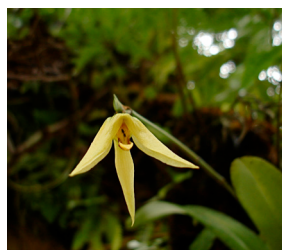


Research Corporation of the University of Guam



**Annual
Report
2015**

Board of Directors

The Research Corporation of the University of Guam is under the management and control of a ten member Board of Directors. Board membership includes representation from the UOG Faculty Senate, the UOG Board of Regents, the UOG Research Council, UOG senior administrators, and members representing the community at large.

Dr. Robert A. Underwood, Chair
UOG President

Dr. Anita Borja Enriquez, Vice Chair
UOG Senior Vice President

Randall Wiegand, Treasurer
David M. O'Brien served from 8/2014 – 1/2015
UOG Vice President of Administration and Finance

Dr. Kate A. Moots, Secretary
UOG Faculty Senate Representative

William D. Leon Guerrero
UOG Board of Regents Representative

Marcos W.K. Fong
UOG Board of Regents Representative

Dr. Terry J. Donaldson
UOG Research Council Representative

Joseph F. Ada
Community Member Representative

Ray S. Topasna
Community Member Representative

Artemio R.A. Hernandez
Community Member Representative



A Year in Brief

The Research Corporation of the University of Guam (RCUOG) was established in February 2014 by Public Law 32-114 to create an efficient managerial environment in which to compete for and manage grants and contracts.

The RCUOG Board of Directors held its first meeting on August 8, 2014. UOG identified an implementation team to develop RCUOG policies and create a strong foundation on which to base administrative actions while remaining compliant with federal regulations.

Once policies were approved by the RCUOG Board of Directors, the Research Corporation was able to accept its first grant on October 13, 2014.

In the ten-months that followed, RCUOG grew to provide support services to 39 separate grants equating to \$5,685,349 in funding on an annual basis and more than \$11,000,000 including multi-year awards.

This report highlights RCUOG's first year of operation and the Research Corporation's role in supporting the University of Guam's research projects while ensuring efficiency and compliance in daily operations.

Cathleen Moore-Linn
Interim Executive Director

Implementation Team

Cathleen Moore-Linn
Interim Executive Director

Gloria Travis
Interim Chief Business Officer

Kristina Sayama
Program Coordinator IV



Archeological resource survey at Ritidian.



Dr. Frank Camacho navigates a stream as part of a project on watersheds.

UNLOCKING OPPORTUNITIES

RCUOG's efficiency unlocks opportunities for researchers through streamlined hiring and procurement policies. RCUOG enables researchers to focus on delivering research outcomes while reducing effort expended on administrative tasks.

The purpose of this August, 2015 report is to capture a snap-shot of the organization after one year of operation and demonstrate how RCUOG supports research and outreach projects.

RCUOG will undergo its first audit after the close of fiscal year 2015. When the audit is complete, the financials will be added to this report and the report itself will be updated to reflect the final numbers.

RCUOG IMPLEMENTATION

RCUOG's implementation team was tasked with moving RCUOG from an entity which existed on paper to a functional and efficient organization with policies and processes on which to base decisions. The By-Laws, Articles of Incorporation, Operating Agreement, and the RCUOG Budget had already been developed by UOG Legal Counsel, President, Assistant Vice President, Vice President of Administration and Finance, and other senior administrators, but all other policies and processes had to be developed before RCUOG could become operational. UOG assigned an implementation team, comprised of two experienced administrators and one professional level staff member, to fully operationalize RCUOG services.



Dr. Laurie Raymundo conducts a coral survey to monitor reef health.

Policy Development

The team developed a series of policies required in order for RCUOG to accept grants and contracts. Considerable effort was spent collaborating with UOG experts in human resources, researching policies at other institutions, and consulting textbooks to create RCUOG policies. The necessary infrastructure to manage grants was developed in three months. Policies include:

- Employment Hiring Policy and Procedures
- Student Hiring Policy and Procedures
- Travel Policy
- Procurement Policy
- Delegation of Authority
- Contract Fee Structure
- Purchase Card Policy
- Code of Ethics
- Attendance, Absenteeism, and Leave Policy
- Time and Effort Reporting Policy and Procedures
- Internet, Email, Social Media and Equipment Policy
- Progressive Discipline Policy
- Grievance Policy and Procedures
- Harassment and Bullying Policy
- Drug and Alcohol Abuse Policy
- Whistleblower Policy
- Salary increments and Employee Evaluation Policy
- Employee Benefits Policy

