RECORDS MANAGEMENT MANUAL

FIRST EDITION

Records Management Improvement Committee

UNIVERSITY OF THE PHILIPPINES MINDANAO

University of the Philippines Mindanao
Records Management Improvement Committee (RMIC)
Records Management (RM) Module

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RMIC UP MINDANAO

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RECORDS MANAGEMENT MANUAL

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Records Management Improvement Committee

University of the Philippines Mindanao

FOREWORD

The Records Management Improvement Committee logo is similar to the record button which is used to preset or start a recording mode. This record button is vital for the records holder when he/she performs his/her tasks in handling records and information of the unit and of the university.

Surrounding the record button are three colors, with each color respectively symbolizing these three values: harmony, integrity and transparency (H.I.T.). Green symbolizes harmony, yellow is the color for integrity and maroon is for transparency. These three colors are also known to be UP colors that build recognition for the institution, as emphasized in the UP Brand Book. A records holder's commitment is anchored in these values.

The RMIC's logo gives emphasis to the significance of efficient records management system which aims to bring harmony among colleagues in a unit, highlight the integrity of the records holder and maintain the transparency on how the records are handled and kept.

…and this is the committee's mission—our passion.

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ACKNOWLEDGMENTS

"Be not afraid of greatness. Some are born great, some achieve greatness, and others have greatness thrust upon them."

—William Shakespeare, Twelfth Night

The creation of this Records Management manual would have never been a reality without the support of the many great people in the University of the Philippines Mindanao.

Ma'am Beng, your leadership has not only stirred great progress in many aspects of this institution—because you believe in the capability of all staff, the committee has been empowered also to be as great as you are. May you continue to endeavor to instill wisdom and to inspire many people from all walks of life.

Sir Tony, we always got your back in all the challenges and tasks this committee has been entrusted to. Thank you for the guidance and advices—and for pushing us to achieve more.

Sir Brix, for sharing with us your vision of having an archives center in the university and for assisting us in making this dream a reality, we are truly grateful.

To Ma'am Onnie and Sir Ally, thank you for the undying support your team has given to UP Min—for guiding and helping us from the start. We appreciate your efforts of flying to UP Min to orient us on effective records management.

To all the members of the committee and the working force of this institution—may the power be always upon us. Let us continue the excellence we are known for. It doesn't matter how big or how small our accomplishments are. There are and always be people who appreciate even the little goodness that we do. *Padayon ta sa paglambo!*

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MESSAGE

I congratulate the Records Manual Management Team for completing a milestone for UP Mindanao. The crafting of this manual is a result of months of research, planning and consultation and is another step toward the improvement of our administrative processes.

This manual will help us through a system of records management in order to easily locate and share information, standardize our labeling systems, realize efficiencies through reduced storage costs related to physical files and improved storage of critical files.

I thank all members of the Records Management Committee who went out of their way to develop this manual to the point of working beyond the normal office hours. May you all continue to be passionate about keeping records and enjoy what you are doing.

Congratulations once again and *padayon*.

SYLVIA B. CONCEPCION, Ph.D.
Chancellor

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MESSAGE

My COMMENDATIONS and CONGRATULATIONS to the Records Management Committee for a JOB WELL DONE!

I can vividly remember when a proposal to form a committee to look into the records and archives of the University was submitted and approved by the Chancellor. It arose from the observation that a lot of records were stuffed in shelves and cabinets and, in most instances, very difficult to locate especially those that pertain to the history of UP Mindanao.

The committee, composed of young and dedicated administrative staff headed by Ms. Christie A. Estocado, immediately started the work with very minimal knowledge about records management. Personally, I did not expect so much from the group since its members were also loaded with tasks in their respective offices. What I wanted to know was the status of the University's records and management and recommendations on what we should do to improve them.

Since the time the committee was formed in 2013, it has evolved into a solid group, able to build up expertise and technical knowhow (individually and collectively), which resulted in the creation of a better records management system in the University. Our records system now is getting better and better and is expected to become fully compliant with the standards set by the National Archives in the very near future.

I believe that the TEAM will not only take the University's Records Management System to greater heights, but will also be able to share its expertise with other government and private institutions through UP Mindanao or individually or collectively as practitioners.

I take my hats off to the whole committee for the commitment and dedication and for the excellent and meritorious accomplishment that it has delivered for the University.

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ANTONIO R. OBSIOMA, Ph.D.
Vice Chancellor for Administration

UP MINDANAO HISTORY

The vision of having a UP in Mindanao started way before 1995. The UP Alumni Association-Davao Chapter, established on December 3, 1949, had wanted for more than two decades (since the 1970s) the establishment of a UP in Mindanao.

The beginnings of the campus may be recorded as early as 1961 when the UP Summer School started with its offering of extension courses in Law, Business Administration, and Education at the old location of the Davao Central Elementary School, in downtown Davao.

On November 24 and November 25, 1989, the UPAA Davao Chapter hosted the 12th UP Regional Alumni Institute with then Senator Vicente Paterno as keynote speaker. Then UP President Jose V. Abueva, who attended the conference, was witness to the strong and united voice of about 630 alumni in attendance joined by representatives from media and business sectors, all clamoring for a resolution that would promote the establishment of a University of the Philippines in Mindanao, specifically in Davao City. A resolution towards the end of the RAI activities was drafted, presented, unanimously approved, and adopted by the Institute on November 25, 1989. This was submitted to the UPAA national board, which in turn, endorsed it to the UP Board of Regents.

The vision of a UP in Mindanao began to materialize when, on the third regular session of the House of Representatives on April 30, 1990, 1st District Representative Prospero C. Nograles introduced House Bill 30358, also known as "An Act to Establish the University of the Philippines in Mindanao".

A public hearing on House Bill 30358 was conducted by Senator Edgardo Angara (then Chairman of the Senate Committee on Education) on October 12, 1990 at the Davao City Chamber of Commerce. It was sponsored by Representatives Nograles and Rodolfo del Rosario of Davao del Norte. To initially address this clamor for a UP Mindanao, UP President Abueva created the UP Consortium System.

When the term of UP President Abueva ended, President Fidel V. Ramos appointed Dr. Emil Q. Javier as UP President. President Javier created a fact-finding committee composed of Regents Oscar Alfonso, Vice-President for Planning Fortunato dela Peña, Atty. Carmelita Yadao-Guno, and Dr. Rogelio V. Cuyno.

The committee flew to Davao for an ocular inspection of the probable sites. The committee eventually negotiated with the Bureau of Plant Industry National Director Nerios Roperos for the segregation of 204 hectares of the BPI area in Mintal for the site of the UP Mindanao campus. The task of sponsoring the UP Mindanao Act was given to the late congressman Elias B. Lopez, being a UP alumnus serving as the Davao Representative.

RA 7889, the Bill creating UP Mindanao was finally enacted into law on February 20, 1995. On March 22 of the same year, the Board of Regents officially created the University of the Philippines Mindanao. The Board of Regents granted full autonomy to UP Mindanao on February 26, 1998, making it the sixth Constituent University (CU) of the UP System.

