

RECORDS MANAGEMENT HANDBOOK



(REPRODUCED AT GOVERNMENT OF GUAM EXPENSE)
(REPRODUCED AT GOVERNMENT OF GUAM EXPENSE)

Department of Administration

Government of Guam

GOVERNMENT OF GUAM
OFFICE OF THE GOVERNOR
AGANA, GUAM

EXECUTIVE ORDER NO. 80-3

"RECORDS MANAGEMENT HANDBOOK"

WHEREAS, Public Law 6-64 created the "Records Management Act" relating to the establishment of continuing programs for the efficient and economical management of government records; and

WHEREAS, Section 6701.(a) defines "Records" means documents, books, 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; and

WHEREAS, Section 6701.(b) defines "Agency" to mean any department, office, commission, board or other unit, however designated, of the Executive Branch of the Government of Guam; and

WHEREAS, section 6702 which reads - "Director of Finance," was repealed and renumbered to section 6004 of the Government Code of Guam by Public Law 11-219 to read "Director of Administration," herein referred to as the

"Director," shall establish and administer in the Executive Branch a records management program, which will apply efficient and economical management methods to the creation, utilization, maintenance, retention, preservation and disposal of records; and

WHEREAS, since the creation of the "Records Management Act" was signed into effect on February 26, 1962 - that the Department of Administration had deemed the necessity to establish "Rules and Regulations" for the purposes of carrying out the Act;

NOW, THEREFORE, BE IT RESOLVED, THAT, I, PAUL M. CALVO, Governor of Guam, by virtue of the authority vested in me by the Organic Act of Guam, as amended, Section 6710 of Public Law 6-64, do hereby promulgate the attached "Records Management Handbook" and advises all departments and agencies within the Government of Guam that schedules, instructions, procedures, maintenance and authority of files therein shall be in effect immediately.

Signed and promulgated this 18th day of April, 1980 in the City of Agaña, Guam.

/s/ PAUL M. CALVO
PAUL M. CALVO
Governor of Guam

COUNTERSIGNED:

/s/JOSEPH F. ADA
JOSEPH F. ADA
Lieutenant Governor

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* * * ACKNOWLEDGEMENT * * *

This Handbook is prepared by the Records Management Officer in cooperation with the Training and Development Division, Department of Administration.

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DISPOSITION OF GOVERNMENT
OF GUAM DOCUMENTATION

This handbook prescribes policies, procedures, responsibilities, and standards for disposition of noncurrent Government of Guam documentation. It applies to all personnel that create or accumulate documentation at all Government of Guam activities.

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INTRODUCTION

"Get me the facts on the Jones case." In words like these, Government decision makers continually call for needed information. The facts come fast from the files--if the records are carefully planned, if the files are systematically maintained, and if the requester gives the right clues. If not, work falters and tempers flare.

Finding a folder in the files or placing papers in the right folder seems a simple matter--until something cannot be found or until something is misfiled. Then an office staff comes face to face with the age-old problem of record keeping. Members of the staff wish they had mastered the guiding principles when they established the files and had then consistently applied those principles in their daily filing.

This handbook is written primarily to assist the offices having only four or five filing cabinets of papers, where specified employees keep files as one of their many administrative duties. Nevertheless this should not lessen its value to offices with full-time recordkeepers. Its basic purpose is to help all these persons understand and successfully apply the basic rules governing their filing work. It does not replace any agency's instructions for its own offices, of course; nor does it apply to offices where recordkeeping has been mechanized.

machines that grind out reams of copy in a day, and data processing equipment that turns out tremendous quantities of paper in the form of tab listings and reports that have outlived their usefulness.

This lack of control over the creation, maintenance, and disposition of records manifests itself in a number of ways. Look, for example, at your own office. Do you know how many records you have? What portion of them are in office space, and what portion in storage? Who uses the records and how often are they used? Do you have any idea how much time your clerical staff is wasting on the maintenance of inactive records? Do you know how much money you have invested in file equipment? Does your agency have disposition schedules covering all of its records? Are they being applied? If you have disposition schedules, when did you last reviewed them to see if the retention periods could be shortened? After asking yourself these questions, you will probably agree that much remains to be done.

WHAT IS RECORDS DISPOSITION?

Records disposition is the systematic transfer from office to storage of records that are not needed for everyday operations and the destruction of records that no longer have any significant value. It is one element of a total paperwork management program.

OBJECTIVES OF A RECORDS DISPOSITION PROGRAM

*To save space by removing from office records not required for daily operations; by removing from storage areas records that no longer have significant value; and by maintaining a regular, controlled flow of records from offices to storage to destruction.

**To save money by controlling the purchase of equipment and supplies to file unneeded records; by providing inexpensive storage facilities for less active records; and releasing surplus filing equipment for reuse or sale.

*To save time in locating records by removing inactive materials from office files: by installing a system whereby the agency knows what record it has and where they are kept; and by providing an orderly method of storing inactive records under the supervision of trained records center personnel.

ESTABLISHING THE PROGRAM

To establish a successful records disposition program, several things must be done at the outset. First, top management must be made aware of the paperwork problem and understand the importance of finding a solution to it. To insure success of the program, management must believe it, and must let it be known that the program is supported at the top of the organization. Once management support for the program has been secured, the agency must develop the necessary organization to put it into effect. While most of the records disposition job will be done by the operating units, there is a need for coordination and stimulation of the program by central staff of the agency. Someone should be assigned the task of making the program move and given enough authority to see that it does. In most cases the agency records officer is the logical choice for this role. The important point is that the function be recognized and that responsibility for it be assigned at a level within the organization that has easy access to management and all divisions of the agency.

RECORDS INVENTORY

Once you have organized for a records disposition program, it is necessary to find out what records there are, where they are stored, their quantity, and how they are used. Without this information you cannot have a records disposition program.

Conducting a records inventory is often a formidable job, and consequently some organizations never get pass this hurdle. They protest that they cannot possibly divert their already overworked staff from existing assignments to conduct a records inventory. For this reason it is important that the records officer, the line manager, the file clerk, and the stenographer be acquainted with the problem and understand that, with their cooperation, it is possible to find an answer to the flood of paper that is crowding them out of their offices -- an answer that will make their job easier.

WHAT ARE RECORDS?

One of the first questions that must be answered is "what does the term 'record' include? Records is defined as "papers, maps, exhibits, magnetic or paper tapes, photographic films and prints, and other documents produced, received, owned or used by an agency, regardless of physical form or characteristics."

NON-RECORD MATERIAL

To draw a clear distinction between records and non-record material is difficult. However, there are certain kinds of materials that can be

discarded as soon as they are read and which should never reach a filing cabinet. Some examples are listed as follows:

Transmittal letters and acknowledgements which do not add any information to the material transmitted.

Request for printed material after the requests have been filled.

Informal notes, worksheets, and rough drafts of letters, memoranda, or reports that do not represent basic steps in the preparation of documents. Shorthand notes, including stenographic notebooks and stenotype tapes, and dictating media which have been transcribed. Miscellaneous notices of community affairs, employee meetings, or holiday. Stock of publications or unused forms that are kept for supply purposes only.

Tickler, follow-up or suspense copies of correspondence.

PREPARATION FOR THE INVENTORY

The task of taking an inventory will be easier if you do a good job planning for it. The plan should answer such questions as:

Who will conduct it?

What training is necessary?

When will it start?

In what sequence will office and storage areas be inventoried?

How will the inventory data be compiled and organized?

When should it be completed.

What information will be obtained concerning each group of records?

Before starting the inventory, the persons assigned to conduct it should become familiar with the operations of the agency. They should know all the places where the records are stored, including closets, safes, cabinets, storerooms and basements.

WHAT INFORMATION IS NEEDED?

The attached Records Inventory Worksheet is provided to assist agencies in gathering the information needed in a records disposition program. An example of a completed worksheet is shown on page 12. The items to be filled in on the Records Inventory Worksheets are discussed below:

- (1) Agency, organizational unit, and file clerk or other person directly responsible for the records.
- (2) Date of the inventory. This should be the actual date the records are inventoried.
- (3) 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, result from the same activity, or have a special form (maps, blueprints, etc.). A record series may contain both forms and correspondence.

It is most important that the title of each record series be as accurate as possible, since all future reference to the records will be by the record series name. Vague titles, such as "Miscellaneous Files", "Official Documents", or "Vital Correspondence", should not be used. A specific, recognizable title, such as a "Monthly Progress Report File " or "Property and Equipment Control File", should be assigned to the series.