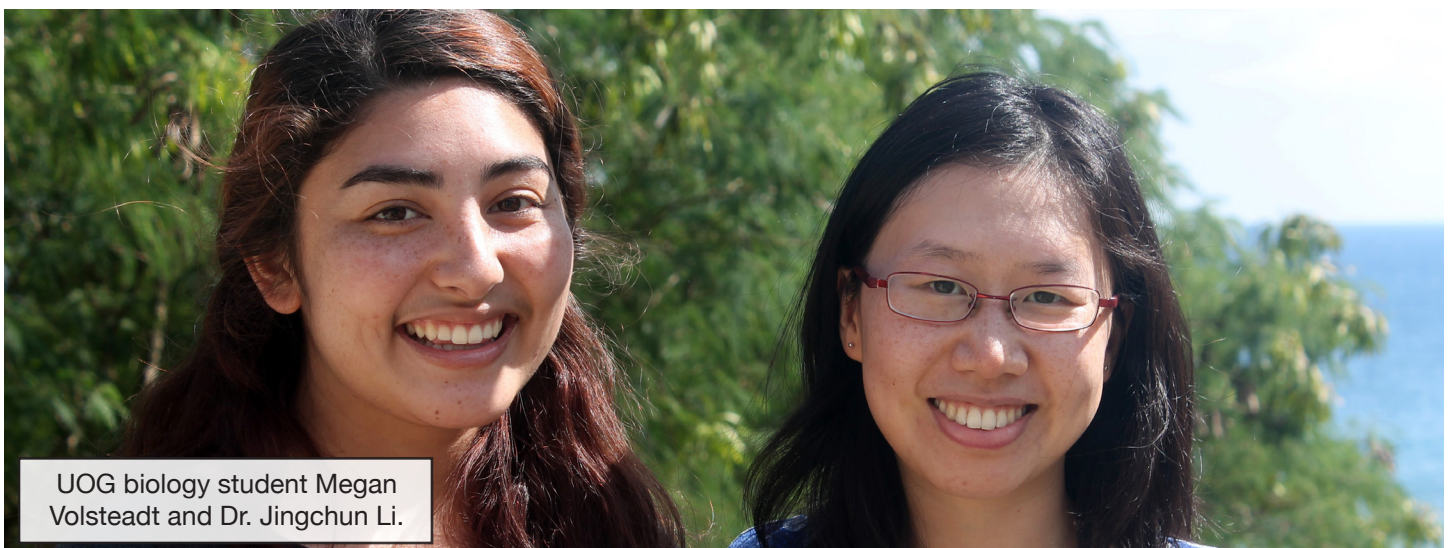
Human Resources

RCUOG position titles were developed and each position ranked by salary grade and step according to the RCUOG salary scale. This document was developed in collaboration with the UOG Chief Human Resources Officer.

RCUOG has completed 70 hiring actions. These hires include summer salaries for faculty and 45+ employees all of whom hold temporary full-time or part-time positions based on availability of funds. The current 45+ RCUOG employees are assigned to the various UOG units. Mandated by law, these employees do not participate in the Government of Guam retirement system but instead pay into Social Security and Medicare. Eligible full-time employees have access to medical and dental insurance, receive holiday pay, and annual and sick leave.

In its first year, RCUOG hired 16 students to perform grant related duties under the supervision of principal investigators. For the first time, UOG students employed through RCUOG have access to medical and dental insurance if they work between 20 and 39 hours per week and if the grant funding can support the annual employer portion of the benefit premiums. Principal investigators writing new grants can now include benefits for their part-time student employees. As part of standard operating procedure, employees complete an orientation on the Employee Handbook, time and effort reporting, and other relevant issues.

The RCUOG webpage was created and all policies and fillable PDF forms necessary to function are posted on the site along with Board of Directors meeting minutes and policies. This underscores the transparent nature of RCUOG operations.



UOG biology student Megan Volsteadt and Dr. Jingchun Li.

UOG-RCUOG RELATIONSHIP

Letter of Agreement

The Operating Agreement calls for UOG and RCUOG to negotiate a separate agreement detailing charges and/or reimbursements for facilities, systems and services provided by one party to the other. A Letter of Agreement was drafted that details how UOG and RCUOG work together regarding payment for services rendered. The Letter of Agreement will be reviewed and updated, if necessary, on an annual basis. Currently, UOG does not charge RCUOG for use of its payroll and other services nor does RCUOG charge UOG for its support services.

