

DIVISION 2
DIVISION OF FINANCE - DEPARTMENT OF
FINANCE

- Chapter 10. Records Management Committee.
11. Federal Property and Administrative Services Act (Surplus Property). (No rules filed.)
12. Acceptance of Checks, Drafts and Fees for Returned Checks.

CHAPTER 10
RECORDS MANAGEMENT COMMITTEE

- §10101. Policies and Scope: General.
§10102. Same: Purpose and Authority.
§10103. Same: Coverage.
§10104. Same: Scope and Applicability.
§10105. Same: Definition.
§10106. Same: Program Content.
§10107. Responsibilities: General.
§10108. Same: Director of Administration.
§10109. Same: Agency Heads.
§10110. Same: Records Management Committee.
§10111. Documentation: General.
§10112. Same: Scope.
§10113. Same: Standards.
§10114. Records Retention Control Schedules: General.
§10115. Same: Records Series Title.
§10116. Same: Scheduling Standards.
§10117. Same: Government of Guam Controller Clearance.
§10118. Same: Review and Changes.
§10119. Disposition of Records: Authority.
§10120. General.
§10121. Disposition Standard.
§10122. Reporting Requirement.
§10123. Removal of Official Records: General.
§10124. Same: Standards.
§10125. Records Equipment and Supplies Management: General.
§10126. Same: Standards.
§10127. Organization, Maintenance and Use of Current Records: General.
§10128. Same: Mail Management.
§10129. Same: Prohibition.
§10130. Same: Files Management.
§10131. Correspondence Management: General.

- §10132. Same: Standards.
- §10133. Same: Approval.
- §10134. Forms Management: General.
- §10135. Same: Standards.
- §10136. Same: Approval.
- §10137. Microfilming Policies and Standards: General.
- §10138. Same: Standards.
- §10139. Automatic Data Processing Records
Management: General.
- §10140. Same: Standards.

NOTE: The Records Management Act is found in 5 GCA Chapter 20, Article 6.

§10101. Policies and Scope: General. This part prescribes policies and promulgates standards and techniques for the economical and efficient management of the records of the government of Guam.

§10102. Same: Purpose and Authority. It is the purpose of these rules to implement the provisions of 5 GCA Chapter 20, Article 6, known as the "Records Management Act", Public Law 6-64, relating to the establishment of continuing programs for the efficient and economical management of Government records within the Executive Branch of the government of Guam. All rules and regulations and amendments thereto promulgated prior to February 26, 1962, are hereby rescinded. All administrative directives, memoranda and correspondence of general or group application, inconsistent with these rules and regulations are hereby superseded.

§10103. Same: Coverage. These Rules and Regulations apply to all departments and agencies of the government of Guam except those specifically exempted by the provisions of 5 GCA §0606 [Records Management Act]. Provided, however, that upon request of the exempted Branches, the Legislative and Judicial, the Director of Administration shall advise in the establishment of records management program in these Branches of the Government.

§10104. Same: Scope and Applicability. These rules and regulations are issued in accordance with statutory and regulatory authority contained in 5 GCA Chapter 20 Article 6 and Government of Guam Memorandum No. 62-

23. They provide authority and direction for the establishment of a continuing records disposal program at every activity in the formulation of records retention and disposition schedules in accordance with the established standards.

§10105. Same: Definition. Unless the context otherwise requires, the definitions set forth in 5 GCA §20602 [Records Management Act] govern the construction of this manual.

(a) *Record* means document, book, paper, photograph, sound recording or other material, regardless of physical form or characteristics, made or received pursuant to law or in connection with the transaction of official business. Library and museum material made or acquired and preserved solely for reference or exhibition purposes, extra copies of documents preserved only for convenience or reference, forms and stocks of publications are not included within the definition of records and are referred to herein as non-record materials.

(b) *Director* means the Director of Administration, who shall be responsible for the implementation of the Records Management Act and all rules and regulations pertaining to records management.