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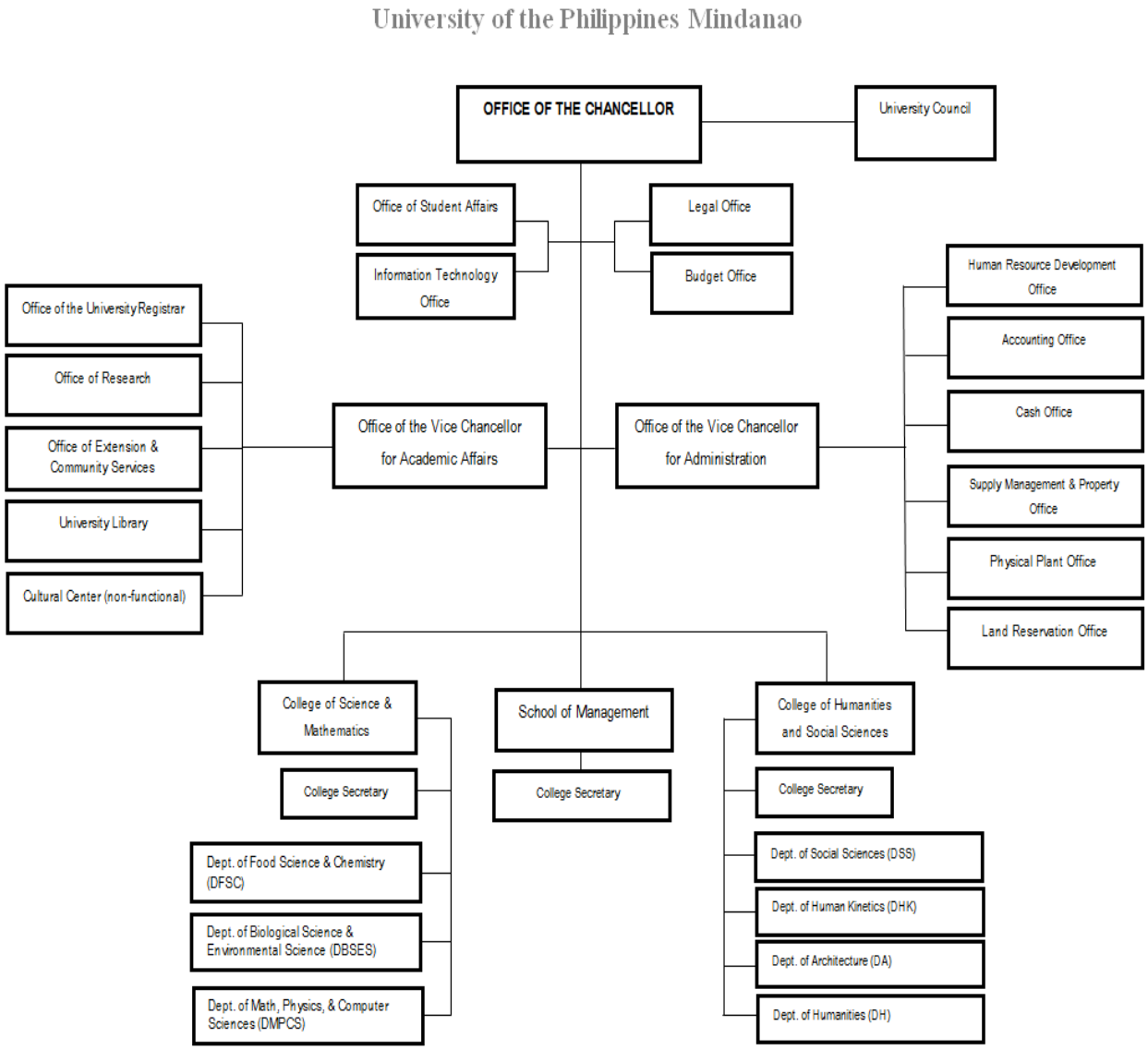
ORGANIZATIONAL CHART*



*BOR Approved 21 October 2002

THE INSTITUTION OF RECORDS MANAGEMENT SYSTEM

Dr. Rogelio V. Cuyno, who initially served as Dean of the campus, was appointed as the first Chancellor on December 11, 1998. During this beginning years of the University, the University Librarian, Dr. Briccio M. Merced proposed the creation of an Archive Center under the University Library. As there is no available plantilla item and additional resources to create such office, his proposal was put on hold.

During the term of the second Chancellor, Prof. Ricardo M. de Ungria, who took over on March 2, 2001 and served for a total of six years, Dr. Merced had once again reiterated his proposal but the same did not materialize due to funding and manpower constraints.

The proposal meted the same fate during the term of the third Chancellor of the University, Dr. Gilda C. Rivero, who served from March 2007 until February 2013.

It was after twenty years during the term of the fourth Chancellor Prof. Sylvia B. Concepcion, when the idea of a records management was accepted and a plan to have a Records Management System was finally institutionalized. At this time, the administration of Chancellor Concepcion, through the initiative of Vice Chancellor for Administration, Dr. Antonio R. Obsioma, constituted the Records Management Team (RMT).

The only UP constituent university that has set-up a Records Office is UP Los Baños. With limited knowledge and training, the RMT sought the guidance of UPLB Records Office Chief, Ms. Apolonia Talatala, in plotting the steps to take in order to establish a records management system in UP Mindanao.

With the assistance and facilitation of Ms. Talatala and her assistant Mr. Allyson Calapine, a series of workshops were conducted to train the RMT and admin personnel on records management principles and practices. Particularly, it was an orientation on the process of establishing a records management system as follows:

Phase 1: Establishing a File Classification System

Phase 2: Establishing a Records Retention and Disposition Schedule

Phase 3: Creation of a Records Management Manual

Phase 4: Records Inventory

Phase 5: Creation of Records Preservation and Disaster Protection Plan

Phase 6: Records Digitalization and Automation

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Towards the end of the first term of Chancellor Concepcion, the Executive Committee on 23 November 2015 approved the File Classification Guide and the Records Disposition Schedule. The RMT was able to conclude Phase 1 and Phase 2 before the term of their Committee ended in 28 February 2016.

Seeing the importance of records in the history of the University and recognizing the fact that there are still tasks that needs to be done in order to properly manage the University records, Chancellor Concepcion reconstituted the RMT into the Records Management Improvement Committee (RMIC) to pursue tasks that need to be undertaken to fully achieve an effective Records Management System.

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THE RECORDS MANAGEMENT IMPROVEMENT COMMITTEE (RMIC)

On the 4th of July 2014, Chancellor Sylvia B. Concepcion issued the memorandum constituting the Records Management Team (RMT). Headed by Ms. Mary Christie A. Estocado as Chair and Ms. Jo-an A. Garcia as Co-chair, the team was composed of nine (9) representatives coming from the three (3) colleges, Office of the Chancellor (OC), Office of the Vice Chancellor for Academic Affairs (OVCAA), Office of the Vice Chancellor for Administration (OVCAD), Human Resources Development Office (HRDO), Office of University Registrar (OUR) and Supply and Property Management Office (SPMO). For the complete names of the members, please see Annex A.