UOG to RCUOG Migration

The migration memo, developed in conjunction with UOG CHRO, outlines how UOG employees transition to RCUOG. The memorandum provides UOG employees making the migration to RCUOG with a level of comfort and trust as each step of the process is clearly documented.

Indirects

An ad hoc committee was established by the President to review how indirects are allocated within the institution. A plan was developed to ensure RCUOG is self-sufficient within five years.

Time and Effort Compliance

RCUOG has conducted a review of timesheets on the various grants to sample time and effort reporting and ensure reporting complies with federal regulations. This gives us an opportunity to find and correct any discrepancies.

RCUOG's Role

The service order form is the mechanism that allows RCUOG to use its rules. RCUOG clarified the types of grants and contracts it accepts. Currently, RCUOG does not accept grants and contracts directly. All grants and contracts are service-ordered to RCUOG.

Team Effort

The successful launch of RCUOG is due to the effort and input of the Board of Directors, UOG administration, the colleges, research units, principal investigators, Graduate Studies, Research, and Sponsored Programs Office, the Business Office, and the UOG Human Resources Office.

GROWTH

RCUOG accepted its first grant on October 13, 2014. By August 2015, RCUOG expanded to provide support services to 39 separate grants equating to \$5,685,349 in funding on an annual basis and more than \$11,000,000 including multi-year awards.

To provide perspective on the significant growth that has occurred, RCUOG handles approximately 43% of the University's grants portfolio based on information in the FY2014 audit which documented 90 grants under UOG management.

FOCUS ON RESEARCH

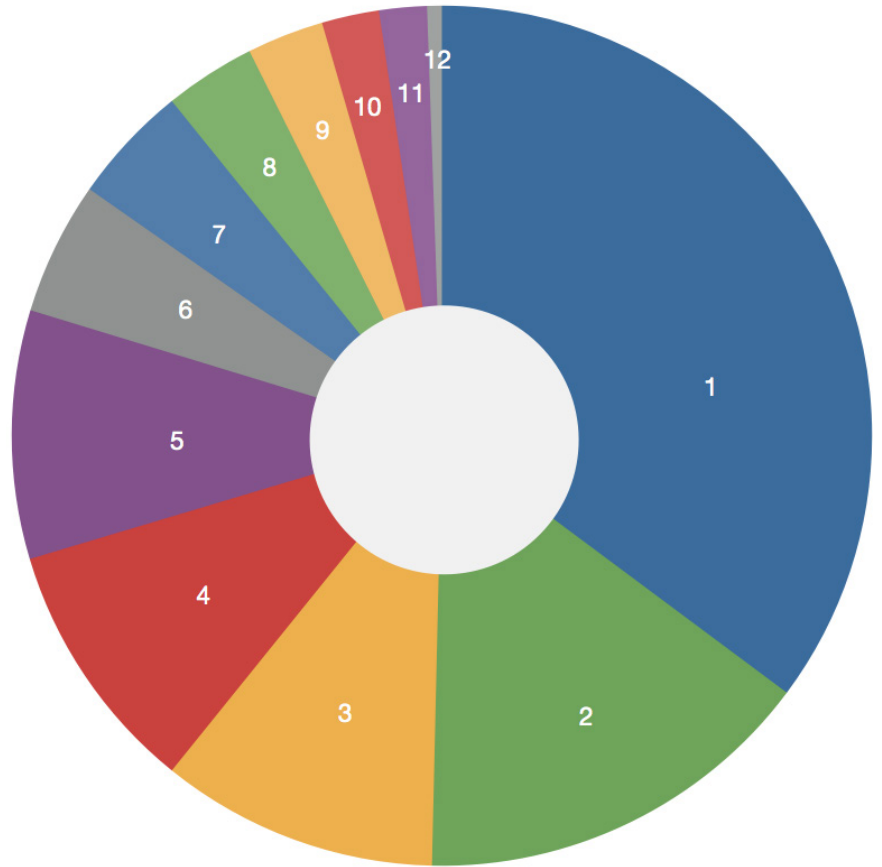
The Research Corporation enables researchers to focus on delivering research outcomes while reducing effort expended on administrative tasks. RCUOG's streamlined processes eliminated cumbersome practices which had been barriers to research within the University of Guam.

The chart to the right provides a breakdown of grant funding by source to highlight the variety of Federal agencies and non-profit corporations that seek to partner with the University of Guam to produce research and service outcomes.



