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**DEPARTMENT OF  
 ADMINISTRATION**  
 DIPATTAMENTON ATMENESTRASION  
 DIRECTOR'S OFFICE  
 (Ufisinan Direktot)  
 Telephone (Telifon): (671) 475-1101/1250



LOURDES A. LEON GUERRERO  
 Governor (Maga'håga)  
 JOSHUA F. TENORIO  
 Lt. Governor (Sigundo Maga'låhi)

April 2, 2026

HRD NO.: 26-173

**MEMORANDUM**

To: Personnel Services Administrator, Human Resources Division  
 From: Personnel Specialist IV, Classification and Pay Branch  
 Subject: Proposed Creation of Position  
 RE: Regulatory and Compliance Officer

**Buenas yan Håfa Adail** This is to respectfully request your approval for the creation and establishment of classification specifications for the Regulatory and Compliance Officer position in the classified service within the Department of Administration (DOA).

The request is based on the Classification Branch's review of the duties and responsibilities currently being performed by the positions that exist on the current staffing pattern and are being utilized by the Division, and are inherently HRD positions.

To properly classify the position and to appropriately align the duties and responsibilities of the Division structurally and organizationally within the overall composition of DOA, we propose the creation of the above-referenced position that best represents and is specific to the Division, in order for it to effectively carry out its mission and goals.

The Regulatory and Compliance Officer position is based on the need to create a more comprehensive position that is responsible for the development and administration of government policies, procedures and laws that align with current federal and local mandates and compliance requirements. The position is vital in providing analytical and consultative work involving the specialized services and regulatory and compliance programs of DOA, and ensuring adherence to laws, regulations, policies and standards government-wide including semi- and autonomous agencies.

Accordingly, the following is our recommended Hay Evaluation for the proposed position:

POSITION TITLE	KNOW-HOW	PROBLEM SOLVING	ACCOUNTABILITY	TOTAL POINTS	PAY GRADE
Regulatory and Compliance Officer	F I 3 264	E 4 43% 115	E 3 C 132	511	P


Upon approval of this request, the proposal will be posted on the Department of Administration's website for a period of ten (10) working days, pursuant to 4 GCA §6303 (c)(2). Additionally, electronic copies will be provided to the various local media outlets to fulfill the transparency and disclosure requirements. After the 10-day period has expired, the proposed job specification will be sent to the Director of Administration and the Governor for final approval.

Your consideration of the above request is greatly appreciated. Should you have any questions, please do not hesitate to contact our Classification and Pay Branch at 475-1131/1174/1201. ***Dangkolo na Agradesimiento!***



ROSEZETTE NT SANTOS

Attachments

<input checked="" type="checkbox"/> APPROVED
<input type="checkbox"/> DISAPPROVED

TONY C. AGUON, PSA Human Resources Division
Date: 4/8/20

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**NATURE OF WORK IN THIS CLASS:**

This is complex professional analytical and consultative work involving the specialized services and regulatory and compliance programs of the Department of Administration (DOA).

This class oversees, supervises and participates in a variety of special projects and program evaluation requiring extensive research and analysis of human resource issues, problems and conditions relating to the adherence to laws, regulations, policies and standards government-wide including semi- and autonomous agencies. Receives direction and serves as a team leader or works independently depending on size and scope of assigned program or project.

**ILLUSTRATIVE EXAMPLES OF WORK:** (These examples do not list all the duties which may be assigned; any one position may not include all the duties listed.)

Develops administrative procedures and guidelines to be followed in the implementation of projects and activities to ensure compliance with regulations and standard operating procedures within the government of Guam.

Provides interpretation and guidance on appropriate application of existing and revised human resource related federal or local laws, rules and policies; provides training and/or advises other human resource professionals on regulatory and compliance issues that involve the application or methods and procedures to certain personnel management functions.

Conducts research, investigations and analysis of laws and rules or related issues having government-wide impact; performs internal and external audits of personnel rules and other related references and resources to evaluate adherence to government policies; prepares written analysis including recommendations and alternative courses of action for resolving problems or issues.

Oversees the review of legislative bills and the preparation of reports required by the Guam Legislature, Civil Service Commission, Office of the Attorney General (AG), Office of the Governor or other regulatory agencies; requests for opinion of the AG as needed.