With the commendation of Chancellor Concepcion for the excellent performance of the RMT members, she reconstituted the team to the Ad Hoc Committee on the Records Management Improvement Committee (RMIC) on the 4th of December 2015. Ms. Mary Christie Estocado and Ms. Jo-an Garcia still headed the committee with the following members:

Ms. Florence Aquiatan – SOM Representative
Ms. Cheryl Oczon – CHSS Repsentative
Ms. Sharon Jean Año – CSM Representative
Ms. Hygeia Cusip – CSM Representative
Ms. Lyda May Sual-Lozaldo – OVCAA Representative
Ms. Ann Miraflor Batomalaque – OVCA Representative
Ms. Michelle Panis – OC Representative
Ms. Sheena Marione Nazareno – HRDO Representative
Ms. Ophelia Alano – OUR Representative
Ms. Hazel dela Peña – SPMO Representative
Ms. Alma Marcelino – OSA Representative
Ms. Krishna Balaga – ITO Representative
Ms. Grace Aponte – OR Representative

The committee was responsible for the:

1. systematic records management program in all phases of records management program, i.e. Creation, Maintenance and Disposition of Records;
2. preservation of documents which are of continuing value;
3. inventory, initial study and appraisal of the records in the university;
4. implementation of the Records Retention and Disposition Schedule which is duly approved by the Executive Director of the National Archives of the Philippines;
5. establishment of a records repository of documents which are no longer needed but not yet ready for disposal; and
6. development of a University Records Management Manual of Procedures.

In Calendar Year 2017, the RMIC was once again reconstituted as follows:

Chair: Ms. Jo-An Garcia
Members:
<u>Sub Committee on Inventory of Records</u>
Ms. Florence F. Aquiatan – Lead Person

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Ms. Sharon Jean A. Año
Ms. Ophella T. Alano
Ms. Grace T. Aponte
Ms. Krishna H. Balaga

Sub Committee on File Classification

Ms. Mary Christie A. Estocado – Lead Person
Ms. Analiza S. Fulvadora
Ms. Marianne L. Casan
Ms. Ruelyn S. Peronilla
Ms. Hazel D. Montecalvo

Sub Committee on RM Manual of Operations

Ms. Lyda May D. Sual-Lozaldo – Lead Person
Ms. Sheena Marione T. Nazareno
Ms. Michelle A. Panis
Ms. Ann Miraflor A. Batomalaque

The team started CY 2017 with a Planning Workshop with the objective of assessing the accomplishments for the last three years vis-à-vis the 2014 – 2016 Action Plan; identifying the challenges and weaknesses that needs to be addressed as well as the strengths that must be honed for the efficient implementation of RMIC projects in the next three years. The final output of this workshop is the RMIC Action Plan 2017-2019. During this workshop the RMIC was able to come up with its Vision, Mission and Mandate that would guide RMIC members in their journey towards establishing a Records Management System in the University:

VISION

A reliable records center with a standardized records management system that supports the University operations towards attaining institutional excellence.

MISSION

Safeguard University records for the efficient access and retrieval of institutional history essential to the transparency and responsible governance in the University.

MANDATE

The University Records Center is the repository of official records of the University of the Philippines Mindanao. It houses and preserves organizational records that relate to the operation and history of the University and its community. It is managed by the Records Management & Improvement Committee of the University.

The RMIC was also able to identify its place in the UP Mindanao organizational structure until such time that a Records Office will be established and how it shall operate.

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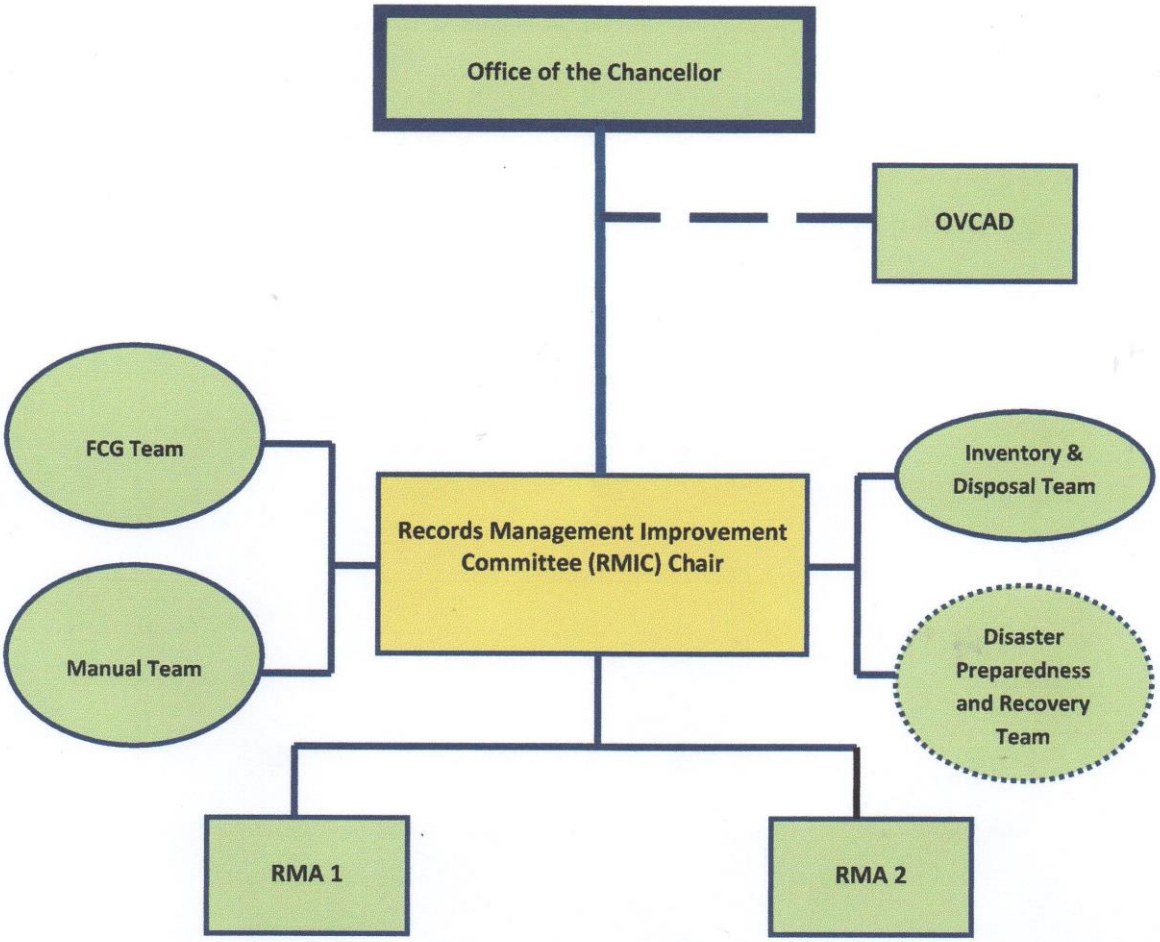

The RMIC's Action Plan prioritized the creation of a Records Manual to document its contribution to promote administrative efficiency in the university.

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DEFINITION OF TERMS

Archival Value – the value attached to records that remain useful for the three branches of the government; legislative, judiciary, executive, including constitutional offices and the general public because those records make government accountable to its citizens; provide evidence about public policies and programs; protect or verify individual's rights and entitlements; and provide information about the important people, issues, places, and events that make up the story of Philippine's history.

Archives – are the following:

(1) public records, papers, periodicals, books or other items, articles or materials, whether in the form of electronic, audio-visual, or print, which by their nature and characteristics have enduring archival value, that have been selected for permanent preservation;
(2) the place (building/room/storage area) where archival materials are kept and preserved; and
(3) an organization (or part of an organization) whose main function is to select, collect and preserve archival records and make such records available for public use;

Computer – device or apparatus singly or interconnected which by electronic, electro-mechanical, optical and/or magnetic impulse, or other means with the same function, can receive, record, transmit, store, process, correlate, analyze, project, retrieve and/or produce information, data, text, graphics, figures, voice, video, symbols or other modes of expression or perform any one or more of these functions.