The title of a record series generally should be the same as the one used by the unit responsible for the records, as long as it clearly

describes the records included in the series. If for some reason the record series title differs substantially from the designation used by the unit responsible for the records, this should be stated under "Notes" on the worksheet. If it is not possible to assign a title to a record series which identifies it accurately, a description should be included under "Notes".

When conducting the inventory it must be remembered that drawer labels do not always state exactly what is in a drawer. Do not copy drawer labels without verifying that the label and the contents are identical.

4. Location of the record series being inventoried. This includes the building address, room number, and location of the records in that room. An easy way to indicate the specific location of records is to draw a sketch of your section containing records on grid or graph paper. The sketch should show all filing equipment, and each piece of the equipment should be designated by number (numbering from left to right). This sketch will enable you to record on the Records Inventory Worksheets the specific location of the records being inventoried in that room. For example, if the record series were located in cabinet number 2 in Room 301, their location would be recorded as 2 on the worksheet.

In some instances a single record series may fill one or a number of filing cabinets; in others, a record series will occupy only part of a cabinet. This creates the need to distinguish its location in a manner other than just equipment number. In such an instance, drawers or shelves of filing equipment can be identified by letters starting with "A" at the bottom and going up as high as necessary, omitting the letters "I" and "O"

to avoid confusion with numbers. Thus, if a record series were contained entirely in the third drawer from the bottom in the cabinet number 2, the location of the series would be recorded on the Records Worksheet as 2-C.

5. Years covered by the record series. The period of years covered by the record series should be indicated by the earliest and latest years (Example: 1970-75). In some cases, however, it will not be possible to indicate the years covered. For instance, personnel folders may have to be shown as active or inactive.

(6) Range of a specific portion of the record series. Records are usually arranged in sequence by date, numerically, alphabetically, subjectively, or by code. The range of a record series is the span of this primary filing arrangement. In most cases this column on the worksheet should be completed only when the records are kept in separate locations. For example, if an alphabetically filed record series were housed in three file cabinets, all of which were in different locations, the range might be A-J in the first cabinet, K-R in the second, and S-Z in the third.

(7) Quantity of records in the series. The quantity of records should be recorded in volume (cubic feet) of space they occupy. The figure should represent only those records on hand at the time of inventory.

A table has been included on the Records Inventory Worksheet to assist in determining volume. It shows the capacity of specific types of filing equipment. The figures apply to full, but workable, drawers or shelves and should be adjusted according to the compactness of the material.

When the quantity of records in a record series has been determined it should be rounded off to the nearest one-half of a cubic foot.

(8) Filing arrangement of the record series. While there are many ways to arrange file material, most of these represent variations or combinations of the three primary groupings - alphabetical, numerical, or chronological, by date or job.

(9) Records series cut-off period. Most filing systems utilize file breaks to provide a record series cut-off period and aid in the removal of unneeded records from office and storage areas on a regular basis. A file Break is a point in time when the agency stop filing material in a given file on one day and on the following day starts a new file covering the same type of material, usually in a file arrangement similar to that of the closed file. For example, material filed by calendar year would permit a logical file break on December 31; material filed by fiscal year would permit a logical file break on September 30. However, a file break may be established on any date. Also, when materials are filed together because they relate to a specific project, it is possible to make a file break at the completion of the project.

10. Type of Equipment. There are many types of filing equipment, including two, three, four, or five drawer, letter (8 1/2 x 11) or legal (8 1/2 x 13) size, metal wooden cabinets; card files; open-shelf files; storage boxes; and map files. For purposes of the records inventory, however, it is sufficient to indicate in general terms the kind of equipment used to house the records.

11. Other information that can be obtained during the inventory. Certain other information, if available at the time of the inventory, should be noted on the worksheet under "Remarks" if it pertains only to one part of the record series or under "Notes" if it relates to the entire record series. For example, some records may already have retention periods established. Also, file personnel or others using the records may comment regarding the activity of the files or the frequency of reference to them. Any information obtained during the inventory that may assist in appraising the records should be noted.

After completing the inventory, all worksheets pertaining to the same record series should be brought together. This will provide you with an opportunity to see where duplication exists within each record series. After collating the worksheets you are in a position to begin appraising the records, setting retention periods, and establishing disposition schedules.

RECORDS INVENTORY WORKSHEET	AGENCY <i>Department of Administration</i>	DATE <i>Jan 21, 1961</i>
	ORGANIZATIONAL UNIT <i>Personnel Services Division</i>	
	LOCATION <i>Government Building, Hialeah</i>	
	PERSON IN CHARGE OF FILES <i>Mrs. O. Miller</i>	ROOM NO. <i>5</i>

RECORD SERIES TITLE
 3 *Personnel Files*

LOCATION	YEARS	RANGE	VOLUME	REMARKS
(4)	(5)	(6)	(7)	(11)
<i>1C</i>	<i>Active</i>	<i>A-C</i>	<i>3 cu. ft.</i>	
<i>2 D; E</i>	<i>Active</i>	<i>D-T</i>	<i>1/2 cu. ft.</i>	
<i>3 F</i>	<i>Active</i>	<i>U-Z</i>	<i>1 cu. ft.</i>	

File Arrangement:
 ALPHABETICAL BY *Employee's Name*
 NUMERICAL BY _____
 CHRONOLOGICAL BY _____

INVENTORY TAKEN BY: (Signature)
J. D. Cruz

Series Cut Off Period: Type of Equipment: (10)
 CALENDAR YEAR () (9) LETTER OR LEGAL SIZE CABINET (X)
 FISCAL YEAR () CARD FILE ()
 CONTINUOUS (X) SHELVING ()
 OTHER _____ CARTON ()
 OTHER _____

Cubic Foot Measurements:

LETTER SIZE DRAWER (7)	1.5 CU. FT
LEGAL SIZE DRAWER	2.0 CU. FT
3X5 CARD FILE, SINGLE ROW 12"	0.1 CU. FT
4X6 CARD FILE, SINGLE ROW 12"	0.2 CU. FT
5X8 CARD FILE, SINGLE ROW 12"	0.3 CU. FT
TAB CARD DRAWER, SINGLE ROW 25"	0.3 CU. FT
RECORD CENTER CARTON	1.0 CU. FT
SHELVING, 4 FT., LETTER SIZE	2.3 CU. FT
SHELVING, 4 FT., LEGAL SIZE	3.0 CU. FT

NOTES

File Clerk reports that there are inactive folders (11) being kept in file space. Should these go to the Records Storage Center?

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RECORDS APPRAISAL AND SCHEDULING

Once you know what records the agency has, the next step is to decide how long each record series should be kept in the office and in storage before being destroyed. To do this you will have to determine the immediate and future usefulness of the records to the agency, as well as to the government. In general, records should be retained in office areas as long as they serve the immediate administrative, legal, and fiscal purposes for which they were created. When records no longer serve these purposes, they should either be destroyed or transferred to the Records Center for storage.

WHY APPRAISE RECORD?

A sound records disposition program requires a realistic appraisal of the records in relation to their period of usefulness and value to the agency that created them. By appraising records you are able to:

1. Establish reasonable retention periods.
2. Identify records that can be destroyed immediately.
3. Identify records that can be transferred to a records center.
4. Identify records with lasting value that should be placed in permanent storage.

WHAT VALUES SHOULD BE CONSIDERED?

Administrative Value. Records are created to help accomplish the functions for which an agency is responsible. They have administrative value as long as they assist the agency in performing either current or future work. The primary administrative use of most records is exhausted

when the transactions to which they relate have been completed. From that point on they lose their value rapidly. However, some administrative records contain basic facts concerning an agency's origin, policies, functions, organizations, and significant administrative decisions. These records should be preserved to provide adequate documentation of an agency's operations.

Legal Value: Records have legal value if they contain evidence of legally enforceable rights or obligations of the government. Examples of these are records that provide the basis for action, such as legal decisions and opinions; fiscal documents representing agreements, such as leases, titles, and contracts; and records of action in particular cases, such as claim papers and legal dockets.

FISCAL VALUE: Records of fiscal value are those which pertain to the financial transactions of the agency, such as budgets, ledgers, allotments, payrolls, and vouchers. After records have served their basic administrative function, they may still have sufficient fiscal value to justify their retention in storage for a time to protect the agency against court action or to account for the expenditure of funds.

Research, Historical, or Archival Value: Some records have enduring value because they reflect significant historical events or document the history and development of an agency. The importance of preserving such records is obvious. Not so apparent, however, is the need to examine critically to ensure that the material being accumulated is actually filling a valid research need.

