

JUL 17 1980

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# UNIVERSITY OF GUAM

Mangilao, Guam

## ADMINISTRATIVE MANUAL

APPROVED BY THE BOARD OF REGENTS

JULY 18, 1985

Reprinted with Amendments in June 1989

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## PREFACE

Besides the policies established for an institution, the Administrative Manual is the key to guide the administrators in carrying out their assignments. This manual spells out the duties, responsibilities, and authority of the administrators of the University of Guam in the respective functional areas and at the various levels of administration. The Manual also specifies the flow of decision-making and the procedures to be followed.

The Administrative Manual does not stand by itself. It is closely related to P.L. 19-40 (University of Guam Charter) and to other policy and procedural documents, particularly the Personnel Rules and Regulations, BOR-GFT Agreement and the Faculty Handbook. A list of the relevant documents is presented in the appendix. The set of policy and administrative documents should be kept together for ready reference. Following the established policies, rules and procedures will facilitate the work of the administrator and ensure effective and coordinated action.

## ARTICLE I

### PHILOSOPHY OF UNIVERSITY OF GUAM ADMINISTRATION

The Administrators of the University, as stated in the Personnel Rules and Regulations document, "play important roles in the initiation, formulation and enforcement of University policies promulgated by the Board of Regents." A major responsibility of the administrators is to facilitate, direct and offer leadership in the pursuit of effective teaching, learning, research and service to the community.

A university is a collegial institution and a tenet of the administrative philosophy of the University of Guam is to encourage and provide institutional mechanisms and processes for contributions to policy making on the part of faculty and students. Yet, within the framework of the policies established by the Board of Regents, the administrators carry the burden of responsibility and accountability in the program and functional areas under their direction, which necessitates their being vested with the appropriate authority to perform their duties.

Within the limits of established institutional policies and statutory requirements, authority and responsibility will be delegated to the lowest possible level, to promote institutional effectiveness and efficiency. Such delegation is feasible and appropriate if the institution has a clear set of decision criteria and procedures, which is an important purpose of this Administrative Manual.

The University can only attain its goals and missions if it develops and maintains effective relationships with the community it serves. The building and strengthening of these community relationships, directly and through their faculty and staff members, is another significant role of all University administrators.

ARTICLE II

SELECTION OF ADMINISTRATORS

A. Search Committees (Revised and approved by BOR on February 16, 1989)

1. For President:  
Chair of the Board of Regents,  
Two other Regents.
2. For Vice Presidents:  
Five members appointed by the President of whom  
at least three will be non-administrators.
3. For Deans:  
Two members-at-large appointed by the Academic  
Vice President and approved by the President; and  
  
Three members appointed by the Academic Vice  
President and approved by the President from  
a list of at least five (5) provided by the  
faculty of the College, School or Unit headed  
by a Dean in which there is vacancy.
4. For Director of Admissions and Records, Controller,  
Personnel Officer, Director of CCE-OP, Plant Manager,  
and Director of the Computer Center.  
  
Five members appointed by the appropriate Vice  
President and approved by the President of whom at  
least two (2) shall be faculty members.
5. For all other Administrators as approved by the Board  
of Regents:  
  
The appropriate Vice President shall determine the  
appropriate number and composition.  
For Research Director - All Faculty members of the  
research unit plus two members at large appointed  
by the President.

B. Procedures (Revised and approved by BOR on February 16,  
1989)

1. When initiated -

The process of initiating a search committee shall begin within ten (10) working days of the official notification that a vacancy will exist. Administrators are expected to give a minimum of ninety (90) calendar days notice prior to leaving office.

The initial meeting of the search committee shall be convened by the appointing Administrator. The committee shall elect a Chair from among its membership. It shall be the responsibility of the Chair to assure that all appropriate policies and procedures are carried out, all deadlines met and shall act as liaison to the Personnel Office. The Chair shall assure that all members of the committee are familiar with EEO regulations and shall arrange for training in Committee functions to be provided by Personnel Office staff. Search committees for Administrators may use pertinent sections of Article V for guidance in carrying out their duties.

2. Criteria -

Criteria, in addition to those required by law or by the Board of Regents, may be established by the committee with the approval of the appointing Administrator and the President, except in Presidential searches as previously noted. All criteria shall be in writing and shall be provided to all applicants along with salary ranges and terms of service.

3. Advertising -

It is the responsibility of the search committee Chair, in coordination with the Personnel Office, to assure that the position is advertised both locally and off-island in a timely manner. The advertisement shall specify a reasonable closing date for application and a description of required information to be submitted. Applicants must submit an up-to-date resume or curriculum vitae, official graduate degree transcripts sent directly from the awarding institution and unofficial copies of all undergraduate degrees, names of referees to be contacted and other material as required by the search committee.

4. Interviews -

The most qualified applicants for administrative positions shall be interviewed by the committee or its representative(s). Applicants may be interviewed in person or via telephone or other mechanical means. An EEO Officer shall be present for all official interviews. Committee members conducting off-island interviews should be briefed by the EEO Officer prior to the interview, should

ascertain that their interview content also conforms to EEO guidelines, and must inform the interviewee of the unofficial nature of such interviews.

5. Final Report -

Within six (6) months of the initial meeting of the committee, a final report of the search committee shall be submitted by the Chair to the appointing Administrator, except in the case of a Presidential search committee in which procedures are determined by Territorial Statute, who shall in turn forward the report and the Administrator's recommendation within five (5) working days to the President via the appropriate Vice President. This report will include copies of the application materials from the three most highly ranked applicants for the position, with a listing of the strengths and weaknesses of the three candidates, the Committee's rank order and recommendations for hiring. Fewer names may be submitted if less than three have applied or are qualified. If the committee finds that no applicants were sufficiently qualified for the position, they may recommend that the search be reopened or extended, specifying new deadlines. If the committee has not reached consensus on hiring recommendations, minority reports may be appended and duly considered. In the event none of the candidates are acceptable, or if none accept the position, the committee will resume its search under new timelines.

6. Selection of Research Director -

The Directors of the Research Unit will normally be selected from among the faculty of the Unit on a triennial basis by majority vote of the faculty. This does not preclude the unit from hiring a director from outside its own faculty if the majority of the faculty are in favor of such action.

7. Files and Correspondence -

All correspondence, files and materials related to the candidates will be sent directly to, and stored in, the Personnel Office. The Personnel Office will provide meeting space and immediate access to all search materials to all members of the committee. The Personnel Office will monitor the search process to assure that all timelines are met and that all necessary correspondence is effected in a timely fashion.

C. Appointment of Administrators

The Board shall appoint the President.

The President, on the recommendations of appropriate administrators and guided by the recommendations of Search Committees, shall appoint administrators, such as may be necessary to fulfill the mission and purposes of the University (P.L. 19-40, Section 16108).

ARTICLE III

ROLES AND RESPONSIBILITIES

**A. Board of Regents**

The governance, control and operation of the University of Guam is vested in the Board of Regents pursuant to the University of Guam Charter, P.L. 19-40 as amended.

The Board shall establish policies, rules and regulations for the governance of the University of Guam. It shall be the responsibility of the President and all other administrators to implement and enforce policies promulgated by the Board. University administrators are accountable for the proper performance of duties required of their position in accordance with established institutional policies and statutory requirements.

The flow of authority and responsibility follows the University organizational plan. Primary authority and responsibility for the internal operation rest with the President. Ultimate authority rests with the Board of Regents.

**B. President**

The President is the chief executive officer and spokesman of the University and serves at the Board's pleasure. The primary functions are to seek sources of local, regional and national funding for the support of the institution and to promote the teaching, research and service mission of the University. The President's major responsibilities are:

- a. To ensure that the University abides by the Territorial statutes and the Board of Regents' policies, rules, regulations and procedures issued for the operation of the University.
- b. To inform the Regents of the activities, problems, and needs of the University.
- c. To present and defend the annual University budget to the Board.
- d. To ensure that the University meets the standards requisite for accreditation.
- e. To delegate responsibilities and commensurate authority to appropriate personnel and evaluate their performance.

C. Vice Presidents

1. Vice President for Academic Affairs

The Vice President for Academic Affairs is the chief academic officer whose primary function is to provide leadership and direction in all matters relating to the general administration, supervision and operation of the academic functions of the University. He/she is accountable to the President. The Academic Vice President's major responsibilities are:

- a. To supervise programs in the areas of admissions and records, curriculum, instruction, research, library services, student affairs, continuing education and computer center.
- b. To coordinate and develop the budget for the academic needs of the University.
- c. To review and act on academic policies and regulations recommended by the Administrative Council and the University Academic Affairs Committee.
- d. To review and act on appropriate personnel actions in all areas under his supervision.
- e. To delegate responsibilities and commensurate authority to appropriate personnel and evaluate their performance.

2. Vice President for Planning, Development and Endowment

The Vice President for Planning, Development and Endowment shall be the chief fund raising officer of the University. He/she is accountable to the President. The duties and responsibilities of the Vice President shall include, but not be limited:

- a. To develop and implement strategies for fundraising and the definition of program components.
- b. To plan, coordinate, and implement public relations programs.
- c. To coordinate the activities of units/agencies involved in the capital improvement project, both physical and financial.
- d. To project future institutional, as well as physical needs of the University.

- e. To supervise activities related to placement and alumni relations.
- f. To represent the University in soliciting funds and/or other forms of material benefits from all available sources.
- g. To keep the President apprised of all important developments.