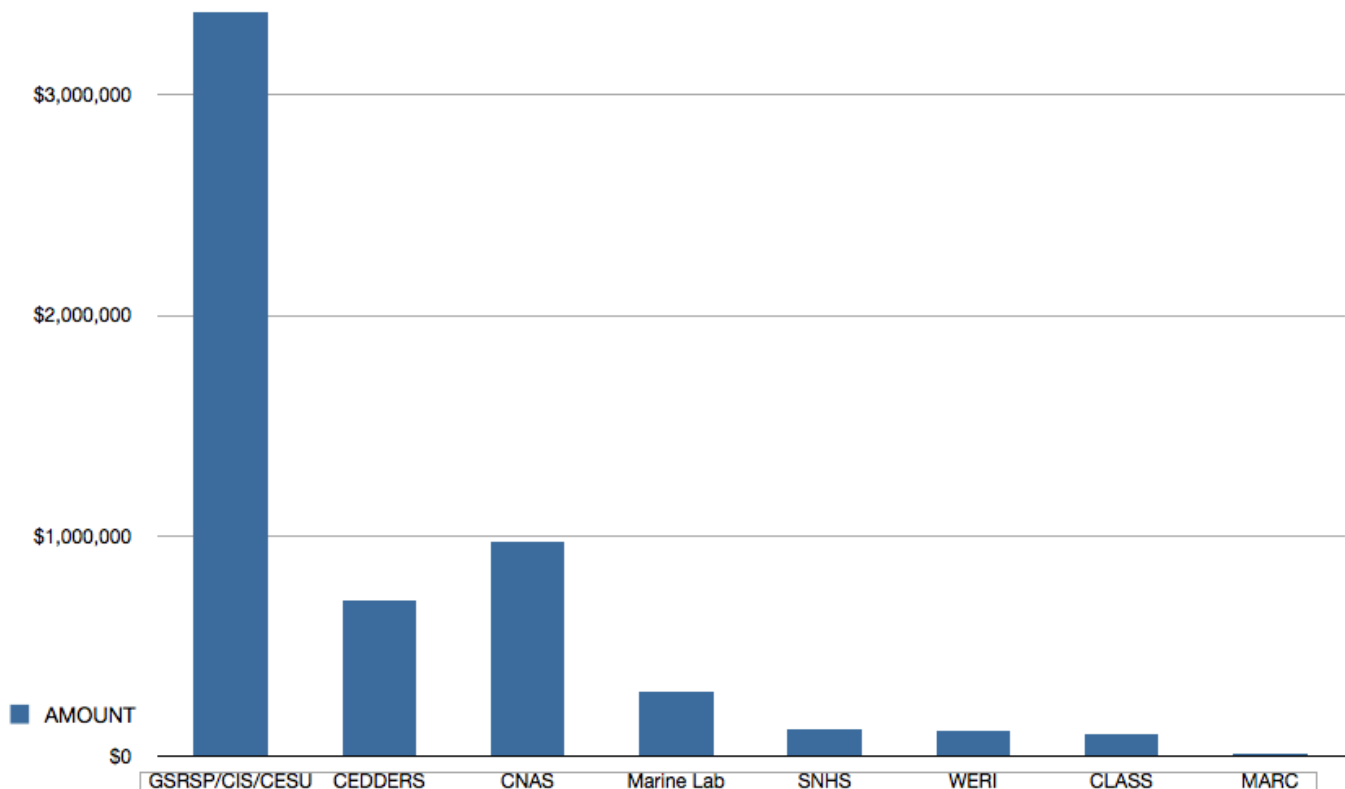
Funding Sources

| | |
|---------------------------|-------------|
| 1. NSF/EPSCoR | \$1,966,204 |
| 2. Dept. of Navy | \$847,933 |
| 3. Contracts/MOA/Other | \$583,131 |
| 4. DOI/USGS | \$534,744 |
| 5. USDA | \$522,050 |
| 6. NOAA | \$279,699 |
| 7. DHHS | \$250,000 |
| 8. NGOs | \$191,079 |
| 9. NFW | \$161,335 |
| 10. NIH | \$120,328 |
| 11. Dept. of Justice | \$100,000 |
| 12. National Park Service | \$30,916 |