DETERMINING RETENTION PERIODS

Keeping records, either in offices or record center, costs large sums of money, however the actual or potential value of the records should be weighed against the cost. This is a calculated risk in this business, and a good records disposition program requires that we take it. There have been instances when an organization became so enthusiastic about the possibility of freeing office space by clearing out its old records that it went too far and discarded material too soon. But usually this is not the problem. Most of us tend to be overly cautious and to exaggerate the frequency of our reference to material being considered for disposition. The questions we must ask ourselves are: How serious would it be if we were unable to put our hands on a particular record 5 or 10 years from now? Are the consequences serious enough to justify our keeping thousands of cubic feet of records for a long period of time at considerable cost? Is the information available anywhere else? What would it cost to reconstruct the record if this became necessary? By asking ourselves these kinds of questions we can begin to take a more realistic approach to the problem of determining how long records should be kept.

Setting retention period involves negotiation with those persons who use records. They must be encouraged to look realistically at their need for them. While you should not accept the answer that the records are used all the time and therefore must be kept permanently, you should look at the problem from the viewpoint of the operating person and be willing to compromise on a 5-year retention period (even though only a 3-year retention may be justified) if the alternative has no retention period at all. Past experiences and reference data obtained by a file usage, in the case of

active records and from the Records Center, provide a basis for reevaluating the records at a later time and positively reducing the retention periods.

When retention periods have been established for all records, a disposition schedule can be developed to formalize the decisions on retention periods and provide the basis for a continuing program of records disposition.

WHAT IS A RECORDS DISPOSITION SCHEDULE?

A records disposition schedule is a written statement of actions to be taken with respect to all records produced or maintained by the agency. It assist the agency in effecting the prompt disposal of records no longer needed, the storage of records that must be retained temporarily after they are no longer needed for current operations, and the preservation of records which are of lasting value.

A records disposition schedule should:

- (1) Cover all records created and maintained by the agency.
- (2) Provide a good description of each record series.
- (3) State the number of year(s) (retention period) each record series should be kept before transfer to a records center or destruction.

APPROVAL OF RETENTION SCHEDULES

Public Law 6-64, Section 6704, Records Management Act, defines the duties of the Agency Heads as follows:

(a) Establish and maintain an active, continuing program for the economical and efficient management of the records of the agency;

(b) Make and maintain records containing adequate and proper documentation of the organization, functions, policies, decisions, procedures and essential transactions of the agency designed to furnish information to protect the legal and financial rights of the government and of persons affected by the agency's activities;

(c) Submit to the Director, in accordance with the standards established by him, schedules proposing the length of time each government record warrants retention for administrative, legal or fiscal purposes after it has been received by the agency. The head of each agency also shall submit lists of government records in his custody that are not needed in the transaction of current business and that do not have sufficient administrative, legal or fiscal value to warrant their further keeping for disposal in conformity with the requirements of Section 6707.

(d) Cooperate with the Director in the conduct of surveys made by him pursuant to the provisions of this Chapter.

Note: See attachment for examples on the preparation of retention schedules.

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APPLYING DISPOSITION SCHEDULES

The purpose of a disposition schedule is to establish a pattern for the transfer or destruction of records on a continuing basis. A records disposition schedule is of little value, however, unless it is applied regularly. If, after the initial house cleaning, the schedule is ignored, the results will be disappointing and the problem of accumulating unneeded records will remain unsolved.

WHEN SHOULD A SCHEDULE BE APPLIED?

Careful timing of the destruction and transfer of records holds down handling costs both in the agency and in the records center. Records become ready for destruction or transfer every day of the year; however, to dispose of them so often would be impractical and inefficient. Experience has shown that normally records should be destroyed or transferred to storage once a year. Deviations from an annual timetable may be justified if records accumulate so rapidly that more frequent disposition is necessary.

ENSURING APPLICATION OF SCHEDULES

To ensure compliance with disposition schedules, effective control must be maintained over all records in office and storage areas. Two techniques that have proved useful for this purpose are:

All requests for filing space or equipment should be reviewed by the agency to determine that the requesting unit is applying its schedules promptly and not storing records that should be destroyed or transferred to storage.

Periodic reports to the agency records officer on the quantity of records destroyed or transferred and the amount of space or equipment released are also helpful. Such reports are valuable not only to ensure the application of disposition schedules but also to determine the savings that have resulted from the program.

KEEPING A SCHEDULE UP-TO-DATE

A disposition schedule must be kept up-to-date if it is to be of value. Any addition, elimination, or significant change in an existing function makes it necessary to amend the schedule to reflect the change. Also, retention periods for scheduled records may have to be revised periodically to reflect changes in their referral rate.

It is important that any change or addition to a disposition schedule be made promptly and that those persons using the schedule be notified immediately. Any delay increases the chance of someone relying on an incorrect schedule.

POINTS TO REMEMBER

Avoid interference with current operations. Records should be destroyed or transferred during a slack period if possible.

Handle by bulk. It seldom pays to destroy or transfer records in very small quantities.

7. FILES PLAN (continued)

ITEM NO. (A)	TITLE OR DESCRIPTION OF RECORD SERIES (B)	FILING ARRANGEMENT OF EACH SERIES (Subjectively, numerically, alphabetically, etc.) (C)	DISPOSITION (D)
5	Governor's Circulars	Chronological	1 year
6	Department of Administration's Organizational Circulars	Chronological	1 year
7	Executive Orders	Chronological	1 year

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office but which must be available for a specified period of time on an intermittent reference basis, or to satisfy legal requirements.

A good records center will produce useful data concerning the rate of reference to records. This can be most useful in helping agencies to look critically at their disposition schedules. Reference data provide a factual basis on which to evaluate the use of records and an agency's need for them.

TRANSFERRING RECORDS TO THE RECORDS CENTER

WHAT INFORMATION DOES THE RECORDS CENTER NEED?

Before an agency transfers records to the Records Center, it should supply the following information:

Types of records to be transferred (maps, punched cards, ledgers, etc.).

Quantity of records to be transferred.

Approximate date when the records will be transferred.

Records being transferred to the Records Center should be arranged in the same order as they are kept in the agency files. This makes it possible for Records Center personnel to locate specific records when they are requested by the agency.

Records will be packed in records center containers only. These containers are available for purchase at the Purchasing Section, Supply Management Division, in Piti. Each container holds one cubic foot of

records, which may consist of 15 filing inches of letter size (8 1/2 x 11) material or 12 inches of legal size (8 1/2 x 13) material. The Stock Number for this container is as follows:

Box, Storage (18" x 12" x 10") - 8105-003-01
Tape, Filament (3/4" x 60") - 8105-003-01

Note: Filament tape should be used only on the bottom flaps of boxes.

When the records are transferred, the agency should number each box in the shipment consecutively, starting with No.1. The Records Transfer and Receipt Form must be prepared in two copies and submitted along with the records being transferred. (See attachment for examples on how to complete the Records Transfer and Receipt Form).

REFERRAL TO RECORDS IN THE RECORDS CENTER

Records transferred for storage in the Records Center may be referred to or withdrawn at any time during working hours by the depositing agency. In requesting such records the agency should identify them by reference to the Records Transfer Receipt Form which accompanies the transfer shipment. The records are furnished by the Records Center on a charge-out basis. When the agency no longer needs the withdrawn records, they should be returned immediately to the Records Center in person.

DESTRUCTION OF RECORDS

The destruction of records stored in the Record Center is not automatic when the retention period expires. The Records Management Officer will notify the depositing agency that the records are subject to destruction and that they will be carefully reviewed again if further retention is required. Upon determination that records no longer should be retained at the Records Center, a request for disposal authorization must be prepared and submitted to the Director of Administration and the Attorney General (in turn) for approval.

Note: See attachment for example on how to prepare for disposal authorization.