(c) *Agency* means any department, agency, commission, board or other unit, however designated, of the Executive Branch of the government of Guam.

§10106. Same: Program Content. The records management program is agency-wide in scope and among other things, provides for:

(a) Effective controls over the creation, organization, maintenance and use, and the disposition of all records of the agency.

(b) Cooperation with the Director in developing and applying standards, procedures and techniques designed to improve the management of records, assure the maintenance and security of records of continuing value, and facilitate the segregation and disposal of all records of temporary value.

(c) Compliance with the provisions of the Records Management Act, Records Retention Schedule, Executive Memoranda and Executive Orders and regulations issued thereunder.

(d) Conduct of periodic internal evaluation to assess the effectiveness of agency records management programs and determine compliance with statutory and regulatory requirements.

(e) Identification and maintenance of vital operating records necessary for the continued operation of the government of Guam and records essential to the preservation of the legal rights and interests of individual citizens of the territory of Guam.

(f) Regulations dealing with report management, including public reports and recurring administrative reports as determined by the Director.

§10107. Responsibilities: General. Records are the property of the government of Guam and principally serve as reference tools for line officials. Records retention schedules are to be developed by all agencies which prescribe an absolute time for holding records prior to disposition and place responsibility on the agency heads for final appraisal of value and a determination for disposal, destruction or transfer of records to the records storage center upon approval of the Director.

§10108. Same: Director of Administration. The Director of Administration is responsible for establishing standards and coordinating government-wide efforts in maintaining an effective records management program. He is responsible for the development, coordination and review of the department-wide records management program. He is also responsible for providing staff assistance to the agencies and for maintaining liaison with all other agencies involved in matters of records management.

§10109. Same: Agency Heads. The heads of each agency having records management responsibilities under the law shall:

(a) Execute a continuing records management program at all levels of his organization, in accordance with existing laws, regulations, policies and standards.

(b) Issue and maintain on a current basis directives setting forth program objectives, responsibilities and authorities.

(c) Appoint or designate a records officer to direct and coordinate the organization's records management function.

(d) Designate records liaison officers to assist in carrying out the records management program in each unit of their organization which, due to size or location, cannot be adequately serviced by the agency records officer.

(e) Provide the support required by the designated records management staff to carry out its assigned responsibilities.

(f) Provide protection of Government records from loss or unauthorized destruction or removal. Agency regulations must clearly specify that records may be destroyed only under the provisions of approved records retention schedules whose retention periods have been approved by the Director of Administration.

(g) Assure that records are not removed from offices or other working sites, except in the conduct of official business of the agency.

(h) Assure that official correspondence is not sent from or received at private residences of officers or employees, unless it is essential to do so in the Government's interest.

(i) Submit annual records retention report to the Director summarizing all records holdings, location and retention periods of records and classification of current records.

§10110. Same: Records Management Committee. The Records Management Committee, created by Government

of Guam Memorandum No. 62-23, comprises of all agency Records Officers as members and the Director of Administration or his representative as chairman. The committee will meet periodically with the Director or his designate for familiarization and indoctrination of the procedures to be used internally for Records Management and for discussion and resolution of any problems that may arise therein.

§10111. Documentation: General. The Records Management Act (Public Law 6-64) requires each agency to provide for effective controls over the creation of records, including the making and preservation of records "containing adequate and proper documentation of the organization, functions, policies, decisions, procedures and essential transactions of the agency and designed to furnish the information necessary to protect the legal and financial rights of the Government and of persons directly affected by the agency's activities."

§10112. Same: Scope. Effective controls over records creation must encompass all types of records at all levels or organizations, divisions, sections and units. Generally, there are four (4) types of records which require continuing attention: correspondence, reports, forms and directives. These records may be created on sheets of paper or may appear on punch cards, film, tape or other media.