Reviews and responds to requests for documents in compliance with the Freedom of Information Act (FOIA) and Health Insurance Portability and Accountability Act (HIPPA.)

Reviews existing and newly created federal and local legislation and regulations including case law and court standards; assists in the revision or development of human resource policies, procedures and systems to reflect changes or updates.

Develops policies and formulates updates for human resources standard operating procedures, workflow processes for various sections within HR, personnel rules and regulations and government-wide circulars.

Compiles and maintains regulatory and compliance documentation database or systems; maintains records and prepares descriptive, narrative, statistical and analytical reports.

May serve as Human Resource consultant for one-or-more line departments; provides direct departmental support and advice on human resource management regulatory and compliance practices as appropriate.

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Performs related duties as required.

**MINIMUM KNOWLEDGE, ABILITIES AND SKILLS:**

Knowledge of technical practices and procedures involved in the administration of compliance and regulatory programs including organizational and functional relationships within the public sector.

Knowledge of personnel laws, rules and regulations and government policies.

Knowledge of regulatory and compliance laws, regulations and related guidelines.

Knowledge of the principles and techniques of analytical research applicable to complex organizations.

Knowledge of automated human resource systems and associated software such as spreadsheet, word processing, and database management systems.

Ability to communicate complex regulatory requirements to internal and external stakeholders.

Ability to maintain current knowledge of existing and emerging regulations, standards, policies and laws.

Ability to train and/or supervise the work of others.

Ability to work effectively with the public and employees.

Ability to communicate effectively, orally and in writing.

Skill in the analysis and interpretation of management information or data and devise solutions to problems and/or implement changes in personnel laws, rules and regulations, policies and procedures.

Skill in conducting research, gathering facts and analyzing issues and making decisions in accordance with human resource laws, rules, regulations, policies and other appropriate guidelines.

Skill in maintaining records and prepare reports.

Skill in the safe operation of a motor vehicle.

**MINIMUM EXPERIENCE AND TRAINING:**

- A. Three (3) years of professional public personnel administration work with specialized experience in regulatory and compliance programs which demonstrates the ability to explain, apply or interpret rules, regulations, procedures, policies or precedents and two (2) years of experience in a supervisory capacity, and graduation from a recognized or accredited college or university with a Master's degree in public or business administration, human resources or related field; or

**Regulatory and Compliance Officer (DOA)  
(Proposed Creation)**

2.240

- B. Four (4) years of professional public personnel administration work with specialized experience in regulatory and compliance programs which demonstrates the ability to explain, apply or interpret rules, regulations, procedures, policies or precedents and two (2) years of experience in a supervisory capacity, and graduation from a recognized or accredited college or university with a Bachelor's degree in public or business administration, human resources or related field; or
- C. Four (4) years of experience as a paralegal, two (2) years in a supervisory capacity and graduation from a recognized or accredited college or university with a Bachelor's degree in legal studies.

**NECESSARY SPECIAL QUALIFICATION:**

Possession of a valid driver's license may be required.

**ESTABLISHED:                      APRIL 2026**

**PAYGRADE:                        P (GPP)**

<b>HAY EVALUATION:</b>	<b>KNOW-HOW:</b>	F	I	3	264
	<b>PROBLEM SOLVING:</b>	E	4	43%	115
	<b>ACCOUNTABILITY:</b>	E	3	C	<u>132</u>
	<b>TOTAL POINTS</b>				<b>511</b>

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EDWARD M. BIRN, Director  
Department of Administration

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LOURDES A. LEON GUERRERO  
Governor of Guam

## DEPARTMENT OF ADMINISTRATION POSITION DESCRIPTION QUESTIONNAIRE

### I. IDENTIFICATION

Official Position Title: <u>Regulatory and Compliance Officer</u>	Official Position No.:
Job Location:	
<u>Department of Administration</u> (Department/Agency)	<u>Human Resources Division</u> (Division) (Section/Unit)
Name:	
Last	First Middle Initial
Pay Grade: <u>P</u> <input checked="" type="checkbox"/> Classified	<input type="checkbox"/> Unclassified <input type="checkbox"/> Position Vacant
Supervisor: <u>Tony Aguon</u>	<u>Personnel Specialist Administrator</u>
(Name of Direct Supervisor)	Title of Supervisor