Disposal – the act of selling, burning or any other way of discarding valueless records in accordance with the provisions of RA 9470.

Document – recorded information regardless of medium or characteristics. Frequently used interchangeably with "records";

Electronic Signatures – distinctive marks, characters and/or sound in electronic form, representing the identity of a person and attached to or logically associated with the electronic data message or electronic document or any methodology or procedures employed or adopted by a person and executed or adopted by such person with the intention of authenticating or approving an electronic data message or electronic document.

Electronic Data Message – information generated, sent, received or stored by electronic, optical or similar means.

Electronic Document – information of the representation of information, data, figures, symbols or other modes of written expression, described or however represented, by which a right is established or an obligation extinguished, or by which a fact may be

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proved or affirmed, which is received, recorded, transmitted, stored, processed, retrieved or produced electronically.

Government Agency/Office – any public office, department, bureau, agency and instrumentality, whether pertaining to the national government or local government unit.

Inventory – a descriptive listing of the records holding by records series indicating its specific location, inclusive date and volume in cubic meter; conduct of related activities to locate, identify, describe, count and measure all records in the office and storage areas including all loose and bound papers, microforms, optical disks, and magnetic tapes and disks.

Legal Value – the value of records containing evidence of legally enforceable rights or obligations of government and/or private person;

National Archives – the National Archives of the Philippines which is established and strengthened under RA 9470.

Public Records – records or classes of records, in any form, in whole or in part, created or received by a government agency in the conduct of its affairs and which have been retained by that government agency or its successors as evidence or because of the information contained therein.

Records – recorded information, whether in its original form or otherwise, including documents, signatures, seals, texts, images, sounds, speeches, or data compiled, recorded, or stored, as the case may be:

(1) in written form on any material; or
(2) on film, negative, tape, or other medium so as to be capable of being reproduced; or
(3) by means of any recording device or process, computer, or other electronic device or process;

Records Center/Storage Area – an intermediate repository in which non-current records of various government offices are stored until they can be destroyed or transferred to the National Archives of the Philippines;

Records Disposition – the systematic transfer of non-current records from office to storage area, identification and preservation of archival records and destruction of valueless records;

Records Disposition Schedule – the listing of record series by organization showing, for each records series the period of time it is to remain in the office area, in the storage (inactive) area and its preservation or destruction;

Records Management – the managerial activities involved with respect to records creation, records maintenance and use, transmission, retention and records disposition

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in order to achieve adequate and proper documentation of policies and transactions of government for its efficient, effective and economical operation.

Records Custodian/Holder – the employee of the university holding the position of Administrative Aide/Assistant; he/she may share responsibilities with the Records Officer.

Records Office – an organizational unit responsible for planning, developing, prescribing, disseminating and enforcing policies, rules and regulations and coordinating agency-wide records management program.

Records Officer – any employee responsible for overseeing the records management program and providing guidance on adequate and proper recordkeeping; he/she guides the Records Custodian in implementing the records management policies.

Records Series – a group of related records arranged under a single unit, label or kept together as a unit because the records deal with a particular subject, result from the same activity or have a related special form.

Restricted Access Records – refers to records which access have been restricted because there exists a legal impediment and/or standard or advice issued by the ED that requires such public records to be withheld from public access;

Retention Period – the specific period of time established and approved by the National Archives of the Philippines as the life span of records, after which they are deemed ready for permanent/archiving or destruction.

Transfer of Records – the systematic movement of records out of high cost space and equipment to less expensive storage are/Records Center;

Valueless Records – all records that have reached the prescribed retention and outlived the usefulness to the agency or the government as a whole;

Vital Records – records containing information essential for: emergency operation during a disaster; the resumption and/or continuation of operations; the re-establishment of the legal, financial and/or functional status of the organization; and the determination of the rights and obligations of individuals and corporate bodies with respect to the organization.

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INTRODUCTION

Per Article 2 of the Implementing Rules and Regulations of Republic Act No. 9470, otherwise known as the National Archives of the Philippines Act of 2007, public records are essential to the administration and operation of all government offices, whether national or local, including GOCCs and government financial institutions (GFIs). Public records contain information which allows government programs to function, provide officials with a basis for making decisions and ensure continuity with past operations. They document the legal responsibility of government, protect the rights of citizens and provide citizens with means of monitoring government programs and measuring the performance of public officials. Records of government offices, whether local or national, GOCCs and GFIs also reflect the historical development of the government and of the citizens which it serves. Such records need to be systematically managed to ensure preservation of historically valuable materials, to provide ready access to vital information and to promote the efficient and economical operation of government.

An efficient records management system is the result of the responsible implementation of the objectives and provisions of RA 9470. It also maintains the link to good relationship between colleagues, supervisors and stakeholders of a government unit. For UP Mindanao, the Records Management Manual serves as a standard process in managing and maintaining current and non-current records including policies, operational and administrative files created by most of the units in this university. The records being dealt on this manual are categorized into seven (7) groups of records as:

ACA – Academic
ADM – Administration and Management
CRE – Creative Works, Research and Extension
FIN – Financial
LEG – Legal
PER – Personnel
SAS – Student Affairs and Services

The university has also crafted the Handbook on File Classification, Retention and Disposition for the purpose of easy retrieval of records and to ensure the completeness of records and implement proper retention of records with permanent value and to dispose temporary records promptly (ARCIS, 1983). This handbook will be used in parallel with the Records Management Manual for a more effective handling and managing of university records.

Further, RA 9470 states that all government offices shall plan, formulate and implement a records management and archival administration program for the efficient creation, utilization, maintenance, retention, storage, preservation, conservation and disposal of public records including the adoption of security measures and vital records protection program for the agency.

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As the disposal of records is also considered in this guidebook, this university shall also adopt Article 36 of RA 9470 stating that no officer, member or employee shall destroy, sell or otherwise dispose of any public records or printed public document in such person's care or custody or under such person's control without first having secured authority from the National Archives of the Philippines (NAP) of their nature and obtained its authorization. The Records Retention and Disposition Schedule (RRDS) of the university shall thus be submitted to the NAP for approval once the records inventory of this university is in place.

Once the Records Center is established, archival records from the units/records offices can be transferred in this center for a more efficient management of records. This manual however emphasizes that the originator or creator of records shall be the single source of truth and thus has the responsibility to safe keep the original records specially for the current and active records of each unit.

In the event of transfer of records to the NAP, Rule 33 of RA 9470 shall be applied for the following records:

(a) Archival materials or collections of any government office which are more than thirty (30) years old and which it can no longer be maintained and preserved;
(b) Non-current public records that, in the judgment of the Chancellor, are permanent and enduring archival value or both to warrant their preservation;
(c) Public records of an office that ceases to exist as a public office, or ceases to exercise a function to which its public records related, unless otherwise provided by law that a government agency shall take over the responsibilities for those public records;
(d) Non-current public records of a government office that has thirty (30) years or more retention periods; and
(e) Inactive personnel records with archival value.

Complementing the provisions of this manual are the standards set forth in the International Standard Organization (ISO) 15489, otherwise known as the Records Management Standards. These standards establish the core concepts and principles of the creation, capture and management of records. ISO defines a record as evidence of business activity and information assets. As such, managing records should encompass the following:

a) creating and capturing records to meet requirements for evidence of business activity;
b) taking appropriate action to protect their authenticity, reliability, integrity and usability as their business context and requirements for their management change over time.