D. Controller

The Controller is the chief business officer who manages the business affairs of the University and is accountable to the President. The major responsibilities are:

- a. To ensure compliance of budgetary provisions, in the disbursement and record keeping of University funds, in accordance with established policies, procedures, and statutory provisions.
- b. To coordinate the preparation of the annual budget of the University.
- c. To provide information to all University components regarding the status of funds allocated to those units.
- d. To develop policies and procedures for procurement of goods, supplies, equipment and services, in consultation with the Administrative Council.
- e. To develop and maintain an accounting system for the University.
- f. To oversee the investments of the University.
- g. To develop policies in regard to risk management.
- h. To oversee the preparation of the indirect cost rate proposal and negotiate with the cognizant agency.
- i. To develop long range financial plans of the University.
- j. To oversee the audits of the University and present such reports along with management response to the Board.
- k. To ensure that top management and the Board is kept informed of the financial condition of the University.

- l. To oversee the issuance of long-term debt by the University and ensure compliance with all debt covenants.
- m. To decide on credit applications for tuition, fees, dormitory and bookstore.
- n. To oversee the collection of debts owed the University.

**E. Director of Operations and Support Services**

The Director of Operations and Support Services is the administrative officer whose primary function is to provide leadership and direction in all matters relating to physical and related support services of the University. He/she is accountable to the President. Major responsibilities are:

- a. To supervise operations in the areas of plant management and personnel services.
- b. To coordinate and develop the Personnel affairs budget of the University.
- c. To review and act on administrative policies and regulations recommended by immediate subordinates and the Administrative Council.
- d. To review and act on appropriate personnel actions submitted by immediate subordinates.
- e. To delegate responsibilities and commensurate authority to appropriate personnel and evaluate their performance.

**F. Associate Vice President for Academic Affairs**

The Associate Vice President for Academic Affairs reports to the Vice President for Academic Affairs and exercises independent judgement and action as needed to pursue effectively the academic missions of the University. His/her authority and responsibilities are delegated by the Vice President for Academic Affairs which shall include, but not be limited:

- a. To assist the Vice President in general administrative affairs.
- b. To maintain continual contact with Dean and Directors of Colleges and units, and other administrative officers to provide functional guidance with respect to the operations of the academic affairs of the University.

- c. To serve as Acting Vice President during the temporary absence of the Vice President.
- d. To carry out other related responsibilities as may be delegated by the Vice President.

**G. Deans**

Deans are the executive officers of their units. Their primary function is to provide leadership, direction, and to serve as the official representatives of their units. They are accountable to the Academic Vice President for the general administration, supervision and operation of their units. Their major responsibilities are:

- a. To plan and evaluate their unit's programs and activities.
- b. To coordinate the development of the budget and to prepare the unit's annual budget requests.
- c. To monitor budget expenditures to ensure that the integrity of funds is maintained.
- d. To review all personnel actions and to make recommendations concerning employment of faculty and staff positions based on personnel evaluation.
- e. To develop policies, procedures, and organizational structures in consultation with the Academic Vice President, unit Academic Affairs Committee or similar appropriate committees.
- f. To prepare workload assignments and determine the expansion, reduction, transfer or reassignment of positions.
- g. To prepare annual reports.
- h. To delegate responsibilities and commensurate authority to appropriate personnel and evaluate their performance.

**H. Associate Deans**

Associate Deans carry out assignments given them by their Deans and serve as acting Deans in the absence of the Dean.

I. Directors (Other than Controller, Director of Operations and Support Services and Athletic Director)

Directors are the chief operating officers of their units. Their primary function is to direct and manage the operation of their programs. They are accountable to their respective Dean or Vice President. Their major responsibilities are:

- a. To plan, organize, implement and evaluate their programs.
- b. To develop objectives, formulate policies and procedures in the management of their programs in consultation with their Dean or Vice President and faculty/staff members.
- c. To prepare and monitor the unit's budget.
- d. To coordinate faculty or staff assignments and activities.
- e. To make recommendations relating to personnel actions and matters.
- f. To prepare annual reports.

J. Assistant Directors

Assistant Directors carry out assignments given them by their Directors.

K. Plant Manager

The Plant Manager is in charge of plant management and is accountable to the Director of Operations and Support Services. The major responsibilities are:

- a. To supervise the maintenance and repair of buildings, grounds and equipment.
- b. To plan, coordinate and supervise projects involving facilities.
- c. To coordinate all capital improvement projects involving facilities.
- d. To recommend modifications to the physical plant, the installation of utilities and related requirements according to building codes and regulations.

- e. To receive and distribute goods obtained through the Procurement Office of the University.
- f. To manage the stockroom, Campus Security, Switchboard Operator, and Property Control and Inventories.

**L. Personnel Officer**

The Personnel Officer is the supervisor and manager of the Personnel Services and is accountable to the Director of Operations and Support Services. The major responsibilities are:

- a. To ensure compliance of all personnel actions according to established policies, procedures and statutory provisions.
- b. To maintain University personnel records and files.
- c. To assist administrators in the recruitment process of new employees.
- d. To assist in the development of policies and procedures in matters relating to personnel.
- e. To provide information and to interpret established personnel rules, fringe benefits, and regulations.
- f. To conduct classification studies and audits.
- g. To assist the Director of Operations and Support Services/President on all Civil Service Hearings on personnel matters.
- h. To maintain Eligibility Listings of qualified applicants.
- i. To administer the assembled and unassembled examinations.

**M. Support Administrators**

- 1. Assistant to the President

The Assistant to the President is the protocol officer of the University and reports to the President. The major responsibilities are:

- a. To serve as the President's aide.
- b. To coordinate the proper flow of information to the University community concerning Presidential actions and decisions.

- c. To attend to routine needs of the Board of Regents in terms of information requests and other specific tasks assigned to the President by the Board.
  - d. To coordinate the planning and development of the budget for the needs of the Office of the President.
2. Assistant to Vice President, Planning, Development and Endowment

The Assistant to the Vice President for Planning, Development and Endowment is a member of the Office of the Vice President for Planning, Development and Endowment and works under the general administrative direction of that Vice President. The major responsibilities are:

- a. To coordinate the activities related to placement and alumni relations.
  - b. To undertake regular and special projects and keep the Vice President of Planning, Development and Endowment informed on the progress of such assignments.
  - c. To assist the Vice President in the planning and execution of fund-raising activities, and collect and prepare reports and statistics related to those activities.
3. Public Relations Officer

The Public Relations Officer is the chief information officer and public relations coordinator of the University and is accountable to the Vice President of Planning, Development and Endowment. The major responsibilities are:

- a. To formulate, implement and evaluate information/public relations policy, programs and procedures.
- b. To provide information and to interpret for the public the teaching, research and service missions of the University.
- c. To coordinate and/or prepare official University press releases.
- d. To facilitate and coordinate the publication of promotional and informational materials prepared by specific units of the University.

- e. To facilitate internal communication by preparing and distributing newsletters, news, press releases and memoranda.
- f. To promote and enhance the image of the University.

4. Financial Aid Officer

The Financial Aid Officer is the administrator of the student financial aid program and is accountable to the Dean of Student Affairs. The major responsibilities are:

- a. To administer the financial aids programs funded by the local and federal governments or private agencies.
- b. To develop policies and procedures for the equitable and timely disbursement of funds to students.
- c. To counsel students on budgeting of funds, availability of and application for financial aid.
- d. To manage the staff of the Financial Aid Office.

5. Student Housing Officer

The Student Housing Officer is the manager of the Housing Office and the coordinator of the housing program for resident students. The Housing Officer is accountable to the Dean of Student Affairs. The major responsibilities are:

- a. To plan, organize and direct the operations of the Housing Office.
- b. To assist in the planning and implementation of a program of recreational activities which contribute to resident students' intellectual, personal and social development.
- c. To insure that on-campus housing accommodations are safe and meet health standards of the Government of Guam.
- d. To prepare budgetary reports and maintain cost records and data.

6. Field House Manager

The Field House Manager is responsible for the maintenance and operations of the Field House facility, and is accountable to the President. The major responsibilities are:

- a. To schedule and coordinate all activities within the Field House.
- b. To ensure the proper upkeep, supervision and security of the Field House.
- c. To generate revenue to support the operation and maintenance of the facility.
- d. To represent and promote the Field House on campus and in the community.

7. Bookstore Manager

The Bookstore Manager is generally responsible for the operations of the bookstore and is accountable to the Controller. The major responsibilities are:

- a. To formulate operating policies, procedures and guidelines.
- b. To establish and maintain standard business practices for a bookstore, including procurement, sales, credit and inventory.
- c. To prepare budgetary reports and maintain cost records and data.
- d. To generate revenue to support the bookstore operations on a self-sustaining basis.

8. Athletic Director

The Athletic Director is responsible for the administration and supervision of the UOG Athletic Programs and is accountable to the President. The major responsibilities are:

- a. To schedule and coordinate all athletic sports programs for the University of Guam.
- b. To generate revenue to support the operation of the Athletic Department.

- c. To prepare budgetary reports for the Athletic Department.
- d. To assist the Intercollegiate Athletic Council in the selection of Athletic Coaches.
- e. To order/maintain Athletic equipment.
- f. To represent and promote the University Athletic programs on campus and in the community.

**N. Administrative Titles**

The official titles listed above shall only be used for the positions described. Use of alternative titles require the recommendation of the appropriate line administrators and approval of the respective Vice Presidents.

ARTICLE IV  
ADMINISTRATIVE COUNCIL

A. Membership

Vice Presidents  
Deans  
Controller  
Director of Operations and Support Services  
Chair, Faculty Council (Non-Voting Member)

Other administrators are welcome to attend if they desire. Faculty and student representatives will be invited when discussing certain items, e.g., budget document.

B. Functions

The Administrative Council shall serve as the advisory body to the President on all matters relating to the University, including but not limited to University budget, operations, policies and procedures, academic programs, student and faculty concerns, and legislative bills affecting the University. The Council also serves as a forum for the discussion and resolution of problems which arise among the various service and academic units of the University.

