits may not be returned to it. Such deposits are not covered by depository insurance and are either uncollateralized, or collateralized with securities held by the pledging financial institution or held by the pledging financial institution but not in the University's name.

At September 30, 2012 and 2011, the carrying amount of the University's cash and cash equivalents and time certificates of deposit were \$22,629,278 and \$17,099,298 and the corresponding bank balances were \$23,861,368 and \$18,606,005, respectively. Of the bank balance amounts, \$2,488,606 and \$14,449,511, respectively, are maintained in financial institutions subject to Federal Deposit Insurance Corporation (FDIC), or collateralized by securities held by a trustee in the name of the financial institution. The University does not require collateralization of its cash deposits; therefore, deposit levels in excess of FDIC insurance coverage are uncollateralized. Accordingly, these deposits are exposed to custodial credit risk.

Restricted cash and cash equivalents:

As of September 30, 2012 and 2011, the University recorded \$2,046,305 and \$2,019,423, respectively, from a tobacco settlement agreement entered into by the Government of Guam to be expended by the University for enhancement of learning resources and technology. The funds may only be expended in accordance with purposes set forth by the Guam Economic Development Authority, a component unit of the Government of Guam. Of the amount recorded, \$1,747,381 and \$1,690,008, respectively, is invested in a municipal bond issued by the Gwinnett County Development Authority in Georgia. This bond carried a Fitch's credit rating of AAA.

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Notes to Financial Statements
September 30, 2012 and 2011

3. Deposits and Investments, Continued

A. Deposits, Continued

As of September 30, 2012 and 2011, restricted cash and cash equivalents include \$1,271,127 and \$363,089, respectively, received from the Government of Guam Healthy Futures Fund as appropriations for the Guam Cancer Trust Fund. These funds are allocated to provide financial assistance to organizations that provide patient directed services for the prevention and treatment of cancer.

Restricted cash and cash equivalents also include \$2,084,030 and \$2,243,480 as of September 30, 2012 and 2011, respectively, designated for debt service, operation and maintenance of a certain facility in compliance with a loan security agreement (see note 6). The remainder of restricted cash and cash equivalents of \$197,675 and \$140,656, respectively, represents funds with various externally imposed restrictions.

B. Investments

Investments held by the University consist of certificates of deposits, money market funds, fixed income securities, mutual funds, and common stock. These investments are held in the name of the University and are accounted for on a pooled basis. The University employs the share method of accounting for pooled investments and for proportionate distribution of income and fees to each fund which participates in the pool.

Investments at September 30, 2012 consist of the following:

	<u>Short-term</u>	<u>Long-term</u>	<u>Endowment</u>	<u>Total</u>
Certificates of deposit	\$ 8,561,733	\$ 61,131	\$ 66,489	\$ 8,689,353
Money market funds	-	273,110	297,047	570,157
Fixed income securities	-	2,086,364	2,269,231	4,355,595
Common stock	-	5,203,159	5,659,209	10,862,368
Mutual funds	-	405,175	440,689	845,864
Municipal bonds	-	837,009	910,372	1,747,381
	<u>\$ 8,561,733</u>	<u>\$ 8,865,948</u>	<u>\$ 9,643,037</u>	<u>\$ 27,070,718</u>

Investments at September 30, 2011 consist of the following:

	<u>Short-term</u>	<u>Long-term</u>	<u>Endowment</u>	<u>Total</u>
Certificates of deposit	\$ 7,787,898	\$ 38,462	\$ 40,525	\$ 7,866,885
Money market funds	-	172,410	181,644	354,054
Fixed income securities	-	2,334,572	2,459,611	4,794,183
Common stock	-	4,327,515	4,559,304	8,886,819
Municipal bonds	-	822,964	867,044	1,690,008
	<u>\$ 7,787,898</u>	<u>\$ 7,695,923</u>	<u>\$ 8,108,128</u>	<u>\$ 23,591,949</u>

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Notes to Financial Statements
September 30, 2012 and 2011

3. Deposits and Investments, Continued

B. Investments, Continued

The University's exposure to credit risk at September 30, 2012 was as follows:

<u>Moody's Rating</u>	<u>Domestic</u>
AAA	\$ 1,948,221
A	1,850,176
BAA	550,911
CAA	<u>6,287</u>
Total credit risk debt securities	\$ <u>4,355,595</u>

The University's exposure to credit risk at September 30, 2011 was as follows:

<u>Moody's Rating</u>	<u>Total</u>	<u>Domestic</u>	<u>International</u>
AAA	\$ 1,787,074	\$ 1,787,074	\$ -
AA	319,048	319,048	-
A	1,737,888	1,737,888	-
BAA	200,864	200,864	-
Unrated	<u>749,309</u>	<u>-</u>	<u>749,309</u>
Total credit risk debt securities	\$ <u>4,794,183</u>	\$ <u>4,044,874</u>	\$ <u>749,309</u>

As of September 30, 2012, the University's fixed income securities had the following maturities:

<u>Investment Type</u>	<u>Fair value</u>	<u>Less than 1 year</u>	<u>1 to 5 years</u>	<u>5 to 10 years</u>	<u>More than 10 years</u>
Corporate bonds	\$ 2,277,302	\$ -	\$ -	\$ 2,277,302	\$ -
Mortgage and asset backed securities	208,132	-	-	-	208,132
Federal Home Loan Mortgage Corp.	474,600	-	239,709	151,218	83,673
Federal National Mortgage Assn.	1,280,999	-	63,023	300,061	917,915
U.S. Treasury Notes	<u>114,562</u>	<u>-</u>	<u>-</u>	<u>-</u>	<u>114,562</u>
	\$ <u>4,355,595</u>	\$ <u>-</u>	\$ <u>302,732</u>	\$ <u>2,728,581</u>	\$ <u>1,324,282</u>

As of September 30, 2011, the University's fixed income securities had the following maturities:

<u>Investment type</u>	<u>Fair value</u>	<u>Less than 1 year</u>	<u>1 to 5 years</u>	<u>5 to 10 years</u>	<u>More than 10 years</u>	<u>N/A</u>
Corporate bonds	\$2,250,687	\$ -	\$ -	\$2,250,687	\$ -	\$ -
Mortgage and asset backed securities	181,868	-	-	93,060	88,808	-
Federal Home Loan Mortgage Corp.	368,768	-	-	6,041	362,727	-
Federal National Mortgage Assn.	982,501	-	-	18,812	963,689	-
U.S. Treasuries	261,050	-	-	-	261,050	-
International bonds	<u>749,309</u>	<u>-</u>	<u>-</u>	<u>-</u>	<u>-</u>	<u>749,309</u>
	\$ <u>4,794,183</u>	\$ <u>-</u>	\$ <u>-</u>	\$ <u>2,368,600</u>	\$ <u>1,676,274</u>	\$ <u>749,309</u>

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Notes to Financial Statements
September 30, 2012 and 2011

3. Deposits and Investments, Continued

B. Investments, Continued

Custodial risk for investments is the risk that in the event of the failure of the counterparty to the transaction, the University will not be able to recover the value of investment or collateral securities that are in the possession of an outside party. The University's investments are held and administered by investment managers. Accordingly, these investments are exposed to custodial credit risk. Based on negotiated trust and custody contracts, all of these investments were held in the University's name at September 30, 2012 and 2011.

Concentration of credit risk for investments is the risk of loss attributed to the magnitude of an entity's investment in a single issuer. As of September 30, 2012 and 2011, the University did not hold any investment in any one issuer that represented 5% or more of total investments of the University.

Interest rate risk is the risk that changes in interest rates will adversely affect the fair value of debt instruments. The University has a formal investment policy that limits investment maturities as a means of managing its exposure to fair value losses arising from increasing interest rates.

The composition of investment income (expense) for the years ended September 30, 2012 and 2011 is as follows:

	<u>2012</u>	<u>2011</u>
Interest and dividends from investments	\$ 235,471	\$ 467,193
Investment fees	(127,993)	(135,244)
Realized gains	634,334	947,664
(Depreciation) appreciation of fair value of investments, net	<u>1,905,848</u>	<u>(1,081,281)</u>
	<u>\$ 2,647,660</u>	<u>\$ 198,332</u>

4. Student Loans

The Guam Legislature appropriates funds for the student loan program available to residents of Guam who attend institutions of higher education. The University is responsible for awarding the loans and monitoring compliance with respect to repayment. Due to the uncertainty of collection and due to recipient ability to repay the loans through work credits, student loan receivables are fully reserved in the year granted, and payments are reflected as recoveries in the year received. At September 30, 2012 and 2011, loans receivable are reserved in the amount of \$17,513,726 and \$10,430,560, respectively, and recoveries collected are \$616,024 and \$643,498 for the years then ended, respectively.

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Notes to Financial Statements
September 30, 2012 and 2011

5. Capital Assets

Activity and balances for capital assets for the years ended September 30, 2012 and 2011 consisted of the following:

<u>2012:</u>	<u>Balance</u> <u>October 1, 2011</u>	<u>Additions/</u> <u>Transfers</u>	<u>Retirements</u> <u>Transfers</u>	<u>Balance</u> <u>September 30, 2012</u>
<u>Depreciable:</u>				
Land improvements	\$ 320,754	\$ -	\$ -	\$ 320,754
Building	86,171,515	-	-	86,171,515
Building improvements	1,279,760	2,378,913	-	3,658,673
Equipment	12,623,174	4,149,503	(101,666)	16,671,011
Library books	<u>6,569,309</u>	<u>122,890</u>	<u>-</u>	<u>6,692,199</u>
	106,964,512	6,651,306	(101,666)	113,514,152
Less accumulated depreciation	<u>(42,328,677)</u>	<u>(3,116,418)</u>	<u>101,666</u>	<u>(45,343,429)</u>
	<u>64,635,835</u>	<u>3,534,888</u>	<u>-</u>	<u>68,170,723</u>
<u>Nondepreciable:</u>				
Land	2,589,112	-	-	2,589,112
Construction in progress	<u>1,303,417</u>	<u>-</u>	<u>(960,167)</u>	<u>343,250</u>
	<u>3,892,529</u>	<u>-</u>	<u>(960,167)</u>	<u>2,932,362</u>
Total capital assets, net	<u>\$ 68,528,364</u>	<u>\$ 3,534,888</u>	<u>\$ (960,167)</u>	<u>\$ 71,103,085</u>
<u>2011:</u>	<u>Balance</u> <u>October 1, 2010</u>	<u>Additions</u>	<u>Retirements</u>	<u>Balance</u> <u>September 30, 2011</u>
<u>Depreciable:</u>				
Land improvements	\$ 320,754	\$ -	\$ -	\$ 320,754
Building	86,171,515	-	-	86,171,515
Building improvements	1,279,760	-	-	1,279,760
Equipment	11,189,289	1,505,430	(71,545)	12,623,174
Library books	<u>6,404,293</u>	<u>165,016</u>	<u>-</u>	<u>6,569,309</u>
	105,365,611	1,670,446	(71,545)	106,964,512
Less accumulated depreciation	<u>(39,736,748)</u>	<u>(2,663,474)</u>	<u>71,545</u>	<u>(42,328,677)</u>
	<u>65,628,863</u>	<u>(993,028)</u>	<u>-</u>	<u>64,635,835</u>
<u>Nondepreciable:</u>				
Land	2,589,112	-	-	2,589,112
Construction in progress	<u>575,299</u>	<u>728,118</u>	<u>-</u>	<u>1,303,417</u>
	<u>3,164,411</u>	<u>728,118</u>	<u>-</u>	<u>3,892,529</u>
Total capital assets, net	<u>\$ 68,793,274</u>	<u>\$ (264,910)</u>	<u>\$ -</u>	<u>\$ 68,528,364</u>

6. Long-Term Debt

In October 2001, Public Law 26-48 authorized the University to enter into a loan agreement with the United States Department of Agriculture (USDA) for an amount not to exceed \$13.5 million for the purpose of funding construction of certain facilities. The loan agreement with USDA was signed on June 12, 2003 and construction began in March 2005. The interest rate is fixed at 4.50% per annum.

UNIVERSITY OF GUAM
(A Component Unit of the Government of Guam)

Notes to Financial Statements
September 30, 2012 and 2011

6. Long-Term Debt, Continued

As of September 30, 2007, the entire amount was drawn down. Monthly payments of \$62,505 began in July 2006. A final installment is due on June 12, 2043. The loan security agreement requires revenues derived from the operation of the facility to be transferred to an account designated for debt service, operation and maintenance of the facility. After the payment of principal and interest, \$6,251 a month is required to be transferred to a reserve account until a sum of \$750,060 is accumulated. In addition, the University assigned and granted to the creditor its security interest in all equipment, furniture and fixtures located at the Business and Public Administration Building.

Annual debt service requirements to maturity for principal and interest are as follows:

<u>Year Ending September 30,</u>	<u>Principal</u>	<u>Interest</u>	<u>Total</u>
2013	\$ 192,704	\$ 557,356	\$ 750,060
2014	201,557	548,503	750,060
2015	210,817	539,243	750,060
2016	220,501	529,559	750,060
2017	230,631	519,429	750,060
2018-2022	1,322,160	2,428,140	3,750,300
2023-2027	1,655,075	2,095,225	3,750,300
2028-2032	2,071,815	1,678,485	3,750,300
2033-2037	2,593,490	1,156,810	3,750,300
2038-2042	3,246,520	503,780	3,750,300
2043	<u>450,753</u>	<u>9,577</u>	<u>460,330</u>
	<u>\$ 12,396,023</u>	<u>\$ 10,566,107</u>	<u>\$ 22,962,130</u>

Public Law 26-48 also provided supplemental annual funding of \$500,000 from the Government of Guam Territorial Highway Fund to pay for the loan. During the years ended September 30, 2012 and 2011, \$500,000 has been received for this purpose.

The Foundation annually committed a donation of \$200,000 to the University as a contribution for repayment of the loan through 2043. The Foundation donated \$200,000 in each of the years ended September 30, 2012 and 2011, respectively.

7. Noncurrent Liabilities

Changes in long-term liabilities in 2012 and 2011 are presented as follows:

	Outstanding October 1, 2011	Additions	Reductions	Outstanding September 30, 2012	Amount due within one year
Loan payable	\$ 12,615,802	\$ -	\$ 219,779	\$ 12,396,023	\$ 192,704
Other liabilities:					
Deposits held on behalf of others	115,188	931,912	983,309	63,791	-
Accrued annual leave	1,837,624	1,444,283	1,437,109	1,844,798	1,118,564
DCRS sick leave liability	<u>1,720,001</u>	<u>368,198</u>	<u>-</u>	<u>2,088,199</u>	<u>-</u>
	<u>\$ 16,288,615</u>	<u>\$ 2,744,393</u>	<u>\$ 2,640,197</u>	<u>\$ 16,392,811</u>	<u>\$ 1,311,268</u>

UNIVERSITY OF GUAM
(A Component Unit of the Government of Guam)

Notes to Financial Statements
September 30, 2012 and 2011

7. Noncurrent Liabilities, Continued

	Beginning Balance September <u>30, 2010</u>	<u>Additions</u>	<u>Reductions</u>	Ending Balance September <u>30, 2011</u>	Amount due within <u>one year</u>
Loan payable	\$12,787,473	\$ -	\$ 171,671	\$12,615,802	\$187,857
Other liabilities:					
Deposits held on behalf of others	101,783	13,405	-	115,188	-
Accrued annual leave	1,815,980	1,126,853	1,105,209	1,837,624	790,178
DCRS sick leave liability	<u>1,523,317</u>	<u>196,684</u>	<u>-</u>	<u>1,720,001</u>	<u>-</u>
	<u>\$16,228,553</u>	<u>\$1,336,942</u>	<u>\$1,276,880</u>	<u>\$16,288,615</u>	<u>\$978,035</u>

8. Employees' Retirement Plan

Employees of the University hired before October 1, 1995, are entitled to participate in the Government of Guam Employees' Retirement System (a defined benefit, contributory pension plan). Employees hired after September 30, 1995, are members of the Defined Contribution Retirement System (DCRS). Until December 31, 1999 and periodically thereafter, those employees who were members of the Defined Benefit Plan with less than 20 years of service at September 30, 1995, had the option to switch to the Defined Contribution Retirement System.

The Defined Benefit Plan and the DCRS are administered by the Government of Guam Retirement Fund, to which the University contributes based upon a fixed percentage of the payroll for those employees who are members.

A single actuarial valuation is performed annually covering all plan members and the same contribution rate applies to each employer. GGRF issues a publicly available financial report that includes financial statements and required supplementary information for the DB Plan. That report may be obtained by writing to the GGRF, 424 A Route 8, Maite, Guam 96910, or by visiting its website - www.ggrf.com.

As a result of actuarial valuations performed as of September 30, 2010, 2009 and 2008, contribution rates for the years ended September 30, 2012 and 2011, and 2010, respectively, have been determined as follows:

	<u>2012</u>	<u>2011</u>	<u>2010</u>
Normal costs (% of DB Plan payroll)	17.07%	17.00%	18.34%
Employee contributions (DB Plan employees)	<u>9.50%</u>	<u>9.50%</u>	<u>9.50%</u>
Employer portion of normal costs (% of DB Plan payroll)	<u>7.57%</u>	<u>7.50%</u>	<u>8.84%</u>
Employer portion of normal costs (% of total payroll)	3.03%	3.03%	3.73%
Unfunded liability cost (% of total payroll)	<u>23.75%</u>	<u>21.75%</u>	<u>22.69%</u>
Government contribution as a % of total payroll	<u>26.78%</u>	<u>24.78%</u>	<u>26.42%</u>
Statutory contribution rates as a % of DB Plan payroll:			
Employer	<u>28.30%</u>	<u>27.46%</u>	<u>26.04%</u>
Employee	<u>9.50%</u>	<u>9.50%</u>	<u>9.50%</u>

UNIVERSITY OF GUAM
(A Component Unit of the Government of Guam)

Notes to Financial Statements
September 30, 2012 and 2011

8. Employees' Retirement Plan, Continued

Contributions into the DCRS by members are based on an automatic deduction of 5% of the member's regular base pay. The contribution is periodically deposited into an individual annuity account within the DCRS. Employees are afforded the opportunity to select from different annuity accounts available under the DCRS.

Statutory employer contributions into the DCRS for the years ended September 30, 2012 and 2011 are determined using the same rates as the DB plan. Of the amount contributed by the employer, only 5% of the member's regular base pay is deposited into the member's individual annuity account. The remaining amount is contributed towards the unfunded liability of the defined benefit plan. Members of the DCRS who have completed five years of government service have a vested balance of 100% of both member and employer contributions plus any earnings thereon.

Public Law 26-86 allows members of the DCRS to receive a lump sum payment of one-half of their accumulated sick leave upon retirement. The University has accrued an estimated liability of \$2,088,199 and \$1,720,001 at September 30, 2012 and 2011, respectively, for potential future sick leave payments as a result of this law. However, this amount is an estimate and actual payout may be materially different than estimated.

Retirement contributions for the years ended September 30, 2012 and 2011 and 2010 are as follows:

	<u>2012</u>	<u>2011</u>	<u>2010</u>
Defined benefit plan	\$ 3,228,094	\$ 3,116,722	\$ 3,184,863
DCRS	<u>4,531,900</u>	<u>4,214,253</u>	<u>3,680,595</u>
	<u>\$ 7,759,994</u>	<u>\$ 7,330,975</u>	<u>\$ 6,865,458</u>

Other Post-Employment Benefits

The Government of Guam, through its substantive commitment to provide other post-employment benefits (OPEB), maintains a cost-sharing multiple employer defined benefit plan to provide certain postretirement healthcare benefits to retirees who are members of the Government of Guam Retirement Fund. Under the Plan, known as the Government of Guam Group Health Insurance Program, the Government of Guam provides medical, dental, and life insurance coverage. The retiree medical and dental plans are fully-insured products provided through insurance companies. The Government of Guam shares in the cost of these plans, with the Government of Guam's contribution amount set each year at renewal. Current statutes prohibit active and retired employees from contributing different amounts for the same coverage. As such, the Government of Guam contributes substantially more to the cost of retiree healthcare than to active healthcare. For the life insurance plan, the Government of Guam provides retirees with \$10,000 of life insurance coverage through an insurance company. Retirees do not share in the cost of this coverage. During the years ended September 30, 2012 and 2011, the University recognized certain on-behalf payments as transfers from GovGuam, totaling \$_____ and \$_____, respectively, representing certain healthcare benefits that GovGuam's general fund paid directly on behalf of the University. Because the Plan consists solely of the Government of Guam's firm commitment to provide OPEB through the payment of premiums to insurance companies on behalf of its eligible retirees, no stand-alone financial report is either available or generated.

UNIVERSITY OF GUAM
(A Component Unit of the Government of Guam)

Notes to Financial Statements
September 30, 2012 and 2011

9. Encumbrances

The accrual basis of accounting provides that expenses include only amounts associated with goods and services received and liabilities include only the unpaid amounts associated with such expenses. Accordingly, at September 30, 2012 and 2011, \$5,529,025 and \$19,668,868, respectively, of outstanding purchase orders and purchase commitments are not reported in the financial statements.

10. Commitments and Contingencies

Litigation

The University is a defendant in several legal actions. The ultimate outcome is presently undeterminable; however, University management is of the opinion that resolution of these matters will not have a material effect on the accompanying financial statements.

General Obligation Bonds

In October 1993, the Government of Guam issued \$175 million general obligation bonds to fund the construction of certain educational facilities with \$28 million being earmarked for certain construction projects at the University of Guam. The University is mandated by Public Law No. 22-19 (as amended by Public Law 23-14) to establish a bond fund and deposit all tuition revenues in the bond fund. Monthly remittances are transferred by the University to the Government of Guam's General Fund to cover the University's proportionate share of principal and interest payments of the bond.

At the end of each fiscal year, the balance remaining in the bond fund established by the University shall be retained by the University. Once the University's proportionate share of the principal and interest obligation is satisfied on or about November 2018, the University shall retain control of all future revenues thereafter. For the years ended September 30, 2012 and 2011, total payments remitted to the Government of Guam's General Fund of \$2,247,590 and \$2,199,249, respectively, are recorded as debt service - DOA bond.

Medicare

The Government of Guam and its component units, including the University, began withholding and remitting funds to the U.S. Social Security System for the health insurance component of its salaries and wages effective October 1998. Prior to that date, the Government of Guam did not withhold or remit Medicare payments to the U.S. Social Security System. If the Government is found to be liable for Medicare payments on salaries and wages prior to October 1998, an indeterminate liability could result. It has been the practice of the University and all other component units of the Government of Guam that payment of this health insurance component is optional prior to October 1998. Therefore, no liability for any amount which may ultimately arise from this matter has been recorded in the accompanying financial statements.

UNIVERSITY OF GUAM
(A Component Unit of the Government of Guam)

Notes to Financial Statements
September 30, 2012 and 2011

10. Commitments and Contingencies, Continued

Government of Guam Merit System

In 1991, Public Law 21-59 was enacted to establish a bonus system for employees of the Government of Guam, autonomous and semi-autonomous agencies, public corporations and other public instrumentalities of the Government of Guam who earn a superior performances grade. The bonus is calculated at 3.5% of the employee's base salary beginning in 1991. The University recorded estimated merit bonuses of \$1,110,345 as of September 30, 2012.

