



RESEARCH CORPORATION  
OF THE UNIVERSITY OF GUAM

# RCUOG Business Manual

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# Organization Summary

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## Introduction

REFERENCES: Public Law: 32-114, February 10, 2014

BOD Resolution 14-01: Articles of Incorporation and By-Laws of RCUOG

The Research Corporation of the University of Guam (RCUOG) was established by PL 32-114 as a public corporation. The purpose of the RCUOG includes the promotion of assigned educational, scientific and literary pursuits of the University of Guam's grants and contracts through aiding in the development of study, training, and research and to furnish the means and methods to do so.

## Board of Directors

The affairs of RCUOG shall be under the general management and control of the RCUOG Board of Directors (Board). The composition of the Board shall consist of ten members as follows:

- 1- Ex-officio Chief Executive Officer – University of Guam President
- 2- Ex-officio Member – University of Guam Senior Vice President and Provost
- 3- Ex-officio Member – University of Guam Vice President of Administration and Finance/ Chief Business Officer
- 4- UOG President appointee of three (3) members
- 5- UOG Research Council appointee of one member
- 6- UOG Faculty Senate appointee of one member
- 7- UOG Board of Regents appointee of two (2) UOG BOR members

## Important Information

EIN: 98-0032933  
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Website: [www.uog.edu/rcuog](http://www.uog.edu/rcuog)

Hours of operation: 8am-5pm, Monday thru Friday, closed on holidays

Fiscal Year: October to September

## Administration

Executive Director – Cathleen Moore-Linn ([cmoore@triton.uog.edu](mailto:cmoore@triton.uog.edu))

Chief Business Officer – Michael Conner ([connerm@triton.uog.edu](mailto:connerm@triton.uog.edu))

## **RCUOG Employee Basic Roles & Responsibilities in Relation to Grants**

- Executive Director
  - Final approving authority and overall head of organization
- Chief Business Officer
  - Prepares financial reports, responsible for drawdowns from grant systems, approves all accounting related requests including ensuring all grant financial transactions are allowable, reasonable, allocable, and within budget
- Accounting Specialists
  - Audits all accounting related work including payables, budgets, reports, voucher processing, timekeeping and manages grant documentation
- Accounting Analysts
  - Processes payment requests, inputs journal vouchers, processes travel requests, assists accounting specialists in other tasks as needed.
- Grant Budget Specialist
  - Reviews budgets for expenditures, processes incoming procurement documents, prepares requisitions, and purchase orders
- HR Specialist
  - Manages HR processes including job postings, interview scheduling, benefits, leave, hiring, onboarding, terminations, etc.
- HR Associate
  - Provides day-to-day HR and administrative processes and assists HR specialist in other tasks as needed

# Business Policies and Procedures

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The policies and procedures must be followed to maintain the highest integrity and to ensure conformance with the Articles of Incorporation and By-Laws.

The University of Guam accepts the awards. If the PI so chooses, he/she can submit an internal service order form which is the mechanism that allows RCUOG to manage the funds. The internal order form is signed by the PI, the PI's Dean, the Assistant Vice Provost of Research and Sponsored Programs, the Senior Vice President and Provost, the RCUOG Chief Business Officer and the RCUOG Executive Director.

A copy of the award document, approved proposal, and budget must be attached to the internal service order form.

It is the combined responsibility of RCUOG staff and PI to ensure the award does not contain terms and special conditions with which RCUOG or PI cannot comply. The common award terms to which RCUOG will take exception to are:

- Unreasonable reporting requirements
- Unacceptable payment terms
- Payments in foreign currency
- Adherence to rules/laws which conflict with the laws of Guam

## **Advance Authorizations**

Contract/Grant work should not begin before a contract/award is in place. However, the PI may request the funding agency to approve specific pre-award expenditures. Upon written approval from the funding agency, pre-award charges may be charged to a grant project.

## **No-Cost Time Extensions**

If additional time beyond the established expiration date will be required to assure adequate completion of the project within the funded budget, a no-cost extension may be requested from the sponsoring agency. Such a request should be made at least forty-five (45) days prior to the expiration date. The request may include a brief summary of progress, funds remaining, and plans to complete the project. The need for an extension of time should be well justified. Usually, the fact that funds may remain at the expiration date is, in itself, insufficient justification for an extension. PIs are cautioned not to make commitments beyond the established expiration date until RCUOG has received notification from the sponsor that the time extension request has been approved.

## **Reporting Requirements**

### 1. Technical Reports

The PI will be responsible for the preparation and submission of all required technical/progress reports. The technical/progress reporting requirements are set forth in the award document and/or handbooks and guidelines published by the sponsor. The PI should inform the sponsor anytime the project timelines cannot be met.

1. Financial Report

RCUOG will be responsible for maintaining the official fiscal records and for the preparation of all financial reports and billings to the sponsor. A copy of the final financial report on a project will be sent to the PI for review and concurrence, prior to submission of the report to the sponsor.

2. Annual Reports (PL32-114)

RCUOG shall submit an annual report to the UOG Board of Regents, Governor of Guam, and the Guam Legislature. The report shall include, but not limited to, audited financial statements and progress and accomplishments during the year.

## **Time and Effort Reporting - Resolution #17-05**

Recipients of federal funds must maintain an accurate payroll distribution system allowing for periodic after-the-fact certification of charges made to specific activities for the purpose of documenting reasonable estimations of actual work performed on those activities.

In the most basic terms, RCUOG, Principal Investigators and Timekeepers must confirm that charges made to the payroll system “reasonably reflect” each employee’s activity.

## **Accounting Records and Reports**

Periodic accounting reports for grant projects will be supplied to the PI or his/her designee upon request. The reports should be reviewed very carefully. Any erroneous transactions should be reported in writing to RCUOG.

## **Petty Cash Purchases - \$150 limit (Memorandum June 22, 2015)**

Under certain circumstances, petty cash may be authorized as a means of making limited recurring or small emergency purchases under \$150.00. Prior approval must be secured from appropriate administrator. Only original receipt or itemized ticket signed or marked paid by the vendor will be accepted. Reimbursement will only be made for receipts that are within 90 days from the purchase date. Exceptions require approval from the RCUOG Executive Director.

Small repeat purchases using petty cash should not be used to avoid purchasing procedures where volume and bidding might secure lower prices. Services rendered from individuals or items purchased from Military Base stores are not permitted to be reimbursed from or paid with petty cash funds.

## **Furniture and Equipment Purchases (Memorandum May 18, 2015)**

### **Capital Assets**

RCUOG shall follow UOG’s capitalization guidelines in the treatment and recording of furniture and equipment that meet the criteria for capital assets. A capital asset is defined as property (tangible and intangible) meeting the dollar cost threshold of \$5,000 or more with a useful life of more than one year. Identification tags shall be affixed to the items and maintained in an equipment database. Federal and other external auditors require a physical inventory of equipment to be taken at least once every two years.

### **Small Equipment and Tools Inventory**

Department administrators or PI must maintain an inventory of all small equipment/tools valued above \$500 and below \$5,000 purchased through RCUOG (example tablets, cameras and laptops). These moveable items can be easily stolen or misplaced.

All administrators are required to maintain all equipment and supplies for institutional use only and not allow any use for private purposes. An administrator may authorize institutional equipment or supplies for use off University-owned or controlled premises, but only for the performance of University or RCUOG related duties.

Administrators/PI must establish proper controls to adequately safeguard assets against loss and to ensure all equipment is properly maintained and in good working order.

### **Directive on Buyouts (Memorandum July 20, 2016)**

The University of Guam practices internal distribution of buyout funds. Buyouts occur when a grant buys out faculty/administrator time. In the case of locally funded faculty/administrators, the buyout can be deposited into a discretionary account at RCUOG (for those grants running through the Research Corporation) or at UOG (for those grants running through the UOG business office). In the case of federally funded faculty, funds bought out by another grant are returned to the original federal grant for reprogramming. Buyout funds will be distributed as follows:

- 30% to The Senior Vice President's Office
- 70% to Unit/PI

Furthermore, the Unit/PI split on buyouts should be no more than 20% to the Unit (and can be less) and a minimum of 50% to the PI. Buyouts are subject to cost recovery, i.e. covering adjunct faculty salary costs in the case of a partial buyout of a teaching load, before funds are distributed as indicated above.

### **Subaward/Subrecipients**

#### **Subrecipients vs Vendor**

Subrecipients may have some or all of the following characteristics:

- Their performance is measured against meeting the objectives of the program
- They have the authority for administrative and programmatic decisions
- They provide ongoing service for the life of the program
- They carry out a program of the subrecipient as compared to providing services for a program of the prime recipient
- They are responsible for applicable program compliance requirements

Subrecipients should be budgeted as a subcontract in the sponsor proposal. This is then recognized as a budgeted item and approved by the sponsor in the terms and conditions of the subsequent award.

On a federally funded sponsored project, subrecipient funds are passed through from the recipient by a subcontract agreement. This agreement will flow down the various federal regulatory and compliance requirements. Standard subrecipient subcontract terms and conditions which incorporate the

regulatory and compliance requirements of OMB Uniform Guidance are then used to prepare a subrecipient subcontract.

Vendors have the following characteristics:

- They provide the service as part of their normal business operations
- They provide a similar service to many different purchasers
- They operate in a competitive environment (compete with others who can provide a similar service)
- Their program compliance requirements do not pertain to the service provided

A vendor is responsible for providing ancillary services in support of the award for the recipient or subrecipient use.

In summary:

A **subrecipient** serves as a co-investigator, is responsible for the end results of the research effort equally with the principal investigator where federal funds are being passed through to another entity. By definition, a subrecipient relationship can only be established where federal funds are involved.

A **vendor** provides ancillary goods or services that the principal investigator needs to conduct the research effort. A vendor is not responsible for the research results.

### **Importance of Making the Proper Determination**

It is important to be aware that it is the nature of the relationship that determines whether or not an entity is a subrecipient or vendor. The dollar amount of the purchase order or subcontract is *not* a determining factor. A careful review of the nature of services to be provided and an appropriate determination as part of the proposal budget review process will eliminate such post award problems such as:

- Obtaining sponsor prior to approval for unbudgeted subcontracts;
- Delays in processing requisitions for purchased services budgeted as subcontracts;
- Meeting audit and compliance requirements with for-profit organizations where a vendor relationship should exist.

By making a proper determination in the proposal stage, the appropriate relationship can be established from the start. This is especially true for an unbudgeted subcontract. If the unbudgeted subcontract is of a subrecipient nature, sponsor approval is required prior to entering into a subcontract. If it is a vendor relationship, no sponsor approval is required unless specified in the award terms and conditions.

Additional auditing requirements and other compliance regulations apply if the subcontractor is a subrecipient. It is best to make the determination at the proposal stage so if a subrecipient relationship exists, that relationship is recognized by the award agency and approved in advance.

### **Debarred and Suspended Parties Policy**

Debarment and suspension are actions taken by the Federal government against organizations or individuals who have committed fraud or a criminal offense in violation of Federal law. The Federal

government restricts subawards and contracts with parties that are debarred, suspended or otherwise excluded from or ineligible for participation in federally funded grants, contracts and programs.

What is Debarment and Suspension?

Suspension – A disqualification from government contracting and subcontracting for a temporary period of time because a company or individual is suspected of engaging in criminal, fraudulent, or seriously improper conduct. Suspension is to be used on an interim basis pending debarment proceedings.

Debarment – An exclusion from government contracting and subcontracting for a reasonable, specified period of time because an individual or vendor failed to perform or their performance was inadequate. The search for individuals and organizations can be performed at [www.sam.gov](http://www.sam.gov).

To ensure that RCUOG does not do business with vendors who have been suspended or debarred from doing business with the Federal government, the departments should check on sam.gov before submitting a PO abstract or contract. RCUOG will also periodically run a vendor list to ensure that no federal funds have been paid to excluded parties. If ever a vendor on this list is found to be suspended or debarred, RCUOG will initiate a journal voucher to move the purchases/transaction off the federal grant.

RCUOG prohibits the creation of subawards with individuals that are suspended or debarred. The project director must verify before accepting projects that the entity is not suspended or debarred or otherwise excluded. Those on the debarment list will not be able to work under the Federal Government.

## **Accounting Systems**

### **Colleague Account Set Up**

The system that UOG uses is the Colleague Integrated System, developed by Ellucian. It consists of several modules interfacing with each other to form the system. These modules consist of Admission (Registration), Financial Aid, Payroll, Personnel, Accounting (general ledger, accounts payable, accounts receivable, cash receipts, purchasing), curriculum management, and fixed assets.