The Council shall annually review the Administrative Manual, Personnel Rules and Regulations and the Faculty Handbook and shall make recommendations for changes in procedures and/or criteria it deems necessary to be able to carry out the University's mission.

C. Procedures

Meetings will be held biweekly on the first and third Wednesday of each month. The Controller shall serve as the Chair; the Academic Vice President shall serve as the Secretary. Any administrator may suggest agenda items to the Secretary by providing in writing a statement of the problem or item of interest one week prior to the scheduled meeting; items received too late for inclusion on the agenda will be placed on the following meeting's agenda. Any member may request a vote on agenda items. The minutes of each meeting shall be sent to all members. A complete file of the minutes shall be maintained at the R.F.K. Library. Recommendations of the Council shall be forwarded to the appropriate committee or administrator.

ARTICLE V

SELECTION OF FACULTY

(Revised and Approved by BOR on February 16, 1989)

A. Procedures

1. Hiring of Non-Administrative Tenure Track Personnel -

- a. The Dean, after approval by the Academic Vice President, informs the faculty of the unit in the discipline involved or Director that a position is vacant and that recruitment should begin. All budgeted positions shall be deemed certified for hiring purposes.

The unit involved shall convene a meeting for the purpose of determining:

- (1) The number of positions to be addressed by the search committee and the specialty areas and qualifications for each position relative to the needs of the unit.
  - (2) A nomination list of six faculty from the unit for membership on the search committee, to be forwarded to the Dean. Nomination lists from units of fewer than six (6) faculty shall include all full time faculty members, with the remainder of the list being made up of faculty from within the next largest unit.
  - (3) A nomination list of up to three faculty outside the college for membership on the search committee, to be forwarded to the Dean.
- b. The Dean appoints a search committee of at least four (4) from a list of six (6) provided by the faculty unit pertinent to the position specialty, at least one of which must be from the unit whenever possible, and a fifth member selected by the Dean from outside the college. Committees may be so formed to address a single search or any and all open positions within the faculty unit. Faculty serving on search committees must be full time faculty members. One (1) administrator with relevant academic preparation or experience may serve as the outside member.

- c. The Dean establishes a budget for each search committee which provides for the cost of phone calls, postage, advertising, and to defray interview travel as available and appropriate.
- d. The Dean convenes the first meeting of the appointed search committee. The committee will elect a Chair and then undertake the following tasks:
  - (1) Position description, including qualifications, duties, salary range, and terms of service. Criteria, in addition to those required by the Board of Regents, may be established by the committee with the approval of the Dean and Academic Vice President. All criteria shall be in writing and shall be provided to all applicants along with salary ranges and terms of service.
  - (2) Determining methods, placement and scheduling of advertising and pertinent copy. It is the responsibility of the Search Committee Chair, in coordination with the Personnel Office, to assure that the position is advertised both locally and off-island in a timely manner. The advertisement shall specify a reasonable closing date for application and a description of required information to be submitted. Applicants must submit an up-to-date resume or curriculum vitae, official graduate degree transcripts sent directly from the awarding institution and unofficial copies of all undergraduate degrees, names of referees to be contacted and other material as required by the search committee.
  - (3) Determining a regular schedule of meetings and setting target dates for accomplishing the various phases of its work.
- e. All correspondence, files and materials related to the candidates will be sent directly to, and stored in, the Personnel Office. The personnel office shall maintain a continuous and separate log for each search. The Personnel Office will provide meeting space and immediate access to all search materials to all members of the committee. The Personnel Office will monitor the search process to assure that all timelines are met and that all necessary correspondence is effected in a timely manner.
- f. The most qualified applicants for positions shall be interviewed by the committee or its representatives(s). Rating criteria for selecting among applicants, in

addition to those required by the Board of Regents, may be established by the Search Committee members with the approval of the Dean. Applicants may be interviewed in person or via telephone or other mechanical means with interview content conforming to permissible Equal Employment Opportunity guidelines. An EEO officer shall be present for all official interviews. Committee members conducting off-island interviews should be briefed by the EEO Officer prior to the interview, should ascertain that their interview content also conforms to EEO guidelines, and must inform the interviewee of the unofficial nature of such interviews.

- g. Within six (6) months of the initial meeting of the committee, a final report of the search committee shall be submitted by the Chair to the Dean via the Director when applicable. This report will include copies of the application materials from the three most highly ranked applicants for the position, with a listing of the strengths and weaknesses of the three candidates, the Committee's rank order and recommendations for hiring, including recommended academic rank and salary step to be offered. Fewer names may be submitted if less than three have applied or are qualified. If the committee has not reached consensus on hiring recommendations, minority reports may be appended and duly considered. In the event none of the candidates are acceptable, or if none accept the position, the committee will resume its search under new timelines.
- h. The Dean shall review and forward the report along with his/her own recommendation within five (5) working days to the Academic Vice President.
- i. If the Academic Vice President concurs with the recommendation for hiring, notification of concurrence is transmitted to the Dean within five (5) working days of the receipt of the recommendation. The Dean then initiates and signs a UG-1 (Personnel Action Form) which is sent to the President via the Personnel Office, who completes the standard contract, Business Office and the appropriate Vice President. The President's signature on the UG-1 and standard contract is authorization for hiring.
- j. In the event none of the three candidates are acceptable, or if none of the candidates accept the position, the committee will resume its search under new timelines.

- k. The UG-1 and the completed standard contract are returned to the Personnel Office. Upon return, the UG-1 is placed in the applicant's file and the standard contract as signed by the President and a packet of employment information is sent to the applicant for signature and return. The standard contract signed by the applicant must be returned to the Personnel Office postmarked no later than twenty-one (21) calendar days after being received by the applicant. The contract will be declared null and void if the applicant delays returning the signed contract beyond the deadline. At its discretion the University may approve an extension of the time limit. The Chair of the search committee shall be kept informed about the status of this process and, in concert with the Dean, shall communicate with the applicant as necessary to facilitate the successful completion of this process.
- l. If the applicant does not reside on Guam, the University shall provide travel expenses for the applicant and his/her immediate family (spouse and minor children, 18 yrs. and under) by the least expensive and most direct air route from the point of hire; and shall provide compensation for moving household goods to Guam by the least expensive carrier up to 3,500 pounds for a family and 1,750 pounds for an applicant without dependents. The applicant may request that the University make travel arrangements prior to the applicant's departure from the point of hire or the applicant may be reimbursed for travel after his/her arrival on Guam. Arrangements for shipment of household goods will be made by the University whenever feasible to take advantage of government shipping rates. Compensation for shipment of household goods from points of hire outside the continental U.S. and Alaska will be based on the government rate then in effect for shipment of goods between Boston and Guam or actual cost, whichever is less. Prepayment of shipping costs is authorized for applicants whose point of hire is outside the continental U.S. and Alaska. (Amended by BOR on June 22, 1989).
- m. Upon arrival of the new faculty member, the UG-1 is signed by the faculty member and a representative of the Personnel Office and submitted to the Payroll Office. The signature of the Personnel Office representative signifies that all initial processing is complete.

2. Hiring of Non-administrative Non-tenure Track Personnel for Terms of Service of One - Three Years -

Procedures for hiring in this category will follow the guidelines established for Non-Administrative Tenure Track Personnel, with the following exceptions:

- a. The final report is due within three (3) months.
- b. By action of the Academic Vice President upon recommendation of the appropriate Dean, any aspect of the search process for non-administrative non-tenure track personnel may be waived or altered to benefit the University's hiring needs.
- c. Travel arrangements: Faculty hired in non-administrative non-tenure track positions for one (1) year are not given travel or moving expense compensation. Faculty hired in non-administrative non-tenure track positions for two (2) years shall be compensated for travel expenses for the applicant and his/her immediate family (spouse and minor children) from the point of hire by the least expensive air route. Faculty hired in non-administrative non-tenure positions for three (3) years will be entitled to compensation for travel and moving expenses at the same rate as faculty hired in tenure track positions.

3. Hiring of Non-administrative Non-tenure Track Personnel For Terms of Service Less Than One Year:

- a. The appropriate Dean, after consultation with the appropriate faculty unit, shall recommend a name, rank and salary schedule step to the Academic Vice President.
- b. Upon approval by the Academic Vice President of the person, rank and step recommended, the Dean shall submit a completed UG-1 to the President via the Personnel Office, the Business Office, and the appropriate Vice President. The Dean shall at the same time request that the Personnel Office provide the candidate with a packet of employment information.
- c. Upon arrival on campus of the new faculty member, the UG-1 is signed by the faculty member and representative of the Personnel Office and submitted to the Payroll Office. The signature of the Personnel Office representative signifies that all initial processing is complete.

**B. Guidelines For New Faculty Sponsorship**

1. The hiring college/program dean/director will work with the appropriate department to identify a "sponsor" for the new recruit. (Care needs to be taken in the selection of this "sponsor" i.e., choose someone who will "sell" the island of Guam and the University of Guam.)
2. The "sponsor's" mailing address and phone number will be provided to the new faculty member by the dean after the employment agreement has been signed.
3. Once the prospective recruit has made a decision to join the faculty, the "sponsor" assists by inquiring about housing needs, making temporary arrangements for housing and transportation for a week's duration, meeting the new faculty at the airport, and showing the new faculty around the island and around the campus. Basic information such as where to go shopping, information on the bus system, clinics, how to sign up for utilities, where to buy a car can be incorporated into this friendly introduction to Guam by a "sponsor". For local hires, the system can be modified to focus more on getting acquainted with the university community, who's who in the college, with operating procedures, etc.

## ARTICLE VI

### ADMINISTRATIVE PROCEDURES

#### A. Personnel Matters

1. Hiring of Non-Administrative Personnel on Non-Standard Contract

Procedures are the same as for tenure track or non-tenure track personnel except that the contract must be approved by the Legal Counsel prior to being approved by the appropriate administrator.