### II. DESCRIPTION OF DUTIES

Duty NO. or % of Time	<p><b>ESSENTIAL FUNCTIONS:</b> Organize and list duties and responsibilities that <b>MUST</b> be performed. List duties in one of the formats below.</p> <p>(1) The daily work assignments, beginning with the first duty and ending with the last duty for the day.</p> <p>(2) Percentage of time and show % for each (total % equals 100%).</p> <p>(3) Order of importance, beginning with the most important.</p> <p>Mark (√ or X) one format only: <input type="checkbox"/> (1), <input type="checkbox"/> (2), <input checked="" type="checkbox"/> (3)</p>
1	Researches and analyzes laws, personnel rules and policies affecting the Human Resources Division and other agencies government-wide including semi- and autonomous agencies.
2	Provides interpretation and guidance and recommendations to both management and employees of the government on appropriate application of existing and revised federal and local laws, rules and policies regarding regulatory and compliance issues.
3	Reviews legislative bills; reviews and responds to Freedom of Information Act (FOIA) requests, subpoenas and Civil Service Commission (CSC) audit requests; requests for the opinion of the Attorney General as needed.
4	Develops and formulates standard operating procedures (SOP), workflow processes, administrative guidelines and government-wide circulars for the implementation of projects and activities within the HR Division.
5	Reviews existing and newly created federal and local legislation and regulations including case law and court standards; assist in the revision or development of human resource policies, procures and systems to reflect changes or updates.
6	Updates the DOA personnel rules and regulations as necessary.
7	Compiles and maintains regulatory and compliance documentation database; prepares technical, statistical and analytical reports as required.
8	Analyzes human resources related bills, determines potential impact, and provides comments or testimony to the Guam Legislature.
9	Reviews documents to be posted on the DOA HR website and redacts information as necessary to comply any FOIA and HIPPA laws.
10	Performs related duties as required.
	<p><b>NON-ESSENTIAL OR ADDITIONAL FUNCTIONS:</b> List duties and responsibilities not listed above that <b>may</b> be performed, as assigned.</p>

	Assist other HR branches within the division at the direction of supervisor and/or management.

**III. CONTACTS:** Departments, agencies and individuals you deal with during the course of your daily activities.

A. Within your department / agency. Mark (X or √) one box:			
<input type="checkbox"/> None	<input type="checkbox"/> Up to 15% of total working hours	<input checked="" type="checkbox"/> 15 – 50% of total working hours	<input type="checkbox"/> Over 50%
B. Outside your department / agency. Mark (X or √)			
<input type="checkbox"/> None	<input type="checkbox"/> Up to 15% of total working hours	<input type="checkbox"/> 15 – 50% of total working hours	<input checked="" type="checkbox"/> Over 50%

**IV. SUPERVISION RECEIVED:** How closely is the employee's/jobholder's work reviewed by the direct supervisor?  
Mark (X or √) one correct response.

<input type="checkbox"/>	Detailed and specific instructions / procedures received or followed for each assignment.
<input checked="" type="checkbox"/>	General Supervision – Routine duties are performed with minimal supervision. Standard practices or procedures allow employee to function alone at routine work. Supervisor makes occasional check of work while in progress. Work is reviewed upon completion.
<input type="checkbox"/>	Direction – Receives guidance about general objectives in most of the tasks and projects assigned; determines methods, work sequence, scheduling and how to achieve objectives of assignments; operates within policy guidelines. (Generally applicable to skilled professionals, supervisors and managers.)
<input type="checkbox"/>	General Direction – Receives very general guidance about overall objectives; work is usually quite independent of others; operates within division or department policy guidelines, using independent judgment in achieving assigned objectives. (Generally applicable to managers / administrators in large and complex organizations and to department / agency heads and their first assistants.)

**V. SUPERVISION EXERCISED:** The employee/jobholder supervises other employees. List the number of employees supervised, their position titles, and a brief description of their responsibilities.

Number Supervised	Position Title	Description of Responsibilities
N/A		

**VI. EQUIPMENT:** List the equipment (pickup truck, welder, crane, etc.), office machines (word processor, calculator, copying machine, etc.), or any other machines, tools or devices that are used on a regular and continuing basis. Show what percentage of the regular workday is spent using each.