### **General Ledger Account Structure**

The general ledger structure consists of five components: fund, source, unit, function, and object. Every financial transaction of UOG applies to a particular fund. Each fund is a distinct fiscal entity, having its own self-balancing group of accounts which consists of assets, liabilities, reserves, fund balance, revenues, encumbrances, expenditures, and appropriation. The accounting element can be identified on the first digit of the object component of the general ledger structure called the GL class:

1. GL class - 1 is assets
2. GL class - 2 is liabilities
3. GL class - 3 is fund balance of direct expense account

4. GL class - 4 is revenues
5. GL class - 5 is expenditures
6. GL class – 6 is transfer

### **Balance Sheet Accounts**

These accounts reflect the financial position of a fund at any given time an interim report is prepared. Within the balance sheet accounts, there are seven major classifications that are identified in the coding structure: assets, liabilities, fund balance, revenue, encumbrance, expenditures, and appropriation. Assets record properties owned by the University, which have monetary values. Liabilities record debts or other legal obligations arising out of past transactions which are to be liquidated, renewed or refunded at a future date. Fund balance record the excess assets of fund over its liabilities. Revenue accounts are established to collect revenues consistent with the Board of Regent's policies and operational practices of the University. Six major sources of revenue are recognized by the University, namely Government of Guam appropriation, tuition and fees, Federal grants-in-aids, income from endowment fund, and miscellaneous revenue. Encumbrance account is a record of all encumbrance transactions against appropriation accounts. Expenditure account records all expenditure transaction against appropriation accounts. Appropriation account is to record all approved appropriation as passed through public law, federal grant-in-aid, contracts, donations, etc. This is also known as allocated budget.

### **Budget & Expenditure Monitoring**

A review of budget availability is performed before expenditure requests are approved. A minimum of two employees are involved in the pre-incurrence budget review process:

- Grant Budget Specialist – reviews the expenditure amount in relation to the funding available budget category. If the expenditure amount exceeds the available funding in the budget category, the request is denied and communicated to the requestor. If the expenditure does not exceed the budget, a requisition is created and forwarded to the Chief Business Officer for approval.
- Chief Business Officer – reviews the requisition created by the Grant Budget specialist. If the expense is an allowable, reasonable, and allocable cost, and the expense can be accommodated within the available budget category, the Chief Business Officer approves the expenditure and requisition for Purchase Order processing.

When payment is ready for processing, a payment request form is submitted to RCUOG from the PI's department. The payment request is again reviewed for allowability, reasonableness, allocability, and to ensure there is available funding in the budget category. The payment request is reviewed and signed and approved by three (3) RCUOG Staff: Accounting Specialist, Chief Business Officer, and the Executive Director.

Grant budget monitoring is performed periodically, or upon PI request , by the RCUOG Chief Business Officer and the Accounting Specialists. If any budget overruns occur, it is the responsibility of the Chief Business Officer to inform the PI as soon as possible. The PI requests approval from the Grants Manager for a budget modification.

## **Payment Processing**

Invoices will be processed through the Accounts Payable Systems (a sub-system of Colleague). Types of payments include:

1. Payment against encumbrances
2. Direct payment (i.e.: utilities, subscription, honorarium)
3. Advance payment

Payment requests follow the purchase order process flow below:

1. PI completes the payment requisition form and submits it to RCUOG via RCUOG share-point.
2. RCUOG Grant Budget Specialist (GBS) reviews. If any issues, the GBS communicates issues to the PI and returns the requisition. If no issues, GBS inputs requisition into the accounting system and forwards the supporting documents to the Chief Business Officer for review.
3. The Chief Business Officer (CBO) reviews the expenditure for allowability, reasonableness, allocability, and funding availability per budget category. If any issues, the CBO returns document to the GBS for communication to the PI. If no issues, requisition is approved, and purchase order is created. If the amount of the requisition, exceeds 30,000 the Executive Director must also sign the requisition and purchase order.
4. The original signed Purchase order is then submitted to the PI for purchase of the item or service. Note, at this time, purchase orders are inputted as encumbrances and not expenses on the accounting system.
5. When invoice is received from the vendor for delivering the goods or services (unless an advance is necessary), a payment request form is submitted by the PI to RCUOG.
6. The payment request is reviewed again for allowability, reasonableness, allocability, and funding availability per budget category by three (3) RCUOG staff: Accounting Specialist, Chief Business Officer and the Executive Director. If approved, the payment request is forwarded to the Accounting Specialist for voucher processing.
7. Payment is vouchered on the accounting system by the Accounting Specialist which is then forwarded to the UOG accounts payable office for check or ACH processing.

Total processing time for payments is 10 business days for existing vendors and 14 days for new vendors.

## **Allowable, Allocable, and Reasonable Costs**

- Allowable - 2 CFR 200.403(a)
  - A cost is necessary and reasonable for the performance of the Federal award and be allocable thereto under these principles.
- Reasonable – 2 CFR 200.404
  - A cost is reasonable if, in its nature and amount, it does not exceed that which would be incurred by a prudent person under the circumstances prevailing at the time the decision was made to incur the cost.
- Allocable – 2 CFR 200.405(a)

- A cost is allocable to a particular Federal award or other cost objective if the goods or services involved are chargeable or assignable to that Federal award or cost objective in accordance with relative benefits received.

The concepts of allowability, allocability, and reasonableness of costs address directly the legitimacy of a cost charged against a specific sponsored research award. Determination of allowability, allocability, and reasonableness of a given expense is based on specific guidelines of the sponsor, as defined by the Office of Management and Budget (OMB) Uniform Guidance (below), and/or University policy. Each financial transaction charged against a sponsored research award is evaluated against these three criteria.

It is the responsibility of the Office of Sponsored Research Programs and RCUOG to insure that all costs charged to the sponsored research award are allowable, allocable and reasonable. It is initially reviewed by the program manager, approved by the PI, and department head, and then certified by the RCUOG Chief Business Officer. The allowable portion is charged to the federal award.

Please refer to RCUOG list of common unallowable cost for additional information and guidance.

# Reallocation of Charges and Cost Transfer Policy

It is the policy of RCUOG that costs should be charged to the appropriate sponsored award when first incurred. However, there are circumstances where it may be necessary to transfer expenditures to a sponsored award after the initial recording of the charge. It is our policy of that charges to sponsored awards be reviewed on a regular and timely basis by both the departments and RCUOG to ensure the appropriateness of charges and to prepare corrections on a timely basis.

To comply with allowability and allocability requirements of the Uniform Guidance and follow best practices for all sponsored awards (federal and non-federal), it is necessary to explain and justify the transfer of transactions to or from federal and non-federal accounts. Timeliness and completeness of transfer explanations are necessary in supporting allowability and allocability in accordance with the principles set forth in the Uniform Guidance.

## **Cost Transfers**

Cost transfers are to be initiated by the PI via memo to the Vice Provost of Sponsored Research, RCUOG Executive Director, and the RCUOG Chief Business Officer for approval. When the memo is approved, a Journal Voucher (JV) is to be submitted from the PI's department to RCUOG for review and entering. All cost transfer JVs are to be audited and signed by three (3) individuals prior to entering into the system: Accounting Specialist, Chief Business Officer and the Executive Director. JV is then entered by an Accounting Analyst or Accounting Specialist to complete the cost transfer.

The cost transfer should stay within the allotted percentage allowed by the grant project. This may vary from grant to grant. If the revision exceeds the allowable transfer limits of the grant, the PI must request approval from the program officer and attach the approval to the memo and JV.

All cost transfers are to be done within 90 days after discovery or within 30 days after grant expiration, whichever is sooner.

## **Unallowable Costs and Indirect Costs**

Several stages of review are required similar to allowable costs. The charge is initially reviewed by the program manager, approved by the PI, and department head, and then certified by the RCUOG Chief Business Officer or designee. Upon the discovery of unallowable direct cost mistakenly charged to a federally-funded project, the charges will be immediately reversed through the use of journal vouchers. The charge will then be charged to a discretionary account, which are assigned separate account numbers. Discretionary accounts are recorded under unrestricted funds under the control of the department/unit. Federal funds are classified under restricted funds. Unallowable indirect costs are excluded from indirect cost rate calculation. Different account numbers are used to record the different types of cost allowing identification of items to be included or excluded.

RCUOG List of Common Unallowable Costs

2 CFR Part 200 Section Reference	Description
421	<b>Advertising costs</b> are unallowable unless they are necessary to meet the requirements of the sponsored agreement.
421	<b>Public Relations Costs</b> are unallowable except for (1) costs specifically required by sponsored agreements, (2) cost of communicating with the public and press pertaining to specific accomplishments which result from performance of sponsored agreements or (3) costs of conducting communication and liaison necessary to keep the public informed on matters of public concern such as notices of awards, financial matters, etc.
422	<b>Advisory councils</b> or committees costs are unallowable unless authorized by statute, the awarding agency or as an indirect cost where allocable to sponsored awards.
423	<b>Alcoholic beverage</b> costs are unallowable.
424	<b>Alumni activity</b> costs are unallowable.
426	<b>Bad debt</b> costs are unallowable.
429	<b>Commencement and convocation</b> costs are unallowable, except, except as provided for in OMB Appendix III to Part 200 section B.9. Student Administration and Services.
431	Institution furnished automobile costs for <b>personal use</b> are unallowable. <b>Severance</b> costs incurred in excess of the institution's normal severance pay policy applicable to all persons employed at the institution upon termination of employment are unallowable. <b>Tuition</b> benefits for family members other than the employee are unallowable.
433	<b>Contingency provision</b> costs are generally unallowable.
434	<b>Contributions and donations</b> made are unallowable.
435	<b>Defense and prosecution</b> of criminal and civil proceedings, claims appeals, and patent infringement are generally unallowable.
438	<b>Entertainment costs</b> including amusement, diversion, and social activities and any costs directly associated with such costs are unallowable unless they are required for programmatic purposes and either in the approved budget or with prior written approval.
441	<b>Fines and penalties</b> costs resulting from violations of, alleged violations of, or failure to comply with federal, state, local or foreign laws and regulations are unallowable unless specifically approved by a federal agency or with prior written approval.
442	<b>Fundraising costs</b> including financial campaigns, endowment drives, solicitation of gifts and similar expenses incurred to raise capital or obtain contributions are unallowable.

	Costs of investment counsel and staff and similar expenses incurred to enhance income from investments are unallowable except when associated with investments covering pension, self-insurance, or other funds which include federal participation allowed by 2 CFR Part 200 subpart E.
445	Goods and services costs for <b>personal use</b> are unallowable regardless of whether the cost is reported as taxable income.
445	<b>Housing costs, housing allowances and personal living expenses</b> are only allowable as direct costs and must be approved in advance by the federal awarding agency.
447	<b>Insurance costs</b> when reasonable and necessary are generally allowable. See section 445 for specifics. Insurance to protect against defects in the institution's materials or workmanship are unallowable. Losses which could have been covered by insurance are unallowable unless expressly allowed by the sponsor.
448	<b>Intellectual Property</b> <b>Patent costs, copyrights</b> and related disclosures and filings are generally unallowable unless required by the federal award. <b>Royalties</b> on a patent or copyright and related costs are allowable only if necessary for the proper performance of the federal award and if the federal government does not already have a license, the patent is valid and enforceable. Also see section 448 for other details.
449	<b>Interest</b> on borrowed capital, temporary use of endowment funds, or the use of an institutions own funds are unallowable except as an indirect cost provided for in OMB Appendix III to Part 200 section B.3. Interest.
450	<b>Lobbying costs</b> are unallowable unless specifically authorized by statute to be undertaken with funds from sponsored agreements.
451	<b>Losses</b> on other sponsored agreements or contracts are unallowable.
454	<b>Membership costs</b> in any civic, community organization, country club or social or dining club or organization are unallowable. Cost of memberships in organizations whose primary purpose is lobbying are unallowable.
456	<b>Participant support costs</b> as defined in 200.75 are allowable with the prior approval of the federal awarding agency.
458	<b>Preaward costs</b> are allowable only when deemed necessary for the performance for the scope of the federal award and only to the extent that they would have been allowable if incurred after the date of the federal award and only with written approval of the federal awarding agency.
463	<b>Recruiting costs</b> for help wanted advertising, special emoluments, fringe benefits and salary allowances incurred to attract professional personnel from other institutions that do not conform with the established practices of the institution are unallowable.
464	<b>Relocation costs</b> related to: fees and costs with acquiring a new home; loss on sale of former home; mortgage payments on a home being sold and income taxes related to relocation costs are unallowable. Allowable costs

	incurred where an employee resigns within 12 months after hire must be refunded or credited to the federal award.
465	<b>Rental costs</b> under "sale and leaseback" arrangements and "less-than-arm's length" leases are only allowable up to the amount that would be allowed had the entity continued to own the property.
467	<b>Selling and marketing</b> costs of products or services of the institution are unallowable except as a direct cost when approved by the awarding agency when necessary for the performance of the award
469	<b>Student activity</b> costs are unallowable unless specifically provided in the sponsored agreements.
Appendix III, B8(a)	Rare books (museum type books) with no value to sponsored agreements are unallowable.