2. Hiring of Classified Personnel

- a. The Director, Dean or Vice President advises the Personnel Office to announce an available position within his/her unit locally.
- b. The Personnel Office and the pertinent administrator formulate an announcement for distribution in accordance with the class specifications approved by the Civil Service Commission.
- c. After the application deadline, the Personnel Office evaluates each application, administers the examination, determines the applicant's eligibility and score, and arranges a date and time of interview with the pertinent administrator. A representative of EEO shall be present at interviews.
- d. The head of the hiring unit selects for appointment from the Eligibility List and submits a UG-1 to the appropriate Vice President who agrees with the recommendation or disapproves the selection.
- e. If the appropriate Vice President approves the UG-1, the Personnel Office will prepare the Personnel Action to be signed by the employee. If the Vice President disapproves, he returns the UG-1 to the head of the hiring unit explaining his disapproval.
- f. The Personnel Office will distribute copies of the signed Personnel Action to the Business Office and the Payroll Section.

### 3. Renewal of Employment

- a. Faculty on three-year contractual appointments (tenure track and nontenure track positions) hired in August must request renewal of employment by Jan. 30 of the second year of their contract period. Those hired in January must request renewal of employment by August 30 of the second year of their contract period. Faculty on two-year appointments must request renewal of employment by the end of the first year of the employment period. Failure to request renewal may result in termination at the end of the employment period. Requests for renewal are made to the Dean/Research Director.
- b. The Dean notifies the Chair or Director.
- c. The Chair or Director recommends, and the Dean or the Research Director approves a screening committee to review the teaching, research and service of the faculty member. At least one member shall be from outside the hiring unit. The Committee shall have access to student, peer and administrative evaluations and may conduct additional evaluations.
- d. The screening committee makes recommendation via Chair, if applicable, to the Dean/Research Director at least 30 calendar days prior to the decision deadline.
- e. The Dean, in consultation with the Academic Vice President, determines if renewal should be recommended. In the case of Research Units, the Research Director, in consultation with the Dean and the Academic Vice President, determines if renewal should be recommended.
- f. If renewal is recommended, the Academic Vice President signs the UG-1 and transmits to the President.
- g. The President's signature on the UG-1 constitutes approval of the appointment.
- h. By March 15, for those hired in August, or by Oct. 15, for those hired in January, faculty members on three-year contracts shall be notified formally in writing whether or not their employment is to be continued. By the second month of the second year of employment, faculty members on two-year appointments shall be notified whether or not

their appointments are to be renewed. Failure by the University to notify faculty whether or not their employment is to be continued does not constitute automatic reemployment. If the faculty member has not been granted tenure by the end of the sixth year, the employment is terminated. If the faculty member has been granted tenure by the end of the sixth year, dismissal shall be only for cause, due to financial exigency or the elimination of the program. Non tenure track positions may be renewed as long as there is a need for the position.

- i. Appointments may be renewed without readvertising upon the recommendation of the Chair, Dean/Research Director and Academic Vice President.

#### 4. Resignation

Faculty or administrators should notify the University at least 90 calendar days prior to resigning in order to allow recruitment for their positions. Administrators should send a letter of resignation to the appropriate line administrator above them. Faculty should send a letter to the appropriate Dean via the Chair or Director. Upon receipt of a letter of resignation the administrator will inform the President.

In order for the person resigning to receive the final pay check all grades, keys or other property of the University must be turned in. The person must be cleared of all financial obligations to the University. Faculty having money in the retirement system are required to clear with the Government of Guam in order to remove money from their account.

#### 5. Travel Authorization

- a. Approval - requests must be made at least two weeks prior to the date of travel.
  - (1) Faculty/staff - request via the Chair to the Dean, Director or comparable administrator. If approved, the travel authorization form is completed and forwarded to the Travel Coordinator.
  - (2) Administrators (excluding Vice Presidents) - request via the Dean to the appropriate Vice President. If approved, the travel authorization is completed and forwarded to the Travel Coordinator.

- (3) Vice Presidents and others directly under President - request to the President. If approved, the travel authorization is forwarded to the Travel Coordinator.
- b. Travel Coordinator - checks for accuracy, verifies travel expenditures, obtains funds certification from Certifying Officer and assigns travel number. Processes the authorization letter to the travel agency or airline, and the request for advanced payment, if any.
- c. The Traveler obtains authorization letter and advanced expense (up to 80%), if any, from Travel Coordinator.
- d. The Traveler submits leave form in accordance with a. (1), (2) or (3).
- e. Travel Clearance
  - (1) All travelers must forward a completed travel clearance form and a copy of the trip report to the Travel Coordinator within two weeks after completion of trip, with copies of the trip report to the Chair, Director (if applicable), Dean, and the Vice Presidents. Acceptance of the travel clearance form and final report will be the responsibility of the Controller.
  - (2) The Travel Coordinator accepts reimbursement, processes payment, or substantiates expenditures. Any monetary changes in the travel authorization must be reported to the accountant (certifying officer), who then liquidates the account.

## 6. Promotion

Upon the completion of its deliberation, the Promotion and Tenure Committee sends its decision to the President via the appropriate administrators. Upon approval, the President informs the faculty with copy to the Personnel Office which changes the UG-1.

## 7. Tenure

Upon completion of its deliberation, the Promotion and Tenure Committee sends its decision forward to the President via the Academic Vice President. Upon the recommendation of the President and approval by the Board of Regents, the President informs the faculty with copy to the Personnel Office which changes the UG-1.

8. Leaves (Other leaves and stipulations can be found in the BOR-GFT Agreement)

a. The following require a leave form recommended by the Chair/Director, if applicable, and approved by the Dean/Research Director.

- (1) maternity/\*paternity
- (2) emergency
- (3) jury duty
- (4) sick leave - A faculty member who is chronically ill may be required by the Dean to have a statement from a physician even if the leave does not exceed three days, if the faculty member has been so notified in writing.
- (5) \*Military leave without pay

\* The Chair or Dean/Research Director may request that an alternative time be selected if there is an option.

b. The following require a leave form recommended by the Chair/Director, if applicable, and approved at least 48 hours in advance by the Dean/Research Director.

- (1) annual leave (for classified and 12-month employees only)
- (2) advanced sick leave
- ✓(3) administrative leave

c. The following require a leave form recommended by the Chair/Director and Dean/Research Director and approved by the Vice President. These leaves also require an agreement, designating leave conditions, to be approved.

- (1) leave without pay
- (2) sabbatical
- (3) educational
- (4) staff development
- (5) government service leave
- (6) research leave

d. General regulations on leaves

- (1) All leaves, other than emergency and sick leave, must be requested in advance on the appropriate form.
- (2) If classes or other work will be missed, arrangements must be made for the work and approved by the Chair and Dean. In the case of Research Units, arrangements must be approved by the Research Director and the appropriate college Dean if classes are involved.

- (3) If the person requesting leave is other than a faculty member, the request for leave is made to the immediate supervisor.
- (4) Leaves are approved only at the convenience of the institution (exception a. above).
- (5) Being absent without leave is grounds for dismissal.

9. General Evaluation Procedures (Approved by BOR on January 21, 1985)

a. Evaluation of Teaching and Faculty by Students

- (1) This evaluation will be made near the end of every semester and summer session for every class taught in the University.
- (2) It will be the responsibility of the appropriate Deans/Directors to see to it that these evaluations are carried out in a timely manner.
- (3) The evaluation forms and computer printout of the evaluations will be kept on file in the offices of the appropriate Deans/Directors.

b. Evaluation of Faculty by Administrators

This evaluation will be made by the appropriate Deans/Directors as they see fit for all Faculty members in their units.

c. Evaluation of Faculty by Peers

For purposes of professional development and academic improvement, faculty will undergo peer review as guided by a single University policy.

d. Evaluation of Administrators

- (1) Once each Academic Year, all Faculty members will evaluate their Dean/Director. These evaluations will take place during the second semester of the Academic Year. It will be the responsibility of the Academic Vice President to see to it that these evaluations are made in a timely fashion. These evaluations will be kept on file in the office of the Academic Vice President.
- (2) Once each Academic Year, each Vice President will be evaluated by the Faculty and Deans/Directors during the second semester of the Academic Year.

It will be the responsibility of the President to see to it that these evaluations are made in a timely fashion. These evaluations will be kept on file in the office of the President.

- (3) Once each Academic Year, the President will be evaluated by the Faculty, Deans/Directors, and the Vice Presidents, during the second semester of the Academic Year. It will be the responsibility of the Board of Regents to see to it that this Evaluation is made in a timely fashion. This evaluation will be kept on file in the office of the Board of Regents.

e. Access to Records and Evaluations

- (1) Access to Faculty and Administrator Evaluations is limited strictly to the Faculty members and Administrators in question when they wish to obtain information and feedback to assist them in their self-improvement endeavors. Access is also granted to the Board of Regents, the President, the Academic Vice President, the appropriate department/division chair, the appropriate Dean/Director, and the promotion/tenure committees when they are in their official capacities as reviewers making recommendations for contract renewals, salary increments, and applications for promotion and/or tenure. The President and the Academic Vice President shall have access to the evaluations of the Deans/Directors when questions arise concerning their status as administrators. Similarly, the Board of Regents shall have access to the evaluations of the President and the President shall have access to the evaluations of the Vice Presidents.
- (2) It is the responsibility of the Deans and Directors, the Academic Vice President, the President and the Board of Regents to guard the confidentiality of the materials in their possession.

f. Evaluation of the Procedures

- (1) Every two years an evaluation of these Procedures and of the evaluation instruments will be made under the auspices of the University Academic Affairs Committee in conjunction with the Director of Institutional Research.