FOR DISCUSSION PURPOSES
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OTHER INFORMATION

UNIVERSITY OF GUAM
 (A Component Unit of the Government of Guam)

Schedules of Salaries, Wages and Benefits
 Years Ended September 30, 2012 and 2011

	<u>2012</u>	<u>2011</u>
Salaries and Wages:		
Funded by local funds	\$ 21,668,154	\$ 21,541,641
Federal funds	5,127,172	5,769,685
General Operations and Federal funds	4,483,861	3,951,281
Other funding sources	<u>4,494,179</u>	<u>4,158,643</u>
Total salaries and wages	<u>35,773,366</u>	<u>35,421,250</u>
Benefits:		
Funded by local funds	7,111,406	6,896,777
Federal funds	1,034,866	1,279,971
General Operations and Federal funds	1,292,788	1,104,027
Other funding sources	<u>906,851</u>	<u>772,850</u>
Total benefits	<u>10,345,911</u>	<u>10,053,625</u>
Total Salaries, wages and benefits	<u>\$ 46,119,277</u>	<u>\$ 45,474,875</u>

See Accompanying Independent Auditors' Report.

UNIVERSITY OF GUAM
(A Component Unit of the Government of Guam)

Schedules of Expenses by Object Category
Years Ended September 30, 2012 and 2011

	2012		2011	
	Unrestricted	Restricted	Unrestricted	Restricted
Instruction:				
Salaries	12,061,159	345,729	\$ 11,887,007	\$ 882,648
Benefits	3,569,238	102,623	3,382,375	268,249
Travel	88,852	200,401	57,067	266,252
Contracts	884,296	1,669,467	1,002,015	766,676
Supplies	90,370	35,934	116,582	97,491
Equipment	64,155	90,079	50,134	108,682
Utilities	20,307	-	21,018	-
Capital outlay	-	72,565	14,000	85,383
Miscellaneous	617,546	185,960	396,966	278,915
	<u>\$ 17,395,923</u>	<u>\$ 2,702,758</u>	<u>\$ 16,927,164</u>	<u>\$ 2,754,296</u>
Research:				
Salaries	\$ 1,137,502	\$ 3,790,948	\$ 1,465,505	\$ 3,782,436
Benefits	341,917	909,936	351,943	936,208
Travel	134,602	576,541	85,744	606,707
Contracts	269,915	1,489,136	403,468	1,523,941
Supplies	123,578	519,645	106,380	576,919
Equipment	46,790	282,674	43,905	186,437
Utilities	3,255	1,091	3,244	3,757
Capital outlay	59,961	269,782	-	236,460
Miscellaneous	243,941	747,602	171,320	842,843
	<u>\$ 2,361,461</u>	<u>\$ 8,587,355</u>	<u>\$ 2,631,509</u>	<u>\$ 8,695,708</u>
Institutional Support:				
Salaries	\$ 4,047,155	\$ (7,283)	\$ 2,963,599	\$ 222,214
Benefits	1,072,093	-	971,131	79,157
Travel	269,859	-	249,468	-
Contracts	1,800,085	-	1,945,515	-
Supplies	119,803	-	168,701	-
Equipment	92,873	-	128,672	-
Utilities	423	-	631	-
Capital outlay	104,555	-	146,893	-
Miscellaneous	1,167,684	-	654,362	8,978
	<u>\$ 8,674,530</u>	<u>\$ (7,283)</u>	<u>\$ 7,228,972</u>	<u>\$ 310,349</u>

See Accompanying Independent Auditors' Report.

UNIVERSITY OF GUAM
(A Component Unit of the Government of Guam)

Schedules of Expenses by Object Category, Continued
Years Ended September 30, 2012 and 2011

	2012		2011	
	Unrestricted	Restricted	Unrestricted	Restricted
Public Service:				
Salaries	\$ 183,513	\$ 4,825,247	\$ 121,229	\$ 4,401,450
Benefits	56,412	1,293,296	34,987	1,128,057
Travel	1,408	648,507	-	678,259
Contracts	600,573	2,006,264	52,097	2,165,037
Supplies	20,678	783,568	24,546	470,565
Equipment	9,513	249,587	4,896	331,311
Utilities	7,959	20,153	7,174	12,168
Capital outlay	-	33,230	-	75,576
Miscellaneous	85,579	753,950	53,058	1,298,556
	<u>\$ 965,635</u>	<u>\$ 10,613,802</u>	<u>\$ 297,987</u>	<u>\$ 10,560,979</u>
Academic Support:				
Salaries	\$ 4,667,151	\$ -	\$ 4,965,987	\$ -
Benefits	1,531,831	-	1,505,790	-
Travel	198,700	-	267,757	-
Contracts	938,738	-	1,000,073	517
Supplies	565,365	2,763	655,277	2,097
Equipment	251,138	-	360,830	-
Utilities	1,248	-	2,572	-
Capital outlay	184,477	-	211,491	-
Miscellaneous	94,489	4,082	304,480	1,018
	<u>\$ 8,433,137</u>	<u>\$ 6,845</u>	<u>\$ 9,274,257</u>	<u>\$ 3,632</u>
Student Services:				
Salaries	\$ 1,617,297	\$ 909,128	\$ 1,590,402	\$ 824,029
Benefits	596,613	61,171	539,736	56,387
Travel	45,312	37,620	48,161	57,088
Contracts	82,186	13,044	115,581	25,621
Supplies	48,252	32,151	66,858	14,909
Equipment	47,300	1,021	44,338	22,635
Utilities	53,740	-	60,272	-
Miscellaneous	511,627	26,049	214,687	112,966
	<u>\$ 3,002,327</u>	<u>\$ 1,080,184</u>	<u>\$ 2,680,035</u>	<u>\$ 1,113,635</u>

See Accompanying Independent Auditors' Report.

UNIVERSITY OF GUAM
(A Component Unit of the Government of Guam)

Schedules of Expenses by Object Category, Continued
Years Ended September 30, 2012 and 2011

	2012		2011	
	Unrestricted	Restricted	Unrestricted	Restricted
Operational and Maintenance, Plant:				
Salaries	\$ 1,546,601	\$ -	\$ 1,638,445	\$ -
Benefits	597,340	-	582,913	-
Contracts	394,841	4,475,092	352,084	1,023,064
Supplies	233,004	168,468	182,162	60,377
Equipment	71,508	483,468	30,635	213,467
Utilities	4,103,505	834	3,997,686	2,677
Capital outlay	-	2,786,743	100,485	465,734
Miscellaneous	672	-	2,450	3,399
	<u>\$ 6,947,471</u>	<u>\$ 7,914,605</u>	<u>\$ 6,886,860</u>	<u>\$ 1,768,718</u>
Scholarships and Fellowships:				
Miscellaneous	<u>\$ 290,137</u>	<u>\$ 9,777,084</u>	<u>\$ 315,531</u>	<u>\$ 15,193,586</u>
Auxiliary Enterprises:				
Salaries	\$ 649,220	\$ -	\$ 676,301	\$ -
Benefits	213,441	-	216,695	-
Travel	6,574	-	7,009	-
Contracts	113,100	-	84,469	-
Supplies	59,863	-	38,555	-
Equipment	53,883	-	9,835	-
Utilities	281,838	-	267,799	-
Capital outlay	12,230	-	14,491	-
Miscellaneous	1,227,082	-	1,162,740	-
	<u>\$ 2,617,231</u>	<u>\$ -</u>	<u>\$ 2,477,894</u>	<u>\$ -</u>

See Accompanying Independent Auditors' Report.

UNIVERSITY OF GUAM
(A Component Unit of the Government of Guam)

Employee Information
 Years Ended September 30, 2012 and 2011

	2012	2011
Funded by:		
Local funds	368	388
Federal funds	201	228
General Operations and Federal funds	116	57
Other funding sources	139	146
	824	819

See Accompanying Independent Auditors' Report.

**UNIVERSITY OF GUAM
(A COMPONENT UNIT OF THE
GOVERNMENT OF GUAM)**

**INDEPENDENT AUDITORS' REPORTS ON
INTERNAL CONTROL AND ON COMPLIANCE**

YEAR ENDED SEPTEMBER 30, 2012

INDEPENDENT AUDITORS' REPORT ON INTERNAL CONTROL OVER FINANCIAL REPORTING AND ON COMPLIANCE AND OTHER MATTERS BASED ON AN AUDIT OF FINANCIAL STATEMENTS PERFORMED IN ACCORDANCE WITH GOVERNMENT AUDITING STANDARDS

The Board of Regents
University of Guam:

We have audited the financial statements of the University of Guam (the University) and its discretely presented component unit, collectively a component unit of the Government of Guam, as of and for the year ended September 30, 2012, and which collectively comprise its basic financial statements and have issued our report thereon dated _____, 2013. We conducted our audit in accordance with auditing standards generally accepted in the United States of America and the standards applicable to financial audits contained in *Government Auditing Standards*, issued by the Comptroller General of the United States.

Internal Control Over Financial Reporting

Management of the University is responsible for establishing and maintaining effective internal control over financial reporting. In planning and performing our audit, we considered the University's internal control over financial reporting as a basis for designing our auditing procedures for the purpose of expressing our opinions on the financial statements, but not for the purpose of expressing an opinion on the effectiveness of the University's internal control over financial reporting. Accordingly, we do not express an opinion on the effectiveness of the University's internal control over financial reporting.

A *deficiency in internal control* exists when the design or operation of a control does not allow management or employees, in the normal course of performing their assigned functions, to prevent, or detect and correct misstatements on a timely basis. A *material weakness* is a deficiency, or a combination of deficiencies, in internal control such that there is a reasonable possibility that a material misstatement of the entity's financial statements will not be prevented, or detected and corrected on a timely basis.

Our consideration of internal control over financial reporting was for the limited purpose described in the first paragraph of this section and was not designed to identify all deficiencies in internal control over financial reporting that might be deficiencies, significant deficiencies or material weaknesses. We did not identify any deficiencies in internal control over financial reporting that we consider to be material weaknesses, as defined previously. However, we identified certain deficiencies in internal control over financial reporting, described in the accompanying Schedule of Findings and Questioned Costs (pages 16 through 22) as item 2012-01, that we consider to be significant deficiencies in internal control over financial reporting. A *significant deficiency* is a deficiency, or a combination of deficiencies, in internal control that is less severe than a material weakness, yet important enough to merit attention by those charged with governance.

Compliance and Other Matters

As part of obtaining reasonable assurance about whether the University's financial statements are free of material misstatement, we performed tests of its compliance with certain provisions of laws, regulations, contracts, and grant agreements, noncompliance with which could have a direct and material effect on the determination of financial statement amounts. However, providing an opinion on compliance with those provisions was not an objective of our audit and, accordingly, we do not express such an opinion. The results of our tests disclosed no instances of noncompliance or other matters that are required to be reported under *Government Auditing Standards*.

We noted certain matters that we reported to management of the University in a separate letter dated _____, 2013.

The University's response to the findings identified in our audit are described in the accompanying Schedule of Findings and Questioned Costs. We did not audit the University's response and, accordingly, we express no opinion on it.

This report is intended solely for the information and use of management, the Board of Regents, others within the entity, the Office of Public Accountability - Guam, federal awarding agencies, pass-through entities, and the cognizant audit and other federal agencies and is not intended to be and should not be used by anyone other than these specified parties. However, this report is also a matter of public record.

_____, 2013

INDEPENDENT AUDITORS' REPORT ON COMPLIANCE WITH REQUIREMENTS THAT COULD HAVE A DIRECT AND MATERIAL EFFECT ON EACH MAJOR PROGRAM AND ON INTERNAL CONTROL OVER COMPLIANCE IN ACCORDANCE WITH OMB CIRCULAR A-133 AND ON THE SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS

The Board of Regents
University of Guam:

Compliance

We have audited the University of Guam's (the University) compliance with the types of compliance requirements described in the *U.S. Office of Management and Budget (OMB) Circular A-133 Compliance Supplement* that could have a direct and material effect on each of the University's major federal programs for the year ended September 30, 2012. The University's major federal programs are identified in the summary of auditors' results section of the accompanying Schedule of Findings and Questioned Costs (pages 16 through 22). Compliance with the requirements of laws, regulations, contracts, and grants applicable to each of its major federal programs is the responsibility of the University's management. Our responsibility is to express an opinion on the University's compliance based on our audit.

We conducted our audit of compliance in accordance with auditing standards generally accepted in the United States of America; the standards applicable to financial audits contained in *Government Auditing Standards*, issued by the Comptroller General of the United States; and OMB Circular A-133, *Audits of States, Local Governments, and Non-Profit Organizations*. Those standards and OMB Circular A-133 require that we plan and perform the audit to obtain reasonable assurance about whether noncompliance with the types of compliance requirements referred to above that could have a direct and material effect on a major federal program occurred. An audit includes examining, on a test basis, evidence about the University's compliance with those requirements and performing such other procedures as we considered necessary in the circumstances. We believe that our audit provides a reasonable basis for our opinion. Our audit does not provide a legal determination of the University's compliance with those requirements.

As described in items 2012-02 and 2012-03 in the accompanying Schedule of Findings and Questioned Costs, the University did not comply with requirements regarding equipment and real property management that are applicable to its CFDA 84.397 State Fiscal Stabilization Fund – Government Services Fund major program and requirements regarding subrecipient monitoring that are applicable to its CFDA 93.824 Area Health Education Centers Infrastructure Development Awards major program. Compliance with such requirements is necessary, in our opinion, for the University to comply with requirements applicable to those programs.

In our opinion, except for the noncompliance described in the preceding paragraph, the University complied, in all material respects, with the compliance requirements referred to above that could have a direct and material effect on each its major federal programs for the year ended September 30, 2012.

Internal Control Over Compliance

Management of the University is responsible for establishing and maintaining effective internal control over compliance with the requirements of laws, regulations, contracts, and grants applicable to federal programs. In planning and performing our audit, we considered the University's internal control over compliance with the requirements that could have a direct and material effect on a major federal program to determine the auditing procedures for the purpose of expressing our opinion on compliance, and to test and report on internal control over compliance in accordance with OMB Circular A-133, but not for the purpose of expressing an opinion on the effectiveness of internal control over compliance. Accordingly, we do not express an opinion on the effectiveness of the University's internal control over compliance.

Our consideration of internal control over compliance was for the limited purpose described in the preceding paragraph and was not designed to identify all deficiencies in internal control over compliance that might be significant deficiencies or material weaknesses and therefore, there can be no assurance that all deficiencies, significant deficiencies, or material weaknesses have been identified. However, as discussed below, we identified certain deficiencies in internal control over compliance that we consider to be material weaknesses.

A deficiency in internal control over compliance exists when the design or operation of a control over compliance does not allow management or employees, in the normal course of performing their assigned functions, to prevent, or detect and correct, noncompliance with a type of compliance requirement of a federal program on a timely basis. *A material weakness in internal control over compliance* is a deficiency, or combination of deficiencies, in internal control over compliance, such that there is reasonable possibility that material noncompliance with a type of compliance requirement of a federal program will not be prevented, or detected and corrected, on a timely basis. We consider the deficiencies in internal control over compliance described in the accompanying Schedule of Findings and Questioned Costs as items 2012-02 and 2012-03 to be material weaknesses.

Schedule of Expenditures of Federal Awards

We have audited the financial statements of the University of Guam (the University) and its discretely presented component unit, collectively a component unit of the Government of Guam, as of and for the year ended September 30, 2012, and which collectively comprise the basic financial statements and have issued our report thereon dated _____, 2013, which contained an unqualified opinion on those financial statements. Our audit was conducted for the purpose of forming our opinions on the financial statements that collectively comprise the University's financial statements. The accompanying Schedule of Expenditures of Federal Awards (pages 6 through 13) is presented for purposes of additional analysis as required by OMB Circular A-133 and is not a required part of the financial statements. Such information is the responsibility of management and was derived from and relates directly to the underlying accounting and other records used to prepare the financial statements. The information has been subjected to the auditing procedures applied in the audit of the financial statements and certain additional procedures, including comparing and reconciling such information directly to the underlying accounting and other records used to prepare the financial statements or to the financial statements themselves, and other additional procedures in accordance with auditing standards generally accepted in the United States of America. In our opinion, the Schedule of Expenditures of Federal Awards is fairly stated in all material respects in relation to the financial statements as a whole.

The University's responses to the findings identified in our audit are described in the accompanying Schedule of Findings and Questioned Costs. We did not audit the University's responses, and accordingly, we express no opinion on the responses.

This report is intended solely for the information and use of management, the Board of Regents, others within the entity, the Office of Public Accountability - Guam, federal awarding agencies, pass-through entities, and the cognizant audit and other federal agencies and is not intended to be and should not be used by anyone other than these specified parties. However, this report is also a matter of public record.

_____, 2013

UNIVERSITY OF GUAM

Summary Schedule of Expenditures of Federal Awards, by Grantor
Year Ended September 30, 2012

<u>Federal Grantor Agency</u>	<u>Expenditures</u>
U.S. Department of Agriculture	\$ 4,875,532
U.S. Department of Commerce	873,247
U.S. Department of Defense	529,159
U.S. Department of the Interior	1,272,935
U.S. Department of Justice	77,007
U.S. Department of Labor	183,826
U.S. Department of Transportation	43
National Endowment for the Humanities	108,582
National Science Foundation	168,405
Small Business Administration	1,030,137
U.S. Department of Energy	755,800
U.S. Department of Education	30,551,265
U.S. Department of Health and Human Services	4,904,541
Corporation for National and Community Service	<u>365,305</u>
Grand Total	<u>\$ 45,695,784</u>
Reconciliation to the basic financial statements:	
Operating expenses	\$ 40,694,251
Capital asset additions	6,528,416
Indirect cost allocation	(1,422,340)
Program income	<u>(104,543)</u>
	<u>\$ 45,695,784</u>

See accompanying notes to Schedule of Expenditures of Federal Awards.

UNIVERSITY OF GUAM

Schedule of Expenditures of Federal Awards
Year Ended September 30, 2012

Federal CFDA #	Federal Grantor/Program Title	Expenditures
Direct from U.S. Department of Agriculture:		
10.025	Plant and Animal Disease, Pest Control, and Animal Care	\$ 477,061
10.200	Grants for Agricultural Research, Special Research Grants	353,626
10.202	Cooperative Forestry Research	44,236
10.203	Payments to Agricultural Experiment Stations Under the Hatch Act	1,138,728
10.308	Resident Instruction Grants for Insular Area Activities	652,067
10.500	Cooperative Extension Service	1,143,507
10.678	Forest Stewardship Program	23,353
10.680	Forest Health Protection	5,428
10.688	ARRA Recovery Act of 2009: Wildland Fire Management	17,855
10.783	ARRA Rural Business Enterprise Grants - ARRA	4,371
10.912	Environmental Quality Incentives Program - ANR USDA (CIG)	113,309
	Subtotal Direct Programs	<u>3,973,541</u>
Pass-through from Government of Guam Department of Agriculture:		
10.025	Plant and Animal Disease, Pest Control, and Animal Care	125,359
10.170	Specialty Crop Block Grant Program - Farm Bill	4,798
Pass-through from Center for Tropical and Subtropical Agriculture:		
10.200	Grants for Agricultural Research, Special Research Grants	32,659
Pass-through from University of Hawaii:		
10.200	Grants for Agricultural Research, Special Research Grants	24,916
10.310	Agriculture and Food Research Initiative (AFRI)	526,653
10.206	Grants for Agricultural Research: Competitive Research Grants	2,647
10.500	Cooperative Extension Service	17,461
Pass-through from Utah State University:		
10.215	Sustainable Agriculture Research and Education	124,776
10.500	Cooperative Extension Service	487
Pass-through from University of Arizona:		
10.303	Integrated Programs	17,257
Pass-through from Kansas State University:		
10.500	Cooperative Extension Service	<u>24,978</u>
	Subtotal Pass-Through Programs	<u>901,991</u>
	U.S. Department of Agriculture Total	<u>\$ 4,875,532</u>

See accompanying notes to Schedule of Expenditures of Federal Awards.

UNIVERSITY OF GUAM

Schedule of Expenditures of Federal Awards, Continued
Year Ended September 30, 2012

Federal CFDA #	Federal Grantor/Program Title	Expenditures
Direct from U.S. Department of Commerce:		
11.307	Economic Adjustment Assistance (Pacific Center for Economic Initiatives)	\$ 130,822
11.417	Sea Grant Support	189,083
11.426	Financial Assistance for National Centers for Coastal Ocean Science	420,196
11.452	Unallied Industry Projects	59,314
11.463	Habitat Conservation	4,438
	Subtotal Direct Programs	<u>803,853</u>
Pass-through from Government of Guam Bureau of Statistics and Planning:		
11.307	Economic Adjustment Assistance (Pacific Center for Economic Initiatives)	15,760
11.426	Financial Assistance for National Centers for Coastal Ocean Science	32,298
11.482	Coral Reef Conservation Program	4,251
Pass-through from University of Hawaii at Manoa:		
11.431	Climate and Atmospheric Research	5,285
11.432	NOAA and Cooperative Institutes	11,800
	Subtotal Pass-Through Programs	<u>69,394</u>
	U.S. Department of Commerce Total	<u>\$ 873,247</u>
Direct from the U.S. Department of Defense:		
12.002	Procurement Technical Assistance for Business Firms	\$ 271,424
12.116	Department of Defense Appropriation Act of 2003	16,284
12.301	Basic and Applied Scientific Research	144,481
12.335	Navy Command, Control, Communications, Computers, Intelligence Surveillance, and Reconnaissance	74,184
	Subtotal Direct Programs	<u>506,373</u>
Pass-through from University of Illinois - Chicago:		
12.615	Research and Technical Assistance	22,786
	U.S. Department of Defense Total	<u>\$ 529,159</u>

See accompanying notes to Schedule of Expenditures of Federal Awards.

UNIVERSITY OF GUAM

Schedule of Expenditures of Federal Awards, Continued
Year Ended September 30, 2012

Federal CFDA #	Federal Grantor/Program Title	Expenditures
	Direct from U.S. Department of the Interior:	
15.650	Research Grants	\$ 49,278
15.805	Assistance to State Water Resources Research Institutes	296,947
15.875	Economic, Social and Political Development of the Territories	593,879
15.945	Cooperative Research and Training Programs Resources of the National Park System	55,006
15.DAV	Cooperative Ecosystem System Studies Unit Awards	<u>42,284</u>
	Subtotal Direct Programs	1,037,394
	Pass-through from Government of Guam Department of Agriculture:	
15.605	Sport Fish Restoration Program	64,925
	Pass-through from Government of Guam Bureau of Statistics and Planning:	
15.875	Economic, Social and Political Development of the Territories	140,859
15.808	U.S. Geological Survey - Research and Data Acquisition	<u>29,757</u>
	Subtotal Pass-Through Programs	<u>235,541</u>
	U.S. Department of the Interior Total	<u>\$ 1,272,935</u>
	Direct from the U.S. Department of Justice:	
16.525	Grants to Reduce Domestic Violence, Dating Violence, Sexual Assault, and Stalking on Campus	<u>\$ 77,007</u>
	U.S. Department of Justice Total	<u>\$ 77,007</u>
	U.S. Department of Labor:	
	Pass-through from Government of Guam Department of Labor:	
17.260	WIA Dislocated Workers	<u>\$ 183,826</u>
	U.S. Department of Labor Total	<u>\$ 183,826</u>
	U.S. Department of Transportation:	
	Pass-through from the Research Corporation of the University of Hawaii:	
20.761	Biobased Transportation Research	<u>\$ 43</u>
	U.S. Department of Transportation Total	<u>\$ 43</u>

See accompanying notes to Schedule of Expenditures of Federal Awards.