Grant and Contract Distribution by College/Unit

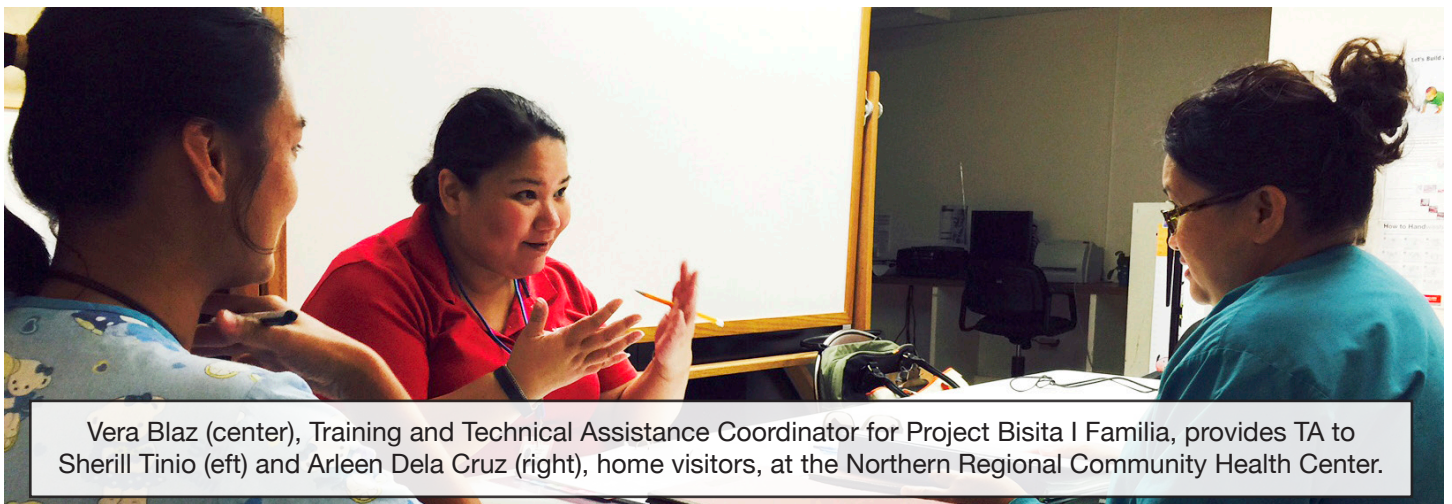
The chart below illustrates how grants are distributed among the research centers and units across the University of Guam campus. With a focus on efficiency, the Research Corporation unlocks potential by providing the ideal environment for scientists to pursue research that has direct, positive and lasting impact on Guam and the Region.



LIST OF GRANTS AND CONTRACTS

In its first year of operation, RCUOG provided support services to the following grants:

1. Violence Against Women Prevention Program Grant to Reduce Sexual Assault, Domestic Violence, Dating Violence and Stalking on Campus
2. Plant Survey
3. Stony Corals
4. Little Fire Ants Eradication
5. Coral Reef Monitoring
6. Coconut Rhino Beetle Eradication
7. War in the Pacific National Park Marine Monitoring Support
8. Sea Grant
9. Coral Monitoring and Ecosystem-based Management in Kosrae, FMS
10. Potential Impacts of Adaptive Response to Climate change for DOD Installations in Guam
11. Project Bisita I Familia
12. Project Launch
13. Coral-reef Fisheries in Chuuk State, FSM
14. Hydrological Assessment in Yap State, FSM
15. Archaeological Resource Survey 2015 Ritidian, Guam National Wildlife Refuge
16. Assessing the Sustainability of Culturally Important Marine Sites in Guam and the CNMI
17. Reassessing the Manell-Geus Watershed Reef Flats
18. Sustainable Agriculture Research and Education
19. McRel Service Contract
20. Early Hearing Detection
21. Healthy Bananas
22. Building Community Resilience through the Center for Island Sustainability
23. Enhancing Marine Science in the Western Pacific through High School Science Internships
24. Surveillance for Little Fire Ant
25. Survey of Insect Pests for Ornamental Nurseries
26. Surveillance of Invasive Ants
27. Citrus Pests
28. Biological Control of *Mikania micrantha*
29. NIH Building Infrastructure with Portland State University
30. Archeological Monitoring and Discovery Plan Naval Base Guam
31. Pacific Islands Climate Science Center
32. Marine Survey and Monitoring
33. CNMI Invasive Species
34. Cancer Registry
35. Baseline Assessment of Watershed parameters and Stream-fish and Macroinvertebrate Populations in Merizo Village
36. Recovery Actions for *Serianthes nelsonii* and Species Considered for Listing Under the Endangered Species Act
37. Experimental Program to Stimulate Competitive Research Guam Ecosystems Collaboratorium
38. Assessment of Aphid Releases Against Introduced Pests on Guam, Saipan, and Rota
39. Pacific Islands Climate Science Center



Vera Blaz (center), Training and Technical Assistance Coordinator for Project Bisita I Familia, provides TA to Sherill Tinio (eft) and Arleen Dela Cruz (right), home visitors, at the Northern Regional Community Health Center.