**Approval Supporting Documentation**

Supporting documentation for payment requests include written approval of the PI/Department Head, copies of invoices, and receiving report. Payroll transactions have different units which each have procedures for accounting for employees' time. At a minimum, each employee must have an approved personnel action form, processed and entered into HR/Payroll System by the UOG-HRO. The department timekeepers would enter the employee time/hours onto the official timesheets submitted to the UOG Payroll office for processing.

**Budget Modification Procedures**

Budget modifications are initiated by the principal investigator (PI) and approved by the Dean/Director. The modifications must be approved and processed by the RCUOG Chief Business Officer or designee. All budget modifications must adhere to the grant/contract terms and conditions. If necessary, the PI will seek approval from the Grantor. The PI will submit a memo requesting revision to their Dean/director for approval then follow up with RCUOG for processing. Modification and revision requests will be denied if it is in violation of the terms and conditions of the grant award and/or is not approved by the Grant Program Officer. All updates of the project budget in the accounting system after approval will be handled by the RCUOG Chief Business Officer or designee.

**Drawdown Procedures (Federal Grants)**

Drawdowns are based on actual cost incurred. Drawdowns are calculated based on total cumulative expenses less reimbursements received. Reports used are GLSA and SEFA. Once funds are received, journal vouchers are created to record the deposit. The journal voucher is created by RCUOG-CBO, reviewed by another accountant for accuracy, and then approved by the RCUOG Executive Director before entry is made in the accounting system. RCUOG-CBO is responsible for preparing, reviewing, certifying, and submitting drawdown request.

# Board of Directors Resolutions

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## Delegation of Authority - Resolution #20-04

Resolution no. 20-04 dated September 25, 2020 approved the delegation of authority which establishes protocols for the expenditure of funds at specific thresholds that correlate to signatory approval.



## RESEARCH CORPORATION OF THE UNIVERSITY OF GUAM

### **Resolution No. 20-04 RELATIVE TO AMENDING THE DELEGATION OF AUTHORITY**

**WHEREAS** the Research Corporation of the University of Guam (RCUOG) was established by Public Law 32-114 as a public corporation; and

**WHEREAS**, the Research Corporation requires a core team of administrators to develop and implement policies and manage day to day activities of the corporation; and

**WHEREAS**, the Delegation of Authority was approved by the Board of Directors on September 23, 2014; and

**WHEREAS**, RCUOG has grown significantly since 2014 and currently supports over 120 grants and contracts with annual budgets exceeding \$22M; and

**WHEREAS**, due to the increase in financial transactions, RCUOG administrators seek to amend the Delegation of Authority to better manage grant activity related to purchase card transactions which is currently capped at \$100,000 for all cards combined; and

**WHEREAS**, the executive director's level of authority will increase to \$140,000 enabling RCUOG to maintain efficiency; and

**WHEREAS**, the amended Delegation of Authority will establish protocols for the expenditure of funds at stated thresholds which correlate to signatory approval.

**NOW, THEREFORE, BE IT RESOLVED**, that the Board of Directors hereby adopts the Delegation of Authority, as amended.

Adopted this 25th Day of September 2020.

*Thomas W. Krise*

Dr. Thomas W. Krise, Chairperson

**ATTESTED:**

*Cheryl R. Sanguoza*

Dr. Cheryl Sanguoza, Secretary

**Research Corporation of the University of Guam**  
**Delegation of Authority, Review and Signature Approval Process – Contracts**

**Approving Officials**

Authorized Levels

Legal Counsel	Contracts and Bid Proposals – Form and Legality
Chairman, Board of Directors	\$200,001+
Treasurer, Board of Directors	\$140,001 - \$200,000
Executive Director	\$30,000 - \$140,000
PI & Department Head	up to \$30,000

**Certifying Officials**

Verification

Chief Business Officer	Availability of Funds / Procurement Regulations
Executive Director	Sole Source Procurement

**Type of Contracts (Not all Inclusive)**

1. Purchase Orders: Purchase of Goods or Services\*
2. Competitive Sealed Bidding and RFTs
3. Indefinite Quantity Agreement
4. Partnership Agreement
5. Independent Contractor Agreement
6. Employment Agreement
7. Special Employment Agreement
8. Amendment to Contract
9. MOUs for various purposes
10. A&E and CIP Contracts

**The Contract's Dollar Value Determines the Required Minimum of Set Signatories**

		Legal Counsel*	Chairman, Board of Directors	Treasurer, Board of Directors	Executive Director	PI and Department Head	Chief Business Officer
1	Up to \$3,000					X	X
2	\$3,0001 - \$30,000	X				X	X
3	\$30,001 - \$140,000	X			X	X	X
4	\$140,001 - \$200,000	X		X	X	X	X
5	\$200,001+	X	X	X	X	X	X

\*Does not need to approve purchase orders

## Travel Policy – Resolution #17-06

It is the declared policy of RCUOG that all travel must be performed either for the direct benefit of UOG and/ or RCUOG or to fulfill a real and legitimate obligation of UOG and/ or RCUOG. Please see attachments.



## RESEARCH CORPORATION OF THE UNIVERSITY OF GUAM

### RESOLUTION NO. 17-06

#### RELATIVE TO AMENDING THE RCUOG TRAVEL POLICY

**WHEREAS**, the Research Corporation of the University of Guam (RCUOG) was established by Public Law 32-114 as a public corporation; and

**WHEREAS**, the purpose of the RCUOG includes the promotion of assigned educational, scientific and literary pursuits of the University of Guam's grants and contracts through aiding in the development of study, training, and research and to furnish the means and methods to do so; and

**WHEREAS**, RCUOG'S Travel Policy directs how authorized travel, to fulfill grant or outreach activity outcomes, scientific engagement, and professional development, is processed; and

**WHEREAS**, the Travel Policy must be amended to better align with the UOG Travel Policy.

**NOW, THEREFORE, BE IT RESOLVED**, that the Board of Directors hereby amends the RCUOG Travel Policy to require all travel lasting more than seven days to be processed using actual charges for lodging from the first day of travel, to require travelers to submit lodging receipts for travel lasting more than seven days, to allow per diem rates to apply for travel lasting seven days or less, and to cap actual lodging charges at 200% of the lodging per diem rate as published by the General Services Administration.

Adopted this 22 day of September, 2017.



Dr. Robert A. Underwood, Chairperson

**ATTESTED:**



Dr. Kate Moots, Secretary



# RESEARCH CORPORATION OF THE UNIVERSITY OF GUAM

## **TRAVEL POLICY**

It is the declared policy of RCUOG that all travel must be performed either for the direct benefit of UOG and/ or RCUOG or to fulfill a real and legitimate obligation of UOG and/ or RCUOG.

University of Guam employees traveling on funds service-ordered through RCUOG will follow the RCUOG travel policy.

### **1. General**

Travel expenses must be reasonable and in line with prudent management of funds. The per diem allowance will be paid using federal GSA rates or Department of State (for international travel) rates in effect at the time the travel occurs.

All persons traveling shall exercise the same care in incurring expenses that a prudent person would if traveling on personal business. Travel costs are the expenses for transportation, lodging, subsistence, and related items incurred while on official business.

### **2. Definitions**

- The term "traveler" means the person who is traveling for the RCUOG.
- The term "business days" means days during which the RCUOG is open for business.
- The term "baggage" means RCUOG property, private property to be used exclusively for official business, and apparel needed by the traveler for the journey.
- The term "per diem allowance" means a daily flat rate of payment in lieu of actual lodging and meal expenses.

### **3. Cost Sharing**

The traveler and person authorizing the travel may make a cost sharing agreement as to the travel cost. RCUOG may make cost-sharing agreements with other institutions. If a cost-sharing agreement is made, the traveler must submit documentation of the cost to be paid by RCUOG.

### **4. Allowable Expenditures**

#### **a. Lodging & Subsistence**

- Actual expenses or per diem may be used for trips lasting seven days or less provided the method used is applied to the entire trip and not to selected days of the trip.
- Traveler may request the per diem rate times the travel days without submitting receipts to document meal and lodging costs during the travel period if the travel period is seven days or less.
- All travel lasting more than seven days must use the actual expenses method for lodging from the first day of travel. Travelers must submit lodging receipts with their travel



## RESEARCH CORPORATION OF THE UNIVERSITY OF GUAM

clearance. Travelers can receive the daily rate for Meals and Incidentals as published by GSA for each day of travel.

- Actual lodging expenses may not exceed 200% of the maximum per diem lodging allowance. Receipts for meals (if needed) and lodging costs must be submitted to document allowable expenditures. See #10 Travel Clearance for details.

### b. Air Travel

- Travelers will select the reasonably lowest airfare, i.e., the lowest cost, most direct route that does not subject the traveler to undue delays in connections or layovers. Travel on any other class requires justification and prior approval by RCUOG Director for health reasons or to reduce travel time.
- If the ticket is less than \$3,000 one quote will suffice. Upon receipt of approved Travel Authorization, travelers may purchase their ticket (See Travel Advance 8 a below).

### c. Ground Transportation

- Rental of automobiles, taxicabs, and other special conveyances are allowable if authorized prior to the first day of travel. Reimbursement is allowed if supported by receipts for dates of authorized travel only.

### d. Miscellaneous

- Airport Parking Fees – Allowable not to exceed the cost of taxi fare to/from terminal.
- Lodging taxes – Reimbursement as a miscellaneous expense limited to taxes on reimbursable lodging costs (for non-foreign areas).
- Laundry & Dry Cleaning – Allowable if travel is four consecutive days or more.
- \$20 in Internet charges or a calling card.
- Reasonable and customary tips (waiters, porters, hotel maids) not to exceed 10%.
- Excess baggage charges – Excess baggage is allowed for official business purposes such as transporting equipment or specimens. Claims for excess baggage charges will be allowed if approved at the time the travel was authorized.
- Entertainment Expense – Meals may be covered under this category if the purpose of the meeting, the names of individuals who attend the meal at which official RCUOG/UOG business was discussed, and receipts are attached to the Travel Clearance form. Prior approval is required on the TA. Alcohol is not an allowable expense. Traveler using federal funds will not be able to charge entertainment expenses to the grant unless there is prior approval from the grantor.
- Other expenses – Miscellaneous expenditures, when necessarily incurred by the traveler in connection with the transaction of official business, and not to exceed 10% of the approved Travel Authorization amount, are allowable when approved by the official who authorized the travel.



## RESEARCH CORPORATION OF THE UNIVERSITY OF GUAM

### **5. Travel day**

- a. The traveler will be entitled to the per diem rate for each day of official travel. No more than one day of per diem or expenses for traveling may be claimed before the beginning of official business.

To determine the number of travel days in a trip, the number of conference/meeting/purpose days are counted plus one day of travel time outbound from Guam and one day of travel time inbound to Guam.

- b. Trips less than a day - If a trip is less than one day, the traveler is entitled to all allowable expenditures. However, the traveler is not entitled to per diem.
- c. Airline Delays - Flights are sometimes delayed by the airlines for a variety of weather, mechanical, or other reasons and travelers are not able to return as planned. In cases where the airline cancels or delays a flight, travelers may request an extension of their travel time upon their return.
- d. Extension of Travel Time - The extension of official travel requires prior approval in writing by the person authorizing the travel.

### **6. Travel Days Between Official Business**

It may be wise for RCUOG to send a traveler to multiple conferences or meetings. If there are open days between the meetings, the traveler and the person authorizing the travel should discuss whether the days in between will be considered annual leave or workdays, and whether they will be considered travel days for the purpose of per diem. The decisions on such a matter should be recorded on the travel authorization or a separate memo.