UNIVERSITY OF GUAM

Schedule of Expenditures of Federal Awards, Continued
Year Ended September 30, 2012

Federal CFDA #	Federal Grantor/Program Title	Expenditures
	Direct from National Endowment for the Humanities:	
45.312	National Leadership Grants	\$ <u>108,582</u>
	National Endowment for the Humanities Total	\$ <u><u>108,582</u></u>
	Direct from National Science Foundation:	
47.050	Astronomical, Atmospheric, Earth and Ocean Sciences	\$ 50,655
47.074	Biological Sciences	<u>117,750</u>
	National Science Foundation Total	\$ <u><u>168,405</u></u>
	Direct from Small Business Administration:	
59.037	Small Business Development Centers	\$ 836,527
59.XXX	Center Registration for Economic Development	35,298
59.044	Veterans Business Development	<u>158,312</u>
	Small Business Administration Total	\$ <u><u>1,030,137</u></u>
	U.S. Department of Energy:	
	Pass-through from Guam Energy Office:	
81.041	81.041A State Energy Program - ARRA ARRA State Energy Program	\$ <u>755,800</u>
	U.S. Department of Energy Total	\$ <u><u>755,800</u></u>

See accompanying notes to Schedule of Expenditures of Federal Awards.

UNIVERSITY OF GUAM

Schedule of Expenditures of Federal Awards, Continued
Year Ended September 30, 2012

Federal CFDA #	Federal Grantor/Program Title	Expenditures
Direct from U.S. Department of Education:		
84.007	Federal Supplemental Educational Opportunity Grant	\$ 140,858
84.031	Higher Education_Institution Aid	245,185
84.032	Federal Family Education Loans	67,532
84.033	Federal Work-Study Program	383,646
84.063	Federal Pell Grant Program	6,460,944
84.042	TRIO-Student Support Service	255,789
84.044	TRIO-Talent Search	316,249
84.047	TRIO-Upward Bound	349,328
84.116	Fund for the Improvement of Postsecondary Education	73,601
84.195	Bilingual Education: Professional Development	260,159
84.224	Assistive Technology	128,924
84.268	Federal Direct Student Loans	8,594,957
84.325	Special Education - Personnel Development to Improve Services and Results for Children with Disabilities	253,835
84.373	Special Education-Technical Assistance on State Data Collection	388,032
84.375	Academic Competitiveness Grants	66,500
84.397	ARRA State Fiscal Stabilization Fund (SFSF) - Government Services Fund	12,455,137
	Subtotal Direct Program	<u>30,440,676</u>
Pass-through from Guam Department of Education and Federated States of Micronesia:		
84.215	GPSS Project Menhalom	9,244
84.402	Consolidated Grants to the Outlying Areas, Recovery Act	21,342
84.403	Consolidating Grant to the Outside Area	79,625
Pass-through from California State University:		
84.326	Special Education Technical Assistance and Dissemination to Improve Services and Results for Children with Disabilities	<u>378</u>
	Subtotal Pass-Through Programs	<u>110,589</u>
	U.S. Department of Education Total	<u><u>\$ 30,551,265</u></u>

See accompanying notes to Schedule of Expenditures of Federal Awards.

UNIVERSITY OF GUAM

Schedule of Expenditures of Federal Awards, Continued
Year Ended September 30, 2012

Federal CFDA #	Federal Grantor/Program Title	Expenditures
Direct from U.S. Department of Health and Human Services:		
93.110	Maternal and Child Health Federal Consolidated Programs	\$ 114,992
93.243	Substance Abuse and Mental Health Services - Projects of Regional and National Significance	6,283
93.251	Universal Newborn Hearing Screening	192,336
93.283	The Affordable Care Act: Centers for Disease Control and Prevention - Investigations and Technical Assistance	139,508
93.397	Cancer Centers Support	1,109,800
93.631	Developmental Disabilities Projects of National Significance	212,500
93.632	University Centers for Excellence in Developmental Disabilities Education, Research and Service	521,241
93.824	Area Health Education Centers Infrastructure Development Awards	1,482,350
93.708	ARRA - Head Start	245,679
93.847	Diabetes, Digestive, and Kidney Diseases Extramural Research	25,672
93.859	ARRA Pharmacology, Physiology, and Biological Chemical Research	45,402
93.887	Health Care and Other Facilities	<u>226,182</u>
	Subtotal Direct Programs	4,321,945
Pass-through from Government of Guam Department of Public Health and Social Services:		
93.052	National Family Caregiver Support, Title III, Part E	72,854
93.104	Comprehensive Community Mental Health Services for Children with Serious Emotional Disturbances	330,314
93.505	Affordable Care Act (ACA) Maternal, Infant, and Early Childhood Home Visiting Program	89,165
Pass-through from Hawaii MCH Lend Program:		
93.110	Maternal and Child Health Federal Consolidated Programs	37,869
Pass-through from the Research Corps of the University of Hawaii:		
93.283	The Affordable Care Act: Centers for Disease Control and Prevention - Investigations and Technical Assistance	<u>52,394</u>
	Subtotal Pass-Through Programs	<u>582,596</u>
	U.S. Department of Health and Human Services Total	<u>\$ 4,904,541</u>

See accompanying notes to Schedule of Expenditures of Federal Awards.

UNIVERSITY OF GUAM

Schedule of Expenditures of Federal Awards, Continued
Year Ended September 30, 2012

Federal CFDA #	Federal Grantor/Program Title	Expenditures
	Corporation for National and Community Service:	
94.006	Pass-through from Government of Guam Department of Labor: Americorps	<u>365,305</u>
	Corporation for National and Community Service Total	<u>\$ 365,305</u>
	Grand Total	<u>\$ 45,695,784</u>

See accompanying notes to Schedule of Expenditures of Federal Awards.

**UNIVERSITY OF GUAM
(A COMPONENT UNIT OF THE GOVERNMENT OF GUAM)**

Notes to Schedule of Expenditures of Federal Awards
Year Ended September 30, 2012

(1) Scope of Audit

The University of Guam (the University) is a component unit of the Government of Guam created by Public Law 13-194, "The Higher Education Act," which became effective on November 3, 1976 as an autonomous agency of the Government of Guam. Only the federal expenditures of the University are included within the scope of the OMB Circular A-133 audit (the "Single Audit").

Programs Subject to Single Audit

The Schedule of Expenditures of Federal Awards presents each Federal program related to the following agencies:

- U.S. Department of Agriculture
- U.S. Department of Commerce
- U.S. Department of Defense
- U.S. Department of the Interior
- U.S. Department of Justice
- U.S. Department of Labor
- U.S. Department of Transportation
- National Endowment for the Humanities
- National Science Foundation
- Small Business Administration
- U.S. Department of Energy
- U.S. Department of Education
- U.S. Department of Health and Human Services
- Corporation for National and Community Service

(2) Summary of Significant Accounting Policies

Basis of Accounting

The accompanying Schedule of Expenditures of Federal Awards includes the federal grant activity of the University and is presented on the accrual basis of accounting, consistent with the manner in which the University maintains its accounting records. The information in this schedule is presented in accordance with the requirements of OMB Circular A-133. All expenses and capital outlays are reported as expenditures.

The University recognizes contributions from the federal government when qualifying expenditures are incurred, and expenditures are recognized on the accrual basis of accounting.

(3) American Recovery and Reinvestment Act of 2009 (ARRA)

In February 2009, the Federal Government enacted the American Recovery and Reinvestment Act of 2009 (ARRA). As of September 30, 2012, the University's grant award notification and expenditures are as follows:

**UNIVERSITY OF GUAM
(A COMPONENT UNIT OF THE GOVERNMENT OF GUAM)**

Notes to Schedule of Expenditures of Federal Awards
Year Ended September 30, 2012

(3) American Recovery and Reinvestment Act of 2009 (ARRA), Continued

	<u>Grant Amount</u>	<u>FY 2012 Expenditures</u>
10.688 Recovery Act of 2009: Wildland Fire Management	\$ 182,000	\$ 17,855
10.783 Rural Business Enterprise Grants - ARRA	100,000	4,371
81.041 State Energy Program	2,516,085	755,800
84.397 State Fiscal Stabilization Fund (SFSF) – Government Services Fund	16,575,000	12,455,137
93.859 Pharmacology, Physiology and Biological Chemical Research	400,203	45,402
93.708 ARRA - Head Start	664,277	245,679

**UNIVERSITY OF GUAM
(A COMPONENT UNIT OF THE GOVERNMENT OF GUAM)**

Schedule of Findings and Questioned Costs
Year Ended September 30, 2012

Part I - Summary of Auditors' Results Section

Financial Statements

- | | |
|--|-------------|
| 1. Type of auditors' report issued: | Unqualified |
| Internal control over financial reporting: | |
| 2. Material weakness(es) identified? | No |
| 3. Significant deficiency(ies) identified? | Yes |
| 4. Noncompliance material to financial statements noted? | No |

Federal Awards

- | | |
|---|---|
| Internal control over major programs: | |
| 5. Material weakness(es) identified? | Yes |
| 6. Significant deficiency(ies) identified? | None reported |
| 7. Type of auditors' report issued on compliance for major programs: | |
| Student Financial Assistance Cluster | Unqualified |
| CFDA # 84.397 | Qualified |
| CFDA # 93.824 | Qualified |
| 8. Any audit findings disclosed that are required to be reported in accordance with section 510(a) of OMB Circular A-133? | Yes |
| 9. Identification of major programs: | |
| <u>CFDA Number</u> | <u>Name of Federal Program</u> |
| 84.007, 84.032, 84.033,
84.063, 84.268, 84.375
84.397
93.824 | Student Financial Assistance Cluster
State Fiscal Stabilization Fund (SFSF) – Government Services
Area Health Education Centers Infrastructure Development Awards |
| 10. Dollar threshold used to distinguish between Type A and Type B Programs: | \$1,370,874 |
| 11. Auditee qualified as low-risk auditee? | No |

Part II – Financial Statement Findings Section

<u>Finding Number</u>	<u>Finding</u>
2012-1	Coordination among Finance Office, Plant Facilities Office and the Project Management Support Contractor in Monitoring of Construction in Progress

**UNIVERSITY OF GUAM
(A COMPONENT UNIT OF THE GOVERNMENT OF GUAM)**

Schedule of Findings and Questioned Costs, Continued
Year Ended September 30, 2012

Part III – Federal Award Findings and Questioned Costs Section

<u>Finding Number</u>	<u>CFDA Number</u>	<u>Finding</u>	<u>Questioned Cost</u>
2012-2	84.397	Equipment and Real Property	\$0
2012-3	93.824	Subrecipient Monitoring	\$0

**UNIVERSITY OF GUAM
(A COMPONENT UNIT OF THE GOVERNMENT OF GUAM)**

Schedule of Findings and Questioned Costs, Continued
Year Ended September 30, 2012

Finding No.: 2012-01
Area: Coordination among Finance Office, Plant Facilities Office and the Project Management Support Contractor in Monitoring of Construction in Progress

Criteria: An effective system of internal control includes policies and procedures related to periodic monitoring of capital project status that includes coordination between project management and the finance and accounting personnel.

Condition: Procedures in place on Project Management and collective monitoring of capital project status throughout the construction period were not adhered in relation to the following matters:

- Items to be expensed or capitalized;
- Documentation supporting significant change orders;
- Status or percentage of completion.

Cause: The cause of the above condition is lack of adherence to established Project Management procedures to process, track and document capital projects transactions.

Effect: The effect of the above condition is a potential misstatement of capitalized assets and related expenses.

Recommendation: The University should consider adherence to established Project Management procedures and conduct periodic reviews of capital project status, e.g. on a quarterly basis. Monitoring procedures should include regular meetings between plant facilities and finance personnel.

Auditee Response and Corrective Action Plan:

Name and job title of responsible personnel: Vice President of Administration and Finance (VPAF)

Corrective procedures and date of performance:

We concur. Project Management Procedures: The University shall review and enhance its Project Control Checklist. A Quarterly CIP Status Report will be prepared by the Chief Plant and Facilities Officer (CPFO), including information related to estimated cost, funding source, contract, change orders, and percentage of completion. Timeline: First report within 20 working days of 31 March 2013 to be submitted to VPAF and Comptroller, thereafter within 20 working days of each quarter end. Monitoring Procedures: VPAF will conduct a quarterly coordination meeting attended by Comptroller's Office and Plant & Facilities Office to review the Quarterly CIP Status Report, ensure that capitalization is correctly captured, and monitor that change orders are properly documented and executed. Timeline: First meeting on 30 April 2013, thereafter by end of month following each quarter.

**UNIVERSITY OF GUAM
(A COMPONENT UNIT OF THE GOVERNMENT OF GUAM)**

Schedule of Findings and Questioned Costs, Continued
Year Ended September 30, 2012

Finding No.: 2012-02
Federal Agency: U.S. Department of Education
CFDA Program: 84.397 State Fiscal Stabilization Fund (SFSF) – Government Services Fund
Area: Equipment and Real Property Management
Questioned Costs: \$0

Criteria: In accordance with applicable equipment management requirements, procedures for managing equipment, whether acquired in whole or in part with grant funds, until disposition takes place will, at a minimum, meet the following requirements:

- Equipment records shall be maintained accurately and shall include a description of the property, manufacturer's serial number or other identification number, the source of the equipment, including the award number, whether title vests in the recipient or the Federal Government, the acquisition date and cost of the property, percentage of Federal participation in the cost of the equipment, the location, use and condition of the property, and any ultimate disposition data including the date of disposal and sale price of the property.
- A physical inventory of equipment must be taken and the results reconciled with the equipment records at least once every two years.
- A control system must be developed to ensure adequate safeguards to prevent loss, damage, or theft of the property. Any loss, damage, or theft shall be investigated.

Condition: Tests of equipment and real property noted the following:

1. The property listing provided by the program office does not include percentage of Federal participation in the cost of the property and any ultimate disposition data including the date of disposal and sale price of the property.
2. There is no documentation that a complete physical inventory of equipment and property and reconciliation with Procurement and Supply Management records was performed over the last two fiscal years. We were subsequently provided an inventory dated January 31, 2013.

Cause: The cause of the above condition is the lack of timely physical inventories of property and equipment.

Effect: The effect of the above condition is potential noncompliance with the applicable equipment management requirements. No questioned cost is presented at this finding due to our inability to assess the cumulative dollar amount of property and equipment acquired with program grant funds.

Recommendation: We recommend that the University perform timely physical inventories and comply with applicable property management policies and procedures.

**UNIVERSITY OF GUAM
(A COMPONENT UNIT OF THE GOVERNMENT OF GUAM)**

Schedule of Findings and Questioned Costs, Continued
Year Ended September 30, 2012

Finding No.: 2012-02, Continued
Federal Agency: U.S. Department of Education
CFDA Program: 84.397 State Fiscal Stabilization Fund (SFSF) – Government Services Fund
Area: Equipment and Real Property Management
Questioned Costs: \$0

Auditee Response and Corrective Action Plan:

Name and job title of responsible personnel: Comptroller and Supply Management Administrator (SMA)

Corrective procedures and date of performance:

Condition 1: We concur. It is important to note that the University's Colleague General Ledger System (CGLS) records the cost allocation of Federal and local participation for each property that is capitalized. The University's inventory module, a separate software independent of the CGLS, also records property information to include the cost, location (unit), purchase order number, condition, description (includes serial number), and tag number. However, the current inventory module does not track the percentage of Federal participation. On property listing changes in our inventory module, the Computer Center will expand the inventory module to include additional fields to capture the cost allocation between Federal and local funding sources, the dollar value of any asset sale, and the date of disposal. If current system modifications are not possible, the eWorks Project Office will assess other Colleague system solutions. Timeline: Inventory module software modifications by 30 April 2013. If not, implementation of new system solution targeted by 30 August 2013.

Condition 2. We concur. The SMA is directed to ensure timely completion of physical inventory by the end of August of each year. An inventory report shall be submitted to the Property Accountant by the end of each fiscal year to ensure timely recording and reconciliation of inventory items at the close of the fiscal year's general ledger system. Timeline: Physical inventory completed annually by the end of August.

**UNIVERSITY OF GUAM
(A COMPONENT UNIT OF THE GOVERNMENT OF GUAM)**

Schedule of Findings and Questioned Costs, Continued
Year Ended September 30, 2012

Finding No.: 2012-03
 Federal Agency: U.S. Department of Health and Human Services
 CFDA Program: 93.824 Area Health Education Centers Infrastructure Development Awards
 Area: Subrecipient Monitoring
 Questioned Costs: \$0

Criteria: OMB Circular A-133 states that a pass-through entity is responsible to monitor subrecipient audits by: (1) ensuring that subrecipients expending \$500,000 or more in Federal awards during the subrecipient’s fiscal year for fiscal years ending after December 31, 2003 as provided in OMB Circular A-133 have met the audit requirements of OMB Circular A-133 and that the required audits are completed within 9 months of the end of the subrecipient’s audit period; (2) issuing a management decision on audit findings within 6 months after receipt of the subrecipient’s audit report; and (3) ensuring that the subrecipient takes timely and appropriate corrective action on all audit findings. In cases of continued inability or unwillingness of a subrecipient to have the required audits, the pass-through entity shall take appropriate action using sanctions.

Condition: The program’s subrecipient monitoring activities do not include established policies and procedures that will determine and verify that subrecipients are in compliance with OMB Circular A-133. Our examination noted that the program did not obtain copies of independent auditors’ reports from its subrecipients, and program personnel were not aware whether the subrecipients were being audited. Further, the program does not perform verification procedures of subrecipient matching documentation. Total expenditure reimbursements to the subrecipients for the year ended September 30, 2012 follows:

<u>Subrecipient Reference Number</u>	<u>Total Expenditures</u>
55973	\$394,827
82995	\$427,650
60716	\$481,720

Cause: The cause of the above condition is lack of program office monitoring procedures that include verification of compliance with OMB A-133 and lack of training by program personnel.

Effect: The effect of the above condition is noncompliance with subrecipient monitoring; however, no questioned costs result as we are aware that the program’s subrecipients are being audited.

Recommendation: We recommend that the University strengthen subrecipient monitoring control activities to include procedures that will determine whether subrecipients adhere with applicable OMB A-133.

**UNIVERSITY OF GUAM
(A COMPONENT UNIT OF THE GOVERNMENT OF GUAM)**

Schedule of Findings and Questioned Costs, Continued
Year Ended September 30, 2012

Finding No.: 2012-03, Continued
Federal Agency: U.S. Department of Health and Human Services
CFDA Program: 93.824 Area Health Education Centers Infrastructure Development Awards
Area: Subrecipient Monitoring
Questioned Costs: \$0

Auditee Response and Corrective Action Plan:

Name and job title of responsible personnel: Assistant Vice President of Graduate Studies, Sponsored programs and Research (AVP)

Corrective procedures and date of performance:

We concur. The Office of Sponsored Programs (OSP) and Compliance Consultant will conduct regular principal investigator and grant program manager training on grants management, compliance, and monitoring to include a specific module on Sub-Recipient Monitoring Compliance. OSP will develop and implement a centralized process to monitor the University's Grants Compliance requirements. OSP will soon implement monitoring templates such as a Subrecipient Monitoring Questionnaire and the Subrecipient Commitment Form that will be required from each grant's program managers. Timeline: Training will be ongoing: initial PI training is 6 March 2013 and subrecipient monitoring training will be during April-May 2013. Subrecipient monitoring process and forms by 30 April 2013.

**UNIVERSITY OF GUAM
(A COMPONENT UNIT OF THE GOVERNMENT OF GUAM)**

Schedule of Prior Year Findings and Questioned Costs
Year Ended September 30, 2012

Summary Schedule of Prior Audit Findings

Status of audit findings included in the Schedule of Findings and Questioned Costs for the year ended September 30, 2011:

Findings relating to the financial statements, which are required to be reported in accordance with GAGAS:

None reported.

Findings and questioned costs – Major Federal Award Programs Audit

Finding No. 2011 – 1, Student Financial Assistance Cluster – Corrected.

Finding No. 2011 – 2, Student Financial Assistance Cluster – Corrected.



UNIVERSITY OF GUAM
UNIBETSEDAT GUÅHAN
Board of Regents

Resolution No. 13-05

RELATIVE TO APPROVING THE FY2014-15 GENERAL OPERATIONS BUDGETS

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

WHEREAS, the governance of the University is vested in the Board of Regents which is responsible for approving, adopting and submitting an annual budget to *I Liheslaturan Guahan*; and

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; and

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; and

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; and

WHEREAS, the University has implemented initiatives that enhance, realign and reshape the institution, strengthening its commitment to student learning, academic quality, institutional efficiency and effectiveness, revenue growth, and cost savings; and

WHEREAS, the University has developed consolidated budgets for FY14-15 focused on academic program quality, operational needs, critical vacancies, strategic growth and initiatives, and priorities associated with institutional compliance and safety issues, revenue generation, continuous improvement, and program and business support; and

WHEREAS, the University presents its FY14-15 budget requests identifying funding required for a base that is sufficiently balanced within funding levels to sustain academic quality and student learning including infrastructure support and continuing special appropriations (WERI, Hatchery, Soil Conservation); and

WHEREAS, PL 31-276 appropriated \$1.47M p.a. to the University for FY13 and FY14 in lieu of a tuition rate increase; and

WHEREAS, for FY14 the University requests an appropriation of \$27.1M for general operations; and

WHEREAS, based upon an assessment of the priority needs of the University and upon the recommendations of UPBAC and the administration, the President recommends the attached FY14 General Operations Budget, for Board approval and a preliminary FY15 budget for planning purposes; and

WHEREAS, at their February meetings, the BFIA Committee met to review the budgets and the Physical Facilities Committee met to review the capital outlay budget; and the President and these committees now recommend to the Board the attached FY14 General Operations Budget for approval and a preliminary FY15 budget for planning purposes; and

NOW, THEREFORE BE IT RESOLVED, that the University of Guam FY14 General Operations Budget (as attached) is hereby approved to be submitted to *I Mina'Trentai Dos Na Liheslaturan Guåhan* pursuant to law.

BE IT FURTHER RESOLVED, that in an effort to provide a basis for continuity of planning as consistent with best practices, the Board further submits a preliminary FY15 budget to *I Mina'Trentai Dos Na Liheslaturan Guåhan*.

Duly adopted this 28th day of February, 2013.