§10113. Same: Standards. To insure that adequate and proper records are made and preserved in the government of Guam, the following documentation standards will apply:

(a) The records of the transaction of public business by any Government official or employee is to be complete to the extent required to:

(1) Facilitate informed action by the incumbents and their successors in office.

(2) Make possible a proper scrutiny by the Director, other duly authorized agencies of the Government and others properly and concerned, of the manner in which public business has been discharged; and

(3) Protect the financial, legal and other rights of the Government and of persons affected by the Government's actions.

(b) All essential information on major actions, particularly those concerned with formulation and execution of Government policy, should be incorporated in the records.

(c) Government programs, policies and procedures are to be adequately documented in appropriate directives and established practices.

(d) Papers of private or non-official character, pertaining only to an individual's personal affairs and kept in the offices of an official or employee, will be clearly designated by him as non-official and will at all times be filed separately from the official records of his office. In cases where matters requiring the transaction of official business are received in private personal correspondence, the portion of such correspondence pertaining to official business will be extracted and made a part of the official files.

(e) Positive action is to be taken to prevent the making of unnecessary records.

§10114. Records Retention Control Schedules:
General. Each agency shall compile a records control schedule for all major groups of its records having importance in terms of content, bulk or space and equipment occupied. The schedules will cover record material wherever located and will clearly identify and describe the series of records covered. Schedules should include instructions which, when approved, can be readily applied and should be reviewed at least once annually to effect necessary changes.

§10115. Same: Records Series Title. A record series is a group of related records arranged under a single filing system or kept together as a unit because they deal with a particular subject, resulting from the same activity. The Director shall assign record series title to each agency.

§10116. Same: Scheduling Standards. Standards for effective records scheduling include:

(a) Disposal after minimum retention periods of those records not having sufficient values to justify their further retention. Procedures for obtaining disposal authorization are prescribed in §6707 GC [Records Management Act].

(b) Transfer to the official Government of Guam Records Center of records which cannot be disposed of immediately but which do not have to be retained in office space.

(c) Retention in office space of the minimum volume of records consistent with efficient operations.

(d) Maximum use of Records Retention Schedules providing permissive authority to dispose of housekeeping type records common to several or all agencies.

§10117. Same: Government of Guam Controller Clearance. Each agency shall obtain the approval of the Government of Guam Chief Controller for disposal of certain classes of records relating to claims and demands by or against the Government or to accounts in which the Government is concerned.

§10118. Same: Review and Changes. Agencies will cooperate in the development of a Territorial Archives and Government of Guam Information Center of separate records retention plans designating classes of record which are considered by the Archivist of the territory of Guam to have permanent value to the Government. Within six (6) months after the receipt of a plan, each agency will make such changes in its records control schedule as are necessary to assure that records designated in the plan are retained and periodically transferred to the Territorial Archives or to the Government of Guam Records Center, as appropriate. Records retention plans are to be reviewed annually to recommend necessary changes to the Territorial Archives and Government of Guam Information Center.

§10119. Disposition of Records: Authority. Section 20608 of 5 GCA, [Records Management Act] prescribes that no records of the government of Guam shall be alienated or destroyed in accordance with the provisions of the Act. Penalties for the willful and unlawful destruction, damage or alienation of Government records shall be imposed by law.

§10120. General. The key to effective records disposition is the records retention schedule which lists and describes the records in each type or series and indicates action to be taken to effect disposition. Records scheduling is based on the taking of a complete inventory of the records in the custody of the agency, formulation of policy as to disposition of each type or series of records and its statement and application in the form of a records control schedule.

§10121. Disposition Standard. A ten percent (10%) annual disposition rate is prescribed as the minimum disposition standard for all agencies. The disposition rate will reflect the volume of records disposed of by destruction and/or transferred during the reporting year, as compared to the volume of records on hand at the beginning of each reporting period. In addition to the prescribed ten percent (10%) minimum disposition rate, it will be the objective to effect a net reduction in the volume of records holdings.