### **7. Salary and Use of Leave While traveling**

- a. Salary while on travel status - The traveler shall be on administrative leave and receive regular salary during the authorized travel time. Traveler must submit supervisor approved leave form to unit timekeeper prior to travel.
- b. Reporting Leave Use - If the traveler becomes sick during the trip or uses other types of leave while on travel status, the traveler must submit leave forms to unit supervisor for approval as soon as possible upon return.
- c. Leave as a result of illness or injury - Whenever a traveler takes sick leave because of illness or injury not due to his or her own misconduct, the prescribed per diem shall continue for periods not to exceed ten days. The traveler must submit leave form to unit supervisor for approval.

### **8. Travel Advance**

- a. Advance of Funds - The traveler may request an advance of 80% of the authorized per diem and 100% of the conference fees and other miscellaneous allowances. Advances to travelers are considered by RCUOG as a receivable until the account is settled in a Travel Clearance.



## RESEARCH CORPORATION OF THE UNIVERSITY OF GUAM

The RCUOG will arrange with the travel agency to pay for the airline ticket. If the traveler wishes to buy his or her own ticket, they should indicate this on the travel authorization and request reimbursement in the travel clearance upon presentation of documentation of a paid itinerary up to the amount of the allowed airfare. Reimbursement to the RCUOG is required if the traveler does not submit appropriate airfare receipts. See #10 Travel Clearance for details.

- b. Release of check - Unless otherwise notified by the executive director, the traveler may pick up the check five days before the travel begins. In some circumstances, the executive director may release the check earlier.

### 9. Travel Authorization

- a. To allow for timely processing and travel advances, the travel authorization form should be prepared by the traveler and sent to RCUOG office ten days prior to the travel date. RCUOG can accommodate processing the travel authorization in a shorter timeframe but may not be able to issue travel advances before date of travel. Travelers who want to process travel authorizations in a condensed timeframe should expect to pay their travel and per diem costs up front and request reimbursement upon return. See #10 Travel Clearance for details.
- b. The Principal Investigator's signature approving travel and funding source must be on the travel authorization form. If the PI is the traveler then the PI's supervisor must sign the travel authorization form. No person can approve their own travel.
- c. A statement justifying purpose of travel as it relates to grant objectives must be included on the travel authorization form. The purpose of the travel should provide details of the trip including location by city, dates of business activity, and name of conference or seminar. The travel should be allocable and beneficial to the account.
- d. If the travel is to a conference or professional meeting, a conference agenda or letter of invitation should be attached.
- e. The traveler shall attach a flight itinerary to his/her travel authorization form. This will be used to calculate travel days.
- f. RCUOG will certify that funds are available and allowable from the grant source funding the travel. If funds are not available, the travel authorization will not be approved by RCUOG.

### 10. Travel Clearance

In order to clear their travel Travelers must submit the following:

- a. Proof of travel (e.g. receipts printed at airline kiosk, frequent flier statement indicating travel dates, or boarding passes) is required to document travel days and calculate proper per diem reimbursement.
- b. Receipts to support all expenditures which exceed fifteen (\$15) dollars except for food and lodging if per diem is claimed.



## RESEARCH CORPORATION OF THE UNIVERSITY OF GUAM

- c. Receipts for conference registration, membership and other fees associated with the purpose of travel.
- d. All claims for the reimbursement of travel expenses shall be submitted on the travel clearance form and must be itemized and stated in accordance with travel policy.
- e. In order to satisfy federal compliance requirements, all travelers must submit a trip report which includes the purpose of the trip and how it contributed to satisfying grant outcomes along with a receipt of registration payment or other documentation that indicates attendance at the conference.
- f. Suspension of Charges - Items in a travel clearance not stated in accordance with the travel regulations, or not properly supported by receipts where required, will not be reimbursed
- g. Foreign Currency - Persons traveling in foreign countries should report their expenditure by item in the foreign currency. The total expenditure in foreign currency must be converted into US dollars at current rates.
- h. Clearance - The travel clearance must be submitted to the RCUOG office within twenty (20) calendar days after the traveler returns home.
  - i. Any payments for amounts due to RCUOG from the traveler must be made at this time.
  - ii. Receipts must be submitted to document allowable expenditures.
  - iii. Travelers will not receive future travel advances while they have an open travel clearance.

### **Summary**

The purpose of this policy is to ensure that the traveler will neither make nor lose money while traveling. In order to travel and ensure proper reimbursement, a person should request permission to travel by submitting a travel authorization form. When the travel is complete, the traveler should report his/her travel expenses on the travel clearance form, attach all necessary documentation and submit within 20 days of returning home. Required forms are available on the RCUOG website.

## Procurement Policy – Resolution #21-02

All persons engaging in purchasing and purchasing-related activities shall conduct business dealings in a manner that is above reproach in every respect. Expenditures should be customary and reasonable in the conduct of RCUOG business. Questionable disbursement requests will be submitted to the RCUOG Executive Director for review and approval.

The PI will serve as his/her own purchasing agent and avoid purchasing unnecessary items. PIs are encouraged to obtain bids/quotes to ensure compliance with open, fair, and competitive procurement practices.

The UOG Procurement Office will serve as a resource in providing advice on bidding and identification of vendors, when requested.



## RESEARCH CORPORATION OF THE UNIVERSITY OF GUAM

### Resolution No. 21-02

#### RELATIVE TO AMENDING THE RCUOG PROCUREMENT POLICY

**WHEREAS**, the Research Corporation of the University of Guam (RCUOG) was established as a public corporation by Public Law (PL) 32-114; and,

**WHEREAS**, Public Law 32-114 states that the affairs of RCUOG shall be under the general management and control of the RCUOG Board of Directors (Board) and that the board shall adopt a procurement policy that is aligned with sound business practices and is consistent with federal program rules and regulations as applicable; and,

**WHEREAS**, the RCUOG Procurement Policy was initially adopted by the Board of Directors on October 30, 2014; and,

**WHEREAS**, the RCUOG Procurement Policy was amended on September 28, 2018 to align with updated federal thresholds for micro and small purchases; and,

**WHEREAS**, the digital business environment includes communication and submission of documents via email; and,

**WHEREAS**, as part of standard email protocols across platforms, each email is date and time stamped when sent; and,

**WHEREAS**, RCUOG supports digital business transactions including the submission of request for proposals and bids via email; and,

**WHEREAS**, RCUOG has revised its procurement policy to allow request for proposals and bids to be submitted digitally via email as an additional option along with hand delivery and delivery via U.S. Postal Service or courier service.

**NOW, THEREFORE, BE IT RESOLVED,** that the Board hereby adopts the attached RCUOG Procurement Policy, as amended.

Adopted this 26<sup>th</sup> Day of March 2021.

*Thomas W. Krise*

Thomas W. Krise (Mar 26, 2021 16:10 GMT+10)

Dr. Thomas W. Krise, Chairperson

**ATTESTED:**

*Cheryl R. Sangueza*

Cheryl R. Sangueza (Mar 27, 2021 17:07 GMT+10)

Dr. Cheryl Sangueza, Secretary



# RESEARCH CORPORATION OF THE UNIVERSITY OF GUAM

## RCUOG PROCUREMENT GUIDELINES AND PROCEDURES

All persons engaging in purchasing and purchasing-related activities shall conduct business dealings in a manner that is above reproach in every respect. Expenditures should be customary and reasonable in the conduct of RCUOG business. Questionable disbursement requests will be submitted to the RCUOG Executive Director for review and approval.

The PI will serve as his/her own purchasing agent and will avoid purchasing unnecessary items. All procurement transactions must be conducted in a manner providing full and open competition, consistent with CFR Procurement Standards 200.317 through 200.326.

### Procurement Officer

The RCUOG Executive Director, or designee, will serve as the RCUOG Procurement Officer. The procurement officer ensures that RCUOG purchases follow RCUOG procurement policies as well as federal regulations applicable to grants and contracts, including but not limited to OMB Circular A-21 and CFR Procurement Standards 200.317 through 200.326.

The UOG Procurement Office will serve as a resource in providing advice on proposals, bids and identification of vendors, when requested.

NOTE: New thresholds will be effective for Federal awards after December 26, 2014.

### Summary of Procurement Methods and Solicitation Requirements

#### 1. Micro-purchase: \$10,000 and below

**Requirement:** Solicitation of one quote is allowed if price is considered reasonable. Additional quotes are encouraged.

**Acceptable Quote Documentation:** (a) Facsimile quote, (b) Written quote provided by vendor, (c) Memo documenting oral quotation by vendor – must include vendor name, vendor representative, date and amount of quote, or (d) Internet printout of price list. If asked by the RCUOG Procurement Officer, Requestor is responsible to establish price reasonability as per #8.

#### 2. Small purchase: between \$10,001 and \$250,000

**Requirement:** Require no less than three written quotes from vendors. This generally requires that specifications be emailed/faxed to at least three vendors. Award shall be made to the lowest responsible and responsive bidder.

**Acceptable Quote Documentation:** (a) Facsimile quotes, (b) Written quotes provided by vendors, (c) Internet printout of three price lists, or (d) Facsimile/email confirmation to show solicitation was sent to a non-responsive vendor.

Procedures for Micro-purchase and Small Purchase Thresholds

**1. Requestor**

- a. Determine supplies or services needed.
- b. Solicit required number of quotes and select a vendor (for purchases falling under the micro-purchase and small purchase thresholds).
- c. Create on-line requisition order.
- d. Upload proper documentation to RCUOG Sharepoint.

**2. RCUOG Office**

- a. Perform compliance review and funds certification for the purchase.
- b. If noncompliant with contract/grant/procurement requirements, return to requestor for more information or additional documentation.
- c. If compliant, requisition is approved and purchase order is created.
- d. Approved purchase orders are forwarded to requesting department.

**3. Competitive sealed bidding: Purchases above \$250,000**

- I. **Requirement:** Invitation for Bid (IFB) shall be mailed, emailed, or furnished to a sufficient number of vendors to secure competition. Competitive bidding shall follow procurement standards set forth in the Federal Register Vol.78, No.248, CFR Procurement Standards 200.320 ( c ) and the following Sealed Bid Process:
- II. **Acceptable Quote Documentation:** Sealed bid packages or email bid packages received by RCUOG.
- III. Bids above \$250,000 must be afforded adequate public notice at least Fifteen (15) days before the bid due date. Bids must be solicited from an adequate number of known suppliers. Vendors have fifteen (15) working days to respond from the date of notice (unless unusual circumstances prevail; reason must be documented). The IFB must be posted on the RCUOG website no less than fifteen (15) days before the due date and must include:
  - a. A statement requiring offerors to include their contact information in their bids.
  - b. Specifications and pertinent attachments.
  - c. A description of the items or service being solicited sufficient to allow potential bidders to submit bids in response to the bid.
  - d. A bid submission deadline and award decision timeline.
  - e. A statement that only written bids will be accepted and can be 1.) hand delivered, 2.) mailed to the street address on the IFB, or 3.) emailed to the email address indicated on the IFB.
- IV. Bids submitted after the bid submission deadline will not be accepted.
- V. Pre-bid conferences may be scheduled and, if scheduled, Pre-bid conference information will be contained in the bid packet or an amendment to the bid packet.
- VI. The RCUOG Executive Director may extend the deadline for bid submission beyond 15 days of public notice. Deadline extension must be documented and posted on the RCUOG website.

- VII. Receipt and Handling of IFB submissions
- a. Hard copies of the bids and modifications thereof shall 1.) For bids hand delivered or mailed to the RCUOG office, be time stamped upon receipt and held in a secure place until the established due date, or 2.) For digital copies of bids emailed to RCUOG, the date and time of RCUOG's receipt of the emailed bid shall serve as the official submission date and time and the documents will be downloaded and held in a secure place until the established due date.
  - b. Bids must be opened publicly at a location specified in the IFB. The bids shall be opened, recorded, and evaluated.

- VIII. Evaluation and Award Process
- a. The Evaluation Committee may seek clarification from bidders.
  - b. The bids shall be evaluated and compared.
  - c. The Bid is awarded to the responsible, responsive bidder whose bid, conforming to all the material terms and conditions of the invitation for bids, is the lowest in price.
  - d. An evaluation report which includes a price analysis will be signed by the Evaluation Committee chair and submitted to the RCUOG Executive Director for approval.
  - e. A notification of award will be sent to successful bidder within ten days of the approval of the evaluation report to the RCUOG Executive Director.