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SAMPLE

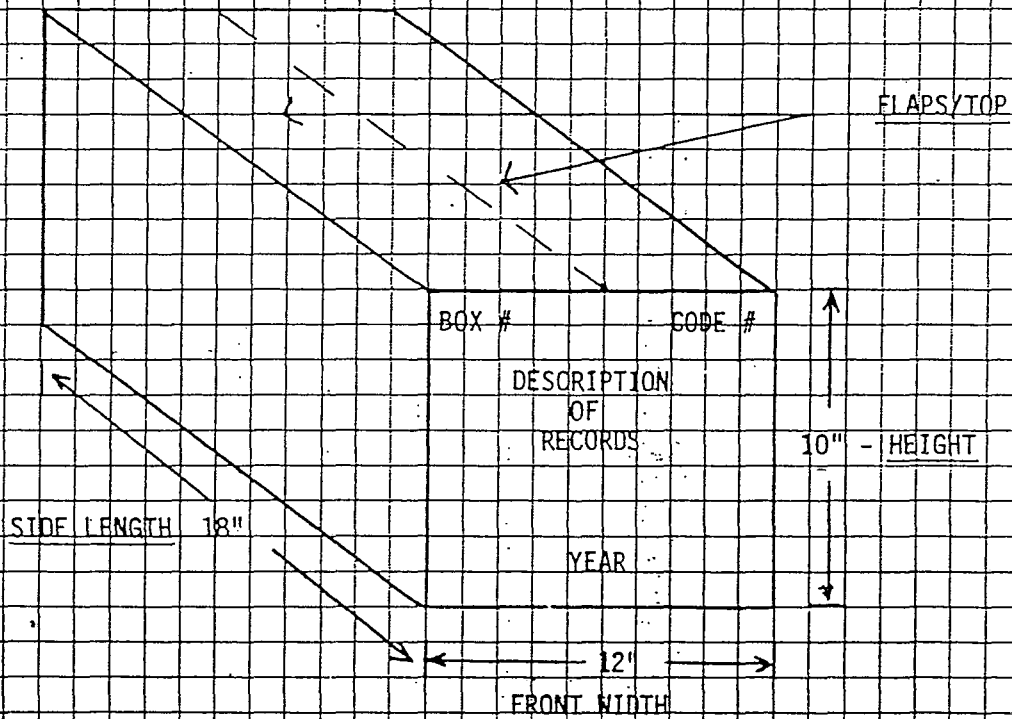
BOX, STORAGE - (18" X 12" X 10")

STOCK NO. 8115-179-05789

TAPE, FILAMENT - (3/4" X 60")

STOCK NO. 8135-802-8311

NOTE: Filament tape SHOULD BE USED ONLY on bottom flaps of box and that standard 2" masking tape should be used for the top flaps.



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BOX _____ CODE:

RECORDS T/R DATE:

DISPOSAL DATE:

24

Note: Please use a black marker to print the above on the front and rear ends of the box.

RECORDS TRANSFER AND RECEIPT

Page: _____ Of: _____

DEPARTMENT OR AGENCY: _____ CODE NUMBER: _____ RECORDS STORAGE CENTER _____

The records described herein may be destroyed as so specified without further concurrence. (Please check one box) Yes [] No []

DEPARTMENT HEAD SIGNATURE: _____ TITLE: _____ DATE: _____

BOX NO.	DESCRIPTION OF RECORDS WITH INCLUSIVE DATES:	GENERAL RECORDS SCHEDULE (Item & Page Numbers):	DISPOSAL DATE MONTH YEAR
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FOR RECORDS CENTER ONLY

RECORD RECEIPT DATE	SIGNATURE: _____	ADDITIONAL INFORMATION
	TITLE: Records Management Officer	

RECORDS TRANSFER AND RECEIPT

Page:

Of:

DEPARTMENT OR AGENCY:

CODE NUMBER:

DATE:

BOX NO. DESCRIPTION OF RECORDS WITH INCLUSIVE DATES:

GENERAL RECORDS SCHEDULE (Item & Page Numbers):

DISPOSAL DATE: MONTH YEAR

PREPARATION OF RECORDS TRANSFER AND RECEIPT

BLOCK I: The major purpose of the Records Transfer and Receipt Form is to effectively identify records that are being transferred to the Records Center. It also serves as the final authority for the disposition of records transferred and as a medium for controlling the location retrieval, reference and a shipping document.

BLOCK II: Enter the number of pages used for the transmittal of records.

BLOCK III: Enter the name and phone number of the Department or Section transferring records to the Records Center.

BLOCK IV: TO: RECORDS CENTER, (Self-explanatory)

This will serve as an authorization from the department transferring records for the destruction of those records shipped, in conformance with the disposal date indicated, without further concurrence with the Director of Administration, department concerned, or the Attorney General, unless so specified.

All records listed in Block X, (YES) will be destroyed as specified on the disposal date as indicated.

If (NO) is indicated, the Records Management Officer or his designated representative will advise the Director of Administration and the Department concerned that the records disposal date has elapsed. An agreement should be reached whether the records should be retained for a longer period or disposed off accordingly.

BLOCK V: Enter name of individual responsible for the transferring of records.

BLOCK: VI: Enter position title of individual responsible for the transfer of records.

BLOCK VII: EXAMPLE: Records, Clerk IV, etc.

BLOCK VIII: Enter the day, month, and year records are to be transferred.

BLOCK: XI: This is for box numbers only.

EXAMPLE: BOX 1, BOX 2, BOX 3, etc.

BLOCK X: Description of records with inclusive dates.

EXAMPLE: Tax Audit, March 1975.

BLOCK XI: GENERAL RECORDS SCHEDULE (ITEM & PAGE NOS.)

BLOCK: ~~XII~~ Disposition Date - Month and Year.

EXAMPLE: March 1980.

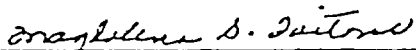
BLOCK ~~XIII~~
to XIV: FOR RECORDS CENTER USE ONLY.

NOTE: Please prepare Records Transfer and Receipt form in two copies for each shipment. Original copy will be retained at the Records Center, the duplicate copy will be receipt copy.

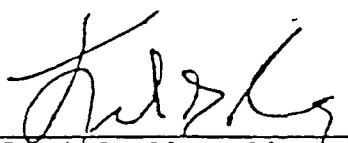
AUTHORIZATION FOR RETENTION OF
GOVERNMENT OF GUAM RECORDS
SECTION 6707, PUBLIC LAW 6-64

This authorizes a retention schedule for official records of
the Nieves M. Flores Memorial Library, for incorporation into
the Government of Guam Records Disposal Schedule per Section
6707, Public Law 6-64.

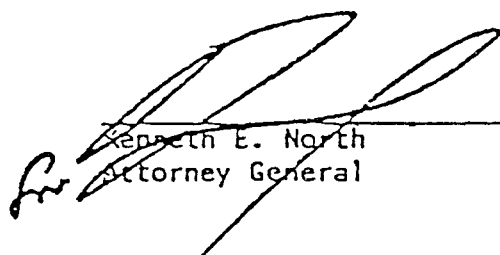
APPROVED:



Magdalena S. Taitano, Territorial Librarian



Frank G. Blaz, Director
Department of Administration



Kenneth E. North
Attorney General

(REPRODUCED AT GOVERNMENT OF GUAM EXPENSE)

NIEVES H. FLORES MEMORIAL LIBRARY
GOVERNMENT OF GUAM

<u>DESCRIPTION OF RECORDS</u>	<u>RETENTION PERIOD</u>
<u>MGT - ADMINISTRATIVE MANAGEMENT</u>	
Board policies, minutes, correspondence, & appointments.	Permanent
Bills, Public Laws, Proclamations, Resolutions, Executive Orders affecting the Library, having historical or legal value.	
LSCA Correspondence & Annual Programs Correspondence, Library for the Blind	Permanent
Job Descriptions	Permanent
<u>General Library Records:</u>	
Shelf List Records, Accession Records, Local Depository Records	Permanent
GPO Depository Records	Indefinite
Registration Records & periodical records	2 years
<u>ADMIN - OFFICE OF ADMINISTRATION</u>	
Staffing Pattern	3 years
Personnel Request & Certification	2 years
Standard of Performance	1 year
<u>FIN - FINANCIAL ADMINISTRATION</u>	
Budget Request	Permanent (retain 1 copy)
Allotment Advice	1 year
Official Receipts, program ledgers, LSCA Expenditure Reports, LSCA Request for Funds, Petty Cash Replenishments	5 years (or after audit)
Bi-weekly payroll records, computer print outs, leave forms and leave records	1 year
Property Inventory	1 year
<u>PRO - PROCUREMENT</u>	
Requisitions & purchase orders	5 years (or after audit)

(REPRODUCED AT GOVERNMENT OF GUAM EXPENSE)

Mieves M. Flores Memorial Library

DESCRIPTION OF RECORDS

RETENTION PERIOD

INS - INSTALLATION MANAGEMENT

Building plans

Permanent

Annual Reports to the Governor

Permanent (retain 1 copy)