§10122. Reporting Requirement. Within thirty (30) days of the close of each fiscal year, all agencies of the Executive Branch of the government of Guam will submit to the Director of Administration a summary of records holdings on records retention report form.

§10123. Removal of Official Records: General. Documentary materials which fall under the statutory definition of "records" may be disposed of only in accordance with the statute and applicable records control schedules. Records made in connection with the transactions of public business or pursuant to law belong to the government of Guam, not to any individual officer or employee.

§10124. Same: Standards. To implement the legal restrictions against the removal of records by any employee leaving the service of the Government, the following standards will apply:

(a) All terminating employee must be cleared of all records as well as properties belonging to the Government by certification from the terminating employee's supervisor and the department head.

(b) Papers which are clearly personal may be removed. These include such items as office diaries, logs, work-aids, etc. Such papers are to be plainly labelled "Personal" and filed separately from official records of the Department. In the case of papers containing both personal and official matter, extracts are to be prepared of the official portions for incorporation into the Agency's records.

(c) Non-record materials may be removed, provided their withdrawal do not create such a gap in official files as to impede the proper documentation of Departmental activities.

(d) Extra copies of unclassified records may be removed provided:

(1) There are no legal or policy objections to their removal.

(2) They were produced by an outside agency which is agreeable to their removal.

(3) Affirmative action is taken to insure that the record copy and sufficient non-record copies required for the efficient transaction of business are available in official files of the Department.

§10125. Records Equipment and Supplies Management: General. The objective of records equipment and supplies management is to insure that necessary and suitable equipment and supplies are economically and efficiently utilized.

§10126. Same: Standards. Standards for effective records equipment and supplies management include:

(a) Reduction of equipment and supply needs by prompt disposition of records and reuse of equipment on hand.

(b) Maximum use of standard items listed in GSA Stores Stock Catalog and other approved supply schedules.

(c) Use of five-drawer letter size filing cabinets, without locks, except in cases where written justification supports the need for other equipment.

(d) Records Management Officer review of requisitions for purchase of records equipment to insure that appropriate disposition actions have been taken and that proper items are being requested for records operation.

(e) Continuing review of the utilization of records equipment to insure adequate and proper application.

§10127. Organization, Maintenance and Use of Current Records: General. Effective controls over the organization, maintenance and use of records in the conduct of current business require the development and implementation of programs for the management of mails, files and records equipment and supplies.

§10128. Same: Mail Management. (a) General. The objective of mail management is to provide rapid handling and accurate delivery of mail at minimum cost.

(b) **Standards.** Standards for effective mail management will include:

(1) Establishment of central mail receiving and dispatching points, with established schedules for messenger services.

(2) Development and maintenance of appropriate routing guides.

(3) Limiting mail follow-up control to security mail or mail important because of its source or content.

(4) Development of essential management information concerning volume and type of mail processed and time requirements for internal delivery and mailing. Guidelines shall be established by each agency which shall be approved by the Director of Administration.

(5) Maximum utilization of Post Office Department services and facilities shall be encouraged.

§10129. Same: Prohibition. Messenger services and government post office boxes or mail compartments are instrumentalities for the conduct of official business and shall not be used to send or receive personal mails.

§10130. Same: Files Management. (a) **General.** The objectives of files management are to so organize files that needed records can be found rapidly, complete records are assured, identification of records of archival value is facilitated and disposition of non-current records is accomplished economically, efficiently and promptly.

(b) **Standards.** Standards for effective files management include:

(1) Standardization of classification and filing schemes. The Director of Administration shall set forth guidelines for standardization of 'Files Operations' and 'Subject Filing'.

(2) Provision of reference services to filed records.

(3) Designation of official files stations and elimination of files accumulations at other than authorized locations, as prescribed by the Director.

(4) Facilitation or disposition of records in accordance with applicable records control schedules.

(5) Avoidance of filing of duplicate copies or other unnecessary papers.