4. Competition selection procedures for professional services above \$250,000

- I. Requirement: Solicitations for professional services, such as architects, engineers, land surveyors, and other professionals, shall be in the form of a Request for Proposals (RFP). RFPs shall follow procurement standards set forth in the Federal Register Vol.78, No.248, CFR Procurement Standards 200.320 ( d ) and the following RFP Process:
- II. Adequate public notice shall be made at least Fifteen (15) days before the proposal due date and notice of the RFP shall be posted on the RCUOG Website no less than fifteen (15) days prior to the deadline for submission of proposals. RCUOG may send notice of the RFP to companies or individuals known to provide the required professional services.
- III. Sealed Price Proposals: Proposals shall be submitted with Sealed Price Proposals to the RCUOG Office on or before the deadline for submission of Proposals.
- IV. RFPs shall include:
  - a. A description of the professional services required.
  - b. A copy of or a description of the type of contract to be used.
  - c. A description of the work to be performed.
  - d. The start date of the work and the duration of the professional services.
  - e. The deadline for the submission of proposals.
  - f. A statement that only written Proposals and Sealed Price Proposals will be accepted.
  - g. A statement indicating that the sealed price proposals must be submitted: 1.) in a separate, sealed envelope to be opened only after the proposals have been evaluated, or 2.) a password protected digital file with the password included in the proposal to be downloaded and printed only after the proposals have been evaluated.
  - h. A statement that offerors may request portions of their proposals which contain trade secrets or proprietary data to remain confidential. RCUOG shall review all such requests approve them only if such portions of the proposals contain trade

secrets or proprietary data and shall provide a written decision to the offeror making such request that grants or denies the request and which states RCUOG's reasons for doing so.

- i. A statement regarding the minimum information proposals must contain including:
  - i. Offeror contact information and principal place of business.
  - ii. The abilities, qualifications, and experience of all persons assigned to provide the required services.
  - iii. Description of past performance on similar contracts.
  - iv. Detailed plan explaining how the services will be performed.
- j. The factors that RCUOG will use to evaluate the proposals.

V. Proposals submitted after the deadline for the submission of proposals will not be accepted.

VI. Pre-Proposal conferences may be scheduled and information regarding Pre-Proposal conferences, if any, will be contained in the RFP or an RFP amendment.

VII. Questions from offerors will be accepted in writing by the RCUOG Procurement Officer up to five (5) days before the submission deadline. Responses will be shared with all offerors.

VIII. The RCUOG Executive Director may extend the deadline for submission of proposals beyond the fifteen (15) day public notice period. Any such extension will be posted on the RCUOG website.

IX. Receipt and Handling of Proposals and RFP submissions.

- a. Proposals and modifications shall be delivered to RCUOG via 1.) Hard copies of Proposals delivered to the RCUOG office and time stamped upon receipt and held in a secure place until the established due date, or 2.) Digital copies of Proposals emailed to the RCUOG official email indicated on the RFP and the date and time of the emailed proposal shall serve as the official submission date and time and the documents will be downloaded and held in a secure place until the established due date.
- b. Proposals shall have a sealed price proposal included in a separately sealed envelope or in a password protected digital file with the password included as part of the proposal.
- c. Proposals shall not be opened publicly nor disclosed to unauthorized persons but shall be opened in the presence of two more members of the Evaluation Committee.

X. Evaluation and Award Process

- a. Proposals shall be ranked by the Evaluation Committee with the most qualified offeror ranked first, the second most qualified offeror ranked second, etc.
- b. Once the ranking process is complete, the committee will open the most qualified offeror's sealed price proposal and begin negotiations with the most qualified offeror. If price and contract terms can be agreed upon, RCUOG shall award the contract to the most qualified offeror. If RCUOG is unable to agree on price and contract terms with the most qualified offeror, RCUOG shall terminate negotiations with that offeror in writing, and proceed with negotiating with the next most qualified offeror or offerors, in the order they are ranked, until price and contract terms can be agreed upon and the contract is awarded.
- c. An evaluation report which includes a cost analysis and the outcome of any pricing negotiation with the offeror or offerors will be signed by the Evaluation Committee chair and submitted to the RCUOG Executive Director for approval.

- d. A notification of award will be sent to the successful offeror within ten days of the approval of the evaluation report to the RCUOG Director.

5. **Sole source/noncompetitive procurement**

I. Requirement: All sole source procurements require written justification as to why no other bidder will be suitable or acceptable to meet the need. A sole source procurement must be approved in writing by the RCUOG Executive Director before an item is procured and must adhere to CFR 200.320. Sole source procurements are allowed only in the following situations: (a) compatibility of equipment, accessories, or replacement parts is of paramount consideration; (b) sole supplier's item is needed for trial use or testing; (c) sole supplier's item is to be procured for resale; (d) public utility services are to be procured; (e) supplies are offered through bankruptcy or receivership sales, or other disposition at lower than prevailing market prices; (f) public exigency or emergency declared by the Governor of Guam will not permit a delay resulting from competitive solicitation; (g) the Federal awarding agency or pass-through entity expressly authorizes noncompetitive proposals in response to a written request from the Principal Investigator for the grant project; (h) after an IFB or RFP solicitation in which no bids or proposals are submitted and another solicitation would be ineffectual as determined in writing by the Procurement Officer.

II. Quotes. RCUOG shall solicit a Quote from the sole source, in the form of a: (a) facsimile quote, (b) written quote provided by vendor, (c) internet printout. And if the price for the item or service is reasonable, RCUOG may award the contract to the sole source.

6. **Establishing a Pre-qualified Pool of vendors for a specific product/service/material or for unspecified quantity purchases**

The RCUOG may establish a pre-qualified pool of vendors for a specific product(s), service or material using the following process:

- I. RCUOG must post a Request for Information (RFI) soliciting a specific product(s), service, or material on its website for a period of fifteen (15) days. A submission deadline will be included in the RFI. To ensure maximum participation, the RFI should be sent via email or fax to multiple offerors. In addition to the website posting, RCUOG may decide to announce via media or social media outlet to ensure maximum participation.
- II. The RFI must contain clear and accurate description of the requirements for the material, product, or service procured and identify all requirements which offerors must fulfill in order to participate in the pre-qualified pool.
- III. All offerors who submit their required documents prior to the published deadline and who meet RCUOG requirements may qualify to participate in the pre-qualified pool.
- IV. All prequalified lists of persons, firms, or products which are used in acquiring goods and services must be current and include enough qualified sources to ensure maximum open and free competition.
- V. All offerors in a pre-qualified pool will be utilized on a rotating basis by RCUOG when making purchases for specific product(s), service or material as indicated in the initial RFI.
- VI. Each pre-qualified pool must be updated on an annual basis.

7. **Composition, Roles and Responsibilities of a Bid Evaluation Committee**

The Bid Evaluation Committee is an ad hoc committee comprised of a minimum of three individuals including the principal investigator who initiated the bid, an RCUOG administrator,

and an administrator from the UOG unit that initiated the bid. Other RCUOG or UOG administrators and faculty may be invited to sit on the Bid Evaluation Committee to provide expertise as warranted. Administrators and employees in the UOG Procurement Office may also be invited to sit on a Bid Evaluation committee as necessary.

Roles and responsibilities include ensuring that the Bid was conducted in a manner providing full and open competition as specified in CFR Procurement Standards 200.317 through 200.326.

#### 8. Price and Cost Analysis for Evaluation Purposes

Price analysis may be accomplished in various ways, including the comparison of price quotations submitted, market prices, and discounts. Cost analysis is the review and evaluation of each element of cost to determine reasonableness, allocability and allowability.

##### I. Price Analysis for Bids

Price analysis is the process of determining whether the price is reasonable and acceptable. The analysis should include an evaluation of price for the same or similar products or services, details of the research conducted, details of negotiations with the vendor or contractor, or details of other efforts made by the program to validate price reasonableness. Price comparisons, not limited to the following, may be used in the price analysis:

- a. Comparison with bids in the current procurement action
- b. Comparison with prior price quotations for the same or similar items or services
- c. Comparison with a published catalog price or published price list (a vendor's quotation or correspondence does not qualify as a published price list)
- d. Comparison with prices available on the open market
- e. Comparison with an in-house estimate (e.g., the cost of the work if performed by own staff) or an independent cost estimate (e.g., cost review by a third-party expert)
- f. Comparison with prevailing rates in the industry
- g. The price analysis must be documented and attached to the purchase order.

##### II. Cost Analysis for RFPs

Cost analysis is the process of reviewing and evaluating each element of cost to determine reasonableness, allocability, and allowability. In the analysis, consider the following:

- a. Specific elements of cost.
- b. The necessity for certain costs.
- c. The reasonableness of amounts estimated for necessary costs.
- d. The reasonableness of allowances for contingencies.
- e. The basis used for allocation of indirect costs.
- f. The appropriateness of allocations of particular indirect costs to the proposed contract.
- g. The reasonableness of the total cost.

Generally, cost analysis, rather than price analysis, is used to evaluate offered prices for complex procurement actions, or when comparative data to perform a price analysis does not exist. These comparisons are documented in a memo from the Principal Investigator to the Executive Director who must approve the fair and reasonable cost.

#### 9. Appeal Process

An offeror may appeal a decision made by the IFB or RFP Evaluation Committee by following the Appeal Process.

**Step One**

The offeror must submit their appeal in writing to the RCUOG Executive Director within ten days of the bid award notice. The offeror must specifically cite the section of the RCUOG procurement policy which they feel has been unfairly applied.

The RCUOG Executive Director must respond to the appeal in writing within 10 days of the filing of the appeal. The RCUOG Executive Director will only consider the issue stated in writing and will not consider any new issues.

**Step Two**

If the offeror does not accept the decision of the RCUOG Executive Director, the offeror may submit a second appeal to the Chair of the RCUOG Board of Directors within 10 days of receiving the appeal response from the RCUOG Executive Director.

The Chair of the RCUOG Board of Directors may call an ad hoc committee to respond to the appeal comprised of three RCUOG administrators or RCUOG Board Members of his choosing. The committee will only consider the original issue stated in writing and will not consider any new issues. The Chair will respond in writing to the appeal within ten working days. The Chair of the RCUOG Board of Directors decision is final. The process ends.

**10. Contracting with Minority Businesses and Women's Business Enterprises**

CFR Procurement Standards 200.319 (b) prohibits the use of statutorily or administratively imposed state or local geographical preferences in the evaluation of bids or proposals. However, CFR Procurement Standards 200.321 specifies that RCUOG must take necessary affirmative steps to assure that minority businesses, women's business enterprises, and labor surplus area firms are used when possible. These steps are indicated in CFR Procurement Standards 200.319. Local purchases are encouraged where possible. Local procurement preference shall apply to local funds as specified in 5 GCA Section 5008.

**11. Cancellation of an RFP or Bid**

RFPs and IFBs may be cancelled due to lack of funding, lack of an adequate number of respondents, when public notice timelines were not followed, or other reason documented by the Procurement Officer. If an RFP or IFB is cancelled, RCUOG will notify those offerors who responded to the RFP or IFB of the cancellation. Public notice of cancellations will also be posted on the RCUOG website.

**12. Rejection of Bid or Proposal**

RFPs and IFBs may be rejected if they do not contain the basic information as stated in #3 and #4 above.

## **Purchase Card Policy and Card Holder Agreement – Resolution #20-05**

The purpose of this policy is to provide instructions on the proper use of a RCUOG purchase card. This policy augments the RCUOG Procurement Policy's small purchase procedures. All purchase card transactions must comply with RCUOG Procurement policy.



## **RESEARCH CORPORATION OF THE UNIVERSITY OF GUAM**

### **Resolution No. 20-05**

#### **RELATIVE TO AMENDING THE CREDIT THRESHOLD FOR RCUOG PURCHASE CARDS**

**WHEREAS** the Research Corporation of the University of Guam (RCUOG) was established by Public Law 32-114 as a public corporation; and

**WHEREAS**, RCUOG's Purchase Card Policy and Card Holder Agreement guides the use, limitations, recordkeeping and reconciliation, safekeeping, and compliance for purchases made with RCUOG purchase cards; and

**WHEREAS**, the Delegation of Authority, approved by the Board of Directors on September 23, 2014, established protocols for the delegation of authority and the expenditure of funds at established thresholds; and

**WHEREAS**, RCUOG Resolution 20-04 amended the delegation of authority and expenditure thresholds; and

**WHEREAS**, for the purposes of regulation and control, RCUOG Resolution 17-04 established a credit threshold for RCUOG purchase cards that limited purchases charged to a single RCUOG credit card to \$60,000 and all RCUOG purchase cards combined to a maximum of \$100,000; and

**WHEREAS**, due to the increase both the number of grants and contracts supported by RCUOG and the number of financial transactions required to support those grants, administrators seek to amend the purchase card threshold to \$100,000 for a single RCUOG credit card and \$140,000 for all RCUOG credit cards combined.