General Correspondence: Administrative, inter-department, and all other correspondence determined as not having any historical or legal value, inter-department memoranda

3 years

Civil Service Circulars
Department of Administration Circulars

Indefinite

Governor's Circulars

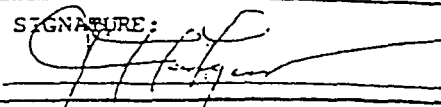
4 years

Affirmative Action Plan

Indefinite

Equipment Operating Manuals

Indefinite

Government of Guam FILES MAINTENANCE AND DISPOSITION PLAN		DATE PREPARED:
1. OFFICE OF RECORD: Records Management Division Department of Administration (symbol, title and department/agency)	2. PREPARED BY: J. T. ANGOCCO Signature	
3. TYPE NAME AND POSITION OF RECORD TECHNICIAN: J.T. ANGOCCO, Records Management Officer	4. SIGNATURE: 	
(X) INITIAL PLAN () SUPERSEDES PLAN DATED: (Does not replace a previous plan)	() (Include office symbol and title, if different from Item.No. 1)	6. DEPARTMENT OF ADMINISTRATION RECORDS MANAGEMENT OFFICER J. T. ANGOCCO Signature

FILES PLAN

TITLE OR DESCRIPTION OF RECORD SERIES (B)	FILING ARRANGEMENT OF EACH SERIES (Subjectively, numerically, alphabetically, etc.) (C)	DISPOSITION (D)
1. Files Maintenance & Disposition Plan	Front of Files	As required
2. Office Delegations/Designations of Authority and Additional Duty Assignments	Chronological	1 year
3. <u>Transitory Material</u>		
JAN - MAY - SEP (1st Folder)	Chronological	3 months (90 day)
FEB - JUN - OCT (2nd Folder)	Chronological	3 months (90 day)
MAR - JUL - NOV (3rd Folder)	Chronological	3 months (90 day)
APR - AUG - DEC (4th Folder)	Chronological	3 months (90 day)
4. General Correspondence (Temporary)		
ADM - OFFICE ADMINISTRATION		
1 - Administration of Office Personnel	Alphabetical	Indefinite
2 - Office Supplies, Services & Equipment	Subjective	As required
MGT - ADMINISTRATIVE MANAGEMENT		
1 - Communications (Written)	Subjective	1 year
2 - Records Management Act (P.L. 6-64)	Chronological	Permanent
3 - Records Disposition	Numerical	2 years
4 - Records Retrieval	Numerical	2 years
5 - Records Retention Schedule	Numerical	Indefinite
6 - Records Management Reports (Monthly, Quarterly and Yearly)	Chronological	2 years
7 - Budget Request	Chronological	2 years
8 - Request for Disposal Authorization (All Departments and Agencies)	Numerical	2 years
9 - Records Transfer Lists (All Departments and Agencies)	Numerical	2 years

(REPRODUCED AT GOVERNMENT OF GUAM EXPENSE)

RECORDS DISPOSAL AUTHORIZATION

TO: _____ DATE: _____

FROM: _____

QUANTITY AND DESCRIPTION OF RECORDS WITH INCLUSIVE DATES: _____

REASON FOR DESTRUCTION: _____

METHOD OF DESTRUCTION: _____

APPROVED/DISAPPROVED _____
DEPARTMENT HEAD

APPROVED/DISAPPROVED _____
DIRECTOR OF ADMINISTRATION

APPROVED/DISAPPROVED _____
ATTORNEY GENERAL

REMARKS: _____

DESTRUCTION CARRIED OUT BY: _____ DATE: _____

WITNESSED BY: _____ DATE: _____

WITNESSED BY: _____ DATE: _____

(REPRODUCED AT GOVERNMENT OF GUAM EXPENSE)

RECORDS INVENTORY WORKSHEET

AGENCY ①	DATE ②
ORGANIZATIONAL UNIT ①	
ADDRESS ④	
PERSON IN CHARGE OF FILES ①	ROOM NO ④

RECORD SERIES TITLE

③

LOCATION ④	YEARS ⑤	RANGE ⑥	VOLUME ⑦	REMARKS ⑪

File Arrangement:

ALPHABETICAL BY ⑧ _____

NUMERICAL BY _____

CHRONOLOGICAL BY _____

Series Cut Off Period: ⑨

CALENDAR YEAR

FISCAL YEAR

CONTINUOUS

OTHER _____

Type of Equipment: ⑩

LETTER OR LEGAL SIZE CABINET

CARD FILE

SHELVING

CARTON

OTHER _____

INVENTORY TAKEN BY: (Signature) _____

Cubic Foot Measurements:

LETTER SIZE DRAWER ⑦	1.5 CU.
LEGAL SIZE DRAWER	2.0 CU.
3X5 CARD FILE, SINGLE ROW 12"	0.1 CU.
4X6 CARD FILE, SINGLE ROW 12"	0.2 CU.
5X8 CARD FILE, SINGLE ROW 12"	0.3 CU.
TAB CARD DRAWER, SINGLE ROW 25"	0.3 CU.
RECORD CENTER CARTON	1.0 CU.
SHELVING, 4 FT., LETTER SIZE	2.3 CU.
SHELVING, 4 FT., LEGAL SIZE	3.0 CU.

NOTES

⑪

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RECORDS MANAGEMENT CHECKLIST

DEPARTMENT/AGENCY: _____ DATE: _____

DEPARTMENT/AGENCY HEAD: _____ SECTION SUPERVISOR: _____

DEPARTMENT/AGENCY RECORDS OFFICER: _____ RATING: _____

A check in the "NO" column indicates that corrective action is needed.

	YES	NO
1. Are copies of the Records Management Handbooks available, and are they accessible to other offices of record personnel?	_____	_____
2. Is the Department Head providing guidance and/or management support in the Records Management Program?	_____	_____
3. Is "Files Maintenance and Disposition Plan," maintained for current files?	_____	_____
4. Is a copy of Retention/Disposition Schedule available?	_____	_____
5. Is a "Charge-Out" system in effect for documents removed from the file?	_____	_____
6. Are offices of record sufficiently accessible to activities using the files to preclude the maintenance of duplicate files?	_____	_____
7. Has a record check been accomplished for each office of record?	_____	_____
8. In correspondence (subjective) files, are only the major subjective categories that represent the mission and responsibilities of the office being used?	_____	_____
9. Are documents filed chronologically, with the latest date in front?	_____	_____
10. Is filing equipment used in accordance with established utilization criteria?	_____	_____
11. Are file drawers properly labeled?	_____	_____
12. Have effective control been established to ensure that used filing equipment released through the records disposition program is fully utilized and that new equipment is purchased only when there is a clear-cut need?	_____	_____

(REPRODUCED AT GOVERNMENT OF GUAM EXPENSE)

CONFIDENTIAL WHEN FILLED IN

	YES	NO
13. Has an Agency Records Officer been appointed?	_____	_____
14. Has the Records Officer attended the Government of Guam sponsored Records Management Workshop?	_____	_____
15. Is the Records Officer providing procedural guidance to records personnel in his/her agency?	_____	_____
16. Have all records been inventoried?	_____	_____
17. Are all records covered by approved disposition schedules?	_____	_____
18. Have file breaks been established to facilitate the removal of inactive records from office space?	_____	_____
19. Is purging of file material held to a minimum?	_____	_____
20. Has responsibility for coordinating the records disposition program assigned to the Records Officer?	_____	_____
21. Has the effectiveness of the schedules been reviewed by the Agency Records Officer within the past year?	_____	_____
22. Do the disposition schedules promote minimum retention of records, consistent with operating requirements?	_____	_____
23. Are there adequate instructions for applying schedules?	_____	_____
24. Is timing of the application of schedules coordinated with other workloads?	_____	_____
25. Are reports prepared regularly on the quantity of records destroyed or transferred to the Records Center?	_____	_____
26. Are records transfer receipt available listing all the records transferred to the Records Center?	_____	_____
27. Is the transfer receipt form prepared correctly and is it approved by the department/agency head prior to transfer?	_____	_____
28. Are records identification being correctly identified in the records transfer receipt to correspond with the storage box identification?	_____	_____
29. Is the requirement of Section 6707, P.L. 6-64, "Records Management Act", being followed prior to the disposal of records determined to have no further value?	_____	_____

(REPRODUCED AT GOVERNMENT OF GUAM EXPENSE)