Dr. W. Chris Perez, Chairman

Attested:


Dr. Robert Underwood, Executive Secretary

BOR Regular Meeting_28Feb2013 (Reporting Requirement) - Reports from Standing Committees

A. General Operations Budget

SUMMARY OF GENERAL OPERATIONS BUDGET

	FY2013	FY2014	FY2015
Revenues	40,737,222	41,320,248	42,020,248
Expenses	(40,737,222)	(41,320,248)	(42,020,248)
Balance	\$ 0	\$ 0	\$ 0

Revenues

Appropriation Request -General Fund	25,688,064	26,126,849	26,710,755	\$439K increase in Appropriation request
Appropriation Request -TEFF	1,000,000	1,000,000	1,000,000	
Appropriation - Tuition PL31-276		1,470,000	1,470,000	
Tuition Fund Projected Net Revenue	12,241,158	10,905,399	11,011,493	1.5% increase in credit hour for both FA13 & SP14
Federal Matching Funds	1,508,000	1,508,000	1,508,000	
PIP Net Revenue (transfer)	300,000	310,000	320,000	
Total Revenues	40,737,222	41,320,248	42,020,248	

Expenses

Personnel Expenses				
Existing Personnel	(31,401,313)	(31,325,963)	(32,664,557)	
Savings from the transitioning of 12mo. faculty	100,000	100,000	100,000	
One month voluntary furlough for 5 administrators - estimated savings based on ave. salary	55,393			429
Institutional Effectiveness & Efficiency cost savings		1,023,386	1,023,386	
Vacant Positions	(391,158)	(738,594)	-	(1,023)
Salary Increments -2014		(225,000)	(225,000)	42
Other Personnel Cost	(594,500)	(636,000)	(636,000)	200
Subtotal Personnel Expenses	(32,231,577)	(31,802,171)	(32,402,171)	72
				<u>0</u>
Operating (Non-personnel) Expenses				
Contracts	(3,311,252)	(3,550,533)	(3,550,533)	
Supplies	(461,531)	(428,382)	(428,382)	
Equipment	(75,392)	(86,992)	(86,992)	
Accreditation	(35,000)	(35,000)	(35,000)	
Miscellaneous	(31,920)	(26,620)	(26,620)	
Utilities	(3,805,550)	(4,005,550)	(4,005,550)	200
Library & IT Priorities - Capital	(275,000)	(275,000)	(275,000)	68
Capital Outlay for repair and maintenance	(510,000)	(610,000)	(710,000)	52
Subtotal Operating (Non-personnel) Expenses	(8,505,645)	(9,018,077)	(9,118,077)	125
				<u>(0)</u>
Good to Great Initiative		(500,000)	(500,000)	100
				<u>(512,433)</u>
Total General Operations Expenses	(40,737,222)	(41,320,248)	(42,020,248)	(583,026)

General Operations Balance

B. Special Appropriations (Continuing)

Water and Environmental Research Institute			
Guam Hydrologic Survey (GHS)	182,694	182,694	182,694
Guam Comprehensive Water Monitoring Prog (CWMP)	155,626	155,626	155,626
GADTC Hatchery	125,254	125,254	125,254
Northern & Southern Soil and Water Conservation Programs	149,384	149,384	149,384
Total Special Appropriations	\$ 612,958	\$ 612,958	\$ 612,958

Note: Vacancies not approved for hire in FY13 was not brought forward in FY14 (includes the elimination of positions from 9-Maintenance, 1-HRO & 1-Bus Office) and Retroactive FY13 increments not included - est.\$600K

55 voluntary furlough not rolled over
 225 FY14 Increments
 (1,023) Institutional Effectiveness & Efficiency cost savings
 42 Increase in other personnel cost (see below)
 200 1% increase in retirement contribution
 72 Misc personnel changes (+annualized cost of FY13 vacancies, - retirements/resignations)

(512)
 200 Utility rate increase
 68 10% increase on insurance premiums
 52 Est. Additional software maintenance fee (SoftDocs & Colleague)
 125 Facility Maintenance & Repair fund for Schools/Colleges
 -33 decrease in operations budget for Pres Office & M/L
 100 increase cap outlay to \$500K from \$400K

FY14	Other Personnel Cost	FY13
200	Workers Comp, Drug Free, OT, A/L	200
15	Immigration Legal Services	15
6	403B Admin fee	14.5
5	PE - Asbestos	5
100	Promotions, Details, Merit Bonus	50
110	Recruitment	110
200	UTAC	200
<u>636</u>		<u>594.5</u>

BOR Regular Meeting_28Feb2013 (Reporting Requirement) - Reports from Standing Committees

FY14 General Operations Detail	Vac FTE	Vacant Positions	Filled FTE	PERSONNEL	CONTRACTS	SUPPLIES	EQUIP	MISC EXP	UTILITIES	CAPITAL OUTLAY	TOTALS	%
EXECUTIVE OFFICES												
President's Office	pool	137,290	5	583,507	86,000	5,000					674,507	1.63%
Integrated Marketing and Communications	-	-	1	103,579	85,200	200	3,000				191,979	0.46%
Alumni Relations Office	-	-	1	113,514	3,000						116,514	0.28%
EEO (includes ADA services)	-	-	2	144,211	21,500	2,000	3,000	200			170,911	0.41%
Legal Counsel	-	-	2	207,438	5,100	200	600				213,338	0.52%
Executive Office Expenses	0	137,290	11	1,152,248	200,800	7,400	6,600	200	-	-	1,367,248	3.31%
ACADEMIC AND STUDENT AFFAIRS												
Senior Vice President's Office	-	-	6	654,499	89,490	15,000	-	35,000			793,989	1.92%
Assessment					75,000						75,000	0.18%
Faculty Senate	-	-	1	34,695							34,695	0.08%
CEDDERS	-	-	1	214,769							214,769	0.52%
Graduate Studies	-	-	1	41,263	5,700	1,980	2,600	200			51,743	0.13%
Office of Sponsored Programs	-	-	4	334,116	5,700	1,980	2,600	200			344,596	0.83%
Micro Area Res Center (MLI, Cham Lang & Culture)	-	-	11	939,956	20,853	2,381	-	-		5,000	968,190	2.34%
Marine Lab	1	42,648	11	939,540	17,030	2,000					958,570	2.32%
Water and Environmental Research Institute	-	-	10	927,746		1,000					928,746	2.25%
Computer Center	-	-	12	860,143	512,975	18,341	3,500	-			1,394,959	3.38%
College of Natural and Applied Sciences	2	84,470	84	7,342,127	69,032	19,000	10,242	3,250			7,443,651	18.01%
College of Liberal Arts and Social Sciences	-	-	65.5	5,597,170	65,000	-	-				5,662,170	13.70%
School of Business and Public Administration	-	-	23.5	2,206,420	42,175	-	-	3,500			2,252,095	5.45%
School of Education	1	60,259	22.5	1,899,260	71,000	12,800		7,000			1,990,060	4.82%
School of Nursing	2	120,518	14.5	1,045,305	86,309	2,800	2,150				1,136,564	2.75%
UOG Library	2	85,964	19	1,314,350	205,200	-	-	-		200,000	1,719,550	4.16%
Enrollment Management & Student Services-Dean	-	-	3	223,296	6,650	1,000	1,250	-			232,196	0.56%
Career Development	1	36,409	-	-	1,900	1,000	1,500				4,400	0.01%
Student Counseling	-	-	2	179,709	1,425	1,500	850				183,484	0.44%
Student Life Office	-	-	1	62,261	-	1,000	2,700				65,961	0.16%
Admissions and Records	-	-	13	598,253	14,250	2,875		200			615,578	1.49%
Student Health	-	-	0.5	53,915	3,800	325					58,040	0.14%
Financial Aid Office	-	-	6	345,875	-	-	-				345,875	0.84%
Academic and Student Affairs Expenses	9.0	430,268	311.5	25,814,671	1,293,489	84,982	27,392	49,350	-	205,000	27,474,884	66.49%
ADMINISTRATION AND FINANCE												
Vice President's Office	-	-	3	311,902	1,750	2,000	3,000				318,652	0.77%
PIP-TADEO	-	-	2	197,418							197,418	0.48%
Comptroller's Office	1	42,648	21.35	1,202,924	182,650						1,385,574	3.35%
Facilities and Utilities	3	70,916	46.75	2,005,342	335,000	2,500	20,000				2,362,842	5.72%
Safety and Security	1	33,850	-	-	99,262	71,500					170,762	0.41%
Human Resources Office	-	-	9	560,677	10,199	10,000		12,070			592,946	1.44%
Auxiliary and Fieldhouse	0.75	23,623	2	80,779							80,779	0.20%
Administration and Finance Expenses	5.8	171,036	84.1	4,359,043	628,861	86,000	23,000	12,070	-	-	5,108,974	12.36%
Staffing Pattern												
			406.60	31,325,963								
Other Personnel Costs												
Vacancies	14.8	738,594									738,594	1.79%
Salary Increments (FY14)				225,000							225,000	0.54%
Savings from the transitioning of 12mo. faculty				(100,000)							(100,000)	-0.24%
Institutional Effectiveness & Efficiency cost savings				(1,023,386)							(1,023,386)	-2.48%
Recruitment Costs				110,000							110,000	0.27%
Other Personnel Costs				326,000							326,000	0.79%
Total Other Personnel Costs	14.8	738,594		(462,386)	-	-	-	-	-	-	276,208	0.67%
UTILITY COSTS, CAMPUS SUPPLIES AND BUILDING SAFETY IMPROVEMENTS												
Plant Maintenance (custodial/maintenance)					140,000	250,000	30,000	-		110,000	530,000	1.28%
Security Guard Services					192,050						192,050	0.46%
Property and Liability Insurance Coverage					748,333						748,333	1.81%
Academic and Research Internet Access Utility Fund										70,000	70,000	0.17%
Capital Outlay and ADA Safety Improvements										500,000	500,000	1.21%
Power									3,375,100		3,375,100	8.17%
Water / Wastewater									91,200		91,200	0.22%
Telephone									389,250		389,250	0.94%
Hazardous/Metallic Waste/Trash Removal									150,000		150,000	0.36%
Total	-	-	0	-	1,080,383	250,000	30,000	-	4,005,550	680,000	6,045,933	14.63%
Good to Great Initiative								500,000			500,000	1.21%
UTAC Priorities				200,000	347,000						547,000	1.32%
Grand Total	14.8	738,594	407	31,063,577	3,550,533	428,382	86,992	561,620	4,005,550	885,000	41,320,248	100%

FY14 Vacany List

Vacant	Department	Name	Title	Vacant Positions		
				Annual Salary	Benefits	Total Salary & Benefits
		Limited Term Pool for urgent needs		100,000	37,290	137,290
1	Foundation Educ. Research	Vacant (Fee, Julie)	ASST PROF	43,892	16,367	60,259
1	Nursing	Vacant (Dial, Myrna)	ASST PROF	43,892	16,367	60,259
1	Nursing	Vacant (Wood, Kathryn)	ASST PROF	43,892	16,367	60,259
1	Natural Sciences	Vacant (Raulerson, Lynn)	ASST PROF	43,892	16,367	60,259
1	Western Pac Tropical Res Ctr	Vacant (Borja, John)	AGR RES TECH	17,635	6,576	24,211
1	EMSS-Career Dev Office	Vacant	Program Coordinator II	26,520	9,889	36,409
1	Learning Resources	Vacant (Guerrero, Francis)	LIB TECH II	18,723	6,982	25,705
1	Learning Resources	Vacant	ASST PROF (Electronic Resources)	43,892	16,367	60,259
1	Marine Laboratory	Vacant (Wilkins, Suzanne)	LAB SAFETY MANAGER	31,064	11,584	42,648
1	Safety & Security	Vacant (Palomo, William)		24,656	9,194	33,850
0.75	Fieldhouse & Athletics	Vacant (Scott, Ruth)	ADMIN ASST	17,207	6,416	23,623
1	Af-comptrollers' Office	Vacant (So, Ermie)	ACCT III	31,064	11,584	42,648
1	Custodial Services	Vacant (Batac, J)	MAINT CUST	15,840	5,907	21,747
1	Custodial Services	Vacant (Villagomez, Edwin)	MAINT CUST	15,840	5,907	21,747
1	Preventive Maintenance	Vacant (Santos, Edgar)	CARPENTER I	19,974	7,448	27,422
14.8		Grand total		537,983	200,611	738,594

UNIVERSITY OF GUAM FY2014 Special Appropriations Fund Budget

Account Name: WERI- Guam Hydrologic Survey Signature-Dept Head: Dr. Shahram Khosrowpanah
 Account Number: 10-30-430002-R-5

Quarterly Breakdown

Revenue (Please list sources)

		Oct-Dec	Jan-Mar	Apr-June	Jul-Sept
Special Appropriation funded by the Government of Guam	182,694				
	\$ 182,694	45,673	45,673	45,674	45,674

A. SALARIES AND BENEFITS

Faculty/Research Assistant(s) Salary and Benefits	\$ 40,500	10,125	10,125	10,125	10,125
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B. TRAVEL

Name & Position of Traveler	Total				
N/A					
Justification / Notes:	Total FY14	\$ -			

C. CONTRACTUAL SERVICES

Item	Qty	Cost	Total				
Contractual services for research			60,000				
Justification / Notes:	Total FY14	\$ 60,000		15,000	15,000	15,000	15,000

D. SUPPLIES

Item	Qty	Cost	Total				
Justification / Notes:	Total FY14	\$ -					

E. EQUIPMENT: below \$5,000

Item	Qty	Cost	Total				
Computer Equipment/Software for GIS Laboratory			20,280				
Justification / Notes:	Total FY14	\$ 20,280			10,000		10,280

F. MISCELLANEOUS Expense

Item	Qty	Cost	Total				
Tuition and Fees for Research Assistants			3,000				
Justification / Notes:	Total FY14	\$ 3,000			1,500		1,500

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

Item	Qty	Cost	Total				
A/C Replacement			10,000				
Lab Equipment Replacement			30,645				
Justification / Notes:	Total FY14	\$ 40,645		10,161	10,161	10,161	10,162

H. UTILITIES: Power, Water, Telephone

Item	Total				
	Total FY14	\$ -			

I. Transfer for F & A Fees (see guidelines for more information) 10%

	\$ 18,269	4,567	4,567	4,567	4,568
Total Expenditures	\$ 182,694				
Annual Surplus (Deficit)	\$ (0)	5,820	(5,680)	5,821	(5,961)

UNIVERSITY OF GUAM FY2014 Special Appropriations Fund Budget

Account Name: WERI- Guam Comprehensive Water Monitoring Signature-Dept Head: Dr. Shahram Khosrowpanah
 Account Number: 10-30-430003-R-5

Quarterly Breakdown

Revenue (Please list sources)

		Oct-Dec	Jan-Mar	Apr-June	Jul-Sept
Special Appropriation funded by the Government of Guam	155,626				
	\$ 155,626	38,906	38,906	38,906	38,908

A. SALARIES AND BENEFITS

	\$ -				
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B. TRAVEL

Name & Position of Traveler	Total				
N/A					
Justification / Notes:	Total FY14	\$ -			

C. CONTRACTUAL SERVICES

Item	Qty	Cost	Total				
Contractual Services for research with US Geologic Survey			155,626				
Justification / Notes:	Total FY14	\$ 155,626		38,906	38,906	38,906	38,908

D. SUPPLIES

Item	Qty	Cost	Total				
Justification / Notes:	Total FY14	\$ -					

E. EQUIPMENT: below \$5,000

Item	Qty	Cost	Total				
Justification / Notes:	Total FY14	\$ -					

F. MISCELLANEOUS Expense

Item	Qty	Cost	Total				
Justification / Notes:	Total FY14	\$ -					

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

Item	Qty	Cost	Total				
Justification / Notes:	Total FY14	\$ -					

H. UTILITIES: Power, Water, Telephone

Item	Total				
	Total FY14	\$ -			

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

	\$ -				
Total Expenditures	\$ 155,626				
Annual Surplus (Deficit)	\$ -	0	0	0	0

UNIVERSITY OF GUAM FY2014 Special Appropriations

Department/Unit: Guam Aquaculture Dev. & Training Cen. Signature-Dept Head: Dr. Lee Yudin, Dean

Revenue (Please list sources)

Quarterly Breakdown

		Oct-Dec	Jan-Mar	Apr-June	Jul-Sept
Appropriation request	125,254				
	\$ 125,254	31,314	31,314	31,314	31,314

A. SALARIES AND BENEFITS

3 to 4 limited term employees	\$ 60,000	15,000	15,000	15,000	15,000
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B. OFF-ISLAND TRAVEL

Name & Position of Traveler	Total				
Justification / Notes:	Total FY14	\$ -			

C. CONTRACTUAL SERVICES

Item	Qty	Cost	Total				
Maintenance contracts: generator			2,500				
Deep water well pulls			3,600				
Pump andblower repairs			5,000				
Plumbing renovations			3,900				
Justification / Notes:	Total FY14	\$ 15,000		3,750	3,750	3,750	3,750

D. SUPPLIES

Item	Qty	Cost	Total				
Feed			28,070				
Justification / Notes:	Total FY14	\$ 28,070		7,017	7,017	7,018	7,018

E. EQUIPMENT: below \$5,000

Item	Qty	Cost	Total				
Pumps and blowers			9,000				
Justification / Notes:	Total FY14	\$ 9,000		2,250	2,250	2,250	2,250

F. MISCELLANEOUS Expense

Item	Qty	Cost	Total				
Justification / Notes:	Total FY14	\$ -					

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

Item	Qty	Cost	Total				
Justification / Notes:	Total FY14	\$ -					

H. UTILITIES: Power, Water, Telephone

Item	Total				
Power					
Telephone					
Justification / Notes:	Total FY14	\$ -			

I. Transfer for F & A Fees (see guidelines for more information) 10%

	13,184	3,296	3,296	3,296	3,296
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Annual Surplus (Deficit)	\$ -	1	1	(1)	(1)
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UNIVERSITY OF GUAM FY2014 General Operations - Budget Appendix (Form UOG BA-1)

Board Program President Program Academic Program Admin/Finance Program Student Affairs Program
 Department/Unit: Plant & Facilities Signature-Dept Head: Sonny Perez, Chief Plant & Facilities Date: _____
 President or Vice President (signature): _____ Date: _____

A. OFF-ISLAND TRAVEL (Note: Travel is NOT authorized for FY2014 General Operations Budget)

Name & Position of Traveler	Purpose of Travel	Airfare	Per Diem	Fees	Total	
n/a	n/a	n/a	n/a	n/a	\$ -	

Total Travel Approved in FY2013 \$ -
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B. CONTRACTUAL SERVICES (Note: Not to exceed prior year funding except as approved by President or Vice President)

Item	Qty	Cost	Total
Justification / Notes: _____			Total FY2014 \$ -
Approval: _____			

Total Contracts Approved in FY2013

C. SUPPLIES (Note: Not to exceed prior year funding except as approved by President or Vice President)

Item	Qty	Cost	Total
Justification / Notes: _____			Total FY2014 \$ -
Approval: _____			

Total Supplies Approved in FY2013

D. EQUIPMENT: below \$5,000 (Note: Requires President or Vice President Approval)

Item	Qty	Cost	Total
Justification / Notes: _____			Total FY2014 \$ -
Approval: _____			

Total Equipment Approved in FY2013

E. MISCELLANEOUS Expense (Note: Requires President or Vice President Approval)

Item	Qty	Cost	Total
Justification / Notes: _____			Total FY2014 \$ -
Approval: _____			

Total Misc. Exp Approved in FY2013

F. CAPITAL OUTLAY: Cost over \$5,000 - Equipment and Vehicles, All Library Acquisitions, Repairs & Renovations (Note: Requires President or Vice President Approval)

Item	Qty	Cost	Total
19/20 Interior Renovations)	Lot	20,000	20,000
Fine Arts Plumbing Infrastructure Repairs/Upgrades (Replace Existing Main Waste Line)	Lot	35,000	35,000
Main Mechanical Room)	Lot	40,000	40,000
Fieldhouse (Roll-up Door Retrofits and Replacement)	Lot	70,000	70,000
LG Building Air Conditioning System Partial Replacement	Lot	150,000	150,000
Dorm III Air Conditioning System Replacement and Window Repairs	Lot	150,000	150,000
Justification / Notes: _____			Total FY2014 \$ 500,000
Approval: _____			

Total Capital Outlay Approved in FY2013 400,000

G. UTILITIES: Power, Water, Telephone (Note: Comptroller to provide utilities budget for the Operations Budget)

Item	Qty	Cost	Total
n/a	n/a	n/a	
Justification / Notes: _____			Total FY2014 \$ -

Total Utilities Approved in FY2013 \$ -

Total	\$ 500,000
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UNIVERSITY OF GUAM
UNIBETSEDAT GUÅHAN
Board of Regents

Resolution No. 13-06

RELATIVE TO APPROVING THE FY2014 NON-APPROPRIATED FUND BUDGETS

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

WHEREAS, the Board of Regents of the University is responsible for annually approving and adopting budgets and strategic plans for non-appropriated funds that derive their revenues from self-generated funds, indirect costs, tuition revenue sharing, and fees and that meet the following guidelines: accounts that spend or plan to spend \$25,000 or more annually and accounts with salary expenses, even if the total annual expenditure level falls below \$25,000; and

WHEREAS, the University's NAF budgets are an important source of University-generated funding for the operational needs of the academic, student services and administrative departments in performance of the University mission and that the budgets focus upon the highest priorities of the academic and business plan objectives; and

WHEREAS, the Board of Regents received recommendations on areas of resource needs and opportunities of non-appropriated funds 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; and

WHEREAS, based upon an assessment of the priority needs of the University and upon recommendations of UPBAC and the administration, the President recommends the attached FY14 NAF budgets for Board approval; and

WHEREAS, the Plant and Facilities Committee has reviewed the F&A budget, the President has recommended, the Budget, Finance, Investment and Audit Committee has reviewed the budgets, and the Physical Facilities Committee has reviewed the Facilities and Administrative Support budget; and together recommend that the Board approve the following FY14 NAF budgets attached hereto:

- | | | | | |
|--|--------|-------|--|--|
| CLASS – Course Fees | | | | SBPA- IAI Strategic Initiatives |
| CLASS – Institutional Course Allowance | Course | Admin | | SBPA- Institutional Course Admin Allowance |
| CNAS – Institutional Course Allowance | Course | Admin | | SOE- Institutional Course Admin Allowance |

CNAS – Math & Computer Science Lab Fees	SON- Institutional Course Admin Allowance
CNAS – Natural Science Lab Fees	SON-Discretionary
Computer Center-Student Internet Lab Fees	SON- Lab Fees
Computer Center- IT Fees	SVP-Discretionary
Computer Center Miscellaneous	SVP-Indirect Cost
EMSS Admin Support	WERI- Water Quality
EMSS-A & R Catalog/Transcript Account	Comptroller's Office-Bursar & Business Office
EMSS- Indirect Cost	Facilities and Administrative Support (F&A)
Learning Resources- Library Acquisition	On-Line Learning Fee
Learning Resources -Student Fees	President's Development Fund
Marine Lab- Coastal Resources	

NOW, THEREFORE, BE IT RESOLVED, that the University of Guam FY2014 Non-Appropriated Funds named above and attached hereto are hereby approved and will be administered with an effective date of October 1, 2013.

Duly adopted this 28th day of February 2013.