**NOW, THEREFORE, BE IT RESOLVED**, that the Board of Directors hereby amends the credit threshold for RCUOG purchase cards to \$100,000 for a single card and \$140,000 for all RCUOG purchase cards combined.

Adopted this 25th Day of September 2020.

*Thomas W. Krise*

Thomas W. Krise (Sep 28, 2020 15:15 GMT-10)

Dr. Thomas W. Krise, Chairperson

**ATTESTED:**

*Cheryl R. Sanguenza*

Cheryl R. Sanguenza (Sep 28, 2020 15:19 GMT-10)

Dr. Cheryl Sanguenza, Secretary

You may read more about RCUOG's Purchase Card Policy at the following link:

[https://www.uog.edu/resources/files/rcuog/policies\\_forms/rcuog\\_purchase\\_card\\_policy\\_and\\_card\\_holder\\_agreement\\_updated.pdf](https://www.uog.edu/resources/files/rcuog/policies_forms/rcuog_purchase_card_policy_and_card_holder_agreement_updated.pdf)

## Records Retention Policy – Resolution #17-03

The Research Corporation of the University of Guam's Record Retention Policy guides the retention and disposition of records.

Records are defined as all electronic and paper-based documents, regardless of physical form or characteristics, made or received by RCUOG in connection with the transaction of RCUOG business and retained by the organization as evidence of the organization's functions, policies, decisions, procedures, operations, or other activities.



### RESOLUTION NO. 17-03

#### RELATIVE TO APPROVING THE RCUOG RECORDS RETENTION POLICY

**WHEREAS**, the Research Corporation of the University of Guam (RCUOG) was established by Public Law 32-114 as a public corporation; and

**WHEREAS**, the purpose of the RCUOG includes the promotion of assigned educational, scientific and literary pursuits of the University of Guam's grants and contracts through aiding in the development of study, training, and research and to furnish the means and methods to do so; and

**WHEREAS**, RCUOG requires a records retention policy to guide the length of time specific documents should be kept on file and when it is appropriate to destroy certain files.

**NOW, THEREFORE, BE IT RESOLVED**, that the Board of Directors hereby adopts the attached Records Retention Policy for the Research Corporation of the University of Guam.

Adopted this 31<sup>st</sup> day of March, 2017.



Dr. Robert A. Underwood, Chairperson

**ATTESTED:**



Dr. Kate Moots, Secretary



## RCUOG RECORDS RETENTION POLICY

The Research Corporation of the University of Guam's Record Retention Policy guides the retention and disposition of records.

Records are defined as all electronic and paper-based documents, regardless of physical form or characteristics, made or received by RCUOG in connection with the transaction of RCUOG business and retained by the organization as evidence of the organization's functions, policies, decisions, procedures, operations, or other activities.

For records relating to Federal grants, CFR 200.335 Methods for collection, transmission and storage of information, requires that non-federal agencies should, whenever practicable, collect, transmit, and store Federal award-related information in open and machine readable formats rather than in closed formats or on paper.

The RCUOG Records Retention and Disposition Policy indicates the minimum length of time records must be maintained before the records may be disposed of legally.

The purposes of this policy are to:

- Ensure that records are retained as long as needed for administrative, legal, and fiscal purposes;
- Ensure that University of Guam and federal records retention requirements are met;
- Ensure that records with enduring historical and other research value are identified and retained permanently; and
- Encourage and facilitate the systematic disposal of unneeded records.

**The time identified as the minimum retention period begins with the creation of the record, unless otherwise specified.**

Public Laws, Articles of Incorporation, Bylaws, and other records relating to the establishment of RCUOG; resolutions approved by the Board of Directors.	Permanent copies in archives.
Board of Directors meeting minutes, meeting agendas, and related information	Permanent copies in archives.
Annual Reports	Permanent copies in archives.
Correspondence and subject files relating to administration and operations of RCUOG having limited historical value.	Three years after date of document or after file is closed.
Correspondence and subject files relating directly to the administration and operations of RCUOG	Three years after date of document or after file is closed.
RCUOG personnel records.	- For selection, hiring, & employment action records (hires, promotions,



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	<p>terminations), 1 year after creation of document or hire/no hire decision whichever is later; 3 years for Federal Contracts</p> <ul style="list-style-type: none"><li>- For medical information (ADA requests, injury reports), 1 year for ADA; duration of employment +30 years (OSHA); 6 years HIPAA</li><li>- FMLA records, kept with "medical" files, 3 year retention</li><li>- For payroll records; recommended retention is length of employment + 5 years; 2 years for time cards</li><li>- Form 1-9 are kept for 3 years after hire or 1 year after termination (kept separate from personnel file)</li><li>- Retention timelines vary by type of record which includes:<ul style="list-style-type: none"><li>* Health and Welfare Plan Records – duration of employee tenure + 3 years</li><li>* Employee Benefits - duration of employee tenure + 3 years</li><li>* Safety Data - duration of employee tenure + 30 years</li></ul></li><li>- Health Care Continuation (COBRA) - recommended records be maintained for 6 years from date of record (remains consistent with ERISA)</li><li>- Polygraph Test Records - 3 years</li><li>- Affirmative Action Plan / Data - 2 years</li><li>- Credit Reports - no retention requirement; recommend shredding after 1 year</li><li>- Drug Test Records - 1 year from test date</li></ul>
Records pertinent to a Federal award including financial records, supporting documents, and related records.	Three years from the date of submission of the final expenditure report. <i>Consult CFR 200.333 for exceptions to this rule.</i>



## **EXCEPTIONS AND NOTES**

### **Audits**

In some instances, agencies with audit responsibility and authority or Federal-awarding agencies may formally request that certain records be kept beyond the retention periods. If such a request is made, these records must be retained beyond the retention periods until the University or RCUOG receives the audit report or until the need is satisfied.

### **Legal Actions**

Some records may be needed for use in legal actions involving RCUOG. Records that are identified in or relevant to such actions must be retained for the entire period of the action, including any appeals, or the period for making an appeal, even if their retention period has expired. Prior to disposing of records related to or retained for a legal action, RCUOG officials should consult UOG Legal Counsel to verify that no new legal actions or appeals have been initiated that would require longer retention of the records.

### **Archival Records**

Archival records are records that RCUOG must keep permanently to meet their fiscal, legal, or administrative needs or retain because they contain historically significant information. Records do not have to be old to be archival; RCUOG officials create and use archival records daily in their offices. What makes a record worthy of permanent retention and special management is the continuing importance of the information it contains. Knowledge of people, places, or events will determine which records are significant. RCUOG officials may need to appraise records with non-permanent retention periods for potential research or historical value before destroying them. The usefulness of archival records depends on the ability of the RCUOG to preserve them, retrieve the information they contain, and make that information available to researchers.

### **Electronic Records**

Generally, records transmitted through e-mail systems have the same retention periods as records in other formats that are related to the same function or activity. E-mail records should be scheduled for disposition in conjunction with any other records related to that function or activity. RCUOG officials may delete, purge, or destroy e-mail records if the records have been retained for the minimum retention period established in the policy and are not being retained for a legal action or otherwise subject to a litigation hold or for an audit.

### **Digitizing Records**

Once paper records are scanned and reformatted as electronic records, the original paper records maybe destroyed. RCUOG allows for migration of paper records into electronic formats under the following conditions:

- The images will accurately and completely reproduce all the information in the records being imaged;



- The imaged records will not be rendered unusable due to changing or proprietary technology before their retention and preservation requirements are met;
- The imaging system will not permit additions, deletions, or changes to the images without leaving a record of such additions, deletions, or changes; and
- Designees of RCUOG will be able to authenticate the imaged records by competent testimony or affidavit which shall include the manner or method by which tampering or degradation of the reproduction is prevented.

### **SUGGESTIONS FOR RECORDS DISPOSITION**

Records without historical value should be disposed of continually as they meet their stated minimum retention periods. The advantages of a program for systematic, legal disposal of obsolete records are that it:

- Demonstrates routine, good faith operation of the records retention system  
Ensures that records are retained as long as they are actually needed for administrative, fiscal, legal, or research purpose
- Ensures that records are promptly disposed of after they are no longer needed
- Frees storage space and equipment for important records and for new records as they are created
- Eliminates time and effort required to service and sort through superfluous records to find needed information
- Eliminates the potential fire hazard from storage of large quantities of valueless records and
- Facilitates the identification and preservation of archival records.

Suggestions for systematically approaching the disposition process include the following:

- Disposition should be carried out regularly, at least once a year. It should not be deferred until records become a pressing storage problem.
- For records containing confidential information (e.g., Social Security numbers, credit card numbers, personnel evaluations, salary levels), disposition should be carried out in a way that ensures that the confidentiality of individuals named in the records is protected.
- A record should be kept of the identity, inclusive dates, and approximate quantity of records that are disposed.

## Student Employment Hiring Policy - Resolution #16-03

Student Employees of the Research Corporation of the University of Guam (RCUOG) are University of Guam students assigned to University units to deliver grant or externally funded objectives. These employees will work 39 hours or less per week and receive Social Security and Medicare.

Medical and dental benefits may be offered to part-time employees working 20 to 39 hours per week depending on whether or not there is funding in the grant or contract to support the annual employer portion of medical and dental benefit premiums. For those employees working 30-39 hours per week, the Affordable Care Act may apply.

The definition of student employee also covers high school students who may be hired for short periods to work with researchers.



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**RESOLUTION NO. 16-03**

### **RELATIVE TO AMENDING THE RCUOG STUDENT EMPLOYMENT HIRING POLICY AND PROCEDURES**

**WHEREAS**, the Research Corporation of the University of Guam (RCUOG) was established as a public corporation by Public Law (PL) 32-114; and

**WHEREAS**, the purpose of RCUOG includes the promotion of assigned educational, scientific and literary pursuits of the University of Guam's grants and contracts through aiding in the development of study, training, and research and to furnish the means and methods to do so; and

**WHEREAS**, PL 32-114 states that the affairs of RCUOG shall be under the general management and control of the RCUOG Board of Directors (Board) and that the Board shall adopt rules and regulations governing the terms and conditions of employment for RCUOG personnel; and

**WHEREAS**, the Student Employment Hiring Policy and Procedures were approved by the Board of Directors on September 23, 2014, and amended on October 30, 2014, and February 13, 2015; and

**WHEREAS**, there is a need to align the student position titles, grades and steps to the regular RCUOG salary scale so that both student positions and regular positions are aligned to a single pay scale.

**NOW, THEREFORE, BE IT RESOLVED**, that the Board hereby adopts the attached amended RCUOG Student Employment Hiring Policy and Procedures.

Adopted this 5<sup>th</sup> day of August, 2016.

Dr. Robert A. Underwood, Chairperson

**ATTESTED:**

Dr. Kate A. Moots, Secretary



## **STUDENT EMPLOYMENT HIRING POLICY AND PROCEDURES**

### **I. Definition of Student Employee**

Student Employees of the Research Corporation of the University of Guam (RCUOG) are University of Guam students assigned to University units to deliver grant or externally funded objectives. These employees will work 39 hours or less per week and receive Social Security and Medicare.

Medical and dental benefits may be offered to part-time employees working 20 to 39 hours per week depending on whether or not there is funding in the grant or contract to support the annual employer portion of medical and dental benefit premiums. For those employees working 30-39 hours per week, the Affordable Care Act may apply.

The definition of student employee also covers high school students who may be hired for short periods to work with researchers.

### **II. Commitment to Equal Employment Opportunity**

The Equal Employment Opportunity (EEO) policy embodies the concept that all qualified and eligible job applicants have the right to fair hiring practices. The RCUOG's commitment to EEO is displayed through a system of established hiring procedures that assures all qualified and eligible students fair treatment. EEO is a policy of the University and required by federal law of any organization receiving federal funds. Non-compliance by any one unit could result in the RCUOG and the University of Guam losing federal funding.

The Americans with Disabilities Act of 1990 as amended, also makes it unlawful to discriminate against individuals with disabilities in all employment practices. A student/employee with a disability must be qualified to perform the essential functions of a job with or without reasonable accommodations. Only after a unit has reviewed all qualified and eligible candidates will the most suitable qualified person(s) be selected.