CONFIDENTIAL WHEN FILLED IN

YES NO

- . Are all unnecessary papers eliminated rather than filed? _____
- . Have the papers been properly prepared for filing, that is, temporary fasteners removed, file complete, unrelated papers detached, identical duplicate copies destroyed? _____
- . Have documents been authorized for filing by the word "file" and the initials of the authorizing official? _____
- . Are reference materials such as pamphlets, catalogs, etc., maintained, and are they current? _____
- . Is the Agency Records Officer well versed with his agency's mission responsibilities? _____
- . Are classified or confidential documents safeguarded and/or protected from unauthorized person(s) by securing them in locked filing equipment? _____
- . Is a file copy available listing the appointment of the Agency Records Officer? _____
- . Are records personnel following the Subjective Classification System as outlined in the File Management Handbook? _____
- . Is the Agency Records Officer knowledgeable about the Records Management Program? _____
- . Does the Department/Agency have an assigned Records Center Code Number? _____
- . Is the Department/Agency storing inactive records in office space, or other locations other than the Records Center? _____

J. T. ANGOLO
Records Management Officer

CONFIDENTIAL WHEN FILLED IN

GLOSSARY OF RECORDS MANAGEMENT TERMS

ACTIVE FILE	A section of a filing system reserved for records that are used frequently.
APPRAISAL	The study of records, their relationships and content, to determine their value.
ARCHIVES	A building in which permanently valuable records are kept and serviced by an agency established to preserve and make such records available for use.
ARCHIVIST	A person, professionally trained for the purpose, engaged in appraising records from the point of view of enduring value, in maintaining archives, and in making them available for use.
CAPTION	A name, letter, or number under which records are filed.
CASE FILE	A body of records, kept together, dealing with a particular transaction or with closely related transactions. Originally, such a body of records pertained to a judicial or quasi-judicial case, but increasingly has come to include administrative decision or series of decisions (as in personnel case file), or to a work project or series of work projects (as in a loan case file or construction case file).
CENTRALIZED FILES	The official files of several organizations, units maintained and supervised at one point.
CHARGE METHOD	A procedure used to account for records that have been removed from the files.
CLOSED FILE	A file on which action is assumed to be complete and to which no additions are anticipated.

CODING The process of marking correspondence and records with the caption under which it will be stored.

COPY Reproduction, by any method, of the complete substance of a record, not necessarily in facsimile.

CORRESPONDENCE Letters, memoranda, or postal cards; often used loosely to include telecommunications.

CROSS REFERENCE A notation in a file or an index showing that the record being sought is stored elsewhere; or the filing of a duplicate of an original in other locations where it might be sought.

CURRENT RECORDS Day-to-day accumulation of records needed frequently for administrative use in current operations.

DISPOSAL Removal of records by destruction, by sale as a waste paper or other forms of salvage, or by donation.

DOCUMENT Any writing, book, or other single instrument for the communication of information, including maps or photographic material.

DOCUMENTATION The records that result from recording of an agency's legal mission, functions, organizations, policies, decisions, procedures, essential transactions, and accomplishments.

FILE Papers that have accumulated in connection with a single transaction, subject, project, etc. (often better conceived of as a case file). Organized collection of information in the form of papers, cards, folders, magnetic tape, etc.

FILE BREAK A cut-off point in a file, usually based on a calendar or fiscal year date. Such breaks are often made to coincide with scheduled period for destruction or transfer to a records center.

FILING PERIOD The span of time during which records remain in the active file.

FOLLOW-UP	A system of checking on borrowed records to effect their return to the files.
INACTIVE FILES	Records not subject to frequent use stored separately to be microfilmed or destroyed by a given date.
INDEXING	Selecting the caption under which a record is to be filed.
INSPECTING	Checking records or correspondence for a release mark before indexing.
MISSION RECORDS	Records which document decisions, transactions, and activities directly relating to the mission (functional) assignment of the organizational unit.
OFFICIAL RECORDS	Records that are created, received, owned, used by any Government of Guam or its official or employees in the course of the conduct of Government business. <u>These are documents reflecting action taken to support or facilitate the mission.</u>
RECORDS	All information that is kept by an organization whether it is in the form of correspondence, reports, cards, tapes, or microfilm.
RECORDS DISPOSITION	The systematic transfer from office to storage of records that are not needed for everyday operations and the destruction of records that no longer have any significant value. It is one element of a total paperwork management program.
RECORDS DISPOSITION SCHEDULE	A written statement of actions to be taken with respect to all records produced or maintained by the agency. It assists the agency in effecting the prompt disposal of records no longer needed, the storage of records that must be retained temporarily after they are no longer needed for current operations, and the preservation of records which are of lasting value.

(REPRODUCED AT GOVERNMENT OF GUAM EXPENSE)

RECORDS
MANAGEMENT

Planning, organizing and controlling the creation, protection, use, storage, and disposition of records.

REFERENCE
MATERIALS

Books, periodicals, pamphlets, catalogs, reports, and similar material collected and maintained for convenience of reference only.

RELEASE MARK

A notation (initials) showing that a record has received the required attention and is ready for filing.

RETENTION PERIOD

The length of time records are kept before being discarded.

SORTING

Arranging records in sequence after they have been coded to facilitate storing in filing areas.

TRANSFER

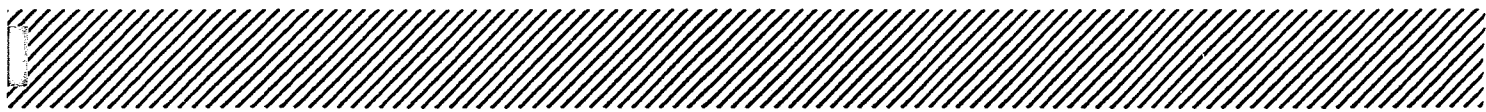
Removal of records from the active files to the inactive files.

RECORDS

DISPOSITION

(REPRODUCED AT GOVERNMENT OF GUAM EXPENSE)

Department of Administration



Government of Guam

MAINTENANCE OF CURRENT DOCUMENTATION

This handbook prescribes policies, procedures, and techniques for maintaining current documentation in accordance to Executive Order 80-3 and Public Law 6-64. It explains how to establish uniform, and efficient practices for maintaining all types of current documentation. This handbook applies to all Government of Guam personnel whose duties require them to file or maintain documentation, including supervisory personnel.

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Introduction	1
The Basic File Groups	2-7
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Filing Procedures	10
Subjective Classification System	11-14
Instructions for use of Drawers, Guides, Folders, and Drawer Labels	15-17
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INTRODUCTION

As our government grows, programs have increased in both size and complexity to meet the needs of an expanding population, the problems related to records have become more difficult and more serious. In addition, the growing appetite for complete and timely data has created a persistent demand for office personnel - from clerical help to electronic data programmers. Management has a need for more program data but often without a knowledge of the costs involved in developing the information. This pressing need for management data, coupled with a lack of control over the records required to produce it, has resulted in mounting costs for office space, equipment, and personnel. While it is recognized that these record-making and record-keeping activities are an integral and essential part of the services rendered by the government, we must strive continuously to find ways of cutting paperwork costs.

WHY RECORDS ARE NECESSARY?

Records play a vital role in managing and operating Government of Guam activities. It serves as the memory of the organization, a record of past events, and the basis for future actions. Records are essential to the conduct of a successful public or business enterprise. They are one of the tools that enable an organization to carry out its functions and to meet its objectives. Good records are a valuable asset; poor records can hobble an organization, reducing its effectiveness and increasing its costs. Our ability to control records has not kept pace with our ability to create them. We have typewriters that give us 10 legible copies, duplicating

THE BASIC FILE GROUPS

THE BASIC FILE GROUPS CONSIST OF THE FOLLOWING:

1. General Correspondence (Subject Files) This filing arrangement is used when the grouping by subject is the primary means of reference. Generally, this type of file consists of letters, memorandums, telegrams, reports, and miscellaneous materials, arranged by subject.

Almost every office requires a file of this type for those papers which will most often be requested by subject.

2. Numerical Filing Arrangement This arrangement is used to arrange records normally identified by number, such as bills of lading, requisitions, purchase orders, etc.

3. Chronological Arrangement This arrangement is used to file records in date sequence, usually by year, month and day. Transitory, reading and suspense files are examples of files which are arranged by date.

4. Geographical Arrangement In this arrangement, material is filed by geographical location, such as area, country, state, county, village, etc.. It is used when the geographical location is the primary means of reference. Files are arranged in alphabetical sequence first by the name of the main geographical divisions, such as state, then by the next most important subdivision required for reference such as counties or cities.