Dr. W. Chris Perez, Chairman

Attested:



Dr. Robert A. Underwood, Executive Secretary

UNIVERSITY OF GUAM FY2014 Non-Appropriated Fund Budget

Account Name: CLASS - Course Fees Signature-Dept Head: Dr. James Sellmann, Dean CLASS

Account Number: 28-34-160017-A

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

Revenue (Please list sources)

		Oct-Dec	Jan-Mar	Apr-June	Jul-Sept
Fall 2013 (FY-2014)	60,307				
Intersession 13-14	2,988				
Spring 2014	55,207				
Summer 2014	5,518				
	\$ 124,020	36,587	32,865	31,005	23,563

A. SALARIES AND BENEFITS

Teaching Assistants, Research Assistants, Extension Associates - part-time	\$ 29,765	7,442	7,441	7,441	7,441
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B. OFF-ISLAND TRAVEL

Name & Position of Traveler	Total
N/A	
Justification / Notes:	
Total FY14	\$ -

C. CONTRACTUAL SERVICES

Item	Qty	Cost	Total
Subscriptions, dues, books			4,961
Other services			14,882
Justification / Notes:			
Total FY14		\$ 19,843	4,961 4,961 4,961 4,960

D. SUPPLIES

Item	Qty	Cost	Total
Office supplies			13,952
Instructional supplies			39,066
Other supplies and materials			2,791
Justification / Notes:			
Total FY14		\$ 55,809	19,533 13,952 13,952 8,372

E. EQUIPMENT: below \$5,000

Item	Qty	Cost	Total
Equipment for computer labs and smart classrooms			18,603
Justification / Notes:			
Total FY14		\$ 18,603	4,651 6,511 4,651 2,790

F. MISCELLANEOUS Expense

Item	Qty	Cost	Total
Justification / Notes:			
Total FY14		\$ -	

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

Item	Qty	Cost	Total
Justification / Notes:			
Total FY14		\$ -	

H. UTILITIES: Power, Water, Telephone

Item	Total
Power	
Telephone	
Total FY14	\$ -

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

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

UNIVERSITY OF GUAM FY2014 Non-Appropriated Fund Budget

Account Name: CLASS Inst. Course Admin Allowance - OPSI

Signature-Dept Head: Dr. James Sellmann, Dean CLASS

Account Number: 28-34-160013-A

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

Revenue (Please list sources)

		Oct-Dec	Jan-Mar	Apr-June	Jul-Sept
Fall 2013 (FY-2014)	178,173				
Intersession 13-14	10,409				
Spring 2014	178,881				
Summer 2014	46,512				
	\$ 413,975	103,494	190,429	62,096	57,956

A. SALARIES AND BENEFITS

Teaching Assistants, Research Assistants, Extension Associates - part-time	\$ 71,535	21,461	25,037	17,884	7,153
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B. OFF-ISLAND TRAVEL

Name & Position of Traveler	Total					
Local mileage (use of POV)	3,179					
Faculty and Student travel grants	38,947					
Professional Development - Dean's fund	37,357					
Justification / Notes:	Total FY14	\$ 79,483	15,897	23,845	23,845	15,896

C. CONTRACTUAL SERVICES

Item	Qty	Cost	Total				
Maintenance of equipment/computer			3,000				
Professional Consultant			5,000				
Ads, printing, copying			5,000				
Subscriptions, dues, books			638				
Other services			42,000				
Justification / Notes:	Total FY14	\$ 55,638	13,909	27,819	5,564	8,346	

D. SUPPLIES

Item	Qty	Cost	Total				
Instructional supplies			51,664				
Justification / Notes:	Total FY14	\$ 51,664	10,333	25,832	5,166	10,333	

E. EQUIPMENT: below \$5,000

Item	Qty	Cost	Total				
Furniture and equipment (Smart Classroom, Graphic Arts Lab, Communication Lab,			126,577				
Computer replacement - faculty, staff, administration, and musical instruments)							
Instructional equipment			12,519				
Justification / Notes:	Total FY14	\$ 139,096	34,774	83,458	6,955	13,909	

F. MISCELLANEOUS Expense

Item	Qty	Cost	Total				
Justification / Notes:	Total FY14	\$ -					

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

Item	Qty	Cost	Total				
Justification / Notes:	Total FY14	\$ -					

H. UTILITIES: Power, Water, Telephone

Item	Total				
Power					
Telephone					
Total FY14	\$ -				

I. Transfer for F & A Fees (see guidelines for more information) 4%

	\$ 16,559	4,140	7,617	2,484	2,318
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Annual Surplus (Deficit)	\$ -	2,980	(3,179)	198	1
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UNIVERSITY OF GUAM FY2014 Non-Appropriated Fund Budget

Account Name: CNAS Institutional Courses Auxiliary Budget Signature-Dept Head: Dr. Lee Yudin, CNAS
 Account Number: 28-34-200013-A5

Quarterly Breakdown

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

		Oct-Dec	Jan-Mar	Apr-June	Jul-Sept
FALL 2013	105,300				
FALL 2013 INTERSESSION	6,200				
SPRING 2014	100,000				
SUMMER 2014	32,300				
	\$ 243,800	85,330	85,330	48,760	24,380

A. SALARIES AND BENEFITS

Please attach staffing pattern - Teaching Assistants (TAs)	\$ 78,000	27,300	27,300	15,600	7,800
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B. OFF-ISLAND TRAVEL

Name & Position of Traveler		Total					
Administrator/Faculty	To attend WASC Assessment Conferences or other Assessment Conferences	37,000					
Faculty	To attend research conference especially if accepted for presentation	21,000					
Justification / Notes:		Total FY14	\$ 58,000	20,300	20,300	11,600	5,800

C. CONTRACTUAL SERVICES

Item	Qty	Cost	Total				
Data Communication			500				
Contractual Services			47,500				
Ads, printing, copying			1,050				
Subscriptions, dues, books			1,500				
Justification / Notes:		Total FY14	\$ 50,550	17,693	17,693	10,110	5,055

D. SUPPLIES

Item	Qty	Cost	Total				
Instructional Supplies			4,600				
Other Supplies & Materials			3,000				
Costodial Supplies			500				
Computers	20	1750	35,000				
Justification / Notes:		Total FY14	\$ 43,100	15,085	15,085	8,620	4,310

E. EQUIPMENT: below \$5,000

Item	Qty	Cost	Total				
Furniture & Equipment			600				
Justification / Notes:		Total FY14	\$ 600	210	210	120	60

F. MISCELLANEOUS Expense

Item	Qty	Cost	Total				
Other Instructional needs such as lab supplies, supplies for online courses, etc.			3,798				
Justification / Notes:		Total FY14	\$ 3,798	1,329	1,329	760	380

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

Item	Qty	Cost	Total				
Justification / Notes:		Total FY14	\$ -	0	0	0	0

H. UTILITIES: Power, Water, Telephone

Item	Total				
Power					
Telephone					
Justification / Notes:	Total FY14	\$ -	0	0	0

I. Transfer for F & A Fees (see guidelines for more information) 4%

	\$ 9,752	3,413	3,413	1,950	975
Annual Surplus (Deficit)	\$ -	0	0	0	0

UNIVERSITY OF GUAM FY2014 Non-Appropriated Fund Budget

Account Name: CNAS-Math/Computer Science Lab Fees Signature-Dept Head: Dr. Lee Yudin, Dean-CNAS
 Account Number: 28-34-200516-A5

Quarterly Breakdown

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

		Oct-Dec	Jan-Mar	Apr-June	Jul-Sept
FALL 2013	28,000				
FALL 2013 INTERSESSION	2,000				
SPRING 2014	26,000				
SUMMER 2014	15,000				
	\$ 71,000	24,850	24,850	14,200	7,100

A. SALARIES AND BENEFITS

Please attach staffing pattern - Teaching Assistant Salaries	\$ 50,000	15,000	15,000	15,000	5,000
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B. OFF-ISLAND TRAVEL

Name & Position of Traveler	Total					
Justification / Notes:	Total FY14	\$ -	0	0	0	0

C. CONTRACTUAL SERVICES

Item	Qty	Cost	Total				
Data Communication			1,100				
Ads, Printing, Copying			400				
Subscriptions, dues, books			500				
Other Services							
Justification / Notes:	Total FY14	\$ 2,000	700	700	400	200	

D. SUPPLIES

Item	Qty	Cost	Total				
Office Supplies			1,000				
Instructional Supplies			2,000				
Computer			14,000				
Justification / Notes:	Total FY14	\$ 17,000	5,950	5,950	3,400	1,700	

E. EQUIPMENT: below \$5,000

Item	Qty	Cost	Total				
Furniture & Equipment			1,000				
Justification / Notes:	Total FY14	\$ 1,000	350	350	200	100	

F. MISCELLANEOUS Expense

Item	Qty	Cost	Total				
Other emergency class supplies such as online course supplies			1,000				
Justification / Notes:	Total FY14	\$ 1,000	350	350	200	100	

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

Item	Qty	Cost	Total				
Justification / Notes:	Total FY14	\$ -	0	0	0	0	0

H. UTILITIES: Power, Water, Telephone

Item	Total					
Power						
Telephone						
Justification / Notes:	Total FY14	\$ -	0	0	0	0

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

		0	0	0	0
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Annual Surplus (Deficit) \$ - 2,500 2,500 (5,000) 0

UNIVERSITY OF GUAM FY2014 Non-Appropriated Fund Budget

Account Name: CNAS-Natural Science Lab Fees Signature-Dept Head: Dr. Lee Yudin, Dean-CNAS
 Account Number: 28-34-201512-A5

Quarterly Breakdown

Revenue (Please list sources)

		Oct-Dec	Jan-Mar	Apr-June	Jul-Sept
FALL 2013	28,600				
FALL 2013 INTERSESSION	2,200				
SPRING 2014	27,500				
SUMMER 2014	13,200				
	\$ 71,500	21,450	21,450	21,450	7,150

A. SALARIES AND BENEFITS

Please attach staffing pattern		0	0	0	0
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B. OFF-ISLAND TRAVEL

Name & Position of Traveler	Total				
Justification / Notes:	Total FY14	\$ -	0	0	0

C. CONTRACTUAL SERVICES

Item	Qty	Cost	Total				
Ads, Printing, Copying			1,000				
Subscriptions, dues, books			1,000				
Other Services			600				
Justification / Notes:	Total FY14	\$ 2,600	780	780	780	260	

D. SUPPLIES

Item	Qty	Cost	Total				
Office Supplies			1,100				
Instructional Supplies			60,000				
Computer			2,000				
Other Supplies & Materials			4,300				
Justification / Notes:	Total FY14	\$ 67,400	20,220	20,220	20,220	6,740	

E. EQUIPMENT: below \$5,000

Item	Qty	Cost	Total				
Furniture & Equipment			1,000				
Justification / Notes:	Total FY14	\$ 1,000	300	300	300	100	

F. MISCELLANEOUS Expense

Item	Qty	Cost	Total				
Other emergency lab supplies			500				
Justification / Notes:	Total FY14	\$ 500	150	150	150	50	

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

Item	Qty	Cost	Total				
Justification / Notes:	Total FY14	\$ -	0	0	0	0	

H. UTILITIES: Power, Water, Telephone

Item	Total				
Power					
Telephone					
Justification / Notes:	Total FY14	\$ -	0	0	0

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

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

UNIVERSITY OF GUAM FY2014 Non-Appropriated Fund Budget

Account Name: CC-Student Internet Fee Signature-Dept Head: Dr. Luan P. Nguyen
 Account Number: 28-34-640012-A

Quarterly Breakdown

Revenue (Please list sources)

		Oct-Dec	Jan-Mar	Apr-June	Jul-Sept
Student Internet Fees	495,000				
+2.5% enrollment increase, less 10% hold on student fee revenue					
	\$ 495,000		247,500		247,500

A. SALARIES AND BENEFITS

Computer Lab Assistants/OT	\$ 100,000	30,000	30,000	20,000	20,000
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B. OFF-ISLAND TRAVEL

Name & Position of Traveler	Total				
ITRC	9,000				
Consultants	8,000				
Justification / Notes:	Total FY14 \$ 17,000		9,000		8,000

C. CONTRACTUAL SERVICES

Item	Qty	Cost	Total				
Communications			5,000				
Internet Connection Lease			135,000				
Contract Services Software Mainly for Networking, E-mail Upgrading & Cloud Migration			48,000				
Contract Services for Hardware, Net Devices and Other Internet Equipment			45,000				
Consulting Services in New Technologies in Wireless, Mobile, VOIP and Cloud Migration			30,000				
Justification / Notes:	Total FY14 \$ 263,000			70,000	70,000	70,000	53,000

D. SUPPLIES

Item	Qty	Cost	Total				
Misc. Internet and Net Supplies including Spare Parts to Support more than 1000 Workstations			20,000				
Internet Lab Supplies			5,000				
Upgrade/Replace the wiring and fiber connections for 3 ITRC internet labs			21,000				
Justification / Notes:	Total FY14 \$ 46,000			11,500	11,500	11,500	11,500

E. EQUIPMENT: below \$5,000

Item	Qty	Cost	Total				
Miscellaneous Computer and Net Equipment			30,000				
Furniture (tables/chairs/desks, some more than 15 year-old) for Labs and Training Rooms			18,000				
Justification / Notes:	Total FY14 \$ 48,000				24,000		24,000

F. MISCELLANEOUS Expense

Item	Qty	Cost	Total				
Justification / Notes:	Total FY14 \$ -						

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

Item	Qty	Cost	Total				
Justification / Notes:	Total FY14 -						

H. UTILITIES: Power, Water, Telephone

Item	Total				
Power					
Telephone					
	Total FY14 \$ -				

I. Transfer for F & A Fees (see guidelines for more information) 4%

	\$ 19,800	0	9,900	0	9,900
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Annual Surplus (Deficit) **\$ 1,200 (111,500) 93,100 (101,500) 121,100**

UNIVERSITY OF GUAM FY2014 Non-Appropriated Fund Budget

Account Name: CC-Computer Lab Fee Signature-Dept Head: Dr. Luan P. Nguyen
 Account Number: 28-34-640012-A

Quarterly Breakdown

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

		Oct-Dec	Jan-Mar	Apr-June	Jul-Sept
IT Fees	178,200				
+2.5% enrollment increase, less 10% hold on Student Fee Revenue					
	\$ 178,200		89,100		89,100

A. SALARIES AND BENEFITS

Computer Lab Assistants / OT	\$ 80,000	20,000	20,000	20,000	20,000
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B. OFF-ISLAND TRAVEL

Name & Position of Traveler	Total				
Consultants for Training/Workshops	3,000				
Justification / Notes:					
Total FY14	\$ 3,000	3,000			

C. CONTRACTUAL SERVICES

Item	Qty	Cost	Total				
Communications(Fax/Long Distance/Postage)			3,000				
MS Window 7 Admin. And MS Campus 365			15,000				
Instructional Software Licensing and maintenance (MS Office, SPSS SAS, etc.)			20,000				
Hardware Maintenance (Workstations)			16,000				
Upgrade/Rewire 2 IT Labs			11,000				
Justification / Notes:							
Total FY14		\$ 65,000		30,000	20,000	10,000	5,000

D. SUPPLIES

Item	Qty	Cost	Total				
Miscellaneous Computer Supplies (including lab's spare parts)			8,000				
IT Lab's Office/Instructional Supplies (including papers)			10,000				
Justification / Notes:							
Total FY14		\$ 18,000		5,000	5,000	4,000	4,000

E. EQUIPMENT: below \$5,000

Item	Qty	Cost	Total				
Computers/Printers			5,072				
Justification / Notes:							
Total FY14		\$ 5,072		2,536	2,536		

F. MISCELLANEOUS Expense

Item	Qty	Cost	Total				
Justification / Notes:							
Total FY14		\$ -					

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

Item	Qty	Cost	Total				
Justification / Notes:							
Total FY14		\$ -					

H. UTILITIES: Power, Water, Telephone

Item	Total				
Power					
Telephone					
Total FY14	\$ -				

I. Transfer for F & A Fees (see guidelines for more information) 4%	\$ 7,128	0	3,564	0	3,564
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Annual Surplus (Deficit)	\$ -	(60,536)	38,000	(34,000)	56,536
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UNIVERSITY OF GUAM FY2014 Non-Appropriated Fund Budget

Account Name: CC-Miscellaneous Signature-Dept Head: Dr. Luan P. Nguyen
 Account Number: 28-34-640099-A

Quarterly Breakdown

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

		Oct-Dec	Jan-Mar	Apr-June	Jul-Sept
Miscellaneous revenue generated from department requests and other small contracts with different companies and other GovGuam Agencies.	45,000				
	\$ 45,000	11,250	11,250	11,250	11,250

A. SALARIES AND BENEFITS

Lab Assistants /OT	\$ 10,000	2,500	2,500	2,500	2,500
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B. OFF-ISLAND TRAVEL

Name & Position of Traveler	Total			
Director/Analyst for Tech & Professional Conventions	8,000			
Justification / Notes: _____	Total FY14	\$ 8,000	4,000	4,000

C. CONTRACTUAL SERVICES

Item	Qty	Cost	Total		
Communications			2,000		
Technical Training and Workshops in OS and Applications (HP,MS Net, etc.)			21,000		
Justification / Notes: _____	Total FY14	\$ 23,000		7,000	10,000

D. SUPPLIES

Item	Qty	Cost	Total		
Suscriptions/Dues/Books			2,000		
Justification / Notes: _____	Total FY14	\$ 2,000		1,000	1,000

E. EQUIPMENT: below \$5,000

Item	Qty	Cost	Total		
Justification / Notes: _____	Total FY14	\$ -			

F. MISCELLANEOUS Expense

Item	Qty	Cost	Total		
Justification / Notes: _____	Total FY14	\$ -			

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

Item	Qty	Cost	Total		
Justification / Notes: _____	Total FY14	\$ -			

H. UTILITIES: Power, Water, Telephone

Item	Total			
Power				
Telephone				
	Total FY14	\$ -		

I. Transfer for F & A Fees (see guidelines for more information) 4%

	\$ 1,800	450	450	450	450
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Annual Surplus (Deficit) \$ 200 300 (6,700) 5,300 1,300

UNIVERSITY OF GUAM FY2014 Non-Appropriated Fund Budget

Account Name: EMSS - SGA Support Signature-Dept Head: Dr. Julie Ulloa-Heath, Dean
 Account Number: 28-34-500019-S-5

Revenue (Please list sources)	Quarterly Breakdown				
	Oct-Dec	Jan-Mar	Apr-June	Jul-Sept	
SGA Transfer					45,000
					\$ 45,000
	11,250	11,250	11,250	11,250	

A. SALARIES AND BENEFITS

Please attach staffing pattern					
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B. OFF-ISLAND TRAVEL

Name & Position of Traveler	Total
	14,100
Justification / Notes: <u>Recruitment to region / Conferences</u>	Total FY14 \$ 14,100
	5,000
	1,500
	5,000
	2,600

C. CONTRACTUAL SERVICES

Item	Qty	Cost	Total
Computer maintenace			1,500
Justification / Notes:	Total FY14	\$ 1,500	500
			500
			500

D. SUPPLIES

Item	Qty	Cost	Total
Recruitment materials			3,000
Catalog			6,800
Office Supplies			5,000
Justification / Notes:	Total FY14	\$ 14,800	3,700
			3,700
			4,700
			2,700

E. EQUIPMENT: below \$5,000

Item	Qty	Cost	Total
Computers	1	2,300	2,300
Printers	1	500	500
Justification / Notes:	Total FY14	\$ 2,800	1,000
			1,800

F. MISCELLANEOUS Expense

Item	Qty	Cost	Total
Support student activities			5,000
Professional development			3,000
Justification / Notes:	Total FY14	\$ 8,000	2,000
			2,000
			3,000
			1,000

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

Item	Qty	Cost	Total
Justification / Notes:	Total FY14	\$ -	

H. UTILITIES: Power, Water, Telephone

Item	Total
Power	1,000
Telephone	1,000
Total FY14	\$ 2,000
	500
	500
	500
	500

I. Transfer for F & A Fees (see guidelines for more information) 4%	\$ 1,800	450	450	450	450
Total Expenditures	\$ 45,000				
Annual Surplus (Deficit)	\$ -	(1,900)	800	(2,900)	4,000

UNIVERSITY OF GUAM FY2014 Non-Appropriated Fund Budget

Account Name: SA-AR Cat/Transcript Revenue

Signature-Dept Head: Remy Babauta Cristobal, Registrar

Account Number: 28-34-501015-S

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

Revenue (Please list sources)

Transcript	58,700				
	\$ 58,700	15,000	15,000	15,000	13,700

A. SALARIES AND BENEFITS

Administrative Aide	\$ 16,000	4,000	4,000	4,000	4,000
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B. OFF-ISLAND TRAVEL

Name & Position of Traveler	Total				
Remy Cristobal, Registrar	7,500				
PCI	3,000				
PCI, PCII, or other Rec & Reg Techs	3,000				
Justification / Notes: <u>Annual training for immigration and FERPA</u>					
Total FY14	\$ 13,500	7,500	3,000	3,000	

C. CONTRACTUAL SERVICES

Item	Qty	Cost	Total				
Postage, Long Distance			4,000				
Equipment Maintenance			500				
Contractual Services			3,200				
Ads, Printing, Copying			4,500				
Subscription, Dues, Books			1,600				
Other Services			1,000				
Justification / Notes: _____							
Total FY14		\$ 14,800		1,000	3,165	3,535	7,100

D. SUPPLIES

Item	Qty	Cost	Total				
Office Supplies			4,000				
Computer			3,500				
Other Supplies and Materials			1,000				
Justification / Notes: _____							
Total FY14		\$ 8,500			4,000	3,300	1,200

E. EQUIPMENT: below \$5,000

Item	Qty	Cost	Total				
Furniture and/or Equipment			2,000				
Justification / Notes: _____							
Total FY14		\$ 2,000		1,500			500

F. MISCELLANEOUS Expense

Item	Qty	Cost	Total				
Justification / Notes: _____							
Total FY14		\$ -					

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

Item	Qty	Cost	Total				
Justification / Notes: _____							
Total FY14		\$ -					

H. UTILITIES: Power, Water, Telephone

Item	Total				
Power					
Telephone					
Total FY14	\$ -				

I. Transfer for F & A Fees (see guidelines for more information) 4%

	\$ 2,348	600	600	600	548
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Annual Surplus (Deficit)	\$ 1,552	400	235	565	352
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UNIVERSITY OF GUAM FY2014 Non-Appropriated Fund Budget

Account Name: EMSS Indirect Cost (TRIO) Signature-Dept Head: Dr. Julie Ulloa-Heath, Dean

Account Number: 26-2F-500510-S-5

Quarterly Breakdown

Revenue (Please list sources)

		Oct-Dec	Jan-Mar	Apr-June	Jul-Sept
TRIO Indirect cost	33,000				
	\$ 33,000	8,250	8,250	8,250	8,250

A. SALARIES AND BENEFITS

AmeriCorps Program Director matching: Sunny B. Lee	\$ 18,000	5,000	5,000	4,000	4,000
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B. OFF-ISLAND TRAVEL

Name & Position of Traveler	Total				
	3,000				
Justification / Notes: <u>Recruitment / Conference</u>	Total FY14	\$ 3,000	3,000		

C. CONTRACTUAL SERVICES

Item	Qty	Cost	Total				
TRIO Grant Reviewer			3,000				
Justification / Notes: _____	Total FY14	\$ 3,000		3,000			

D. SUPPLIES

Item	Qty	Cost	Total				
Computer Replacements			1,500				
Justification / Notes: _____	Total FY14	\$ 1,500		1,500			

E. EQUIPMENT: below \$5,000

Item	Qty	Cost	Total				
Computer			1,500				
Justification / Notes: _____	Total FY14	\$ 1,500		1,500			

F. MISCELLANEOUS Expense

Item	Qty	Cost	Total				
Professional Development			1,500				
Justification / Notes: _____	Total FY14	\$ 1,500		1,000		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 FY14	\$ -					

H. UTILITIES: Power, Water, Telephone

Item	Total					
Power	3,000					
Telephone	1,500					
	Total FY14	\$ 4,500	1,125	1,125	1,125	1,125

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

Total Expenditures	\$ 33,000				
Annual Surplus (Deficit)	\$ -	(3,875)	(1,875)	3,125	2,625

UNIVERSITY OF GUAM FY2014 Non-Appropriated Fund Budget

Account Name: LR-Acquisitions / Student Library Fees Signature-Dept Head: Christine K. Scott-Smith