(2) This evaluation will revolve around the UAAC's obtaining information concerning issues raised by the Faculty and Administration re, but not limited to, the utility, the practicality, the propriety and the validity of these procedures and instruments. The UAAC will formulate a set of evaluation questions to be analyzed. The Director of Institutional Research will design, organize and coordinate the needed data collection and data analyses to answer these questions and prepare a final report for submission to the University Academic Affairs Committee by the end of the Fall semester of the evaluation period. The University Academic Affairs Committee will study this report and make its recommendations to the President by the end of the Spring semester of the evaluation period following normal procedures.

(3) It will be the responsibility of the Chair, UAAC to see to it that this evaluation is carried out in a timely manner.

10. Termination (Refer to BOR-GFT Agreement and Personnel Rules & Regulations)

Faculty may be terminated in four ways:

- a. Completion of contract or appointment. Non-renewal is not grievable, except for non-renewal based on race, color, creed, sex, national origin, political belief, marital status, age, religion or physical handicap.
- b. As a result of adverse action.
- c. As a result of lay off.
- d. As a result of the failure to be granted tenure by the end of the sixth year.

11. Increments

- a. The increment form certified as to availability of funds, is sent by the Personnel Office to the appropriate administrator.
- b. The appropriate administrator or chair evaluates the performance of the faculty member or staff.
- c. The form is then forwarded up the line to the appropriate administrator who may agree or disagree with the recommendation. If the administrator disagrees, reasons shall be given.

- d. The employee signs the form indicating he/she has read the evaluation, and may comment on the evaluation.
- e. Final authorization
  - (1) Final authority of salary increment increase for all the administrators/staff under the Office of Planning, Development and Endowment shall lie with the Vice President.
  - (2) Final authority of salary increment increase for all employees under the Controller's Office and under the Office of Operation and Support Services shall lie with the appropriate Director or designee.
  - (3) Final authority of salary increment increase for both academic and classified employees, excluding administrators, under the offices of the Deans/Directors shall lie with the respective Deans.
  - (4) Final authority of salary increment increase for Deans, Directors and all other administrators under the Office of Academic Affairs shall lie with the Vice President of Academic Affairs.
  - (5) Final authority of salary increment increase for all administrators and support or staff officers reporting directly to the President, shall lie with the President.

12. **Faculty transfer (Refer also to BOR-GFT Agreement)  
(Approved by BOR on January 19, 1989)**

The guidelines stated below do not diminish the authority of a College or Unit dean from transferring faculty within the specific college or unit, nor abrogate the authority of the President to transfer faculty between colleges or units.

- a. Faculty's request to transfer to a vacant academic position can be made only if the position has been formally announced by the University. Faculty must follow all deadline dates.
- b. Faculty will submit letter of request, in lieu of application form, and all other documents mandated in the announcement which are not in the faculty member's official open file in the Office of Personnel Services.

- c. Faculty's transfer request will be considered with all other applications for the vacant position.
- d. Faculty who transfer will retain the identical academic rank, step, increment date, and Self Development Plan (if any).

## B. Budget Procedures

All components (administrators, faculty and students) of the University will participate in the preparation of the fiscal year budget request to the Legislature. The preparation of the budget document will be guided by the University's Fiscal Master Plan, as well as the University's Academic and Physical Master Plans. The President will distribute guidelines with regard to priorities and program requirement justification.

1. Preparation. The following steps will be used in the preparation of the budget document:
  - a. Academic Units. The Chairs and Directors will initiate the budget process based on the needs of their units and transmit their requests to the appropriate Dean. After reviewing and revising the budget in collaboration with each unit's Chair or Director, the Deans will present the entire budget to their respective Academic Affairs Committee for review, possible revision and approval. The approved budget is then submitted to the Academic Vice President for review and revision, if necessary, in collaboration with each Dean.
  - b. Support Units. The Vice President, Directors or Heads of the Units will initiate the budget process based on the needs of their units and transmit their requests to the appropriate administrator. The appropriate administrator, in collaboration with the Heads of Units, reviews and revises, if necessary, the budget document.
  - c. The total budget document is then submitted to the Budget Committee of the Administrative Council for review, possible revision, and prioritization. Invitations will be extended to the following representatives to participate as voting members in the budget discussion -- Chair of UAAC, President of Faculty Union, and President of the SBA. The approved budget is then submitted to the President for his review and possible revision in collaboration with the Administrative Council.

2. Board of Regents Action. The President transmits the budget document to the Board's Finance Committee for its review and revision, if necessary. The Vice President shall report all revisions to the Administrative Council. The Finance Committee will schedule and hold a Public Hearing to receive comments from the University's community. Revisions may be made by the Finance Committee based on comments received during the Public Hearing. The budget document is then presented to the entire Board during its regularly scheduled meeting for approval.
3. Legislative action. The Chairman of the Board of Regents shall submit copies of the budget document and other supporting fiscal reports to the Guam Legislature. At the scheduled Public Hearing, the University's Board of Regents and Administrators will defend its appropriation requests.
4. University Action. After the budget is appropriated by the Legislature and approved by the Governor, the Vice Presidents will analyze the appropriate budget. If no reduction in funds are made, the appropriated funds are allocated to each requesting unit. If the appropriated sum is less than requested, the Administrative Council, in consultation with the President, will submit a proposal to the Board on the reapportionment of the University's allocation.

If lapsed funds, primarily in Personnel Services and Recruitment Travel, are available in any units, the Deans/Directors/Heads of Service Units will formulate a plan with the respective Vice President for the appropriate use of the funds.

#### C. Curriculum Development and Reviews

1. Non-Substantive Changes and -90 Series Courses
  - a. Non-substantive changes are those that do not affect the basic nature and contents of a course. Any change in a course offering as described in the University catalogue requires approval, but certain changes are considered non-substantive. This includes such changes as a change in the prerequisites for the course, the elimination of cross-listing of a course, and changing the wording of a course description without changing the course content, title changes, number change at the same level, change from 100 to 200 level or vice versa, change from 300 to 400 level or vice versa, changes in course designations (EN, HI), deletion of a course if the deletion does not affect a program.

- b. Non-substantive course changes are initiated by the Unit requesting the change and must be submitted on the Program/Course Change Request form.
- c. The Division Chair submits the Program/Course Change request form through the Dean to the College Academic Affairs Committee.
- d. If approved by the College AAC, the form is submitted to the Dean for review and recommendations. The Dean sends the form to the Academic Vice President for approval. If graduate courses or programs are effected, the form is routed to the Dean of Graduate School & Research prior to transmittal to the Academic Vice President.
- e. Changes in -90 Series courses will follow the same procedure as non-substantive course changes for -93 and -94 levels. All other -90 series courses are approved by the instructor, advisor, Chair and Dean.

## 2. Substantive Changes

- a. Substantive program and course changes are those changes that affect the basic nature and contents of a program or course, including new programs or courses, the deletion of programs or courses, and changes in degrees offered.
- b. Substantive changes are initiated by the Unit, using the Program/Course Change Request form.
- c. The Unit submits the Program/Course Change Request form through the Dean to the College Academic Affairs Committee.
- d. If approved by the College AAC and the Dean, the form is submitted to the UAAC Chair in the case of undergraduate program/course changes. This action will be recorded in the UAAC minutes.
- e. The UAAC Chair will distribute the request form at the next meeting of the UAAC and it will be placed on the agenda for presentation at the following meeting.
- f. At the time of the presentation meeting, the requested change will be discussed, the Chair of the requesting Division and/or others concerned with the request will have an opportunity to explain the request at the presentation meeting.

- g. At the UAAC meeting following the presentation meeting the members of UAAC will vote on the request.
- h. In the case of changes in the graduate program/courses, the Dean will submit the request, after approval by the College AAC and the Dean, to the Graduate Council, which upon approval will submit the change to the Dean of Graduate School & Research. If approved, the request is forwarded to UAAC.
- i. If UAAC approves the requested change, the matter is submitted to the Academic Vice President. If approved, the Academic Vice President informs the Chair of UAAC within fourteen (14) working days after receipt.
- j. If the Academic Vice President's recommendation is negative, the recommendation and reasons will be returned to UAAC within fourteen days after receipt for further deliberation. It will be placed on the UAAC agenda again for a second vote. Should the majority of the UAAC members again vote in favor of the request, the matter will be submitted to the President, through the Academic Vice President, along with the written statements for and against the request as formulated by UAAC and the Academic Vice President.
- k. Any change requests that involve a new degree will require approval by the President and the Board of Regents.

### 3. Program Review and Evaluation

- a. All academic and support services programs will be subject to a review and evaluation once every five years. UAAC will establish a schedule whereby one-fifth of all graduate, undergraduate, research, and support services programs are reviewed each year.
- b. The primary responsibility for reviewing and evaluating graduate and research programs will rest with the Graduate Council and the Research Council, respectively. The Councils will submit their findings and recommendations to UAAC through the Dean of Graduate School and Research. The Dean of Graduate School and Research will review the findings and recommendations, and has the right to add comments to the review. The report

of the Review Committee will be presented to the unit or Department reviewed at least twenty-one (21) calendar days prior to the presentation of the report to UAAC, and the Chair and members of the unit or Division have the right to submit a written comment on the report to UAAC. All UAAC members will receive a copy of the report and comments at least seven (7) calendar days prior to the UAAC meeting during which the report will be discussed and voted on.

- c. For undergraduate programs, the same procedures outlined under (b) apply with the exception that the Program Review Committee does the review. The review will go to UAAC via the appropriate Dean.
- d. In preparation for the Program Review, the unit or department shall prepare a self-study and submit a report to the appropriate Review Committee including such data and using such format as may be determined by UAAC and its Councils.
- e. If a majority of the faculty members of the unit or department reviewed do not accept the decision of UAAC, they may present their case to the Academic Vice President, with the reasons for disagreement in writing. The Academic Vice President will submit recommendations to the President, who will have the final authority to decide on the action to be taken, except that: if the disagreement involves the establishment of a new degree or the elimination of a degree, the President will submit the documentation, with recommendations, to the Board of Regents for final decision.