TOOLS / EQUIPMENT	PERCENT (%) OF TIME FOR EACH
Computer/ Printer	80%
Copier Machine/Scanner	10%
Telephone	10%


**VII. JOB REQUIREMENTS**

Mark (✓ or X) here if jobholder is unable to complete this section. The direct supervisor will then complete this section for the jobholder.

**A. MINIMUM QUALIFICATION REQUIREMENTS:** List the minimum experience and training a qualified applicant must have before employment.

<b>1. WORK EXPERIENCE:</b> List the general, specialized and/or supervisory / management work experience needed and how much (in months and/or years). If none, mark (✓ or X) "No work experience required."	
<input checked="" type="checkbox"/> No work experience is required.	
General:	
Specialized: Three (3) years of specialized experience in regulatory and compliance programs which demonstrates the ability to explain, apply or interpret rules, regulations, procedures, policies or precedents.	3 years
Supervisor / Management: Two (2) years in a supervisory capacity.	2 years
If no work experience is required, list the knowledge, abilities and skills a qualified applicant needs before employment to perform the essential job functions.	
<b>2. FORMAL EDUCATION OR TRAINING:</b>	
Mark (✓ or X) the <b>most</b> applicable education level required.	
a. <input type="checkbox"/> Below High School – Show Number of Years	
b. <input checked="" type="checkbox"/> High School Graduation / GED	
c. <input type="checkbox"/> Vocational / Technical School	
Show specific training that is required by this position.	
_____	
_____	
_____	
_____	
d. <input type="checkbox"/> Some College	
Show number of <input type="checkbox"/> Semester Hours _____ or <input type="checkbox"/> Quarter Hours _____.	
Show specific courses required by the essential functions of this job.	
_____	
_____	
_____	
_____	

e. College Degree (Show major area of study required.)

[ ] Associate's : \_\_\_\_\_

[ ] Bachelor's: \_\_\_\_\_

[ X ] Master's: Public or Business Administration, Human Resources, Law or related field.

[ ] Beyond Masters: \_\_\_\_\_

**3. CRITICAL SKILLS / EXPERTISE:** List specialized skills or specialization needed to perform essential functions.


**4. LICENSE, REGISTRATION OR CERTIFICATION:**

List possession of required license, professional registration/certification needed to perform essential functions.

Valid Guam Driver's License


**B. MENTAL / VISUAL, PHYSICAL, AND ENVIRONMENTAL JOB REQUIREMENTS:**

**1. Mark (√ or X) the most appropriate physical requirement(s) for the job.**

- [ X ] Sitting      The job requires the employee to sit in a comfortable position most of the time. The employee can move about.
- [ ] Sitting      Employee is required to sit for extended periods or time without being able to leave the work area.
- [ ] Sitting/Standing/Walking      The employee is required to sit, stand, walk most of the time.
- [ ] Climbing      Employee is required to climb ladders or scaffolding or to climb and work in overhead areas.
- [ ] Lifting      Employee is required to raise or lower objects from one level to another regularly.
- [ ] Pulling and/or Pushing      The job requires exerting force up to \_\_\_\_\_ pounds on a regular basis to move the object to or away from the employee.
- [ ] Carrying      The employee is required, on a regular basis, to carry objects in his or her arms or on the shoulder(s).
- [ ] Reaching      The employee is regularly required to use the hands and arms to reach for objects.
- [ ] Stooping and Crouching      The employee is regularly required to bend forward by bending at the waist or by bending legs and spine.
- [ ] Crawling      Employee is required to work in a confined space and/or to crawl and move about on his or her hands and knees.
- [ X ] Speaking      The job requires expressing ideas by the spoken word.
- [ X ] Listening      The job requires the perception of speech or the nature of sounds in the air.
- [ ] Other      Describe the requirement.  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**2. Mark (√ or X) the most appropriate mental / visual requirement for the job.**

- [ X ] General Intelligence (typical requirement for machine operators, office staff, etc.)