### **III. Student Employee Job Titles:**

Student employee job titles, grade, step, hourly rates and minimum knowledge, skills, abilities, education and experience are incorporated in the document RCUOG Student Positions and Scale

#### **Undergraduate Generic Job Titles**

- Grant Support Assistant I, II, III
- Extension Assistant I, II, III
- Research Assistant I, II
- Teaching Assistant



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**Graduate Generic Job Titles**

- Grant Support Associate I, II
- Extension Associate I, II, III
- Graduate Research Assistant
- Graduate Teaching Assistant

**IV. RCUOG General Pay Scale:**

The RCUOG General Pay Scale is a guide established to maintain reasonable pay equity for all student employees. As in all competitive job markets, budgets, special demands and other unique circumstances, may influence a department's hourly rate offer. As a general rule, student employees will start at Step 1 and receive increments after one year of service. There shall be no increments beyond Step 5.

**V. Hiring Process**

Principal investigators/units may choose to use one of the three following processes to hire students:

1. Student Recruitment and Retention Process
2. Establish a Pool Process
3. 20-Week Temporary Hiring Process

The processes are described below.

**1. Student Recruitment and Retention Process**

To support UOG's recruitment and retention efforts, RCUOG student positions may be offered to currently enrolled students as part of retention efforts or to prospective students as part of a recruitment package.

- a. The principal investigator/unit identifies a pool of currently enrolled students within an academic program who meet the minimum qualifications and specific knowledge, skills, or abilities necessary to meet project/grant objectives as established by the principal investigator.
- b. The principal investigator/unit evaluates the pool of students and selects the best candidate. The principal investigator/unit documents the student's suitability for the position which may include but is not limited to: progress toward degree completion, alignment with academic program, special research, outreach, or extension experience, or other skill sets specific to the position offered.
- c. Principal investigator/unit submits a request to hire memo to RCUOG. The memo must include:
  1. Selected applicant's name
  2. The job title and hourly rate selected from the list of positions included in this policy.
  3. A description of the student's suitability for the position based on justifications indicated in (b) above.



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4. RCUOG account number to which the salary will be charged.
5. Employee start and end dates.
6. Employee benefits, if any
- d. RCUOG evaluates the applicant to ensure he/she meets the minimum qualifications and specific knowledge, skills, or abilities listed in the position description.
- e. The student completes an RCUOG employment application and attaches transcripts and other documents as required by the principal investigator and submits these documents to RCUOG.
- f. RCUOG initiates the hiring process through the creation and processing of an RC-1. The onboarding process takes place at UOG HRO (See Hiring and Onboarding Process below).

**2. Establish a Pool Process**

The PI/unit uses this process in order to establish a pool of qualified applicants from among currently enrolled students.

- a. Principal investigator/unit submits a request to hire memo to RCUOG. The memo must include:
  1. The job title and hourly rate selected from the list of positions included in this policy.
  2. RCUOG account number to which the salary will be charged.
  3. Employee start and end dates.
- b. The principal investigator/unit submits a detailed position description to RCUOG. The job is assigned an RCUOG job number.
- c. The job listing is posted on the RCUOG and UOG HR websites for (5) days. Employers are authorized to close their job listings after 5 days of notification on the RCUOG website or after 3 qualified applicants are received.
- d. Interested students must complete an application and email it along with transcripts and other documents indicated in the job listing to [rcuogrh@triton.uog.edu](mailto:rcuogrh@triton.uog.edu) or deliver hard copies to the RCUOG office.
- e. Applications will be evaluated by RCUOG to ensure applicants meet minimum qualifications. RCUOG will send qualified applicants to the PI/unit to review.
- f. PIs/units will set up interviews with applicants from the qualified pool.
- g. The interview committee should include the PI as the chair and at least one other UOG or RCUOG employee. A reasonable period of time should be allowed by units so that all qualified and eligible students may be fairly interviewed.
- h. All interview questions will be non-discriminatory and follow standard format provided by HRO/EEO. An EEO representative must be present during interviews.
- i. After interviews have been conducted, the PI/unit selects the best candidate. Other candidates will be properly informed by RCUOG of the employer's hiring decision so that they may continue their job search.
- j. Principal investigator/unit submits a request to hire selected applicant memo to RCUOG. The memo must include:
  1. The selected applicant's name



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2. A description of the student's suitability for the position
  3. The job title and hourly rate
  4. RCUOG account number to which the salary will be charged.
  5. Employee start and end dates.
  6. Employee benefits
- k. RCUOG initiates the hiring process through the creation and processing of an RC-1. RCUOG transmits the selected applicant's packet to UOG HRO. The onboarding process takes place at UOG HRO (See Hiring and Onboarding Process below).

**3. 20-Week Temporary Hiring Process**

Students may be hired for a maximum of 20 weeks working 39 hours or less per week. This is used when the immediate hire of a student is critical to meet the performance outcomes of the grant or project.

**VI. Hiring and Onboarding Process**

Once an applicant is selected for a position, RCUOG will prepare a Personnel Action (RC-1) and route the RC-1 and additional documents such as application and transcripts to UOG HR. HR will contact the student employee to complete or submit the following documents:

- a. Form I-9 is a federal document to determine one's eligibility to work in the U.S. and is required by the U.S. Citizenship and Immigration Services. This document is completed at UOG HRO office on the employee's first day of work.
- b. The employee must submit police and court clearances to HR before reporting for employee's first day of work.
- c. Tax forms W-4 (federal tax withholding) will be provided to new employees during the on-boarding process. This form is submitted to Payroll office for continued processing.
- d. Employees **should not** begin working until their Personnel Action (RC-1) is approved by RCUOG and HRO. *NOTE: Incomplete or incorrectly completed forms will result in a delay of processing.*

PROPOSED RCUOG STUDENT HIRING POSITIONS AND PAY SCALE				MINIMUM KNOWLEDGE, SKILLS, ABILITIES, EDUCATION AND EXPERIENCE
POSITION TITLE	STEP 1	GRADE	POSITIONS FOR UNDERGRADUATE STUDENTS	
1	High School Student Research Aide	\$8.25	A	This position is reserved for employing currently enrolled high school students on a part-time basis. Students must be 16 years old. This position requires daily supervision. No work experience required.
2	Grant Support Assistant I	\$8.25	A	Current UOG student and no work experience. The principal investigator may require specific knowledge, skills and abilities to meet project/grant objectives. Employees under this category generally carry out routine field/office work with supervision.
3	Grant Support Assistant II	\$9.15	D	Current UOG student with three years of work experience OR 30 or more credits and no work experience OR combination of credit hours, technical training, and work experience. Student employees carry out grant or contact related duties such as routine field/laboratory/office work with supervision.
4	Undergraduate Teaching Assistant/Tutor	\$9.50*	D	Current UOG student with one year of work experience 0 - 30 credits and no work experience. Provides administrative support for quiz, discussion or laboratory courses. *This position begins at Grade D, Step 2
5	Extension Assistant I	\$10.14	E	Current UOG student with no work experience. The principal investigator may require specific knowledge, skills and abilities to meet project/grant objectives. Employees under this category generally carry out routine field/office work with supervision.
6	Grant Support Assistant III	\$10.14	E	Current UOG student with 60 or more credit hours and minimal experience. Student employees carry out grant or contract outcomes including routine field/laboratory/office work with minimal supervision.
7	Research Assistant I	\$10.14	E	Current UOG student with one year of work experience OR 30 or fewer credits and no work experience. Student employees in this category carry out routine field/laboratory and/or office work with supervision.



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8	Extension Assistant II	\$12.75	H	Current UOG student with three years of work experience OR 30 or more credits and no work experience OR combination of credit hours, technical training, and work experience. Student employees under this category generally carryout field/office work with little supervision and may carry out more detailed work that requires writing, recording, or reporting activities.
9	Research Assistant II	\$12.75	H	Current UOG student with three years of work experience OR 60 or more credits and one year of work experience. Student employees in this category carry out routine field/laboratory and/or office work with minimal supervision.
10	Extension Assistant III	\$13.75	I	Current UOG student with 60 or more credit hours and no work experience. Student employees under this category generally carryout field/office work with little supervision and may carry out more detailed work that requires writing, recording, or reporting activities. This position may have supervisory responsibilities for Extension Assistants I, II and Extension Aides.
<b>POSITIONS FOR GRADUATE STUDENTS</b>				
11	Graduate Teaching Assistant	\$12.75	H	Current graduate student with bachelor's degree in relevant field and minimal work experience. Lead quiz, discussion or laboratory sections, serve as class assistants or provide supervised teaching.
12	Grant Support Associate I	\$12.75	H	Current graduate student with bachelor's degree in relevant field and minimal work experience. Student employees in this category carry out routine extension associated office/field work with minimal supervision. The PI may require specific knowledge, skills and abilities.
13	Grant Support Associate II	\$13.75	I	Current graduate student with one year of work experience relevant to the position. Student employees in this category carry out professional level activities that may include analytical work, project design, and supervisory responsibilities. The PI may require specific knowledge, skills and abilities.



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14	Extension Associate I	\$14.94	J	Current graduate student with bachelor's degree in relevant field and minimal work experience. Student employees carry out extension related working including implementing projects, data gathering, and analysis. The PI may require specific knowledge, skills and abilities.
15	Graduate Research Assistant	\$14.94	J	Current graduate student with bachelor's degree in relevant field and one year of work experience relevant to the position. Student employees in this position work under a faculty member on a specific grant project performing higher level research activities. This position may require specific educational or work experience or a combination of education and experience. The PI may require specific knowledge, skills and abilities.
16	Extension Associate II	\$19.60	M	Current graduate student with bachelor's degree in relevant field one year of work experience relevant to the position. Student employees carry out extension related working including implementing projects, data gathering, and analysis. May be required to supervise others. The PI may require specific knowledge, skills and abilities.
17	Extension Associate III	\$21.64	N	Current graduate student with bachelor's degree in relevant field and one year of work experience relevant to the position. Student employees carry out extension related working including implementing projects, data gathering and analysis. The PI may require experience in extension outreach and engagement as well as project management duties. May be required to supervise others.

## Guidelines for Stipends and Honoraria - Resolution #15-08

To ensure that RCUOG properly accounts for stipends and honoraria made available through federal grants where allowable.



### RESOLUTION NO. 15-08

#### RELATIVE TO APPROVING THE STIPEND AND HONORARIA POLICY

**WHEREAS**, the Research Corporation of the University of Guam (RCUOG) was established by Public Law 32-114 as a public corporation; and

**WHEREAS**, the purpose of the RCUOG includes the promotion of assigned educational, scientific and literary pursuits of the University of Guam's grants and contracts through aiding in the development of study, training, and research and to furnish the means and methods to do so; and

**WHEREAS**, honoraria and stipends are periodically charged to federal grants and RCUOG is in need of a policy to communicate when these charges are appropriate and allowable.

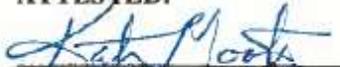
**NOW, THEREFORE, BE IT RESOLVED**, that the Board of Directors hereby adopts the Stipend and Honoraria Policy for the Research Corporation of the University of Guam.

Adopted this 11<sup>th</sup> day of September, 2015.



Dr. Robert A. Underwood, Chairperson

**ATTESTED:**



Dr. Kate A. Moots, Secretary



## **STIPEND AND HONORARIA POLICY**

### **Purpose:**

To ensure that RCUOG properly accounts for stipends and honoraria made available through federal grants where allowable.

### **Federal Guidance for Stipends**

Awards where the training intention is described clearly and accepted by the federal sponsor can include stipend expenses. The scope of work in the proposal should state explicitly that training or research training of selected participants is a purpose of the award. In such cases, when the proposal is approved by the federal sponsor, stipend expenses are expected and allowable (CFR 200.466).

### **Stipends are not considered compensation**

Stipend payments are not compensation for services rendered and, therefore, are not allowable on federal awards unless the purpose of the agreement is to provide training to selected participants and the charge is approved by the sponsoring agency. Stipends are payments made to individuals for subsistence support or to defray expenses during a period of academic appointment.

The meaning of stipend within this guideline is strictly intended to help the stipend recipient defray living or other expenses but is not intended as compensation for services rendered. Each agency or sponsor may have its own specific definition of "stipend" and that definition should be applied to awards from the respective sponsors. The *National Institute of Health's (NIH) Grant Policy Statement (GPS)* provides the following guidance: a stipend is "a payment made to an individual under a fellowship or training grant in accordance with pre-established levels to provide for the individual's living expenses during the period of training. A stipend is not considered compensation for the services expected of an employee." Students must be academically associated with the activities of the sponsored project to receive a stipend. Stipend recipients may work on the activities associated with the award, in pursuit of their academic goals, but are not required to perform services for the project in exchange for the stipend.