**D. Policy Development and Approval Procedures**

- 1. Policy proposals may be initiated at any level (individual, unit, standing or ad-hoc committee, UAAC, Administrative Council, President or Board).
- 2. The normal procedure follows those established in the Personnel Rules and Regulations.

**E. Grant Proposals and Contracts**

- 1. Grant Proposals (See Research Council Policy No. 1000 issued by Graduate School and Research)

2. Grant Contracts

- a. Grant contracts are normally transmitted to the President via the Dean/Research Director, and Vice President. Legal Counsel may be requested to approve as to form prior to the President's signature.
- b. In certain cases, the administrator of continuous federal programs may be mandated by federal regulations to serve as final signatory and shall be delegated the authority by the President.

F. Memorandum of Understanding and Agreement

All memoranda are transmitted to the President via the Director, Dean and respective Vice President. Legal Counsel may be requested to approve as to form prior to the President's signature.

G. Off-Campus Programs (Regular Courses and C.E.U.)

1. Approval of Courses and Instructors. Upon the approval of the Unit-AAC, College Dean and Graduate Dean (for graduate courses), the request form is transmitted to the Director of the Center for Continuing Education & Outreach Program (CCE-OP) who will review and approve or disapprove as to form. Courses established under the -93 and -94 series, are to be forwarded to the Academic Vice President for approval.
2. Service Contracts. Contracts are coordinated and transmitted by the CCE-OP Director to the President via the Academic Vice President. Legal Counsel may be requested to approve as to form prior to the President's signature.

H. Tuition Credit Policy (Approved by BOR on June 20, 1985,  
Amended by BOR on December 19, 1985)

1. FACULTY AND ADMINISTRATORS

- a. Any bona-fide, full-time member of the UOG faculty or administration shall be allowed to enroll in UOG catalog-listed courses (graduate or undergraduate) on the semester course list, paying tuition for the first semester of enrollment only. For each credit hour completed successfully ("C", "Pass" or better) the faculty member/administrator shall be given tuition credit which will apply toward courses enrolled in during subsequent semesters.

- b. Any member of the full-time faculty or administration of UOG shall be permitted to attend such courses, as long as the taking of the course does not coincide with scheduled instructional time or other regular duties.
- c. Attendance of such classes shall require concurrence of the faculty member's Department Chair and Dean or Director; Administrators must have approval of their immediate supervisor.

## 2. STAFF

- a. Any bona-fide, full-time member of the UOG support staff shall be allowed to enroll for UOG catalog listed courses (graduate or undergraduate) on the semester course list paying tuition for the first semester of enrollment only. For each credit hour completed successfully ("C", "Pass" or better) the staff member will be given tuition credit which will apply toward courses enrolled in during subsequent semester.
- b. Any member of the permanent staff of UOG shall be permitted to attend one such course, per academic semester within the framework of the regular working day without loss of pay. However, absence of a staff member from the work place for the purpose of class attendance shall require the concurrence of the staff member's supervisor. Arrangements shall be worked out between the staff member and the supervisor to make up for the lost working time because of this policy.

## 3. DEPENDENTS

- a. Dependents of any bona fide, full-time member of the UOG faculty, administration, or any other unclassified employee shall be allowed to enroll for UOG catalog listed courses on the semester course list, paying tuition for the first semester of enrollment only. For each credit hour completed successfully ("C", "Pass" or better) the dependent shall be given tuition credit which will be applied to courses enrolled in during subsequent semesters. This tuition credit will be allowed for no more than 124 undergraduate credits nor more than 36 graduate credits. The term "dependents" shall include the spouse or any member of the immediate family of the faculty, administration, or any other unclassified employee of the University, to be interpreted to include any high school graduate or equivalent who is listed as a dependent upon that member's income tax return.

- b. Dependents who are recipients of any scholarships or grants are not entitled to any sort of cash rebate.

I. Department of Corrections (DOC) Clients Enrolled on Campus.  
(Approved by BOR on August 19, 1987)

1. Admission and Acceptance

- a. The Director of the Department of Correction (DOC) shall transmit the DOC's "Director-Employer Agreement" to the President of the University thirty (30) calendar days prior to the first day of registration. The DOC client's letter of eligibility to enroll at the University and the University's Request for information form completed by DOC must be attached to the "Agreement". DOC clients shall be considered for admission on a case-by-case basis.
- b. Upon the approval by the President of the DOC's "Agreement" to accept the DOC client as a student on campus, the President shall provide copies of the "Agreement" with the above attachments to the Academic Vice President, Dean of Student Affairs and the Director of Admissions & Records. Only the President or an administrator in the acting capacity is authorized to sign the "Agreement".

2. Advisement

- a. At least fourteen (14) calendar days prior to the first day of registration, the Dean of Student Affairs will arrange a meeting with the designated University counselor for DOC clients, the DOC caseworker and the DOC client to develop a desirable course schedule. The Program Planning Sheet will be filled out and signed by the DOC client and the Dean of student Affairs. It will then be signed by the appropriate advisor (i.e., the designated University counselor for DOC clients, if undeclared major with 30 or less cumulative credits; or by an academic advisor, if DOC client has more than 30 cumulative credits). Other than actual classroom time, a reasonable amount of time for lunch, library and/or computer usage only will be allowed on campus.
- b. The designated University counselor will then schedule a meeting with the DOC caseworker and each of the proposed instructors. At this meeting, the caseworker informs the instructor

that a DOC client wishes to enroll in the course. The instructor then has an opportunity to evaluate whether he/she would be comfortable accepting that student, and whether some element of the course might preclude including that student (e.g., emphasis on group projects that require off-campus assignments or additional after class sessions with fellow students). Should the instructor decline, a substitute course shall be located and the instructor conference is then held again.

### 3. Registration

- a. The Dean of Student Affairs will then assist the student in obtaining the required labels, since DOC clients do not have flexibility in their course hours.
- b. Final approval of all registration materials for each DOC student by the Dean of Student Affairs shall be required. Program planning sheet and any add/drop forms or course withdrawal forms shall require the Dean's signature. The Office of Admissions and Records, being aware of which UOG students are DOC clients, shall verify that these materials do contain the necessary signature. Since DOC policy requires the caseworker to approve any program changes, the Dean and the caseworker will collaborate on all program changes.

### 4. Security

- a. The University Security Office shall be provided a class and study schedule for each DOC client and a copy of the general Prisoner Study Release Agreement.
- b. Violations of the Prisoner Study Release Agreement shall be logged and reported immediately to the Director of DOC and the Dean of Student Affairs, via a phone call and followed by a written statement. The President retains the authority to disenroll the DOC client.
- c. DOC clients shall be subject to random breathalyzer tests conducted by officials from the Department of Corrections or the Office of Student Affairs.

## ARTICLE VII

### APPEALS OF ADMINISTRATIVE DECISIONS

(Amended by BOR on April 21, 1988 as per Resolution No. 88-8)

#### A. Administrative Grievances.

1. Purpose. This article sets forth the procedures to provide a simple, orderly method by which an administrative or unclassified employee may seek prompt administrative review of his or her grievances. However, any grievance concerning an allegation or complaint of discrimination should be referred to the Equal Employment Opportunity procedures available to all employees.

#### B. Definition.

1. Grievance shall mean a complaint by a non-faculty, non-classified employee governed by these rules, that there has been a violation of any of the provisions of this manual, the personnel rules pertaining to non-faculty, non-classified employees, or the established policies of the Board. The term grievance as used herein shall also include appeals of administrative decisions.
2. Employee as used herein shall mean a full-time administrator or a full-time person who is an unclassified non-faculty employee of the University not within the jurisdiction of the Civil Service Commission.
3. Grievant shall mean the employee initiating the grievance.
4. Temporary employees, i.e., those with 120-day (or less) appointments, are excluded from using this policy.
5. Days denote workdays.

#### C. General Provisions.

1. If a decision is not rendered by an administrator within the specified time limits, the grievant may proceed immediately to the next procedural level.

2. Any written decision or written answer to an appeal made at any step which is not appealed to the succeeding step within the time limits provided shall be considered a final settlement of that grievance.
3. The time specified at each level may be extended by mutual written agreement between grievant and the appropriate administrator stipulating the new extension or re-extension date.
4. The number of days indicated at each level shall be considered a maximum and every effort shall be made to expedite the grievance process.
5. All papers filed in accordance with the grievance procedures shall be hand-carried during working hours to the designated recipient and be receipted and dated at the location with the receipted copy going to the originator; if the recipient is unavailable, delivery at that time may be made to the designated alternate. Time limits shall commence to run on the date following delivery.
6. A minimum of three (3) days notice shall be given for any hearing.

D. The Grievance.

1. Right to Present Grievance.
  - a. Any full-time administrator or full-time unclassified employee, as defined in Section B.2 of this article, is entitled to file a grievance under this Article.
2. Informal Discussion. A grievance shall first be discussed with the appropriate administrator in order to afford an opportunity to settle the matter informally. Any grievance not resolved informally within five (5) days of the holding of the informal conference shall proceed to the next level.
3. Time Limit for Presenting Grievance.
  - a. An employee may submit a grievance to the appropriate administrator at any time after becoming aware of any matter grievable but not later than twenty (20) days after the date the employee became aware or reasonably should have become aware of a grievable matter. If a

grievance is not submitted on or before the expiration of the twenty (20) day time period, the employee shall forfeit all grievance rights with regard to that specific matter.

4. Form of Grievance. A grievance shall be in writing and shall set forth the following:
  - (1) A statement of the action grieved;
  - (2) The specific term or provision of the manual or other practice or policy alleged to be violated, and
  - (3) The specific remedy sought.