§10131. Correspondence Management: General. The objectives of correspondence management are to limit correspondence to essential requirements, to improve the quality of necessary correspondence, and to provide for its creation in an economical and efficient manner.

§10132. Same: Standards. Standards for effective correspondence management will include:

(a) Preparation of only necessary correspondence and essential copies.

(b) Use of form letters to the maximum extent possible, following the guides and principles established in Part II of this manual.

(c) Organization of clear and concise letters that are easily read and understood and responsive to the needs of the recipient.

(d) Preparation of neat and attractive correspondence, consistent in style and format and editorially correct.

(e) Development and implementation of procedures to expedite the clearance and handling of correspondence.

§10133. Same: Approval. All form letters shall be channeled to the Director for official approval and assignment of control number for identification purpose and easy reference to them.

§10134. Forms Management: General. The objectives of forms management are to increase the usefulness of forms through proper design and effective utilization; to reduce costs incident to filing in, using and filing forms; to achieve savings in designing, printing, storing and distributing forms; and to reduce the number of forms by consolidation and standardization of needed forms and the discontinuance of obsolete forms.

§10135. Same: Standards. Standards for an effective forms management program will include:

(a) Establishment and maintenance of a current basis of an inventory of all departmental forms.

(b) Review of forms for adequacy of design and essentiality of use in accordance with guidelines set forth in Part II of this manual.

(c) Assignment of form number and edition date to each approved form.

(d) Review of requests for new forms and reprints of approved forms to insure use of the most effective and economical methods of printing and distribution and the establishment of proper and adequate stock levels.

(e) Requirement that each form be supported by a directive providing instructions for its preparation, submission and use.

§10136. Same: Approval. All forms shall be channeled to the Director for official approval and assignment of control number for identification purpose and easy reference to them.

§10137. Microfilming Policies and Standards: General. Title 2 GAR §10137, et seq. deals with microfilming other than computer-related records management which is covered in 2 GAR §10139. The feasibility of converting specific records to microfilm requires effective planning and thorough analysis. Before approval is granted for proposed microfilming projects, evaluation should be made of the suitability of the records for microfilming as well as the advantages to be derived in relation to costs.

§10138. Same: Standards. Effective microfilming standards will comply with 5 GCA §20609 [Records Management Act] which shall include:

(a) Maximum utilization of the microfilming services, technical advise and assistance offered by the Office of Department of Administration, the Territorial

Archives and the Government of Guam Information Agency.

(b) Transfer of inactive records to Government of Guam Records Center in lieu of incurring microfilming costs.

(c) Records requiring retention for less than ten (10) years will not normally be microfilmed, unless benefits other than savings in space and equipment can be achieved.

(d) Approved microfilming applications would have one or more of the following characteristics to a significant degree:

(1) The records must be of a relatively permanent and stable nature.

(2) Fairly large number of records.

(3) Frequent references to the file.

(4) Frequent need for speed in providing copies.

(5) Physical size of the file is large and available space is limited or needed for office use other than file operations.

(e) Filming stock and processing shall comply with the specifications promulgated by the Director of Administration.

(f) Disposal of hard copy originals of records having permanent archival value may be made only pursuant to 5 GCA §20609 [Records Management Act].

(g) Acquisition of microfilming equipment or services shall require the prior approval of the Director of the Department of Administration.

§10139. Automatic Data Processing Records Management: General. Automatic Data Processing records management includes the documentation of computer programs, machine readable records, functional and

operational flow charts, records showing the basic coding structure, record layout and printout plant (formats).

§10140. Same: Standards. Standards for effective Automatic Data Processing records management will include:

- (a) Identification of machine room records through classification and labeling.
- (b) Development of filing and controlling methods for retrieving machine readable records.
- (c) Preservation of machine readable records through proper maintenance techniques.
- (d) Scheduling retention and disposition of Automatic Data Processing records shall follow the established official retention schedule.

[Filed December 30, 1975]