### **Stipend Ceiling**

RCUOG's stipend ceiling is \$2000. Amounts exceeding \$2000 should instead be categorized as salaries. PI's may determine the amount of the stipend based on funding availability and/or duration of training. Stipends exceeding \$2000 must be accompanied by a memo justifying why the requested stipend amount is reasonable, required, and allowable by the federal sponsor.

### **Honoraria**

Honoraria are given to professionals for services rendered for which fees are not traditionally required. Honoraria can be awarded to those individuals who are giving a lecture, leading a workshop, or for other academic purpose directly relating to a sponsored award.

May 28, 2015

1

There is no fixed honoraria rate, however most honoraria range from \$500 to \$2000 depending on the individual effort required to fulfill the designated purpose. Honoraria exceeding \$2000 must be accompanied by a memo justifying why the requested honoraria amount is reasonable, required, and allowable by the federal sponsor.

**Initiating Stipend or Honoraria payments:**

To initiate a stipend as part of a federal award, the PI/PD prepares a memo with the following information and submits it to RCUOG:

- a. List of stipend recipients including: names, amounts, and payment terms - The payment terms should address how the stipend will be issued and for what periods. Stipends are normally paid in one or two installments. Honoraria are normally paid in one installment.
- b. Title of sponsored award and the associated account to which the stipends/honoraria should be charged.
- c. A complete set of W-9 Forms for each stipend recipient on the list. The W-9 Form can be downloaded from the IRS web site. (The form requires the individual's name, address and SSN and must be signed and dated in order for RCUOG to process the stipend request. On the form, students should be advised to check the box indicating individual.)

## Indirect Cost Recovery– UOG Resolution #19-51

It is declared under policy by UOG Board of Regents that in addition to paying direct costs of research, the federal government reimburses UOG for the indirect costs of research, also referred to as Facilities and Administration Costs. Indirect costs are incurred for a common or joint purpose benefiting more than one cost objective, and not readily assignable to the cost objectives specifically benefitted without effort disproportionate to the results achieved. Recovered indirect cost is allocated via UOG Board Resolution.



UNIVERSITY OF GUAM  
UNIBETSEDAT GUAHAN  
Board of Regents

Resolution No. 19-51

### RELATIVE TO MODIFYING THE INDIRECT COST RECOVERY ALLOCATION

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

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

**WHEREAS**, UOG requires financial stability and long-term viability to deliver its missions and sustain educational effectiveness;

**WHEREAS**, the federal government, in addition to paying the direct cost of research, reimburses UOG for the indirect costs of research to cover overhead costs related to research;

**WHEREAS**, UOG, in turn, provides facilities, infrastructure and support for research;

**WHEREAS**, part of UOG's research grants portfolio is now managed through the Research Corporation of the University of Guam (RCUOG), which was established by P.L. 32-114 in 2014 with the intent that it become a self-sufficient public corporation;

**WHEREAS**, the BOR through Resolution No. 19-40 revised the indirect cost recovery allocations to include the creation of a facilities fund;

**WHEREAS**, the University discovered a clerical error in the presentation of the allocation table and now desires to correct this error; and

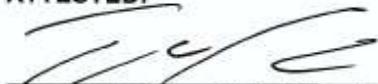
**WHEREAS**, the Administration and the BOR Committee on Budget, Finance, and Audit (BFA), having reviewed and discussed the proposed purposes and allocations, recommend the proposal to the BOR for approval.

**NOW, THEREFORE, BE IT RESOLVED**, that the BOR now adopts the indirect cost allocation methodology described in Exhibit A.

Adopted this 25<sup>th</sup> day of November 2019.

  
\_\_\_\_\_  
Christopher K. Felix, Chairperson

ATTESTED:

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

## EXHIBIT A

### Indirect Cost Allocation

The following Indirect Cost Allocation methodology is being brought to the Board of Regents for approval:

IDC Recipient	Current Allocation	New Allocation
President's Development Fund	30%	30%
Finance and Administration Fund	12%	12%
Capital Improvement/Facilities Fund	0%	5%
Research Corporation of the University of Guam (RCUOG)	20%	18%
Office of Research and Sponsored Programs (ORSP)	0%	3%
Principal Investigator Unit	19%	10%
	19%	22%

One of the most significant of the Para Hulo initiatives is to become a recognized research university. In keeping with this objective, the University will require every dollar of Indirect Cost funds received be used for the furtherance of the research mission of the University.<sup>1</sup>

The allocation table applies to all Indirect Costs received by the University of Guam and the Research Corporation of the University of Guam.

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<sup>1</sup> To the extent monies are paid for the research mission from the UOG General Fund, those funds may be credited to the President's Development Fund and the Finance and Administration Fund

## RCUOG Administration Fee – Resolution #19-09

Under the circumstance that there is no indirect cost recorded in the budget, they will be subject to an administration fee. The administration fee will charge 15% of total award.



# RESEARCH CORPORATION OF THE UNIVERSITY OF GUAM

## RESOLUTION NO. 19-09 RELATIVE TO AMENDING THE ADMINISTRATIVE FEE STRUCTURE

**WHEREAS**, The Research Corporation of the University of Guam (RCUOG) was established by Public Law 32-114 as a public corporation; and

**WHEREAS**, RCUOG is a self-sustaining public corporation that relies on administrative fees and a share of the internal distribution of indirect costs charged to federal grants to support its operations; and

**WHEREAS**, an initial fee structure was established by Resolution 15-01 which authorized RCUOG to charge 10% of the total amount of a given project for those projects which do not include indirect costs; and

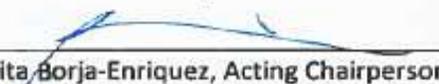
**WHEREAS**, RCUOG's share of the internal indirect cost distribution will decrease by 2% beginning October 1, 2019 per UOG Board of Regents Resolution 19-40; and

**WHEREAS**, RCUOG must ensure it has the resources to cover operations and support full-time staff to process project-related transactions; and

**WHEREAS**, an amended administrative fee structure is attached as exhibit A.

**THEREFORE, BE IT RESOLVED**, that the Board of Directors hereby adopts the administrative fee structure, as attached.

Adopted this 27th Day of September, 2019.

  
Dr. Anita Borja-Enriquez, Acting Chairperson

ATTESTED:

  
Dr. Cheryl Sangueza, Secretary



# RESEARCH CORPORATION OF THE UNIVERSITY OF GUAM

## EXHIBIT A

### ADMINISTRATIVE FEE STRUCTURE

The Research Corporation of the University of Guam (RCUOG) charges fees for professional services performed on those projects where indirect costs are not included in the project budget. Grant, contract and/or other projects supported by RCUOG come with associated costs and therefore it is reasonable for RCUOG to request compensation for administrative expenses related to those projects.

Contracts, purchase orders, and other grants or projects that do not have indirect costs included in their project budgets will be charged a 15% administrative fee on the total amount of the project budget to include subsequent budget amendments.

As a general rule, projects that do not incorporate administrative fees or indirect costs into their budgets will not be managed by RCUOG.

## Employee Handbook and Policy Manual - Resolution #21-03

The Employee Handbook and Policy Manual provides the foundation for an effective work environment and is a primary resource for both employees and management to consult regarding daily work related functions and activities. Please visit the following link for a copy of the full employee handbook:

[https://www.uog.edu/resources/files/rcuog/policies\\_forms/Employee\\_Handbook\\_Sept242021.pdf](https://www.uog.edu/resources/files/rcuog/policies_forms/Employee_Handbook_Sept242021.pdf)



## RESEARCH CORPORATION OF THE UNIVERSITY OF GUAM

### Resolution No. 21-03

#### RELATIVE TO AMENDING THE EMPLOYEE HANDBOOK AND POLICY MANUAL

**WHEREAS**, the Research Corporation of the University of Guam (RCUOG) was established as a public corporation by Public Law (PL) 32-114; and,

**WHEREAS**, PL 32-114 states that the Board of Directors shall adopt rules and regulations governing the terms and conditions of employment for RCUOG personnel; and,

**WHEREAS**, the Employee Handbook and Policy Manual was initially approved by the Board in 2014 and has undergone several amendments to add or revise policy; and,

**WHEREAS**, the Employee Handbook and Policy Manual underwent review in 2020 and 2021 by the RCUOG core team to ensure that policy and practice are aligned which resulted in several edits to the document including modifications to language referencing dual employment, hiring processes, faculty hires, the approval process for an employee to work on a holiday, salary increment process, and the employee resignation process; and

**WHEREAS**, individually these modifications reflect minor changes to the document, but when combined they warrant approval by the Board of Directors; and,

**WHEREAS**, edits made to the document clarify existing policy and processes.

**NOW, THEREFORE, BE IT RESOLVED**, that the Board hereby adopts the attached RCUOG Employee Handbook and Policy Manual, as amended.

Adopted this 24<sup>th</sup> Day of September, 2021

Thomas Krise (Sep 29, 2021 11:32 GMT+10)

Dr. Thomas W. Krise, Chairperson

**ATTESTED:**

Cheryl R. Sanguenza (Sep 29, 2021 15:29 GMT+10)

Dr. Cheryl Sanguenza, Secretary

# Appendix (RCUOG Forms)

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The following forms can be found on the RCUOG website: [www.uog.edu/rcuog](http://www.uog.edu/rcuog).

## **A- Receiving Report**

Please submit Receiving Report along with vendor invoice promptly upon receiving items purchased.

[https://www.uog.edu/resources/files/rcuog/policies\\_forms/fy2022\\_updated\\_forms/procurement\\_forms/RECEIVING\\_REPORT\\_UPDATED\\_02.09.22.pdf](https://www.uog.edu/resources/files/rcuog/policies_forms/fy2022_updated_forms/procurement_forms/RECEIVING_REPORT_UPDATED_02.09.22.pdf)

## **B- Petty Cash Voucher**

[https://www.uog.edu/resources/files/rcuog/policies\\_forms/fy2022\\_updated\\_forms/procurement\\_forms/PETTY\\_CASH\\_VOUCHER\\_UPDATED\\_02.09.2022.pdf](https://www.uog.edu/resources/files/rcuog/policies_forms/fy2022_updated_forms/procurement_forms/PETTY_CASH_VOUCHER_UPDATED_02.09.2022.pdf)

## **C- Travel Request and Authorization**

[https://www.uog.edu/resources/files/rcuog/policies\\_forms/fy2022\\_updated\\_forms/procurement\\_forms/TRAVEL\\_AUTHORIZATION\\_UPDATED\\_02.08.22.pdf](https://www.uog.edu/resources/files/rcuog/policies_forms/fy2022_updated_forms/procurement_forms/TRAVEL_AUTHORIZATION_UPDATED_02.08.22.pdf)

## **D- Travel Clearance**

[https://www.uog.edu/resources/files/rcuog/policies\\_forms/fy2022\\_updated\\_forms/procurement\\_forms/TRAVEL\\_CLEARANCE\\_UPDATED\\_02.09.22.pdf](https://www.uog.edu/resources/files/rcuog/policies_forms/fy2022_updated_forms/procurement_forms/TRAVEL_CLEARANCE_UPDATED_02.09.22.pdf)

## **E- Leave Application**

[https://www.uog.edu/resources/files/rcuog/policies\\_forms/fy2021\\_forms/hr\\_forms/LEAVE\\_APPLICATION.pdf](https://www.uog.edu/resources/files/rcuog/policies_forms/fy2021_forms/hr_forms/LEAVE_APPLICATION.pdf)

## **F- TB Screening Form**

[https://www.uog.edu/resources/files/rcuog/policies\\_forms/fy2021\\_forms/hr\\_forms/TUBERCULOSIS\\_SCREENING\\_FORM\\_2021.pdf](https://www.uog.edu/resources/files/rcuog/policies_forms/fy2021_forms/hr_forms/TUBERCULOSIS_SCREENING_FORM_2021.pdf)

## **G- Budget Modification Form**

[https://www.uog.edu/resources/files/rcuog/policies\\_forms/fy2022\\_updated\\_forms/procurement\\_forms/BUDGET\\_MODIFICATION\\_FORM\\_UPDATED\\_02.08.22.pdf](https://www.uog.edu/resources/files/rcuog/policies_forms/fy2022_updated_forms/procurement_forms/BUDGET_MODIFICATION_FORM_UPDATED_02.08.22.pdf)