Following the records management approach and strategies provided for by ISO 15489 ensures that authoritative evidence of business is created, captured, managed and made accessible to those who need it, for as long as it is required.

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Moreover, ISO 15489 provides that institutionalizing a records management system enables an organization to have:

a) improved transparency and accountability;
b) effective policy formation;
c) informed decision-making;
d) management of business risks;
e) continuity in the event of disaster;
f) the protection of rights and obligations of organizations and individuals;
g) protection and support in litigation;
h) compliance with legislation and regulations;
i) reduction of costs through greater business efficiency;
j) the formation of business, personal and cultural identity; and,
k) the protection of corporate, personal and collective memory.

With this framework, the RMIC believes that this manual will help the University achieve its strategic goal of administrative efficiency through operational excellence.

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SECTION 1
FUNCTIONS AND RESPONSIBILITIES ON RECORDS MANAGEMENT

The Unit Heads, Records Officers and Records Custodians have shared responsibilities in the management and confidentiality of records. They must be responsible for all professional and technical matters relating to the delivery of effective and efficient records management services including training and inspection. The UP Mindanao management on the other hand, is responsible on matters regarding the welfare, discipline and training of records staff as well as resolution of issues and concerns relating to records keeping.

As emphasized in Section 12 on *General Data Privacy Principles* of the Implementing Rules and Regulations of Republic Act No. 10173, known as the "Data Privacy Act of 2012", the university shall ensure that processing of personal data of employees and students shall be allowed, subject to compliance with the requirements of this privacy act and other laws allowing disclosure of information to the public, and adherence to the principles of transparency, legitimate purpose, and proportionality.

It is understood that the administrative staff in a unit whose functions include records keeping management shall be the Records Custodian. In cases where records keeping management is being handled by two or more employees, the unit head shall designate the authorized Records Custodian and Records Officer.

Further, all records personnel as well as employees shall operate and hold personal data under strict confidentiality if the data personal data are not intended for public disclosure. Section 26 of Data Privacy Act states that this obligation shall continue even after leaving the public service, transferring to another position, or upon terminating their employment or contractual relations.

A. THE RECORDS OFFICER

The Unit Head of an office shall select and assign the Records Officer from among the existing employees of that office. Usually, the Administrative Officer of an office shall also serve as the Records Officer of that unit. As defined in this manual, the Records Officer refers to the employee responsible for overseeing the records management program and providing guidance on adequate and proper recordkeeping.

An efficient Records Officer, on top of other administrative functions, must take every opportunity to learn the particular needs and requirements of their agency and its users. Users are always shown the maximum possible courtesy and cooperation. The Records Officer must respond promptly to complaints of users, giving reasonable replies and explanations. Suggestions for improvements from users should be received and actively encouraged. These are implemented wherever possible.

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B. THE RECORDS CUSTODIAN

By virtue of recording/filing tasks and responsibilities assigned to an Administrative Aide/Assistant, he/she also shall automatically be referred as the Records Custodian of the office. With the guidance of the Records Officer, the Records Custodian shall provide record keeping services to authorized users who need to utilize the records.

The following are the essential responsibilities of the Records Custodian:

- receive and record incoming and internally created records of all kinds (such as letters, memoranda and faxes);
- open and log files, and forward to concerned officers;
- distribute outgoing records to concerned offices or officers;
- classify all officially registered files and other documentation in accordance to the approved File Classification Guide (FCG) for easy retrieval;
- know the location of all officially registered files and be able to produce them quickly;
- provide storage, repository and reference services for all officially registered files and other documentation;
- record and arrange for the efficient and timely dispatch of all correspondence produced by the officers they serve; and
- review and endorse to the Records Center the disposal of all outdated files or other records in accordance with the approved Records Retention and Disposal Schedule (RRDS).

C. RESPONSIBILITIES OF RECORD USERS

Record users are those personnel who are authorized to access and borrow records (i.e. staff and faculty) for official purposes only, provided that they:

- must use the records with extra care and return them promptly to the records officer;
- must not put any marks nor add/attach temporary materials on the records such as notes or clips;
- must not produce duplicate copies of the records in any form unless authorized to do so; and
- must not lend the borrowed record to another user.

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SECTION 2 INCOMING RECORDS

Records Custodians must deal promptly and accurately with many different kinds of incoming records. Incoming records will reach the units in a number of different ways. Some will come through the postage, some by hand, and some by fax or email.

A. RECEIVING INCOMING RECORDS

Only authorized Records Officers and Custodians are allowed to receive and open mails. Incoming records must be handled appropriately as follows:

- All records and mails must be date-stamped as soon as it is received by the Records Holders.
- All mails must be opened except "confidential" mails. The concerned addressee shall have the sole responsibility of opening the confidential mail. Sealed "Confidential" mails should be stamped on the envelopes otherwise Records Custodians must be required to secure the letter and date-stamped on the upper right most portion of the letterhead.
- Carefully slit envelopes across the side to open. Care must be taken to ensure the contents of letters are not damaged when doing so. Many enclosures are received loose or separated from their covers. Attach such enclosures to the relevant records with caution.
- Certificates, deeds, and legal records require special care. Such records must be secured in an envelope and date-stamped on the upper right most portion of the envelope.
- Mails containing or likely to contain, checks, bank drafts, money orders or other valuable items must be carefully safeguarded from the time it is received. Content details must be recorded e.g., check number, name of sender, amount, payee, & other necessary information.
- Faxed material tends to fade if printed on thermal paper. Once it has been established that a fax concerns official business, the fax should be photocopied and filed appropriately when acted upon.
- Print incoming emails that require action. Printed copies must be filed appropriately.
- All records must be recorded in the Log Book of the unit. The log book is a compilation of log sheets to be filled-up with specific details of the records. Ideally, the log sheet should contain a header (unit where the record comes from) and a table of 5 columns with the following title in each column:

    - **Date** – should be stamped with the actual date the record is received at the unit.
    - **Tracking Number/File Folder Label** – should reflect the DTS tracking number of the record and the File Folder label where the record is filed in accordance to the FCG.

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- **Particular** – should contain the details of the record, i.e. requester and the subject of the request
- **Action Taken** – the action done by the unit head i.e. endorsed/not endorsed/RTU (indicate the reason and date)
- **Forwarded To** – the unit where the record is submitted to

For sample log sheet, please see Figure 1 below. Actual size of the document can be found in Section 14 for reproduction purpose.

Figure 1: Log Sheet

OVCAA

DATE	TRACKING NUMBER/FILE FOLDER LABEL	PARTICULAR	REMARKS	FORWARDED TO

B. REGISTERING INCOMING RECORDS IN THE DTS

After all incoming correspondences and enclosures are accounted for; each record must be registered by the Records Holder in the Document Tracking System (DTS).This is a website maintained by the Information Technology Office (ITO) of the university and which can be accessed through the following web address: http://dts.upmin.edu.ph and contains the following sub-categories: Home, My Documents, Pending for Release, Terminal Documents, Track Processed Documents, My Tracking Numbers.

Each unit is given a username and password by the ITO which the unit can use in registering every received record. The Records Holder shall encode the tracking number of the record (e.g. 1110-1600-0184-6581) in the "Receive" section of the system after manually recording in the log book.