Account Number: 28-34-600016-A & 28-34-600018-A

Quarterly Breakdown

Revenue (Please list sources)

		Oct-Dec	Jan-Mar	Apr-June	Jul-Sept
LR Acquisitions (Misc Fees:Lost/Late Books, Library Cards, etc.)	19,510	4,877	4,877	4,878	4,878
Student Library Fees (24-Y-820152)	192,328	61,800	49,440	15,450	65,638
	\$ 211,838	66,677	54,317	20,328	70,516

A. SALARIES AND BENEFITS

Please attach staffing pattern					
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B. OFF-ISLAND TRAVEL

Name & Position of Traveler	Total				
Justification / Notes:	Total FY14	\$ -			

C. CONTRACTUAL SERVICES

Item	Qty	Cost	Total				
Communication: Data/FAX/Postge/Long Distance			14,000				
ILS System Maintenance			40,211				
Contractual Services			50,000				
Employee Development			3,000				
Ads/printing/Copying			2,500				
Justification / Notes:	Total FY14	\$ 109,711		56,711	20,000	13,000	20,000

D. SUPPLIES

Item	Qty	Cost	Total				
Office: Misc. Supplies, Ink/Toner Cartridges, Copy Paper, etc.			5,000				
Instructional: Misc & Technical Library Supplies			6,000				
Computer: Software Upgrades, Network Hardware & UPS for Student Workstations			10,000				
Other Miscellaneous Supplies & Mateials (Custodial, etc.)			6,000				
Justification / Notes:	Total FY14	\$ 27,000		4,500	8,000	4,500	10,000

E. EQUIPMENT: below \$5,000

Item	Qty	Cost	Total				
MMP's, Video Cameras, & Digital Recorder for AV Dept.			10,000				
Smartboard for IT Classroom			4,900				
Justification / Notes:	Total FY14	\$ 14,900		3,000	6,900	2,000	3,000

F. MISCELLANEOUS Expense

Item	Qty	Cost	Total				
Justification / Notes:	Total FY14	\$ -					

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

Item	Qty	Cost	Total				
Justification / Notes:	Total FY14	\$ -					

H. UTILITIES: Power, Water, Telephone

Item	Total				
Power					
Telephone					
	Total FY14	\$ -			

I. Transfer for F & A Fees (see guidelines for more information) 4%	\$ 8,474	2,118	2,118	2,119	2,119
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Annual Surplus (Deficit)	\$ 51,753	348	17,299	(1,291)	35,397
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UNIVERSITY OF GUAM FY2014 Non-Appropriated Fund Budget

Account Name: ML Coastal Resources Signature-Dept Head: Dr. Laurie Raymundo, Director-ML
 Account Number: 28-34-410015-R5

Quarterly Breakdown

Revenue (Please list sources)

		Oct-Dec	Jan-Mar	Apr-June	Jul-Sept
TEMES	10,961				
Pruvient	10,961				
NOAA	7,950				
Boat and Truck - contractual services performed for various agencies	40,500				
ML Housing - various on the number of research visitors visiting	12,000				
	\$ 82,372	20,593	20,593	20,593	20,593

A. SALARIES AND BENEFITS

Please attach staffing pattern					
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B. OFF-ISLAND TRAVEL

Name & Position of Traveler	Total				
Justification / Notes:	Total FY14	\$ -			

C. CONTRACTUAL SERVICES

Item	Qty	Cost	Total				
Pest control services	2	1200	2,400				
Generator maintenance	2	1800	3,600				
Dive physicals	4	450	1,800				
Xerox Maintenance contract (1 fax machine & copier)			9,900				
Justification / Notes:	Total FY14	\$ 17,700		4,425	4,425	4,425	4,425

D. SUPPLIES

Item	Qty	Cost	Total				
Office supplies	4	550	2,200				
Justification / Notes:	Total FY14	\$ 2,200		550	550	550	550

E. EQUIPMENT: below \$5,000

Item	Qty	Cost	Total				
Replacement of scuba tanks	6	200	1,200				
Computers	2	1200	2,400				
Justification / Notes:	Total FY14	\$ 3,600		900	900	900	900

F. MISCELLANEOUS Expense

Item	Qty	Cost	Total				
Justification / Notes:	Total FY14						

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

Item	Qty	Cost	Total				
Renovation of ML Housing bathrooms			15,000				
Justification / Notes:	Total FY14	\$ 15,000			10,000	5,000	

H. UTILITIES: Power, Water, Telephone

Item	Total				
Power					
Telephone					
	Total FY14	\$ -			

I. **Transfer for F & A Fees** (see guidelines for more information) 15% \$ 12,356 3,089 3,089 3,089 3,089

Annual Surplus (Deficit) \$ 31,516 11,629 1,629 6,629 11,629

UNIVERSITY OF GUAM FY2014 Non-Appropriated Fund Budget

Account Name: SBPA Signature-Dept Head: Dr. Anita Enriquez, Dean SBPA

Account Number: _____

Quarterly Breakdown

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

Inst. Course Admin Allowance	158,614				
IAI Strategic Initiatives	93,000				
Total	\$ 251,614	62,902	62,904	62,904	62,904

A. SALARIES AND BENEFITS

Technical Assistance support	\$ 81,233	20,309	20,308	20,308	20,308
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B. OFF-ISLAND TRAVEL

Name & Position of Traveler	Total				
SBPA Faculty	All full-time @ \$3,500 per faculty @ 21	73,500			
SBPA Dean/Accreditation-related travel	\$3,500 @ 5	17,500			
Total FY14	\$ 91,000	22,750	22,750	22,750	22,750

Justification / Notes: Support faculty professional development and Dean accreditation/revenue-generating travel

C. CONTRACTUAL SERVICES

Item	Qty	Cost	Total				
Xerox maintenance			12,000				
facilities maintenance			8,000				
Total FY14			\$ 20,000	5,000	5,000	5,000	5,000

Justification / Notes: Xerox maint. Contract, facilities maintenance and security expenses

D. SUPPLIES

Item	Qty	Cost	Total				
Instructional supplies			7,000				
Administrative support supplies			3,000				
Total FY14			\$ 10,000	2,500	2,500	2,500	2,500

Justification / Notes: Much-needed instructional and administrative support supplies for 6 full degree programs and over 35 faculty FTES.

E. EQUIPMENT: below \$5,000

Item	Qty	Cost	Total				
Computer equipment (i.e. laptops)	20	1,250	25,000				
Total FY14			\$ 25,000	6,250	6,250	6,250	6,250

Justification / Notes: Faculty and lab equipment replacement

F. MISCELLANEOUS Expense

Item	Qty	Cost	Total				
Accreditation - AACSB Membership			2,250				
Accreditation - IACBE Membership and Maintenance			2,850				
Subscriptions - Academic			2,000				
Software License Renewal			2,500				
Total FY14			\$ 9,600	2,400	2,400	2,400	2,400

Justification / Notes: Accreditation membership and renewals, based on access to quality business education resources.
Required academic subscriptions for faculty and software license renewals.

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

Item	Qty	Cost	Total				
Total FY14			\$ -				

Justification / Notes: _____

H. UTILITIES: Power, Water, Telephone

Item	Qty	Cost	Total				
Power							
Telephone							
Total FY14			\$ -				

I. Transfer for F & A Fees (see guidelines for more information) 4% 10,065 2,516 2,516 2,516 2,516

Annual Surplus (Deficit) **\$ 4,716 1,177 1,180 1,180 1,180**

UNIVERSITY OF GUAM FY2014 Non-Appropriated Fund Budget

Account Name: School of Education-Admin Allowance Signature-Dept Head: Dr. Frankie Santos Laanan
 Account Number: 28-34-080012-A-5

Quarterly Breakdown

Revenue (Please list sources)

		Oct-Dec	Jan-Mar	Apr-June	Jul-Sept
Admin Allowance (15% of Institutional Course Net Revenue)	120,465				
	\$ 120,465	30,116	30,116	30,116	30,117

A. SALARIES AND BENEFITS

Extension Assistant / Associate	\$ 47,000	11,750	11,750	11,750	11,750
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B. OFF-ISLAND TRAVEL

Name & Position of Traveler		Total					
Dean Travel	NCATE, AACTE & related meetings and conferences	5,000					
Faculty/Staff Development	Faculty / Staff Development	4,500					
NCATE Coordinator	NCATE related meetings and conferences	3,500					
Justification / Notes:		Total FY14	\$ 13,000	3,250	3,250	3,250	3,250

C. CONTRACTUAL SERVICES

Item	Qty	Cost	Total				
Institutional Reports	6	2,000	12,000				
Meeting Expenses (Primarily for retreat-like sessions)			1,500				
SOE Retreats			1,500				
SOE Recognition Ceremonies	2	4,000	8,000				
Justification / Notes:		Total FY14	\$ 23,000	5,750	5,750	5,750	5,750

D. SUPPLIES

Item	Qty	Cost	Total				
Office Supplies			1,139				
NCATE Miscellaneous Supplies (on-site visit)			1,500				
Custodial Supplies			0				
Justification / Notes:		Total FY14	\$ 2,639	660	660	660	659

E. EQUIPMENT: below \$5,000

Item	Qty	Cost	Total				
Justification / Notes:		Total FY14	\$ -				

F. MISCELLANEOUS Expense

Item	Qty	Cost	Total				
NCATE Annual Membership Fee			2,800				
NCATE Evaluation Fee			16,000				
Annual Staff/Faculty/Student Awards			1,500				
Justification / Notes:		Total FY14	\$ 20,300	5,075	5,075	5,075	5,075

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

Item	Qty	Cost	Total				
Justification / Notes:		Total FY14	\$ -				

H. UTILITIES: Power, Water, Telephone

Item	Total				
Power					
Telephone					
	Total FY14	\$ -			

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

	4,819	1,205	1,205	1,205	1,205
Annual Surplus (Deficit)	\$ 9,707	2,426	2,426	2,426	2,428

UNIVERSITY OF GUAM FY2014 Non-Appropriated Fund Budget

Account Name: SON-Administrative Allowance Signature-Dept Head: Kathryn Wood
 Account Number: 28-34-120013-A

Quarterly Breakdown

Revenue (Please list sources)

		Oct-Dec	Jan-Mar	Apr-June	Jul-Sept
Generated from tuition fee for courses taught as overload or by Adjunct Faculty	39,460				
Fall and Spring Semesters, Summer and Intercession					
	\$ 39,460	7,942	16,518	10,000	5,000

A. SALARIES AND BENEFITS

Please attach staffing pattern					
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B. OFF-ISLAND TRAVEL

Name & Position of Traveler	Total				
K. Wood, Acting Director	5,000				
M. Uchima, Division Chair	5,000				
Dr. Y. Paulino	5,000				
Justification / Notes:	Total FY14	\$ 15,000		10,000	5,000

C. CONTRACTUAL SERVICES

Item	Qty	Cost	Total				
DE Development			10,000				
Subscriptions, membership dues, consultancy services			10,000				
Justification / Notes:	Total FY14	\$ 20,000		5,000	5,000	5,000	5,000

D. SUPPLIES

Item	Qty	Cost	Total				
Conference Supplies			1,518				
Justification / Notes:	Total FY14	\$ 1,518			1,518		

E. EQUIPMENT: below \$5,000

Item	Qty	Cost	Total				
Justification / Notes:	Total FY14	\$ -					

F. MISCELLANEOUS Expense

Item	Qty	Cost	Total				
Justification / Notes:	Total FY14	\$ -					

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

Item	Qty	Cost	Total				
Justification / Notes:	Total FY14	\$ -					

H. UTILITIES: Power, Water, Telephone

Item	Total				
Power					
Telephone					
	Total FY14	\$ -			

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

	\$ 1,578	318	661	400	200
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Annual Surplus (Deficit) \$ 1,364 2,624 (661) (400) (200)

UNIVERSITY OF GUAM FY2014 Non-Appropriated Fund Budget

Account Name: SON-Discretionary Signature-Dept Head: Kathryn Wood
 Account Number: 27-34-120011-A

Quarterly Breakdown

Revenue (Please list sources)

		Oct-Dec	Jan-Mar	Apr-June	Jul-Sept
Generated from salary disbursement for AHEC Director - K. Cruz (9 months)	27,000				
Generated from salary disbursement for Cancer Grant/CHL - Y. Paulino (9 months)	18,000				
	\$ 45,000	11,250	11,250	11,250	11,250

A. SALARIES AND BENEFITS

Please attach staffing pattern					
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B. OFF-ISLAND TRAVEL

Name & Position of Traveler	Total				
Justification / Notes:	Total FY14	\$ -			

C. CONTRACTUAL SERVICES

Item	Qty	Cost	Total				
DE Development			5,000				
Student Advisement Coordination (Nursing and Health Sciences)			5,000				
Justification / Notes:	Total FY14	\$ 10,000		2,500	2,500	2,500	2,500

D. SUPPLIES

Item	Qty	Cost	Total				
Conference Supplies			4,500				
Faculty Retreat			5,000				
Textbooks			2,500				
Justification / Notes:	Total FY14	\$ 12,000		3,000	3,000	3,000	3,000

E. EQUIPMENT: below \$5,000

Item	Qty	Cost	Total				
Classroom equipment and supplies			12,000				
Faculty/staff computers and equipment			7,400				
Justification / Notes:	Total FY14	\$ 19,400		4,850	4,850	4,850	4,850

F. MISCELLANEOUS Expense

Item	Qty	Cost	Total				
Justification / Notes:	Total FY14	\$ -					

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

Item	Qty	Cost	Total				
Justification / Notes:	Total FY14	\$ -					

H. UTILITIES: Power, Water, Telephone

Item	Total				
Power					
Telephone					
Justification / Notes:	Total FY14	\$ -			

I. Transfer for F & A Fees (see guidelines for more information) 8%

	\$ 3,600	900	900	900	900
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Annual Surplus (Deficit) \$ - 0 0 0 0

UNIVERSITY OF GUAM FY2014 Non-Appropriated Fund Budget

Account Name: SNHS Lab Fees Signature-Dept Head: Kathryn Wood
 Account Number: 28-34-120012-N

Quarterly Breakdown

Revenue (Please list sources)

		Oct-Dec	Jan-Mar	Apr-June	Jul-Sept
Revenues generated from course lab fees for Fall, Spring semesters and Summer & Intercession	49,940				
	\$ 49,940	12,870	12,100	12,870	12,100

A. SALARIES AND BENEFITS

Please attach staffing pattern					
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B. OFF-ISLAND TRAVEL

Name & Position of Traveler	Total				
Justification / Notes:	Total FY14	\$ -			

C. CONTRACTUAL SERVICES

Item	Qty	Cost	Total				
Consultancy for SIM Man Sim Baby			12,100				
Equipment maintenance			5,500				
Subscriptions, printing			2,200				
Justification / Notes:	Total FY14	\$ 19,800		9,900		9,900	

D. SUPPLIES

Item	Qty	Cost	Total				
Instructional Supplies - NLN Tests			13,200				
Clinical Supplies			6,318				
Justification / Notes:	Total FY14	\$ 19,518		9,759		9,759	

E. EQUIPMENT: below \$5,000

Item	Qty	Cost	Total				
Computer Upgrade and Supplies			4,400				
Justification / Notes:	Total FY14	\$ 4,400			2,200		2,200

F. MISCELLANEOUS Expense

Item	Qty	Cost	Total				
Justification / Notes:	Total FY14	\$ -					

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

Item	Qty	Cost	Total				
Justification / Notes:	Total FY14	\$ -					

H. UTILITIES: Power, Water, Telephone

Item	Total				
Power					
Telephone					
	Total FY14	\$ -			

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

Annual Surplus (Deficit)	\$ 6,222	3,111	0	3,111	0

UNIVERSITY OF GUAM FY2014 Non-Appropriated Fund Budget

Account Name: DISCRETIONARY SVP Signature-Dept Head: HELEN J.D. WHIPPY, Ph.D., SVPASA

Account Number: 27-34-360011-T5

Quarterly Breakdown

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

SALARY REIMBURSEMENT	200,000				
	\$ 200,000	50,000	50,000	50,000	50,000

A. SALARIES AND BENEFITS

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B. OFF-ISLAND TRAVEL

Name & Position of Traveler	Total				
SVP	25,000				
SVP Staff	10,000				
ADMINISTRATOR /SVP STAFF	17,500				
Justification / Notes: _____	Total FY14	\$ 52,500	13,125	13,125	13,125

C. CONTRACTUAL SERVICES

Item	Qty	Cost	Total				
ADS, PRINTING, COPYING			50,000				
POSTAGE			1,500				
DATA COMMUNICATION			1,000				
SUBSCRIPTIONS, DUES, BOOKS			10,000				
Justification / Notes: _____			Total FY14	\$ 62,500	15,625	15,625	15,625

D. SUPPLIES

Item	Qty	Cost	Total				
SUPPLIES FOR FACULTY EVALUATION AND OTHER OFFICE SUPPLIES			10,000				
Justification / Notes: _____			Total FY14	\$ 10,000	2,500	2,500	2,500

E. EQUIPMENT: below \$5,000

Item	Qty	Cost	Total				
COMPUTERS/LAPTOPS			8,000				
Justification / Notes: _____			Total FY14	\$ 8,000	2,000	2,000	2,000

F. MISCELLANEOUS Expense

Item	Qty	Cost	Total				
SVP Expense			10,000				
Justification / Notes: _____			Total FY14	\$ 10,000	2,500	2,500	2,500

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

Item	Qty	Cost	Total				
Justification / Notes: _____			Total FY14	\$ -			

H. UTILITIES: Power, Water, Telephone

Item	Total				
Power					
Telephone					
Justification / Notes: _____	Total FY14	\$ -			

I. Transfer for F & A Fees (see guidelines for more information) 8%

	\$ 16,000	4,000	4,000	4,000	4,000
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Annual Surplus (Deficit)	\$ 41,000	10,250	10,250	10,250	10,250
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UNIVERSITY OF GUAM FY2014 Non-Appropriated Fund Budget

Account Name: SVP INDIRECTS Signature-Dept Head: HELEN J.D. WHIPPY, Ph.D., SVPASA
 Account Number: 26-2F-360010-T5

Quarterly Breakdown

Revenue (Please list sources)

		Oct-Dec	Jan-Mar	Apr-June	Jul-Sept
INDIRECTS FROM CANCER RESEARCH CENTER GRANT/PACIFIC CANCER REGISTRY	180,000				
	\$ 180,000	45,000	45,000	45,000	45,000

A. SALARIES AND BENEFITS

SALARY OF CRC ADM/STAFF/RESEARCH ASST; EXT ASSOCIATES	\$ 100,000	50,000	15,000	15,000	20,000
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B. OFF-ISLAND TRAVEL

Name & Position of Traveler	Total				
SVP OFFICIAL BUSINESS TRAVEL	25,000				
CRC STAFF OFFICIAL BUSINESS TRAVEL	10,000				
ADMINISTRATOR /SVP STAFF OFFICIAL BUSINESS TRAVEL	20,000				
Justification / Notes:	Total FY14	\$ 55,000	13,750	13,750	13,750

C. CONTRACTUAL SERVICES

Item	Qty	Cost	Total				
ADS/PRINTING/COPYING			2,000				
Justification / Notes:	Total FY14	\$ 2,000	500	500	500	500	500

D. SUPPLIES

Item	Qty	Cost	Total				
SUPPLIES			5,000				
Justification / Notes:	Total FY14	\$ 5,000	1,250	1,250	1,250	1,250	1,250

E. EQUIPMENT: below \$5,000

Item	Qty	Cost	Total				
Justification / Notes:	Total FY14	\$ -					

F. MISCELLANEOUS Expense

Item	Qty	Cost	Total				
SVP Expense			10,000				
Justification / Notes:	Total FY14	\$ 10,000	2,500	2,500	2,500	2,500	2,500

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

Item	Qty	Cost	Total				
Justification / Notes:	Total FY14	\$ -					

H. UTILITIES: Power, Water, Telephone

Item	Total				
Power					
Telephone					
	Total FY14	\$ -			

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

Annual Surplus (Deficit)	\$ 8,000	(23,000)	12,000	12,000	7,000

UNIVERSITY OF GUAM FY2014 Non-Appropriated Fund Budget

Account Name: WERI-Water Quality Laboratory Signature-Dept Head: Dr. Shahram Khosrowpanah
 Account Number: 28-34-430015-R-5

Quarterly Breakdown

Revenue (Please list sources)

		Oct-Dec	Jan-Mar	Apr-June	Jul-Sept
Governmental Agencies and Private Companies	180,000				
	\$ 180,000	45,000	45,000	45,000	45,000

A. SALARIES AND BENEFITS

Research Assistant(s) Salary and Benefits	\$ 20,500	5,125	5,125	5,125	5,125
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B. OFF-ISLAND TRAVEL

Name & Position of Traveler	Total					
To be determined	3,000					
Local mileage	1,500					
Justification / Notes:	Total FY14	\$ 4,500	1,125	1,125	1,125	1,125

C. CONTRACTUAL SERVICES

Item	Qty	Cost	Total				
Postage / Long Distance / Subscriptions / dues / books			4,500				
Equipment Maintenance / Vehicle / Equipment Lease			15,200				
Contractual Services			10,000				
Other Services / Vehicle Repairs			5,900				
Justification / Notes:	Total FY14	\$ 35,600	8,900	8,900	8,900	8,900	

D. SUPPLIES

Item	Qty	Cost	Total				
Office Supplies and Materials			22,000				
Instructional Supplies			500				
Custodial Supplies			600				
Justification / Notes:	Total FY14	\$ 23,100	5,775	5,775	5,775	5,775	

E. EQUIPMENT: below \$5,000

Item	Qty	Cost	Total				
Computer			2,000				
Justification / Notes:	Total FY14	\$ 2,000	500	500	500	500	

F. MISCELLANEOUS Expense

Item	Qty	Cost	Total				
Furniture / Equipment			6,500				
Tuition assistance or Conference fee			2,000				
Justification / Notes:	Total FY14	\$ 8,500	2,125	2,125	2,125	2,125	

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

Item	Qty	Cost	Total				
A/C Replacement			10,000				
Lab Equipment Replacement			32,000				
Justification / Notes:	Total FY14	\$ 42,000	10,500	10,500	10,500	10,500	

H. UTILITIES: Power, Water, Telephone

Item	Total					
Power	8,000					
Telephone						
	Total FY14	\$ 8,000	2,000	2,000	2,000	2,000

I. Transfer for F & A Fees (see guidelines for more information) 15%	\$ 27,000	6,750	6,750	6,750	6,750
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Annual Surplus (Deficit)	\$ 8,800	2,200	2,200	2,200	2,200
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UNIVERSITY OF GUAM FY2014 Non-Appropriated Fund Budget

Account Name: Comptroller's Office - Bursar' Office Signature-Dept Head: Z. Nace, Comptroller

Account Number: 28-34-720599-T

Revenue (Please list sources)

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

USPS	32,000				
TOPP's Loan Fees	25,000				
Tuition Interest	85,000				
	\$ 142,000	35,500	35,500	35,500	35,500

A. SALARIES AND BENEFITS

Part-time assistance	\$ 45,000	11,250	11,250	11,250	11,250
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B. OFF-ISLAND TRAVEL

Name & Position of Traveler	Total				
Comptroller's Office	Z. Nace / B. Molarte	8,000			
ABAPO	G. Travis	3,000			
2 GAS	GAS / Fed Grant GAS	6,000			
2 Accountants / Acctg. Supvr.		6,000			
Bursar Staff	Collection Agents	6,000			
Justification / Notes:		Total FY14	\$ 29,000	7,250	7,250
				7,250	7,250