5. Organizational Arrangement This arrangement is used when the name of the pertinent organization is the primary means of reference.

6. Alphabetical Arrangement This arrangement is used to file by names of persons, companies, agencies, etc., in alphabetical sequence. In filing, disregard titles such as Jr., Sr., Dr., etc., but enclose them in parentheses following the name.

Example: Aguon, A.
 Aguon, A.B. (Capt)
 Aguon, A.B. (Dr.)

7. Case Files This type of filing reflect the "case history" of a transaction or document a series of related actions concerning a person, organization, location, product, or thing. Records commonly case filed relate to:

- Contracts
- Purchase Order
- Personnel Records
- Investigations
- Requisitions
- Loans
- Research Projects
- Construction Projects

Typically, a case file documents a transaction or relationship from beginning to end. Accordingly, they are terminated on the occurrence of an event - such as contract completion, retirement of an individual, or completion of a project. Case files may be said to be specialized subject records, the specialization being the 'name' or 'number' filing feature.

For example, a contract may be filed by a number J-11223, or by vendor "Jones & Guerrero Co."

8. Case Working Data/Papers These are short-lived correspondence and working papers or records accumulated in connection with specific case (project) files. They include background and working materials, such as reference materials and data obtained for the case or project, data analyses and summaries, drafts, and other preliminary papers leading to final results or findings. The most common type of working papers are routine requests for reports or data on the case or project, extra copies of documents or reference materials in the case file, etc.

9. Transitory Correspondence One of the great failures in filing is the failure to recognize adequately the existence of transitory correspondence and to provide for its handling. This failure means that many papers are kept longer than they need to be. Transitory correspondence consists of easily recognizable materials. These are short-lived records that does not contain procedural or policy matter applicable to the receiving office.

Transitory includes:

- (1) Routine transactions.
- (2) May consist of transmittal letters or forms: requests for routine information, publications, or supplies, and/or documents not requiring action by the receiving office.

(REPRODUCED AT GOVERNMENT OF GUAM EXPENSES)

The recognition and separate maintenance of transitory material is important. Immediately destroy transitory material which has served its purpose, rather than file it. Elimination of this material simplifies filing and disposition, there are fewer papers to code, sort, and file; reference to important papers is easier and faster; and the need to "screen" records at time of disposal is eliminated. Chronologically maintain as a separate series that material to be of reference value for 90 days or less. If the volume warrants using more than one folder, four folders may be used.

Example:

JAN - MAY - SEP (1st Folder)
FEB - JUN - OCT (2nd Folder)
MAR - JUL - NOV (3rd Folder)
APR - AUG - DEC (4th Folder)

10. Technical Reference Materials. Printed reports, periodicals, and special studies usually called "Reference materials," are received constantly from colleges and universities, private research organizations, trade associations, federal, and the like. These materials also include internal agency instructional and information manuals. Frequently they include publications supplementing available library facilities. They are most evident in offices involved in research, product development, statistical reporting, and information gathering and dissemination.

The correspondence files in many offices are crippled by including more technical reference materials than correspondence. As a broad rule of thumb, if more than one drawer of the bulk of correspondence file consists of reference materials, separate filing of the latter is warranted.

11. Extra "Convenience" Copies. Extra copies of documents created or received that are retained solely for ease of use constitute the "convenience" file group. Some offices probably have ample justification for keeping them, but most do not. The "day file" of letters written by an office, arranged in date order, is a typical example of a convenience file. Not so evident may be the copies of letters and forms which are filed with the general correspondence or case files, not because of any action that must be documented, but for convenience of reference.

12. Film, Tape, or Disk Records. These records have the form of graphic images, or of electronic or other mechanical reproduction of sounds or coded information. They are usually kept separately because of their physical characteristics.

Still picture are used in many instances to record activities or progress, and as such must be treated as records. If prints are received only occasionally, the custom is to house them in the regular-subject or case files. Still picture negatives, as well as motion pictures, demand separate housing and special care for preservation.

Sound recordings from some office dictating machines are disks compatible in size with letter paper and can be filed with paper to records so that the recording media can be discarded or reused. Others are not transcribed and must be preserved, as in the case of some grievance hearings. Even a small volume of tapes or off-size recordings requires a

separate file. Other items in this basic type are magnetic and paper tapes, X-ray films, and microphotographs.

13. Cartographic Materials and Drawings. Maps, charts, aerial photographs, physiographic diagrams, and engineering drawings have a variety of formats and sizes. Hence they are frequently kept separate from other records. Maps are usually more usable as a printed, reduced copy than in the original. (if they are standard size, they can be filed with related papers. Field survey notes, geodetic surveys, astronomic readings, and similar computations are usually considered as cartographic in nature.

14. CARDS. The variety of card files is almost as great as the variety of case files. However, their physical size and format make them a logical separate file group. Common sizes used as indexes, catalogs, or summaries are 3 by 5 by 8 inches. Oversize cards are used in some offices to record pay. Punched cards are basic to electrical accounting machines and can serve as computer input. Microprinted cards may contain supply specifications or inventories. Microfilm aperture cards provide one way of keeping engineering drawings.

PREPARING DOCUMENTS FOR FILING

Insure that documents have been authorized for filing by the word "File," and that the initials of the authorizing official have been written on them.

Example:

FILE
ADM 1
ABC

Note: Certain documents upon which current action is obviously completed do not require file authority; examples are: Memos for Record, Classified documents, large volumes of single - type documents, such as requisitions and bills of lading.

Insure that the file is complete and that all attachments are retained or accounted for.

Insure that parts of another file are not accidentally attached.

Destroy identical duplicate copies of documents. Remove envelopes and memo routing slips, except those containing remarks of significant record value.

Assemble documents for filing with the latest action on top.

Remove rubber bands, paper clips, pins, and other temporary fasteners. Mend or reinforce with transparent tape, all torn or frayed papers.

Staple related papers together in the upper left hand corner. When the material is too thick to use wire staples, use prong fasteners to fasten

SORTING RECORDS

Sorting is the procedure for arranging records in proper sequence to facilitate filing. It also provides ready reference to the records if they are needed before actual filing in the appropriate folders

Subjective files should be sorted and arranged first by major subjective category.

Alphabetical files may be sorted, if the volume is small, by arranging papers to the first letter of the surname only.

Numerical files may be sorted, if the volume is small, by the basic numbers 0 through 9, e.g., in groups 1 - 999, 1000 - 1999, 2000 - 2999, etc.

FILING PROCEDURES

Match the file copies of the papers with the folders labels before placing papers in the folders.

File classified material separately, -except when it is necessary to maintain the continuity of a particular transaction or event.

Folders containing documents of a sensitive or classified nature must be filed in the equipment that can be secured. Filing Supplies and

Equipment: A continuing goal is to provide for the proper, complete, and economical use of filing supplies and equipment. Filing supplies and equipment used by the government will be the most economical possible to meet filing requirements.

STOCK NUMBER OF FILING EQUIPMENT:

Letter Size (15") - Stock No. FSN 7110-286-3799 (5 drawer unit) Legal Size (18") - Stock No. FSN 7110-286-3796 (5 drawer unit) Note: Please reuse folders and guides when a file is destroyed, whenever this is economical.

SUBJECTIVE CLASSIFICATION SYSTEM

This system has been designed solely for the purpose of systematically arranging and grouping Government of Guam correspondence and other related papers by the function to which their subject pertains.

1. ADM - OFFICE ADMINISTRATION This category is established for classifying and grouping all documents accumulated in carrying out the internal administration or "housekeeping" activities of the office, as distinguished from those documents that are incident to the primary mission. For example, this category consists of:

- a. Correspondence pertaining to the administration of personnel assigned to the office.
- b. Records pertaining to charity campaigns.
- c. Local security records,
- d. Local mail handling and control.

This category serves as a convenient means of segregating all non-mission correspondence and related papers which should be retained for 1 year.

2. PER - PERSONNEL ADMINISTRATION This category includes subjects relating to the functions affecting personnel, including classifications; pay administration; recruitment, employment, placement, and separation of employees; employee management relations and necessary employee services.

3. COM - COMMUNICATION CONTROL - The subjects in this category relates to the establishment, maintenance and operation of facilities for the electrical transmission of communications, fixed radio, wire facilities and frequency management.

4. ENV - ENVIRONMENT This category includes subjects concerning the total environment, such as weather forecasting and observing, meteorological activities and services, and related local environmental activities and services.