SECTION 3 OUTGOING RECORDS

A. REGISTERING OUTGOING RECORDS

Records Officers must register each outgoing records in the DTS and indicate the action done in the log sheet. The receiving Records Officer should stamp the actual date and time upon of receipt of the record.

In the DTS, after the final action of the unit head, the record is released by encoding the tracking number in the "Release" section, ticking the appropriate Action taken by the unit head, and indicating in the "Remarks" section the next unit to which the record will be forwarded to. The record shall then be forwarded to the next concerned unit.

Scanning and attaching of scanned records in the DTS are discretions of the record originator and the channels. The records originator shall only prepare one set of the request/record which shall become the single source of truth.

More information (e.g. tracking the records, attaching of scanned file, etc.) about the system can be accessed by clicking the "User Manual" in unit's account.

B. REGISTERING OUTGOING RECORDS TO EXTERNAL AGENCIES BY COURIER

Records Officer must keep a registry of correspondences sent by postage/courier through DTS and log sheet. The same procedure should be followed in Section 2.

Before tagging the records as "Terminal", the following details will be entered in the "Remarks" section of the DTS:

- tracking number of the postage/courier; and
- recipient unit/agency.

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SECTION 4 THE FILE CLASSIFICATION SYSTEM

A File Folder is an organized assembly of records created for use and relating to a specific subject, type of transaction or area of business.

Each record should be sorted by File Category, by record function and by record classification in accordance with the approved File Classification Guide (FCG). The seven (7) general File categories are:

ACA – Academic
ADM – Administration and Management
CRE – Creative Works, Research and Extension
FIN – Financial
LEG – Legal
PER – Personnel
SAS – Student Affairs and Services

A. CREATING A FILE FOLDER

The File folder should be labeled accordingly. Labels should be placed on the tab of each folder as follows:

Category: Record Function – Record Classification

Example:
ACA: Academic Calendar
ADM: Activities - Alumni Homecoming
FIN: Bank Documentations – Authorizations

B. FOLDER LABEL SPECIFICATIONS

Labels of the file folders should have the following specifications:

Font – Arial (Bold)
Font size – 16

Each label should be printed in a white bond paper, with border (for easy cutting) and should be pasted at the top left of the folder. For sample folder label, please see Annex B.

Color coding is necessary to easily distinguish the "Permanent" record from the "Temporary" record. Permanent records shall have a red background in the file folder label while temporary records shall have a white background for the label. To secure the file folders, expandable green folder is advised.

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C. MAINTAINING FILES

Maintaining the order of records within the file folder is vital in filing. This establishes the context within which decisions and actions were taken, and the sequence of those decisions and actions. Hence, papers should be filed in the same order as the transactions of which they form part. Recent records created and/or received must be placed on top. The following procedures must be observed:

Secure each record within a file folder so that these are not misplaced or lost.
Holes should be punched on the left-center portion of the record, making sure not to lose information where the holes are punched.
Records must be fastened by placing a piece of cardboard on the top most part of the record. This is to prevent rust smear on the record. Metal fasteners are recommended as these are sturdier and can hold records firmly.

Files should not be too bulky. The maximum thickness should be four (4) centimeters or 1.25 inches to allow the protective flap to lie easily over the top paper. Otherwise, a new file folder should then be opened/created and labeled as follows:

Example: ADM: Activities - Alumni Homecoming Vol 1.
ADM: Activities - Alumni Homecoming Vol 2.

Remove temporary materials or records such as announcements of parties, greeting cards or advertisements for events that have no relevance to the University. Avoid keeping "extra" copies.

Bulky records, such as UC Minutes and Budget Proposals, should be book bound and labeled accordingly. Relevant published materials and reports must be properly labeled and stored appropriately.

D. CROSS-REFERENCING OF FILES

Cross-referencing of files indicates that a single record relates to more than one file. The original record should be photocopied and placed on the file folder for which it has most relevance. Whereas duplicate copy shall be placed on the other file folder to which the record relates to. On the original letter, attach a cross-reference sheet (please see figure 2 next page; actual size of the document can be found in Section 14 for reproduction purpose.), which shall indicate the file folder label on where additional copies have been placed. Similarly, attach a cross-reference sheet on each duplicate copy indicating the location of the original record.

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Figure 2: Cross-Reference Sheet

RM Form 1 **UPMin-RMIC**

CROSS-REFERENCE SHEET

File Folder Label: _____

Date of the Record/Communication: _____

Particulars: _____

_____

_____ **ORIGINAL** _____**DUPLICATE**

SEE OTHER COPY AT:

File Folder Label: _____

Particulars: _____

_____

Filed by:

_____

Name and Signature of Authorized Records Officer

Office: _____ Date: _____

SECTION 5 MANAGING DIGITAL RECORDS

The context in keeping digital records puts more emphasis on the information it bears rather than its format. Digital or electronic records include emails, scanned copies in *pdf* file, websites, softcopies of records in PowerPoint, excel and word formats, databases, text and social media posts.

For easy and quick retrieval of information, labeling of electronic file folders and records must be in accordance with the approved File Classification Guide. Its retention and disposal must be in accordance with the approved disposition schedule, except when records are used on pending audits, lawsuits (or even anticipated lawsuits) or public disclosure proceedings. Such records must not be destroyed, damaged or altered until the issue is resolved.

A. MAINTAINING ELECTRONIC MAIL (EMAIL) FILES

Every employee receives and maintains emails and other electronic records in accordance with University policies and requirements.

Electronic record or message received or created that can serve as an evidence or reference to management actions and decisions should be downloaded, printed and placed in file folders which are labeled appropriately.

E-mails that need important actions such as using them for attachment/s to vouchers and requests should also be downloaded and printed accordingly. Short-lived and unnecessary emails can be deleted when they fulfill their purpose. These transitory emails include:

- routine replies/information requests
- records sent for information distribution
- setting-up or acceptance of meetings
- announcements
- acknowledgments
- drafts

B. REQUIREMENTS ON SCANNING OF RECORDS

All "Permanent" records should be backed-up with a digital copy and should be secured by the Record Officer. However, any kind of records that has value in the implementation of the programs and projects of the University can be scanned. Record Officers must take note of the following requirements:

- scanners must be set at minimum 100-300 dpi (dots per inch);
- scanned records must be saved as PDF files;
- scanned copies must be complete, clear and easily read.

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- image enhancement is advised when speckles or spots are found on the scanned image; and
- scanned records must also be backed-up into an external hard drive. Record Officers may opt storing on virtual drives (i.e. Google drive) provided it is secured and allows easy retrieval.

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SECTION 6 RECLASSIFICATION OF FILE FOLDERS

File Folders may be reclassified from "Active" to "Inactive". This enables the Records Officers to provide an efficient and reliable file retrieval operation. Each reclassified file folder should have its own File Reclassification Index (please see Figure 3 below; actual size of the document can be found in Section 14 for reproduction purpose.). This sheet indicates the following information by column:

- Date Reclassified
- File Folder Label (title of file folder)
- Historical Details (e.g. memo series 2010-2013)
- Reclassified by (Name of Records Officer)

Figure 3: File Reclassification Index

RM Form 2 **UPMin-RMIC**

FILE RECLASSIFICATION INDEX

Date Reclassified	*File Folder Label*	*Historical Details*	*Reclassified by (Name of Records Officer)*

Records Officer should file all File Reclassification Index in separate folder. He/she should keep the File Reclassification Index for six months and then destroy them.