C. CONTRACTUAL SERVICES

Item	Qty	Cost	Total				
Postage			20,000				
Xerox			6,000				
Other services			8,000				
Justification / Notes:		Total FY14	\$ 34,000	8,500	8,500	8,500	8,500

D. SUPPLIES

Item	Qty	Cost	Total				
Office Supplies			8,000				
Gas (Van & Toyota)			5,000				
Bursar flyers "funding your education"; student related items for Charter Day			1,000				
Justification / Notes:		Total FY14	\$ 14,000	3,500	3,500	3,500	3,500

E. EQUIPMENT: below \$5,000

Item	Qty	Cost	Total				
Computers			2,500				
Furniture			500				
Justification / Notes:		Total FY14	\$ 3,000		2,500	500	

F. MISCELLANEOUS Expense

Item	Qty	Cost	Total				
Repairs & Maintenance			1,000				
Subscriptions, professional journals			800				
Professional Memberships (AGA/AICPA)			1,500				
Others - Internships			4,000				
Justification / Notes:		Total FY14	\$ 7,300	1,825	1,825	1,825	1,825

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

Item	Qty	Cost	Total				
Justification / Notes:		Total FY14	\$ -				

H. UTILITIES: Power, Water, Telephone

Item	Total				
Power					
Telephone					
	Total FY14	\$ -			

I. Transfer for F & A Fees (see guidelines for more information) 4%	\$ 5,680	1,420	1,420	1,420	1,420
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Annual Surplus (Deficit)	\$ 4,020	1,755	(745)	1,255	1,755
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BOR Regular Meeting_28Feb2013 (Reporting Requirement) - Reports from Standing Committees

Facilities and Administrative Support Budget
FY 2014

Revenues
Per BOR Policy
reduction
Net Revenue Totals

1.00% growth
\$ 764,358 gross
holdback
(114,654)
649,704
15%
No growth
\$ 764,358

merit as
applicable 35%

		FY13 REAPPORTIONED AND BOR-APPROVED DEC'12									FY13	FY13 w/ 15%	FY14 Jan'13	
Expenditures		Personnel	Benefits	Supplies	Equip	Contracts	Travel / Misc	Subtotal	Cap Outlay	Est Cost	reapportion	holdback		
FTE														
TADEO	Admin Aide (F)	1	17,858	6,250				24,108		24,108	24,108	12,054.15	24,108	
Business Office	Compliance Monitoring & Coordination					55,650	3,500	59,150		59,150	59,150	59,150	59,545	
	Mgt Analyst III (M)- ACamacho was Acct I (K)	1	46,082	16,129				62,211		62,211	62,211	62,211	64,077	
	Payroll Clerk I (Marcia Afaisen)	1	20,940	7,329				28,269		28,269	28,269	28,269	29,117	
HRO	EA-PAII (Tess Duenas) was PS 1(K)	1	24,656	8,630				36,286		36,286	36,286	36,286	37,374	
	EA-PS I (K)-Eliza was El Silverio	1	25,396	8,888				37,284		37,284	37,284	37,284	38,403	
	Operations (supplies)				10,000			10,000		10,000	10,000	8,500	10,000	
Plant & Facilities	Outsourcing Contracts	1				135,000		135,000		135,000	135,000	114,750	135,000	
	Maintenance Worker (H) (Safety)	1	20,000	7,000				27,000		27,000	27,000	27,000	27,000	
	Planner III/IV or BMS (K or M) Fmans:	1	38,830	13,591				52,421		52,421	52,421	52,421	53,993	
	Engineering Tech II (J)	1	24,656	8,630				33,286		33,286	33,286	16,642.80	33,286	
Fieldhouse / IAC	Equipment & Capital Expenditures				5,000			5,000		5,000	5,000		5,000	
	UOG Teams (AY13 Soccer, AY14+B-Ball)							-		-	-	-	15,000	
IT/ eWorks	Colleague (OT or Backup contract)					30,000		30,000		30,000	30,000	30,000	30,000	
	DIMC web support					23,800		23,800		23,800	23,800	23,800	23,800	
	IT Contract Support					20,000		20,000		20,000	20,000	20,000	20,000	
	HRO & Bus Office eWorks Support					55,650	3,500	59,150		59,150	59,150	59,150	59,545	
A&F	Safety			4,500	4,000		5,000	13,500		13,500	13,500	13,500	15,000	
	Safety & Security Vehicles						13,400	13,400		13,400	13,400	11,390	27,000	
	Ad Hoc Needs				4,000	12,000	10,500	26,500		26,500	26,500	22,525	27,000	
GSSPR	Transfer for GSSPR Operating Funds		4,000			15,000	31,000	50,000		50,000	50,000	42,500	47,000	
TBD	Contingency/ Urgent Projects/ Needs						95,953	95,953		95,953	17,994		15,000	
		16	222,418	76,446	14,500	19,000	347,100	162,853	842,317	-	842,317	764,358	677,432	764,248
Net Surplus (Deficit)											-	(27,728)	110	

BOR Regular Meeting_28Feb2013 (Reporting Requirement) - Reports from Standing Committees

TADEO Projected Budget for FY 2014-15

	Code	General Operations	F&A	UTAC	OLL	GCRC	TADEO	Total
Revenue								
Local Appropriations		\$73,710		\$100,000				\$173,710
F&A			\$17,858					\$17,858
Online Learning Student Fee					\$151,563			\$151,563
VTC							\$2,500	\$2,500
IT Support							\$7,500	\$7,500
Sub-Total		<u>\$73,710</u>	<u>\$17,858</u>	<u>\$100,000</u>	<u>\$151,563</u>		<u>\$10,000</u>	<u>\$353,131</u>
Expenses								
Salary								
Associate Director(MH)	0110	\$73,710						\$73,710
Instructional Designer(BM)	0110	\$0						\$0
Radio Operator	0170			\$24,864			\$8,288	\$33,152
Administrative Aide	0170		\$17,858		\$5,953			\$23,811
IT Technician	0170					\$30,369		\$30,369
<i>Sub-Total</i>								<u>\$161,042</u>
Contractual Services								
Comm-Fax/Postage Long Distance	3231						\$112	\$112
DE Coordinator	3233				\$60,720			\$60,720
Moodle Technician	3233				\$30,369			\$30,369
Learning Management System	3233				\$12,000			\$12,000
Online Course Development	3233			\$50,000	\$9,000			\$59,000
Online Course Mentor	3233				\$1,000			\$1,000
Virtual Classroom	3233				\$1,500			\$1,500
Security Monitoring Service	3239				\$750			\$750
Broadband Service	3239				\$1,500			\$1,500
On-line Training	3239			\$15,336				\$15,336
DE-Contracts	3233				\$12,000			\$12,000
Adv/Printing/Duplicating	3236						\$100	\$100
Newspaper	3237						\$500	\$500
<i>Sub-Total</i>								<u>\$194,887</u>
Professional Development								
Travel					\$3,000			\$3,000
Conference Fees					\$0			\$0
<i>Sub-Total</i>								<u>\$3,000</u>
Supplies and Materials								
Office Supplies	4240				\$347		\$500	\$847
Instructional Supplies	4241				\$250		\$500	\$750
<i>Sub-Total</i>								<u>\$1,597</u>
Equipment Non Capital Items/Misc								
ce Furniture & Equipment (500-4999.99)	5250							\$0
F&A Fees (4%)					\$6,062.50			\$6,063
<i>Sub-Total</i>								<u>\$6,063</u>
<i>Personnel Expenses</i>		\$73,710	\$17,858	\$24,864	\$97,042	\$30,369	\$8,288	\$252,131
<i>Non-personnel expenses</i>				\$65,336	\$47,410		\$1,712	\$114,458
<i>15% Holdback Amount</i>				\$9,800	\$7,111			\$16,912
Total Expenses		<u>\$73,710</u>	<u>\$17,858</u>	<u>\$100,000</u>	<u>\$151,563</u>	<u>\$30,369</u>	<u>\$10,000</u>	<u>\$383,500</u>

OLL Fees	\$	20	\$	10	
students		Full-time (75%)		Part-time (25%)	
	3900	58500	\$	9,750	\$ 68,250 Sp'13
	1250	18750	\$	1,563	\$ 20,313 Su'13
	3600	54000	\$	9,000	\$ 63,000 Fl'13
		\$	131,250	\$	20,313
					<u>\$ 151,563</u>

Revised 1/7/12 - MH

Notes:

Our instructional Designer is expected to retire in July 2013. This activity may be contracted out in 2014.

VTC services are expected to decline.

Additional revenue is growing from IT support to various grants on campus.

OLL fees were calculated with a 3% student growth rate.

Personnel fees were budgeted with a 3% increase.

UNIVERSITY OF GUAM FY2014 Non-Appropriated Fund Budget

Account Name: President's Development Fund

Signature-Dept Head: Robert A. Underwood, Ed.D.

Account Number: _____

Quarterly Breakdown

Revenue (Please list sources)

		Oct-Dec	Jan-Mar	Apr-June	Jul-Sept
Federal Grant Indirect Costs	510,000				
	\$ 510,000	125,000	130,000	125,000	130,000

A. SALARIES AND BENEFITS

Please attach staffing pattern					
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B. OFF-ISLAND TRAVEL

Name & Position of Traveler		Total					
Robert A. Underwood	President	30,000					
Louise M. Toves	Executive Assistant to the President	5,000					
Jonas Macapinlac	Director, Integrated Marketing Communications	5,000					
Norman Analista	Director, Development and Alumni Affairs	5,000					
David Okada	Chief Planning Officer	5,000					
Victorina Renacia	Legal Counsel	5,000					
Elaine Faculo-Gogue	Institutional Planning Officer	5,000					
Justification / Notes:		Total FY14	\$ 60,000	15,000	15,000	15,000	15,000

C. CONTRACTUAL SERVICES

Item	Qty	Cost	Total				
Consultants		70,000	70,000				
EEO/ADA		15,000	15,000				
Legal Expenses		25,000	25,000				
Business Process Redesign		50,000	50,000				
Accreditation		30,000	30,000				
Justification / Notes:		Total FY14	\$ 190,000	47,500	47,500	47,500	47,500

D. SUPPLIES

Item	Qty	Cost	Total				
Justification / Notes:		Total FY14	\$ -				

E. EQUIPMENT: below \$5,000

Item	Qty	Cost	Total				
Justification / Notes:		Total FY14	\$ -				

F. MISCELLANEOUS Expense

Item	Qty	Cost	Total				
Board of Regents Development Fund		35,000	35,000				
Faculty Development Fund		25,000	25,000				
Staff Development Fund		20,000	20,000				
Strategic Initiatives		85,000	85,000				
Commencement		80,000	80,000				
Charter Day		15,000	15,000				
Justification / Notes:		Total FY14	\$ 260,000	65,000	65,000	65,000	65,000

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

Item	Qty	Cost	Total				
Justification / Notes:		Total FY14	\$ -				

H. UTILITIES: Power, Water, Telephone

Item	Total				
Power					
Telephone					
	Total FY14	\$ -			

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

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Annual Surplus (Deficit) \$ - (2,500) 2,500 (2,500) 2,500



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

Resolution No. 13-07

RELATIVE TO APPROVING THE FY2014 AUXILIARY BUDGETS

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

WHEREAS, the Board of Regents of the University is responsible for annually approving and adopting budgets and strategic plans for auxiliary units that derive their revenues from self-generating funds and fees; and

WHEREAS, the Board of Regents received recommendations on areas of resource needs and opportunities of auxiliary units 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; and

WHEREAS, the Board of Regents received recommendations from UPBAC on the goals articulated in the strategic plans of the auxiliary units and on focusing auxiliary unit revenues and spending upon the highest priorities within their business plan objectives; and

WHEREAS, the University continues to demonstrate a commitment to deficit elimination and the seizing of opportunities in an atmosphere of declining resources related to the problems facing the economies of the island and the region; and

WHEREAS, the University has implemented initiatives that enhance, realign and reshape the institution, strengthening its commitment to institutional efficiency and effectiveness, revenue growth, and cost savings; and


WHEREAS, the President has recommended, the Budget, Finance, Investment and Audit Committee has reviewed the budgets, and the Physical Facilities Committee met to review the Fieldhouse budget; and together recommend that the Board approve the following FY2014 Auxiliary Fund Budgets attached hereto:

Bookstore	Student Government Association
Cafeteria	Student Health
Fieldhouse	Student Housing
Intercollegiate Athletics Council	Telecommunications And Distance Education Operation
Isla Center for the Arts	Professional and International Programs

NOW, THEREFORE, BE IT RESOLVED, that the University of Guam FY2014 Auxiliary Budgets named above and attached hereto are hereby approved and will become effective October 1, 2013, and


BE IT FURTHER RESOLVED, that the provisions of University of Guam Board of Regents Resolution No. 01-32 *Relative to Authorizing the President to Approve Quarterly Budget Re-forecasts and Requiring Annual Business Plans for Auxiliary Budgets*, adopted the 4th of October, 2001, remain in effect and are unchanged by this resolution.

Adopted this 28th day of February 2013.



W. Chris Perez, M.D., Chairman

Attested:



Dr. Robert A. Underwood, Executive Secretary

UNIVERSITY OF GUAM FY2014 AUXILIARY BUDGET

Department/Unit: Triton Bookstore/Adminstration & Finance

Signature-Dept Head: Ann SA Leon Guerrero

Quarterly Breakdown

Revenue (Please list sources)

		Oct-Dec	Jan-Mar	Apr-June	Jul-Sept
Sales Textbooks	1,375,000				
Sales Non Textbooks	355,000				
Purchases Textbooks	(885,000)				
Purchases Non-Textbooks	(275,000)				
	\$ 570,000	34,397	184,759	85,991	264,853

A. SALARIES AND BENEFITS

Please attach staffing pattern	\$ 309,594	77,398	77,398	77,398	77,400
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B. OFF-ISLAND TRAVEL

Name & Position of Traveler	Total				
Ann S.A. Leon Guerrero Auxiliary Services Director	4,000				
Justification / Notes:	Total FY14	\$ 4,000	4,000		

C. CONTRACTUAL SERVICES

Item	Qty	Cost	Total				
Postage, Long Distance, Pagers			11,000				
Contractual Services			3,400				
Vehicle/equipment lease			4,200				
Ads, printing, copying			600				
Subscriptions, dues, books			3,200				
Other Services			1,000				
Justification / Notes:	Total FY14	\$ 23,400	5,850	5,850	5,850	5,850	

D. SUPPLIES

Item	Qty	Cost	Total				
Supplies & Materials			600				
Computer			5,000				
Other Supplies & Materials			400				
Justification / Notes:	Total FY14	\$ 6,000	1,500	1,500	1,500	1,500	

E. EQUIPMENT: below \$5,000

Item	Qty	Cost	Total				
Computer Upgrades			4,500				
Justification / Notes:	Total FY14	\$ 4,500	1,125	1,125	1,125	1,125	

F. MISCELLANEOUS Expense

Item	Qty	Cost	Total				
Bank Charges			10,000				
Justification / Notes:	Total FY14	\$ 10,000	2,500	2,500	2,500	2,500	

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

Item	Qty	Cost	Total				
Justification / Notes:	Total FY14	\$ -					

H. UTILITIES: Power, Water, Telephone

Item	Total				
Power	62,500				
Telephone	3,300				
	Total FY14	\$ 65,800	16,450	16,450	16,450

I. Transfer for F & A Fees (see guidelines for more information)	\$ 50,000				50,000
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Annual Surplus (Deficit)	\$ 96,706	(70,426)	75,936	(18,832)	110,028
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UNIVERSITY OF GUAM FY2014 AUXILIARY BUDGET

Department/Unit: Cafeteria /Food Court Signature-Dept Head: Ann S.A. Leon Guerrero, Auxiliary Director

Quarterly Breakdown

Revenue (Please list sources)

		Oct-Dec	Jan-Mar	Apr-June	Jul-Sept
Rental	43,000				
Power	7,200				
	\$ 50,200	12,550	12,550	12,550	12,550

A. SALARIES AND BENEFITS

Please attach staffing pattern					
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B. OFF-ISLAND TRAVEL

Name & Position of Traveler	Total

Justification / Notes:	Total FY14	\$ -				
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C. CONTRACTUAL SERVICES

Item	Qty	Cost	Total

Justification / Notes:	Total FY14	\$ -				
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D. SUPPLIES

Item	Qty	Cost	Total
Misc supplies/materials (for facility repairs)			1,000

Justification / Notes:	Total FY14	\$ 1,000	250	250	250	250
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E. EQUIPMENT: below \$5,000

Item	Qty	Cost	Total

Justification / Notes:	Total FY14	\$ -				
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F. MISCELLANEOUS Expense

Item	Qty	Cost	Total

Justification / Notes:	Total FY14	\$ -				
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G. CAPITAL OUTLAY: Cost over \$5,000 - Equipment and Vehicles, All Library Acquisitions, All Building Repairs & Renovations

Item	Qty	Cost	Total

Justification / Notes:	Total FY14	\$ -				
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H. UTILITIES: Power, Water, Telephone

Item	Total
Power Contribution to Student Center	49,000
Telephone	

Total FY14	\$ 49,000	12,250	12,250	12,250	12,250
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I. Transfer for F & A Fees (see guidelines for more information)

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Annual Surplus (Deficit)	\$ 200	50	50	50	50
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UNIVERSITY OF GUAM FY2014 AUXILIARY BUDGET

Department/Unit: Fieldhouse Signature-Dept Head: Ann SA Leon Guerrero, Acting Director

Quarterly Breakdown

Revenue (Please list sources)

		Oct-Dec	Jan-Mar	Apr-June	Jul-Sept
Transfer Fieldhouse Fees (90%)	110,000				
Rental (General Use)	100,000				
Users Fee	6,000				
Concession Sales	14,000				
Miscellaneous	6,000				
Transfer - General OPS Salaries (75%)	58,900				
	\$ 294,900	73,725	73,725	73,725	73,725

A. SALARIES AND BENEFITS

Please attach staffing pattern	\$ 215,649	53,912	53,912	53,912	53,913
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B. OFF-ISLAND TRAVEL

Name & Position of Traveler	Total				
Justification / Notes:	Total FY14	\$ -			

C. CONTRACTUAL SERVICES

Item	Qty	Cost	Total				
Equipment Maintenance			2,000				
Contractual Services			6,000				
Justification / Notes:	Total FY14	\$ 8,000	2,000	2,000	2,000	2,000	

D. SUPPLIES

Item	Qty	Cost	Total				
Office Supplies			1,000				
Custodial Supplies			5,251				
Justification / Notes:	Total FY14	\$ 6,251	1,562	1,563	1,562	1,564	

E. EQUIPMENT: below \$5,000

Item	Qty	Cost	Total				
Justification / Notes:	Total FY14	\$ -					

F. MISCELLANEOUS Expense

Item	Qty	Cost	Total				
Justification / Notes:	Total FY14	\$ -					

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

Item	Qty	Cost	Total				
Justification / Notes:	Total FY14	\$ -					

H. UTILITIES: Power, Water, Telephone

Item	Total				
Power	40,000				
Telephone					
Total FY14	\$ 40,000	10,000	10,000	10,000	10,000

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

	\$ 25,000	6,250	6,250	6,250	6,250
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Annual Surplus (Deficit) \$ - 1 0 1 (2)

UNIVERSITY OF GUAM FY2014 AUXILIARY BUDGET

Department/Unit: IAC Signature-Dept Head: Ann SA Leon Guerrero, Acting Director

Quarterly Breakdown

Revenue (Please list sources)

		Oct-Dec	Jan-Mar	Apr-June	Jul-Sept
Athletic Fees	150,000				
Sponsored Tournaments	1,000				
Adventure/Sports Camp	115,000				
Sports Leagues	5,000				
Miscellaneous	1,000				
	\$ 272,000	68,000	68,000	68,000	68,000

A. SALARIES AND BENEFITS

Please attach staffing pattern	\$ 226,531	56,633	56,633	56,633	56,633
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B. OFF-ISLAND TRAVEL

Name & Position of Traveler	Total				
Justification / Notes:	Total FY14	\$ -			

C. CONTRACTUAL SERVICES

Item	Qty	Cost	Total				
Justification / Notes:	Total FY14	\$ -	0	0	0	0	

D. SUPPLIES

Item	Qty	Cost	Total				
Supplies			450				
Justification / Notes:	Total FY14	\$ 450	113	113	113	113	

E. EQUIPMENT: below \$5,000

Item	Qty	Cost	Total				
Justification / Notes:	Total FY14	\$ -					

F. MISCELLANEOUS Expense

Item	Qty	Cost	Total				
Justification / Notes:	Total FY14	\$ -					

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

Item	Qty	Cost	Total				
Justification / Notes:	Total FY14	\$ -					

H. UTILITIES: Power, Water, Telephone

Item	Total				
Power	20,000				
Telephone					
Total FY14	\$ 20,000	5,000	5,000	5,000	5,000

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

	\$ 25,000	6,250	6,250	6,250	6,250
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Annual Surplus (Deficit) \$ 19 5 5 5 5

UNIVERSITY OF GUAM FY2014 AUXILIARY BUDGET

Department/Unit: CFA / ISLA Arts Signature-Dept Head: Dr. James Sellmann, Dean CLASS

Quarterly Breakdown

Revenue (Please list sources)		Oct-Dec	Jan-Mar	Apr-June	Jul-Sept
ISLA Art-a-thon	45,000	45,000			
Memberships / Donations	10,000	2,500	2,500	2,500	2,500
UOG Endowment Foundation account transfer	3,000	1,500	1,500		
	\$ 58,000	49,000	4,000	2,500	2,500

A. SALARIES AND BENEFITS

Part-time Gallery Assistant	\$ 23,000	5,750	5,750	5,750	5,750
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B. OFF-ISLAND TRAVEL

Name & Position of Traveler	Total
Justification / Notes:	Total FY14 \$ -

C. CONTRACTUAL SERVICES

Item	Qty	Cost	Total
Justification / Notes:	Total FY14	\$ -	

D. SUPPLIES

Item	Qty	Cost	Total
Office Supplies			500
Justification / Notes:	Total FY14	\$ 500	500

E. EQUIPMENT: below \$5,000

Item	Qty	Cost	Total
Justification / Notes:	Total FY14	\$ -	

F. MISCELLANEOUS Expense

Item	Qty	Cost	Total
Art-a-thon portion to participating schools			18,000
Justification / Notes: Participating schools reive 40% of funds raised	Total FY14	\$ 18,000	18,000

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

Item	Qty	Cost	Total
Justification / Notes:	Total FY14	\$ -	

H. UTILITIES: Power, Water, Telephone

Item	Total
Power	6,000
Telephone	
Total FY14	\$ 6,000

I. Transfer for F & A Fees (see guidelines for more information)	\$ 10,000	2,500	2,500	2,500	2,500
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Annual Surplus (Deficit)	\$ 500	38,750	(23,750)	(7,250)	(7,250)
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UNIVERSITY OF GUAM FY2014 AUXILIARY BUDGET

Department/Unit: Student Government Assoc Signature-Dept Head: Dr. Julie Ulloa-Heath Dean-EMSS

Quarterly Breakdown

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

		Oct-Dec	Jan-Mar	Apr-June	Jul-Sept
Fall	93,480				
Spring	90,450				
Summer	35,670				
Vending Machine	9,000				
	\$ 228,600	52,250	90,907	47,523	37,920