E. Grievance Levels.

1. Level I.

- a. In the event the grievance is not resolved informally, the grievant shall present the grievance, in writing, to the appropriate administrator within twenty (20) days of the occurrence of the alleged violation or decision, or when the grievant first should have become aware of the alleged violation or decision.
- b. The administrator may then schedule and conduct a formal conference with the grievant and allow the grievant to provide any necessary information, oral or written, relevant to the grievance. The administrator shall render a written decision within ten (10) days of the receipt of the grievance.
- c. For those grievances against the Vice Presidents, Levels I and II shall be bypassed and the grievance may be filed directly to the President, Level III. Any decision of the President is final and not grievable except for error in procedure which is subject to a Level IV grievance.

2. Level II.

- a. If the grievance is not resolved at Level I the grievant may appeal the decision with the Vice President for Academic Affairs within five (5) days of receipt of the written decision of Level I.
- b. The Vice President for Academic Affairs shall schedule and hold a hearing within fifteen (15) days of receipt of the appeal or grievance and shall render a written decision within ten (10) days of such hearing to the grievant.

- c. The hearing shall be conducted with concern for due process and the grievant shall declare in writing at the time the Level II appeal is made whether the meeting is to be open or closed. The grievant or the grievant's representative shall be afforded the opportunity to testify and call witnesses and to introduce relevant documentary and other evidence in his or her behalf. The grievant or the grievant's representative and the appropriate administrative officer representing the opposing view will have the right to confront and cross-examine all witnesses. The Academic Vice President shall also have the right to question all witnesses. Testimony and argument made during the hearing shall be recorded, and the tape or cassette, together with all documentary and other evidence admitted during the hearing, shall be preserved for use by either party, if an appeal is taken to Level III.

3. Level III.

- a. If the grievant is not satisfied with the written appeal decision of Level II, an appeal may be filed with the President. This filing shall take place within five (5) days of receipt of the Level II decision.
- b. All documentary evidence introduced at the Level II grievance and a transcript of the testimony presented at the Level II grievance shall be forwarded to the President. The President after reviewing all documentary evidence shall issue a written decision within thirty (30) days of the receipt of the appeal. The transcript of testimony presented may be used by the President in rendering a decision. The decision of the President shall be final and there shall be no further right to appeal except as provided in Level IV.

4. Level IV.

- a. A grievant may further appeal the decision of the President to the Board of Regents only for errors in procedure. That is, a grievant shall not have the right to appeal to the Board regarding a review of the merit of the case and the decision of the President except for errors in procedure.

The grievant in filing a Level IV appeal shall state the specific section of the Administrative Manual or personnel rule and regulation in which it is alleged the procedural error occurred.

- b. The Board shall have no jurisdiction to consider any decision of the President on the merits of the case except for alleged violations of procedure regarding the grievance process.
- c. A hearing on the appeal of the Level III decision based on procedural error shall be conducted by the Board within thirty (30) days of the receipt of the appeal after it is determined that the Board has jurisdiction to review the matter. The Board shall then render a decision on the grievance within ten (10) days of the hearing date.

## ARTICLE VIII

### SUPPORT SERVICES PROCEDURES

#### A. Maintenance

Division Chairs/Directors/Heads of Service Units shall transmit the completed "Job Request" form to the Plant Manager via the Dean, if applicable. If the request cannot be undertaken within five working days, the Plant Manager shall inform the requestor and state the reasons for the delay.

#### B. Public Relations (Refer to Policy Brochure)

Any chair or administrator, or officers of faculty or student organizations, may request publicity from the Public Relations Officer who shall use his/her discretion on the appropriateness of the topic and the effective means of delivery.

#### C. Space Allocation

Each Dean/Director/Head of Service Unit will be assigned the responsibility for certain office and classroom space on the University campus. The assignment of these spaces lies with the respective administrator. If conflicts arise over the use of space, the pertinent administrator and the respective Vice President will meet and resolve the situation. The Vice Presidents shall act as the coordinators of university space in consultation with the Plant Manager.

When additional space becomes available on campus, the Administrative Council will recommend the ideal use and the responsible administrator to the President.

#### D. Electronic Communication

##### 1. Toll Call

- a. Requesting party completes "Toll Call Request Form", and signs and dates form.
- b. Requesting party obtains approval signature of Dean or Director who will provide him/her with RCA account number or instrument.
- c. Requesting party makes call and requests from the operator "time and charges" which shall be included on the form.

- d. Requesting party handcarries completed form to Dean or Director.
2. Cable, Telex and Off-Island Fax
    - a. Requesting party completes "Cable, Telex and Fax Request Form", and signs and dates form. Form is not necessary for on-island Fax messages.
    - b. Requesting party obtains approval signature of Dean or Director.
    - c. Appropriate support personnel obtains signature of Certifying Officer and sends message from the Business Office. Note: Telex is cheaper than cable.
    - d. Appropriate support personnel provides a copy of the form to the Business Office Administrative Officer and maintains the original in the Dean's or Director's Office.

E. Mileage Reimbursement

1. Authorization
  - a. Chair informs faculty of availability of funds for mileage reimbursement.
  - b. Appropriate request form is submitted by faculty.
  - c. Appropriate personnel (Associate Dean, Chair, etc.), recommends approval.
  - d. Accountant certifies availability of funds.
  - e. Dean approves authorization.
2. Reimbursement
  - a. Faculty submits completed daily mileage report reimbursement forms.
  - b. Chair and appropriate personnel (Associate Dean, Chair, etc.), if applicable, recommends travel reimbursement.
  - c. Accountant certifies availability of funds.
  - d. Dean approves travel reimbursement.
  - e. Business Office processes check.

F. Bulletin Board (Approved By BOR on January 19, 1989)

1. Policy - All bills, flyers and posters shall be posted ONLY on bulletin boards provided by the University. It shall be the responsibility of individuals and organizations who post such documents to remove them on a timely basis. Administrative units will have bulletin boards assigned to them for monitoring. The heads of these units will periodically remove and discard posted documents that are dated or are posted in such a manner as to be unsightly (i.e. documents poorly stapled). Responsibility for the content shall lie in the hands of those posting the handbill. Documents posted elsewhere will be removed and discarded without notice.

2. Monitoring Assignments

Building A Bulletin Boards	-----	CBPA Dean or Designate
Building B Bulletin Boards (Downstairs & North Stairway)	--	COE Dean or Designate
Building B Bulletin Boards (Upstairs & South Stairway)	----	CAS Dean or Designate
Building C	-----	COE Dean or Designate
Old Student Center	-----	CAS Dean or Designate
Fine Arts Building	-----	CAS Dean or Designate
RFK Library	-----	LR Dean or Designate
Field House	-----	Field House Manager
Science Building	-----	CAS Dean or Designate
Health Science Building (Upstairs)	-----	Director, Computer Center
Health Science Building (Downstairs)	-----	Director, MARC
Dorm I	-----	CALS Dean or Designate
Student Center	-----	Students Affairs Dean or Designate
Dean's Circle	---	Administrator of House as Appropriate
Marine Lab	-----	Director Marine Lab
Administration Building	-	Director of Operations and Support Services

**ARTICLE IX**

**MISCELLANEOUS**

**A. FIREARMS ON CAMPUS (Approved by BOR on July 28, 1988)**

No individual shall be permitted to possess firearms on the University campus, except under the following circumstances:

1. Law enforcement officers, during on-duty status;
2. University security guards, under the restricted conditions as set out in the contractual agreement between the University and the vendor(s) supplying the security guards;
3. Members of the ROTC training program, when so required by a provision of the ROTC training program; and
4. Other individuals, such as employees of concessionaires, as set out in contractual agreements with such concessionaires.

**B. PRIVATE WRITINGS AS PER SUNSHINE ACT OF 1987, PL 19-5, FREEDOM OF INFORMATION (Approved by BOR on December 1, 1987)**

The following items are considered private writings and are not subject to the Freedom of Information Act.

1. "Open" Personnel Files without individual's consent.
2. "Closed" Personnel Files.
3. Scholarship Recipient Files.
4. Student Health Records.
5. Personal Case Files of Students, faculty, administrators and staff.
6. Financial records of students, applicable to Financial Aid.
7. Individual student's test score.
8. Student educational records (Family Educational Rights and Privacy Act of 1974, FERPA or commonly known as the Buckley Amendment).
9. Student Directory Information, without individual's consent.
10. Faculty grade book or grade sheet with student's name.
11. Student advisement files held by faculty.
12. Circulation records of borrowers at Library.
13. Closed archives, as per agreement, at Micronesian Area Research Center.
14. Legal Counsel's correspondence.
15. Executive Session Minutes prior to their approval.
16. Laboratory Analysis Reports.
17. Anonymity Agreements.
18. Human subject research data.
19. Security Officers' reports.
20. Privileged Procurement Documents.

**C. NON SMOKING POLICY (Approved by BOR on April 28, 1989)**

The goal of this policy is to support the rights of nonsmokers and to enable smoke free environments to be established for those people who wish to have them in their areas of work while at the same time acknowledging the rights of smokers. Maintaining harmonious working relationships with each other and respecting each other's rights requires a cooperative approach to creating satisfactory solutions to differences in regard to smoking.

The physical structure of work spaces at the University of Guam varies to a considerable extent throughout the campus and work spaces are occupied by a work force which inevitably changes. Largely because of these structural variations, a smoking policy which enables employees of the university an opportunity to satisfactorily work out their own unique nonsmoking and smoking environments within their work areas seems to offer the best solution to protecting the rights of both nonsmokers and smokers. The Deans/Directors of respective units or colleges are responsible for insuring that satisfactory arrangements are made. This may even require new office assignments, arranging for a nonsmoking or smoking lounge, etc. This policy is written with the understanding that nonsmokers should not have to submit themselves to the smoke from smokers if it does indeed bother them. Deans/Directors should keep this in mind when making satisfactory arrangements in the work place.