The Records Officer should also indicate the reclassification in the File Movement Sheet attached in the individual folder.

SECTION 7 CONTROLLING RECORDS MOVEMENT

A. FILE MOVEMENT SHEET

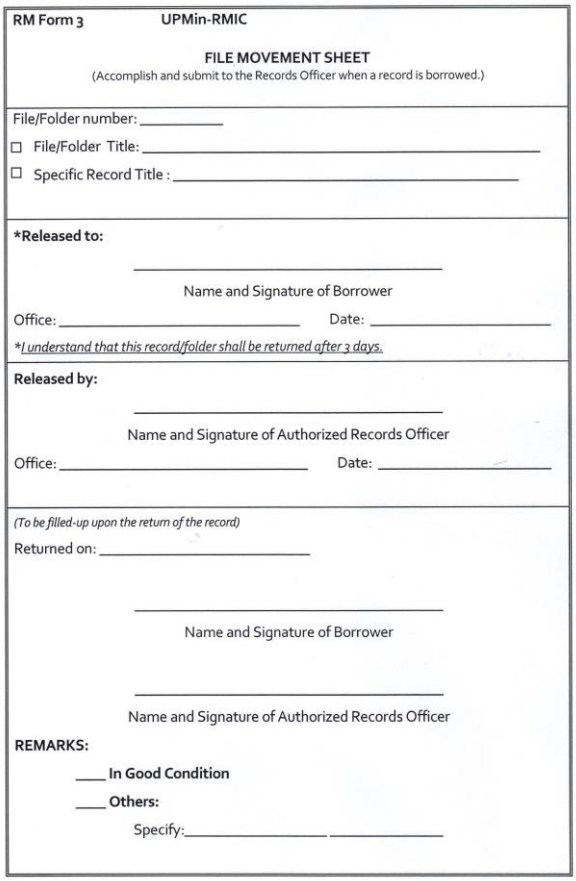
Movement of files within and across units must be controlled to ensure the security of all files. As such, authorized users must accomplish the File Movement Sheet (please see Figure 4 below; actual size of the document can be found in Section 14 for reproduction purpose.) in the following circumstances:

- borrowing/releasing of folders/records from other offices;
- borrowing/releasing of folders/records within the office.

This must be approved by the Records Custodian of the Unit from where the file belongs. Borrowed records or file folders must be returned within 3 days. If users would need the file folder for a longer period, they must submit a letter request for extension addressed to the Unit Head of the office.

Keep completed file movement sheet on file for six months and then destroy them except for sheets with declared "Lost" files.

Figure 4: File Movement Sheet



RM Form 3 UPMin-RMIC

FILE MOVEMENT SHEET

(Accomplish and submit to the Records Officer when a record is borrowed.)

File/Folder number: _____

☐ File/Folder Title: _____

☐ Specific Record Title : _____

***Released to:**

_____

Name and Signature of Borrower

Office: _____ Date: _____

**I understand that this record/folder shall be returned after 3 days.*

Released by:

_____

Name and Signature of Authorized Records Officer

Office: _____ Date: _____

(To be filled-up upon the return of the record)

Returned on: _____

_____

Name and Signature of Borrower

_____

Name and Signature of Authorized Records Officer

REMARKS:

____ **In Good Condition**

____ **Others:**

Specify:_____ _____

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B. FILE MOVEMENT LADDER

A File Movement Ladder is a monitoring tool that allows Records Officer to easily track any borrowed file folders. This should be attached to each file folder cover and should indicate the names of Users, dates borrowed, due and/or returned dates and date reclassified from "Inactive" to "Active" files.

See Figure 5 below for the File Movement Ladder. Actual size of the document can be found in Section 14 for reproduction purpose.

Figure 5: File Movement Ladder

RM Form 4 **UPMin-RMIC**
(To be filled-up only by the Records Officer)

FILE MOVEMENT LADDER

File Folder Label: _____

Name of User	Date Borrowed	Due Date	Date Returned	Date Reclassified from Active to Inactive (*if applicable*)

SECTION 8 TRACING MISSING FOLDERS/RECORDS

A. MISSING FOLDERS/RECORDS

If a record or a file folder is missing, the Records Officer should inform his/her immediate supervisor. The following procedures must be followed:

1. Contact the user to whom the record or file folder was last recorded with in the File Movement Sheet and ask him or her to trace it.

2. If this fails, the Head of the concerned office must circulate referral slips to all offices in the University asking them to check whether they have the missing file/s.

3. If the records officer has confirmed that the file/s is lost, he/she must write the words 'lost record' or 'lost file folder' on the File Movement Sheet.

4. The last registered user must immediately submit an affidavit of loss immediately to the office where the lost files belong.

5. In addition, the borrower, under the supervision of the concerned Records Officer, shall be required to reproduce copies and recreate the file folder or volume contents within one week after the declaration of loss to replace the lost file folder or volume series.

6. If the concerned person was not able to reproduce the file folder, his/her university clearance shall be withheld.

B. TEMPORARY FILE FOLDERS

In case of missing file folders, a temporary file folder should be created by the Records Officer to contain new records related to it. It shall be labeled with the same file name as the missing file folder, but must be boldly marked and labeled with the word 'TEMPORARY' with the following specifications:

Font – Arial (Bold)
Font size – 48

For sample label please see Figure 7 below.

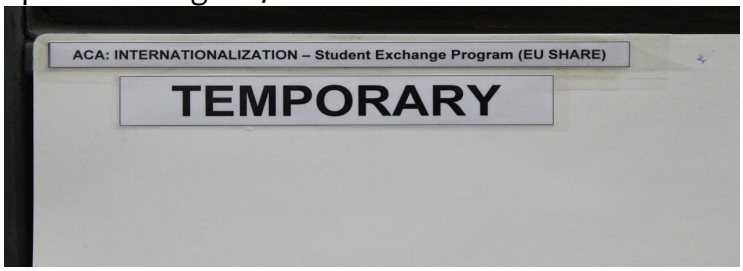

Figure 7: Sample Label for Temporary folder

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When the original file folder is found, all new records from the temporary file must be transferred to the original file (in proper date sequence). Further, the new information in the File Movement Ladder of the 'temporary file folder' must be copied and added to the original File Movement Ladder, indicating the retrieval date of the original file.

However, if it has been confirmed that file folder is lost, the "TEMPORARY" label of the file folder shall then be removed. Procedures 4 and 5 (refer to previous page) in the event of lost files/folders in this section must be followed accordingly. Moreover, the reproduced copies of the content of the missing file folder will be inserted in proper date sequence with the new records. The File Movement Ladder of the temporary file must be updated.

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SECTION 9 CLOSING OF FILE FOLDERS

CLOSING FILES

Records offices are required to close file folders and volumes for the purpose of managing and preventing any damage of the file folder contents. When closing files, the following guidelines are to be followed:

- Files should be 4 centimeters or 1.25 inches thick.
- Indicate the word 'CLOSED' diagonally in bold letters on white background with font SIZE 90 and across the front cover of the folder.
- Add the date (font size: 36) the file was closed in the label (see Figure 8 below).
- No further papers should be added to "CLOSED" files.