- Motor Coordination Skills (typical for automotive mechanic, painter, etc.)
  - Coordination of Eyes, Hands, and Feet (typical for tractor trailer driver, fire fighter, line electrician, etc.)
  - Verbal Intelligence (typical for counselors, customer service representatives, etc.)
  - Numerical Intelligence (typical for an accounting clerk, cargo checker, etc.)
  - Other:
- 
- 
- 

**3. The job's most appropriate work environment and the weather exposure.**

Show what percent of a typical workday is spent.  
(Select one response only)

- 100 % Indoors in a comfortable temperature-controlled environment (for instance, in an office).
- % Indoors in a non-temperature-controlled environment (such as an open garage, storerooms and warehouses, etc.)
- % Outdoors exposed to changing weather conditions (for instance, rain, sun, wind, etc.)
- % Outdoors but in an enclosed vehicle protected from extreme weather conditions.

**4. Other physical working conditions**

Mark (X or √) if none of the following is applicable.

Show what percent of a typical workday this position is exposed to:

- % Air contamination (i.e., dust, fumes, smoke, toxic conditions, disagreeable odors).
- % Vibration (i.e., operating jackhammer, impact wrench).
- % Noise (Exposure at a level enough to cause bearing loss or fatigue).
- % An improperly illuminated or awkward and confining work space.
- % Working above ground level where the chance of falling exists (i.e., on ladders, rooftops, bucket trucks, scaffolding).
- % Lifting or carrying items or objects. Describe item/object and weight:  


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- % Heat. Describe source and degree of high temperature.  


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- % Cold. Describe source and degree of cold temperature:  


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- % Other hazards. Describe:  


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**5. Describe the working conditions that are irregular or unusual for the job and show frequency of exposure.**

Mark (X or √) if not applicable.

CONDITION	FREQUENCY OF EXPOSURE

**C. Work Schedule/Hours** – Mark (√ or X) the most appropriate work schedule/hours for the job.

<input checked="" type="checkbox"/> Regular – Standard Eight (8) hours daily, Monday – Friday
<input type="checkbox"/> Irregular – Shift work – A 24-hour work operation.
<input type="checkbox"/> Regular / Irregular – Overtime hours with overtime pay entitlement State Purpose and Total Hours required per pay period: _____ _____
<input type="checkbox"/> Regular / Irregular – Overtime hours without overtime pay entitlement State Purpose and Total Hours required per pay period: _____ _____

The information given on this position is complete and correct.

\_\_\_\_\_  
Signature of Employee

\_\_\_\_\_  
Date

VIII. SUPERVISOR'S REVIEW

**IMPORTANT: This Block To Be Filled Out Only By The Direct Supervisor**

a.	(1) Has the employee correctly stated his or her official payroll position title? [ ] Yes [ ] No								
	(2) If not, what is the correct title? _____								
b.	(1) Are the employee's statements about the duties of his/her position and the supplementary information complete and accurate? [ ] Yes [ ] No								
	(2) If not, what additions, deletions or corrections should be made? (Refer to block and page) _____ _____ _____								
c.	What positions under your supervision perform the same essential functions Give name and title: <table border="0"><thead><tr><th style="text-align: center;">Name</th><th style="text-align: center;">Title</th></tr></thead><tbody><tr><td>_____</td><td>_____</td></tr><tr><td>_____</td><td>_____</td></tr><tr><td>_____</td><td>_____</td></tr></tbody></table>	Name	Title	_____	_____	_____	_____	_____	_____
Name	Title								
_____	_____								
_____	_____								
_____	_____								
d.	Does this position require (mark one) [ ] Immediate supervision on a regular basis, [ ] Immediate supervision only for new/complex tasks, or [ ] Little immediate supervision.								
e.	Does the employee participate in (mark those appropriate) the [ ] Formulation, [ ] Interpretation, and/or [ ] Application of Agency/Department policy. Give examples: _____ _____ _____								
f.	The employee (mark one) [ ] Performs routine, well-defined tasks, [ ] Performs moderately complex tasks requiring moderate knowledge of Agency's/Department's work; or [ ] Performs complex tasks requiring extensive knowledge of Agency's/Department's work.								

I certify to the accuracy of the description of duties, responsibilities and organizational relationships provided herein; further, that the position is necessary to carry out government functions for which I am responsible. This certification is made with the knowledge that this information is to be used for statutory purposes on the use of public funds. The false or misleading statement may constitute violations of such statutes or their implementing regulations.

\_\_\_\_\_  
Signature of Immediate Supervisor

\_\_\_\_\_  
Signature of Department/Agency Head

9/8/20  
\_\_\_\_\_  
Date

4/8/20  
\_\_\_\_\_  
Date