5. FIN - FINANCIAL ADMINISTRATION This category includes subject relating to the disbursement, collection, and accounting for public funds; the operation of the appropriation, expenses, cost monetary property, auditing and budgeting; payroll operations, surety bonds and reports of survey.

6. INF - INFORMATION ACTIVITIES This category includes subjects involved in the internal and public information program. It also includes subjects relating to external relations, such as international organizations and the military.

7. INS - INSTALLATIONS MANAGEMENT This category relates to the construction, maintenance, and operation of facilities, including land, buildings, other fixed structures, housing, and the related engineering planning programs.

3. INT - INTELLIGENCE The subject in this category concern the collection, analysis, exploitation, and dissemination of intelligence information of public value.

9. INV - INVESTIGATIONS This category relates to matters involving crime, other violations of public trust, and subversive and related activities within the territory.

10. MED - MEDICAL SERVICES This category includes subject concerning the general medical and health status of the population; hospital and dispensary administration; professional services and clinics; and veterinary services.

11. MGT - ADMINISTRATIVE MANAGEMENT This category is used to group functions, techniques, and activities relating to the general field of management. Some of the subjects included in this category are documentation management; management planning and improvement; histories and data and reports management.

12. MIN - MATERIAL MAINTENANCE ENGINEERING This category involves preventive maintenance; servicing; repair; modification; and related subjects involving the maintenance of material.

13. POL - POLICE OPERATIONS This category relates to the enforcement of law and order; the confinement, retraining, and restoration of prisoners; and related activities of directors of public safety.

14. PRO - PROCUREMENT This category relates to the procurement of material and services from sources outside the government by contract, purchase, and other negotiations. It includes such related matters as industrial resources, production planning, and quality control.

15. PUB - PUBLISHING AND PUBLICATION This category covers subjects concerning the preparation, printing and distribution of publications and forms.

16. R & D - RESEARCH AND DEVELOPMENT This category includes subjects representing areas and objective of research and development.

17. SEC - SECURITY This category is intended to cover the responsibilities and activities of maintaining the National security and particularly the safeguarding of classified information.

18. SUP - SUPPLY AND SERVICES This category involves subjects dealing with the storage, distribution, handling and cataloging of supplies.

19. TNG - TRAINING This category involves the training of employees as part of the career development program. It involves subjects involved in the various types of training that are conducted, as well as those concerning colleges and universities.

20. TRS - TRANSPORTATION This category concerns the movement of cargo, personal property, and passengers by commercial land, air, and water transportation.

INSTRUCTIONS FOR USE OF DRAWERS, GUIDES, FOLDERS, AND DRAWER LABELS.

To guide users of the file, we shall identify the contents of each drawer adequately. The label should show for each drawer:

(1) A brief title of each series, (2) the years covered (3) segments of a series and years covered, if filed in more than one drawer.

EXAMPLE:

1979 CURRENT FILES

File Plan - Delegations - Transitory
General Correspondence - Records Mgt.
Report - Budget - Records Transfer
Governor's Circular - Dept. of Admin.
Circulars & Executive Orders

GUIDE CARDS. Place a guide card with a first (left position), in the file drawer in the same sequence as listed on the Files Maintenance & Disposition Plan. Additionally, use a first position guide to identify and introduce each major subjective category in the general correspondence file. Second position guides may be used to identify primary subdivisions, and third position for further subdivisions as necessary to identify and support folders in both the general correspondence files and separate series. Normally, active files should have no more than one locator guide for every 10 to 12 folders in subdivisions, depending on the complexity of arrangement. Highly active files may properly have an average of one guide for every six folders, but anything less is wasteful unless the files are usually complex or active. Guides are not needed for inactive cutoff files. Do not retire or discard guides when files are disposed.

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FOLDERS Use folders to group related material together. A folder is needed for each major subjective category in the general correspondence file, and for each subdivision listed on the file outline portion of the Files Maintenance and Disposition Plan Form. Technical Reference materials may not need or be appropriate for filing in folders. In many instances they are more appropriately kept or housed in other appropriate equipment.

PREPARING GUIDE AND FOLDERS. Type identifying data. In general correspondence files include the file symbol, subject title, and year on folder labels.

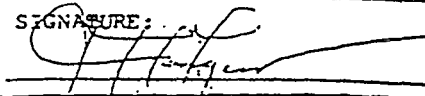
EXAMPLE:

ADM 1 - Administration of Office 1979
Personnel

On locator guides include the same information, except omit the year to permit reuse of the guides. Do not indicate year on folder labels for material destroyed in less than one year (indicate month only), such as transitory and reading files; or for perpetual-type files which are disposable when superseded, obsolete, no longer needed, etc., policy reference, presentation aids, and building services files. When folder content reaches its capacity, either add a new folder bearing the same file designation in front of the full folder, and show inclusive dates on the folder label; or subdivide the contents, if practical, by adding new file designations. Use only one color folder unless an additional color serves a specific purpose, such as when it would facilitate filing and reference by distinguishing between case working papers and case files when the folders are maintained together.

POSITION. Position labels to indicate levels of subdivisions in both correspondence files and separate series. For example, the first position label should always introduce and identify the main title of a series, the major category or subtopics. When there are numerous tertiary and further subdivisions in correspondence files or separate series - to achieve a better balance of guides to folders - place both the first position and primary subdivisions in the first position, the secondary subdivisions in the second position, and further subdivisions in separate series, and where there is a little growth potential, folder and guide labels may be placed in only the first position. Regardless of position of labels, they should be consistent throughout the files, should present a uniform and balanced appearance, and should allow for expansion of the files. For example, do not place all folder labels for subdivisions in the first position for one series, and subdivide them in another.

CHARGE-OUT RECORDS - Be sure that you charge out records that are borrowed or permanently removed from your active file. Get the borrowers name, place of work, and telephone number.

Government of Guam FILES MAINTENANCE AND DISPOSITION PLAN		DATE PREPARED:
1. OFFICE OF RECORD: Records Management Division Department of Administration (symbol, title and department/agency)	2. PREPARED BY: J. T. ANGOCO Signature	
3. TYPE NAME AND POSITION OF RECORD TECHNICIAN: J.T. ANGOCO, Records Management Officer	4. SIGNATURE: 	
(X) INITIAL PLAN () SUPERSEDES PLAN DATED: (Does not replace a previous plan)	(Include office symbol and title, if different from Item No. 1)	6. DEPARTMENT OF ADMINISTRATION RECORDS MANAGEMENT OFFICER J. T. ANGOCO Signature

FILES PLAN

	TITLE OR DESCRIPTION OF RECORD SERIES (B)	FILING ARRANGEMENT OF EACH SERIES (Subjectively, numerically, alphabetically, etc.) (C)	DISPOSITION (D)
1.	Files Maintenance & Disposition Plan	Front of Files.	As required
2.	Office Delegations/Designations of Authority and Additional Duty Assignments	Chronological	1 year
3.	<u>Transitory Material</u> JAN - MAY - SEP (1st Folder) FEB - JUN. - OCT (2nd Folder) MAR - JUL - NOV (3rd Folder) APR - AUG - DEC (4th Folder)	Chronological Chronological Chronological Chronological	3 months (90 day) 3 months (90 day) 3 months (90 days) 3 months (90 days)
4.	General Correspondence (Temporary) ADM - OFFICE ADMINISTRATION 1 - Administration of Office Personnel 2 - Office Supplies, Services & Equipment MGT - ADMINISTRATIVE MANAGEMENT 1 - Communications (Written) 2 - Records Management Act (P.L. 6-64) 3 - Records Disposition 4 - Records Retrieval 5 - Records Retention Schedule 6 - Records Management Reports (Monthly, Quarterly and Yearly) 7 - Budget Request 8 - Request for Disposal Authorization (All Departments and Agencies) 9 - Records Transfer Lists (All Departments and Agencies)	Alphabetical Subjective Subjective Chronological Numerical Numerical Numerical Chronological Chronological Numerical Numerical	Indefinite As required 1 year Permanent 2 years 2 years Indefinite 2 years 2 years 2 years 2 years

7. FILES PLAN (continued)

ITEM NO. (A)	TITLE OR DESCRIPTION OF RECORD SERIES (B)	FILING ARRANGEMENT OF EACH SERIES (Subjectively, numerically, alphabetically, etc.) (C)	DISPOSITION (D)
5	Governor's Circulars	Chronological	1 year
6	Department of Administration's Organizational Circulars	Chronological	1 year
7	Executive Orders	Chronological	1 year

(REPRODUCED AT GOVERNMENT OF GUAM EXPENSE)