Students have the right to request that faculty not smoke while they are conferring with faculty in their offices. Faculty and staff should ask visitor's permission to smoke. Student rights in this regard shall be expressed in relevant publications including the University of Guam catalog. Faculty/staff visiting faculty/staff in their offices, of course, have the same right.

The following areas on campus will be considered nonsmoking areas:

1. Any public service areas where the clientele of the University of Guam is being served. This includes, but is not restricted to, the service desks in the Registrar's Office (including the fee counter), the Post Office counter, the Cafeteria counter, the R.F.K. Memorial Library circulation counter, the Computer Center service counter, the Financial Aid counter and the Counseling and Career Planning Office.
2. Classrooms.
3. Any public area of the R.F.K. Memorial Library.

4. The Fieldhouse with the exception of the right-hand corridor. Smoking will not be allowed in the left-hand corridor (weight room area).
5. Computer Labs.
6. Science and Health Science Bldg.
7. Fine Arts Auditorium.
8. MARC Library.
9. Any Conference Room.
10. The Bookstore public area.
11. Student Health Center.
12. Health Services Rotanda.
13. Restrooms.
14. Cafeteria shall be divided into smoking and nonsmoking sections.

Smoking will be allowed in the following areas:

1. Parking lots and the grounds around buildings.
2. Student Center foyer area.
3. Passageways in buildings.
4. Walkways outside of classrooms in Building A and B.
5. One half of sitting space in the cafeteria.
6. Offices when satisfactory arrangements have been made with Deans/Directors.
7. Private Dorm Rooms.
8. Offices equipped with Air Purifiers that are capable of efficiently removing the majority of smoke from the room.

Secured ashtrays shall be placed outside of all buildings and the maintenance department shall be responsible for posting clearly visible "No Smoking" signs where appropriate in accordance with this policy. In order for this policy to be implemented smoothly and maintained, the cooperation of the university community is expected and appreciated.

## APPENDIX

(The Appendix may be changed without reference back to the Board of Regents.)

### A. Definitions

1. Administrators (Line) -- President, Vice Presidents, Deans, Research Directors, Directors (University appointment), Associate Vice Presidents, Associate Deans, Assistant Directors, Controller, Plant Manager, and Personnel Officer.
2. Board or Board of Regents -- Governing body of the University. There are nine (9) members in the Board.
3. Classified Employees -- University employees who are in the classified service of the Government of Guam.
4. Chair -- As per definition in BOR-GFT Agreement legally in force.
5. Faculty -- An employee of the University whose primary responsibilities are non-management and who holds academic rank of Assistant Instructor, Instructor, Assistant Professor, Associate Professor or Professor, or Extension Agent I, II, III, IV, Extension Specialist in the Cooperative Extension Service; exclusive of administrators.
6. Non-Tenure Track Personnel - Part-time or full-time employees not eligible for tenure and whose employment period may be up to three years. Employees may have the rank of Assistant Instructor, Instructor, Assistant Professor, Associate Professor, Professor; Extension Agent I, II, III, IV, Extension Specialist; Research Associate; or Research, Extension, Teaching, Technical Assistant.
7. Officers -- Assistant to the President, Assistant to the Vice President, Athletic Director, Bookstore Manager, Field House Manager, Financial Aid Officer, Institutional Reseacher, Public Relations Officer, and Student Housing Officer.
8. Tenure Track Personnel - Full-time academic employees eligible for tenure and whose initial contract is for three years.

**B. List of Consultative Documents**

Academic Master Plan

Annual Reports

Board of Regents - Guam Federation of Teachers Agreement

Budget

Campus Directory

Catalog - Undergraduate and Graduate

College AAC Minutes

Faculty Council Constitution

Faculty Handbook

Fiscal Master Plan

Mission Statement (Inina, Fina'na'gue, Yan Setbisio)

Nihi Ta Atan

Personnel Rules and Regulations

    Faculty/Administrators  
    Classified (Civil Service) Employees

Physical Master Plan

Procurement Regulations

UAAC Minutes

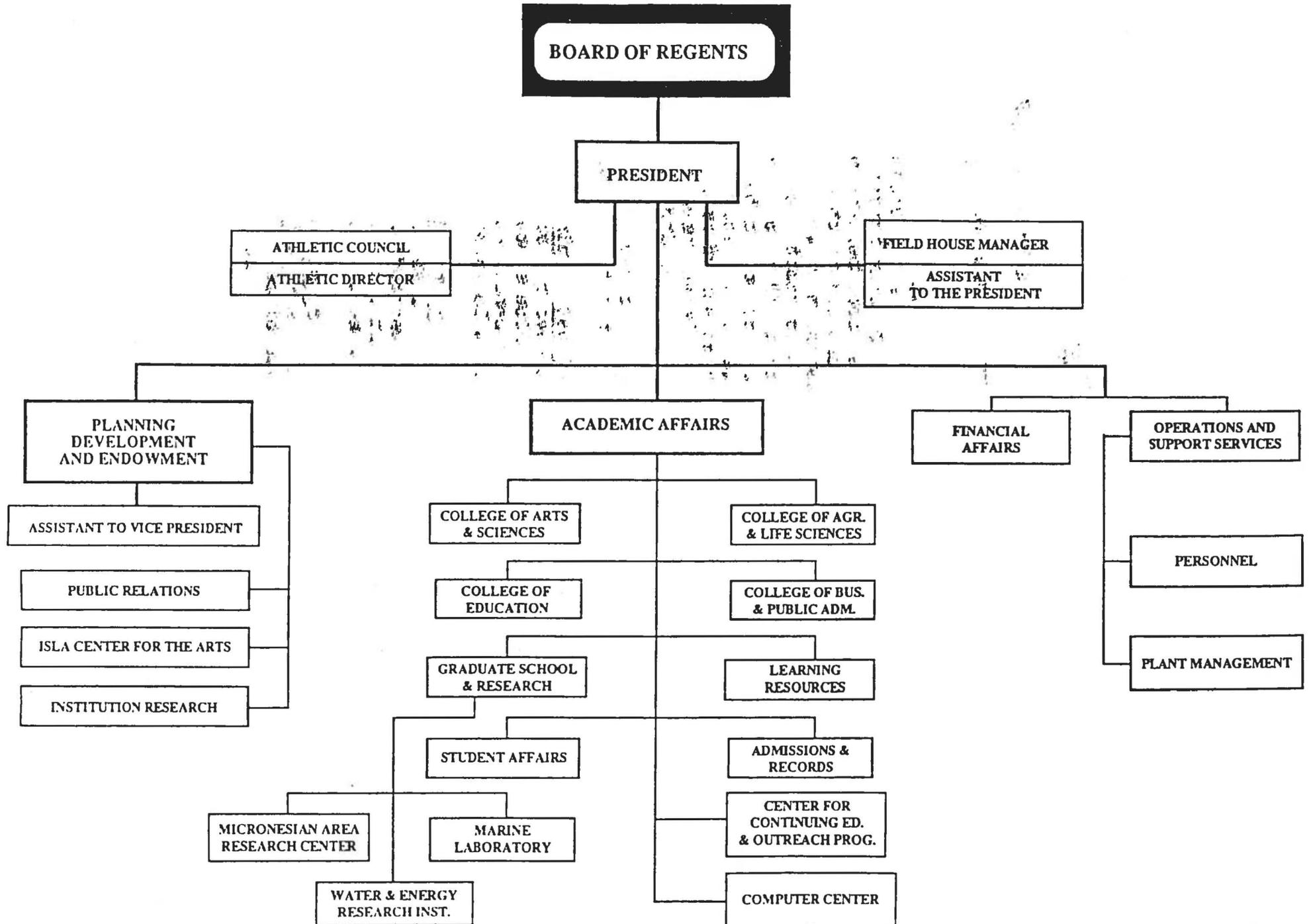
WASC Self Study and Accreditation Reports

**C. List of Current Administrative Positions**

1. President
2. Vice Presidents
  - a. Academic Affairs
  - b. Planning, Development and Endowment
3. Associate Vice Presidents
4. Controller

5. Director of Operations and Support Services
6. Deans
  - a. College of Agriculture & Life Sciences
  - b. College of Arts & Sciences
  - c. College of Business & Public Administration
  - d. College of Education
  - e. Graduate School & Research
  - f. Learning Resources
  - g. Student Affairs
7. Associate Deans
  - a. College of Agriculture & Life Sciences
8. Research Directors
  - a. Marine Laboratory
  - b. Micronesian Area Research Center
  - c. Water & Energy Research Institute
9. Directors
  - a. Admissions & Records
  - b. Center For Continuing Education & Outreach Program
  - c. Computer Center
  - d. Counseling and Career Planning Services Center
  - e. Financial Affairs
  - f. Nursing
10. Assistant Director
  - a. College of Agriculture & Life Sciences
11. Officers
  - a. Assistant to the President
  - b. Assistant to the Vice President
  - c. Athletic Director
  - d. Bookstore Manager
  - e. Field House Manager
  - f. Financial Aid Officer
  - g. Institutional Researcher
  - h. Personnel Officer
  - i. Plant Manager
  - j. Public Relations Officer
  - k. Student Housing Officer

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UNIVERSITY OF GUAM  
COLLEGE OF ARTS AND SCIENCES  
ORGANIZATIONAL CHART

BOARD OF REGENTS

PRESIDENT

ACADEMIC VICE PRESIDENT

COLLEGE OF ARTS AND SCIENCES DEAN

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Behavioral  
Sciences

Division of  
Humanities

Division of  
English and  
Applied  
Linguistics

Division of  
Science and  
Mathematics

Division of  
Human Ecology

Division of  
Communication  
and Fine Arts