A. SALARIES AND BENEFITS

Please attach staffing pattern					
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B. OFF-ISLAND TRAVEL

Name & Position of Traveler	Total				
Justification / Notes:	Total FY14	\$ -			

C. CONTRACTUAL SERVICES

Item	Qty	Cost	Total				
Ads, printing, Copying			5,000				
Leadership Development-Misc			20,000				
Justification / Notes:	Total FY14	\$ 25,000		10,000		10,000	5,000

D. SUPPLIES

Item	Qty	Cost	Total				
Office Supplies			3,000				
Other Supplies & Materials			3,000				
Admin Operation Support (EMSS)			45,000				
Business Office Support			2,000				
Sponsored Activities			66,740				
Charter Day/Blue Night			20,000				
Computer Supplies			2,000				
Stipends			25,000				
Clubs/Theater/HR Transfers			22,860				
Justification / Notes:	Total FY14	\$ 189,600		49,400	61,900	40,900	37,400

E. EQUIPMENT: below \$5,000

Item	Qty	Cost	Total				
Furniture & Equipment			4,000				
Justification / Notes:	Total FY14	\$ 4,000		1,000	1,000	1,000	1,000

F. MISCELLANEOUS Expense

Item	Qty	Cost	Total				
Uniforms			2,000				
Justification / Notes:	Total FY14	\$ 2,000			2,000		

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

Item	Qty	Cost	Total				
Justification / Notes:	Total FY14	\$ -					

H. UTILITIES: Power, Water, Telephone

Item	Total				
Power	6,500				
Telephone	1,000				
Total FY14	\$ 7,500	2,250	1,750	1,750	1,750

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

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Annual Surplus (Deficit) \$ 500 (10,400) 24,257 (6,127) (7,230)

UNIVERSITY OF GUAM FY2014 AUXILIARY BUDGET

Department/Unit: EMSS-Student Health Signature-Dept Head: Gloria Mendiola, RN

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

Revenue (Please list sources)

Student Health Fees	104,919				
Transfer from Gen Ops for salaries (50%)	53,463				
	\$ 158,382	39,595	39,595	39,595	39,595

A. SALARIES AND BENEFITS

Please attach staffing pattern	\$ 148,382	37,095	37,095	37,095	37,095
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B. OFF-ISLAND TRAVEL

Name & Position of Traveler	Total				
Justification / Notes:	Total FY14	\$ -			

C. CONTRACTUAL SERVICES

Item	Qty	Cost	Total				
Justification / Notes:	Total FY14	\$ -					

D. SUPPLIES

Item	Qty	Cost	Total				
Justification / Notes:	Total FY14	\$ -					

E. EQUIPMENT: below \$5,000

Item	Qty	Cost	Total				
Justification / Notes:	Total FY14	\$ -					

F. MISCELLANEOUS Expense

Item	Qty	Cost	Total				
Justification / Notes:	Total FY14	\$ -					

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

Item	Qty	Cost	Total				
Justification / Notes:	Total FY14	\$ -					

H. UTILITIES: Power, Water, Telephone

Item	Total				
Total FY14	\$ -				

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

	\$ 10,000	2,500	2,500	2,500	2,500
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Annual Surplus (Deficit)	\$ 0	0	0	0	0
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UNIVERSITY OF GUAM FY2014 AUXILIARY BUDGET

Department/Unit: EMSS/Residence Halls Office Signature-Dept Head: Dr. Julie Ulloa-Heath

Quarterly Breakdown

Revenue (Please list sources)

		Oct-Dec	Jan-Mar	Apr-June	Jul-Sept
Dorm Rental – Fall	181,246				181,246
Spring	178,599		178,599		
Summer	52,371			52,371	
Intersession	22,000	22,000			
Guest	13,500	3,375	3,375	3,375	3,375
Washer/Dryer Rental	9,092	2,273	2,273	2,273	2,273
Vending Machines	3,300	1,000	1,000	1,000	300
Aux Miscellaneous	5,000	1,250	1,250	1,250	1,250
Transfer to/from: PF-RENREP	72,000	18,000	18,000	18,000	18,000
	\$ 537,108	\$ 47,898	\$ 204,497	\$ 78,269	\$ 206,444

A. SALARIES AND BENEFITS

Please attach staffing pattern	\$ 75,864	18,966	18,966	18,966	18,966
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B. OFF-ISLAND TRAVEL

Name & Position of Traveler	Total				
Justification / Notes:	Total FY14	\$ -			

C. CONTRACTUAL SERVICES

Item	Qty	Cost	Total				
Janitorial Services			89,000				
Fuel			15,000				
Copier			801				
Cable Service			1,875				
Equipment Maintenance			2,000				
Justification / Notes: 24/7 Operation (Dormitory)	Total FY14	\$ 108,676	27,169	27,169	27,169	27,169	

D. SUPPLIES

Item	Qty	Cost	Total				
Office Supplies			600				
Custodial Supplies			7,000				
Hardware			4,752				
Justification / Notes: 24/7 Operation (Dormitory)	Total FY14	\$ 12,352	3,088	3,088	3,088	3,088	3,088

E. EQUIPMENT: below \$5,000

Item	Qty	Cost	Total				
Justification / Notes:	Total FY14	\$ -					

F. MISCELLANEOUS Expense

Item	Qty	Cost	Total				
Stipends			10,000				
Dorm Activities and Events			2,340				
Justification / Notes:	Total FY14	\$ 12,340	5,900	2,450	3,250	740	

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

Item	Qty	Cost	Total				
Furnishings: reupholster/refurbish			15,600				
Repairs/renovations/painting/Internet Network/equipments/mini store			58,976				
Justification / Notes: Renovate kitchens and bathrooms to avail more rooms to the increasing number of applicants (3% per regular semester, an increase in revenues. Facelift and upgrade facilities and equipments for attractiveness. Establish a mini store convenient to residents and at the same time, generate revenues. Upgrade wifi and internet network services.	Total FY14	\$ 74,576			74,576		

H. UTILITIES: Power, Water, Telephone

Item	Total				
Power	202,900				
Telephone	400				
Total FY14	\$ 203,300	50,825	50,825	50,825	50,825

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

	\$ 50,000	12,500	12,500	12,500	12,500
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Annual Surplus (Deficit) \$ (0) (70,550) 89,499 (112,105) 93,156

Note: Budget includes the 23 additional rooms from Dorm 1.

BOR Regular Meeting_28Feb2013 (Reporting Requirement) - Reports from Standing Committees

TADEO Projected Budget for FY 2014-15

	Code	General Operations	F&A	UTAC	OLL	GCRC	TADEO	Total
Revenue								
Local Appropriations		\$73,710		\$100,000				\$173,710
F&A			\$17,858					\$17,858
Online Learning Student Fee					\$151,563			\$151,563
VTC							\$2,500	\$2,500
IT Support							\$7,500	\$7,500
Sub-Total		<u>\$73,710</u>	<u>\$17,858</u>	<u>\$100,000</u>	<u>\$151,563</u>		<u>\$10,000</u>	<u>\$353,131</u>
Expenses								
Salary								
Associate Director(MH)	0110	\$73,710						\$73,710
Instructional Designer(BM)	0110	\$0						\$0
Radio Operator	0170			\$24,864			\$8,288	\$33,152
Administrative Aide	0170		\$17,858		\$5,953			\$23,811
IT Technician	0170					\$30,369		\$30,369
<i>Sub-Total</i>								<u>\$161,042</u>
Contractual Services								
Comm-Fax/Postage Long Distance	3231						\$112	\$112
DE Coordinator	3233				\$60,720			\$60,720
Moodle Technician	3233				\$30,369			\$30,369
Learning Management System	3233				\$12,000			\$12,000
Online Course Development	3233			\$50,000	\$9,000			\$59,000
Online Course Mentor	3233				\$1,000			\$1,000
Virtual Classroom	3233				\$1,500			\$1,500
Security Monitoring Service	3239				\$750			\$750
Broadband Service	3239				\$1,500			\$1,500
On-line Training	3239			\$15,336				\$15,336
DE-Contracts	3233				\$12,000			\$12,000
Adv/Printing/Duplicating	3236						\$100	\$100
Newspaper	3237						\$500	\$500
<i>Sub-Total</i>								<u>\$194,887</u>
Professional Development								
Travel					\$3,000			\$3,000
Conference Fees					\$0			\$0
<i>Sub-Total</i>								<u>\$3,000</u>
Supplies and Materials								
Office Supplies	4240				\$347		\$500	\$847
Instructional Supplies	4241				\$250		\$500	\$750
<i>Sub-Total</i>								<u>\$1,597</u>
Equipment Non Capital Items/Misc								
Ice Furniture & Equipment (500-4999.99)	5250							\$0
F&A Fees (4%)					\$6,062.50			\$6,063
<i>Sub-Total</i>								<u>\$6,063</u>
<i>Personnel Expenses</i>		\$73,710	\$17,858	\$24,864	\$97,042	\$30,369	\$8,288	\$252,131
<i>Non-personnel expenses</i>				\$65,336	\$47,410		\$1,712	\$114,458
<i>15% Holdback Amount</i>				\$9,800	\$7,111			\$16,912
Total Expenses		<u>\$73,710</u>	<u>\$17,858</u>	<u>\$100,000</u>	<u>\$151,563</u>	<u>\$30,369</u>	<u>\$10,000</u>	<u>\$383,500</u>

OLL Fees	\$	20	\$	10
students				
		Full-time (75%)		Part-time (25%)
	3900	58500	\$	9,750
	1250	18750	\$	1,563
	3600	54000	\$	9,000
			\$	131,250
			\$	20,313
			\$	151,563

Revised 1/7/12 - MH

Notes:

Our instructional Designer is expected to retire in July 2013. This activity may be contracted out in 2014.

VTC services are expected to decline.

Additional revenue is growing from IT support to various grants on campus.

OLL fees were calculated with a 3% student growth rate.

Personnel fees were budgeted with a 3% increase.

UNIVERSITY OF GUAM FY2014 AUXILIARY BUDGET

Department/Unit: Professional & International Programs Signature-Dept Head: Cathleen Moore-Linn

Quarterly Breakdown

Revenue (Please list sources)

		Oct-Dec	Jan-Mar	Apr-June	Jul-Sept
Tuition	510,000				
Workshops and online courses	435,000				
Examinations (drivers, real estate, insurance)	142,000				
Grants	305,000				
	\$ 1,392,000	348,000	348,000	348,000	348,000

A. SALARIES AND BENEFITS

Please attach staffing pattern	\$ 510,011	127,503	127,503	127,503	127,502
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B. OFF-ISLAND TRAVEL

Name & Position of Traveler	Total				
Cathleen Moore-Linn Director	10,000				
Vehicle maintenance and fuel	3,000				
Various faculty/subject matter experts Contract or grant related travel	25,000				
Justification / Notes: <u>Travel with GVB to promote EAP and ELI programs/professional development</u>					
Total FY14	\$ 38,000	9,500	9,500	9,500	9,500

C. CONTRACTUAL SERVICES

Item	Qty	Cost	Total				
Data Communicatoin	4	1,000	4,000				
Postage, Long Distance	4	500	2,000				
Contractual Services	4	121,062	484,247				
Ads, Printing, Copying	4	6,500	26,000				
subscriptions, dues, books	4	500	2,000				
Vehicle Equipment Lease	4	3,250	13,000				
Oterh Services	4	3,375	13,500				
Justification / Notes:							
Total FY14		\$ 544,747		108,949	108,949	163,424	163,425

D. SUPPLIES

Item	Qty	Cost	Total				
Office supplies	4	1,500	6,000				
Instructional Supplies	4	11,500	46,000				
Custodial Supplies	4	250	1,000				
Computer	4	750	3,000				
Other supplies and materials	4	2,750	11,000				
Justification / Notes:							
Total FY14		\$ 67,000		16,750	16,750	16,750	16,750

E. EQUIPMENT: below \$5,000

Item	Qty	Cost	Total				
furniture & equipment	4	750	3,000				
Justification / Notes: <u>Replace worn office furniture (safety issue)</u>							
Total FY14		\$ 3,000			1,500	1,500	

F. MISCELLANEOUS Expense

Item	Qty	Cost	Total				
None							
Justification / Notes:							
Total FY14		\$ -					

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

Item	Qty	Cost	Total				
None							
Justification / Notes:							
Total FY14		\$ -					

H. UTILITIES: Power, Water, Telephone

Item	Total				
Power	14,500				
Telephone	7,000				
Total FY14	\$ 21,500	5,375	5,375	5,375	5,375

I. Transfer for Gen Operations

	\$ 207,000	51,750	51,750	51,750	51,750
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Annual Surplus (Deficit)	\$ 742	28,173	26,673	(27,802)	(26,302)
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UNIVERSITY OF GUAM FY2014 AUXILIARY BUDGET

Department/Unit: PIP English Adventure Program Signature-Dept Head: Cathleen Moore-Linn

Quarterly Breakdown

Revenue (Please list sources)

		Oct-Dec	Jan-Mar	Apr-June	Jul-Sept
Hankuk University of Foreign Studies	31,500				
ZeZe High School	31,500				
Okayama University	8,250				
Short Term (less than five days) programs	95,000				
Intensive English Program (4 weeks or more)	27,000				
	\$ 193,250	119,700	28,263	3,325	41,962

A. SALARIES AND BENEFITS

Note: support staf funded through PIP; instructors are short term contractual appointment as needed		0	0	0	0
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B. OFF-ISLAND TRAVEL

Name & Position of Traveler	Total				
Russell Ocampo outreach coordinator	4,000				
Carlos Taitano outreach coordinator	4,000				
Cathleen Moore-Linn Director	3,000				
Justification / Notes: <u>travel to Japan, Taiwan, Korea in conjunction with GVB to promote EAP</u>	Total FY14	\$ 11,000	3,000	4,000	4,000

C. CONTRACTUAL SERVICES

Item	Qty	Cost	Total				
postage, long distance	4	500	2,000				
contractual services	4	16293	65,175				
Ads, printing, copying	4	1750	7,000				
Other services	4	1750	7,000				
Justification / Notes: _____	Total FY14	\$ 81,175	57,006	13,460	1,584	9,125	

D. SUPPLIES

Item	Qty	Cost	Total				
Office supplies	4	750	3,000				
Instructional supplies	4	750	3,000				
computer/projector	4	1000	4,000				
Justification / Notes: _____	Total FY14	\$ 10,000	7,200	1,700	200	900	

E. EQUIPMENT: below \$5,000

Item	Qty	Cost	Total				
None							
Justification / Notes: _____	Total FY14	\$ -					

F. MISCELLANEOUS Expense

Item	Qty	Cost	Total				
Fiesta lunches requested and funded by client	4	3500	14,000				
Justification / Notes: _____	Total FY14	\$ 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				
none							
Justification / Notes: _____	Total FY14	\$ -					

H. UTILITIES: Power, Water, Telephone

Item	Total				
Power					
Telephone					
Justification / Notes: _____	Total FY14	\$ -			

I. Transfer for Gen Operations

	\$ 77,000	40,000	10,000	4,000	23,000
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Annual Surplus (Deficit) \$ 75 8,994 (4,397) (9,959) 5,437

UNIVERSITY OF GUAM FY2014 AUXILIARY BUDGET

Department/Unit: PIP English Language Institute Signature-Dept Head: Cathleen Moore-Linn

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

Revenue (Please list sources)

Tuition	356,617				
	\$ 356,617		118,872	118,872	118,873

A. SALARIES AND BENEFITS

Please attach staffing pattern	\$ 287,908	71,977	71,977	71,977	71,977
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B. OFF-ISLAND TRAVEL

Name & Position of Traveler	Total				
Ed Cruz Instructor	4,000				
Justification / Notes: <u>travel related to ELI accreditation</u>	Total FY14	\$ 4,000	4,000	0	0

C. CONTRACTUAL SERVICES

Item	Qty	Cost	Total				
Postage, long distance	4	125	500				
Contractual Services	1	7000	7,000				
Ads, Printing, Copying, web	3	2000	6,000				
Subscriptions, Dues, Books	2	500	1000				
Justification / Notes: _____	Total FY14	\$ 14,500	3,000	2,500	2,500	6,500	

D. SUPPLIES

Item	Qty	Cost	Total				
Office Supplies	4	500	2,000				
Instructional Supplies	4	250	1,000				
Custodial supplies	3	100	300				
Other supplies and materials	4	500	2,000				
Computer	1	1500	1,500				
Justification / Notes: _____	Total FY14	\$ 6,800	1,700	1,700	1,700	1,700	

E. EQUIPMENT: below \$5,000

Item	Qty	Cost	Total				
furniture and equipment	4	500	2,000				
Justification / Notes: _____	Total FY14	\$ 2,000	1,000	1,000			

F. MISCELLANEOUS Expense

Item	Qty	Cost	Total				
None							
Justification / Notes: _____	Total FY14	\$ -					

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

Item	Qty	Cost	Total				
None							
Justification / Notes: _____	Total FY14	\$ -					

H. UTILITIES: Power, Water, Telephone

Item	Total				
Power	12,500				
Telephone	500				
	Total FY14	\$ 13,000	3,250	3,250	3,250

I. Transfer for Gen Operations

	\$ 26,000	6,500	6,500	6,500	6,500
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Annual Surplus (Deficit)	\$ 2,409	(91,427)	31,945	32,945	28,946
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UNIVERSITY OF GUAM
UNIBETSEDAT GUAHAN
BOARD OF REGENTS

RESOLUTION NO. 13-08

RELATIVE TO AMENDING THE APPROVAL OF
PROCUREMENT AWARDS AND CONTRACTS

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

WHEREAS, the governance and well-being of the University is vested in the Board of Regents (BOR); and

WHEREAS, Section 5 Article IV of the University By-laws states: "The Board of Regents, except as in the By-Laws otherwise provided, may authorize any officer or officers, agent or agents, to enter into any contracts or execute any instrument in the name of and on behalf of the corporation. Such authority may be general or confined to specific instances. Unless so authorized by the Board of Regents, no officer or employee shall have any power to bind the corporation by any contract or engagement, or to pledge its credit, or to render it liable for any purpose or to any amount"; and

WHEREAS, in line with best practice at other institutions and following a review of BOR Resolutions No. 05-54 and No. 12-18, procurement and contracts at the University, the administration now wishes to amend the authority delegated to University officers in the approval of contracts and to further extend this authority in a manner best serving and clarifying the fiduciary responsibilities of the BOR as well as best serving the operational requirements of the University for institutional effectiveness and efficiency; and

WHEREAS, the President and BOR's Budget, Finance, Investments and Audit Committee have reviewed the administration's proposal in this matter and recommend it to the Board.

NOW, THEREFORE, BE IT RESOLVED, that the Board of Regents hereby approves amends and replaces BOR Resolution No. 12-18, approving the following delegation of authority for approval of budgeted contracts and procurement awards:

1. This resolution supersedes all previous policy and resolutions relating to this matter.
2. The Board requires that Legal Counsel review all contracts and procurement awards in excess of \$50,000
3. The Board authorizes the Assistant Vice President, Deans, Directors and other Administrators to approve procurement awards and contracts up to a maximum of \$10,000 for their unit budgets.
4. The Board authorizes the Senior Vice President for Academic and Student Affairs and the Vice President for Administration and Finance to approve procurement awards and contracts up to a maximum of \$100,000.
5. The Board authorizes the President to approve procurement awards and contracts up to \$200,000.

6. The Board authorizes the President, thereafter signed by the Chairman of the Board of Regents for notification purposes, to approve procurement awards and contracts over \$200,000 and up to \$500,000.
7. The Board authorizes the President, thereafter signed by the Chairman of the Board of Regents and by the Treasurer of the Board of Regents for notification purposes, to approve procurement awards and contracts over \$500,000.
8. Approved procurement awards and contracts greater than \$100,000 will be presented at each Board meeting.

Adopted this 28th day of February, 2013.



Dr. W. Chris Perez, Chairman

Attested:



Dr. Robert A. Underwood, Executive
Secretary

Physical Facilities Committee Member Elizabeth Gayle will report on the Physical Facilities Committee meeting.

The Plant and Facilities Update will be given at this time.



UNIVERSITY OF GUAM
UNIBETSEDÁT GUAHAN
Board of Regents

RESOLUTION NO. 13-09

RELATIVE TO ADOPTING THE UNIVERSITY OF GUAM
VISION 2025 PHYSICAL MASTER PLAN

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

WHEREAS, in 2008, President Robert A. Underwood initiated the development of the current strategic plan vision through a series of discussions with faculty, staff, and administrators in various pocket meetings and consultations resulting in the framework of the Natural Choice, UOG Green and Leading Change Initiatives integrated with the University's core mission; and

WHEREAS, on December 13, 2010, after several meetings and feedback sessions with each organization in the University, the institutional strategic plan was finalized, approved and disseminated, and University organizations were charged with developing plans tied to the institutional strategic plan in preparation for resourcing and updating the Physical Master Plan; and

WHEREAS, a combination of funding sources from the Office of Insular Affairs, Department of Interior, grant awards GUAM-CIP-2009-1 and GUAM-CIP-2010-1 (CFDA 15.875) together with University FY2011 Facilities and Administrative Support Budget were identified to resource the Physical Master Plan Update totaling \$225,000; and

WHEREAS, a Request for Proposal (RFP P59-11) was publicized to procure a contractor to update the Physical Master Plan resulting in the selection of Taniguchi, Ruth, Makio Architects (TRMA) and a signed contract in August 2011; and

WHEREAS, a series of meetings and discussions with respective University organizations and stakeholders were held for Phase I, TRMA's conceptual plans for the Engineering Science Facility, Triton Engagement Center, Fine Arts Complex, and the Water Environmental Research Institute, and Phase II, Physical Master Plan Update; and

WHEREAS, for the UOG 60th Anniversary Launch held on November 3, 2011, a briefing slide show and poster board renderings showcased the progress of the proposed designs by TRMA; and

WHEREAS, final feedback sessions to ensure major areas of recommendations were captured were held with all University organizations during the month of August 2012 and with the University leadership in September 2012; and

WHEREAS, final draft reviews with the University leadership occurred between October 2012 and January 2013 with approval of the Physical Master Plan framework on February 5, 2013; and


WHEREAS, the Administration and the Physical Facilities Committee have reviewed and together recommend the attached University of Guam Vision 2025 Physical Master Plan to the Board of Regents for adoption.

NOW, THEREFORE BE IT RESOLVED, that the Board hereby adopts the University of Guam Vision 2025 Physical Master Plan to serve as the official document, based upon which the University will actively build its capacity towards a 21st century campus in line with its mission, strategic plan and Good to Great initiative.

Adopted this 28th day of February 2013.


Dr. W. Chris Perez, Chairperson

Attested:


Dr. Robert Underwood, Executive Secretary

See link to view/download the files: <http://sdrv.ms/VRtce2>

Regent John Arroyo, Ex-Officio member of the UOG Endowment Foundation, will give his report.

New Business will be presented at this time.

Open presentations can be made at this time. Please note that there is a limit of three (3) minutes per person.

The Board of Regents will enter Executive Session at this time.

The documents presented here are not available for public review.

The documents presented here are not available for public review.

Case No. EEO-12-001 will be presented and discussed.

The Board of Regents will now vote on the recommendations reviewed in Executive Session.

A vote will be taken on the tenure application of Dr. Amy Owen.

A vote will be taken on the Dean Emerita application of Dr. Mary Spencer.

Chairperson W. Chris Perez will adjourn the meeting.