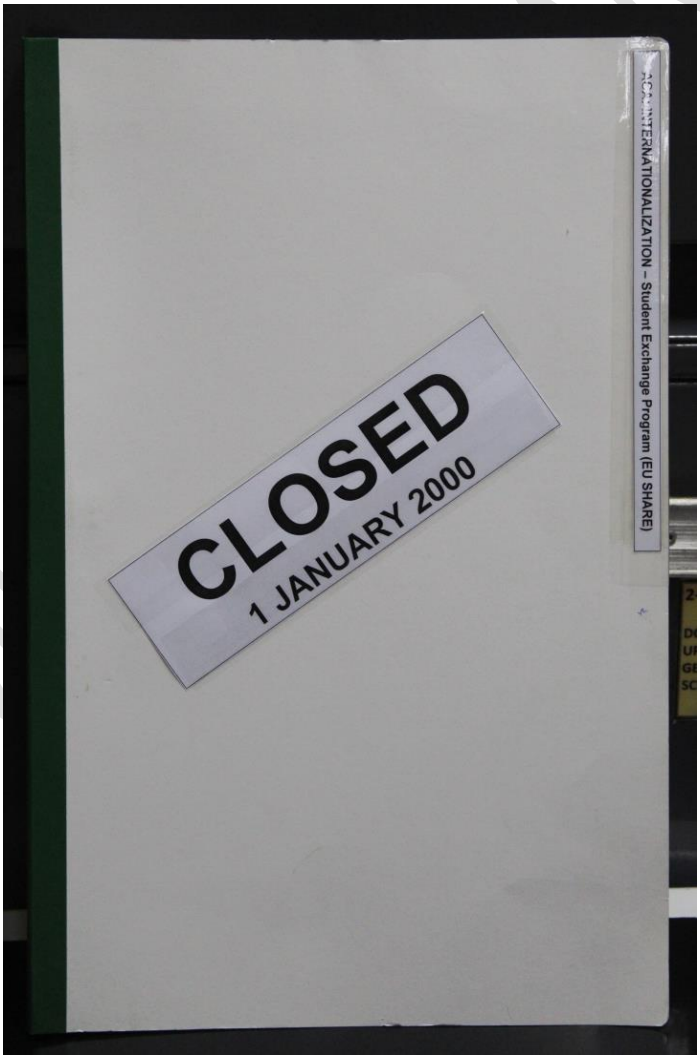

Figure 8: Sample Folder with Closed Files

SECTION 10 STORAGE OF FILE FOLDERS (ACTIVE AND CLOSED)

Filing cabinets should be located conveniently in the records office. Their location should have the necessary distance from any equipment and other items that may cause damage to the cabinets. These cabinets must be secured, well maintained and must be strong enough to bear the weight of the files.

Sufficient and appropriate equipment should be provided for the safe handling and storage of records within the records office. Where appropriate, supports should be provided to prevent files from slipping down.

Shelves and cabinet drawers which hold active records should be clearly labeled to indicate the appropriate category (see File Classification Guide). Adequate space should be observed on shelves or in drawers to allow for easy access of files. As more new files are opened, the contents of shelves and drawers may need to be rearranged to allow expansion. When this is done, labels must be changed.

Files which have recently been closed may continue to be stored in the records office for an appropriate period so that they are readily available when required. Again, shelves and cabinet drawers should be clearly labeled, and labeling must be kept up-to-date.

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SECTION 11 AUTHORITY TO DISPOSE RECORDS

Article 46, Rule 30 of RA 9470 states that: "No government, department, bureau, agency and instrumentality shall dispose of, destroy or authorize the disposal or destruction of any public records which are in the custody or under its control, except with the prior written authority of the NAP Executive Director (ED)." Refer to Rule 31 for the Authority for the Disposition of Public Records.

Most records must be destroyed or disposed as soon as they cease to have legal or administrative value. Records with enduring value should be permanently preserved. Decisions about the transfer or disposal of files are the responsibility of the head of unit in consultation with the concerned officials.

A. TRANSFERRING FILES TO THE RECORDS CENTER

"Inactive" files are recommended for transfer to the records center provided:

- The originating unit must accomplish three (3) copies of the Records Transfer Sheet (see figure 6 below; actual size of the document can be found in Section 14 for reproduction purpose.); one copy for the originating unit, second copy for the Record Center and third copy attached to and pasted in the upper part of the box after sealing it.

Figure 6: Record Transfer Sheet

RM Form 5 UPMin-RMIC

RECORD TRANSFER SHEET
(Accomplish 3 copies and submit 1 copy to the Records Center.)

Box number: _____ File/Folder Title: 1. _____ 2. _____ 3. _____ 4. _____ 5. _____ (use additional sheet if necessary)	*(for use of Records Center Officer)* Remarks: _____ _____ _____ _____ _____
Transferred by: _____ Name and Signature of the Records Officer Office: _____ Date: _____	Received by: _____ Name and Signature of Records Center Officer Date: _____

- Files must be arranged in accordance with the FCG.
- Files to be transferred to the Records Center must be secured in a box.
- Files must be placed flat, one on top of the other. Make sure not to overload the box.
- The originating unit with the authority of the Records Custodian shall be responsible for personally transferring files to the Records Center.

The Records Center Custodian must certify the completeness of the files transferred and received. If the content of the box is found incomplete, the Records Center Officer must indicate in the "Remarks" section the lacking file folder in the Records Transfer Sheet.

Transferred files, once received, shall become the property of the Records Center. Nevertheless, originating units may still borrow files in accordance to Section 7 of this manual.

B. DISPOSAL OF RECORDS

The university has already crafted the Handbook on File Classification, Retention and Disposal of records. The Records Center shall implement the records retention and disposition schedule in accordance to this manual.

Further, the center has the sole responsibility for the disposition of the inactive files in accordance to RRDS. NAP National Inventory Form (National Records Inventory) and NAP Form 2 (Records Disposition Schedule) must be accomplished for the disposition of records. For reference, please see Annex D. The disposal of records must be recommended by the Chancellor for approval of NAP ED.

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SECTION 12 MAINTAINING THE RECORDS CENTER

There are guidelines in relation to physical security of records that shall be complied by the university in relation to Section 27 of Data Privacy Act. It should be emphasized that duties, responsibilities and schedule of individuals involved in the processing of personal data shall be clearly defined to ensure that only the individuals actually performing official duties shall be in the room or Records Center.

The responsibility of Head of Agencies in securing sensitive personal information in government shall also be consistent with Rule VII of the Data Privacy Act which states that all sensitive personal information maintained by the government, its agencies and instrumentalities shall be secured, with the use of the most appropriate standard recognized by the information and communications technology industry.

A. SECURITY OF RECORDS

The following security precautions must be observed:

- Ensure that the entrance to the Records Center is strictly controlled.
- The entire vicinity of the center must be secured by CCTV.
- The cabinets containing confidential records should always be locked as well as the outer door to the center especially when no member of the records office staff is present.
- Smoking is prohibited inside the center.
- An emergency plan should be in place and tested regularly in coordination with the University Disaster Risk Reduction Team.

B. OBSERVANCE OF PROPER HOUSE RULES:

1. Eating and drinking in the records office are prohibited to avoid damage of the records/ files.
2. Maintain the records office clean and accessible.
3. Arrange files in orderly manner.
4. Proper waste disposal should be observed at all times.
5. No pets shall be allowed.

C. PERFORMANCE MONITORING

To ensure proper monitoring of records center performance, the following must be done:

1. The head of the records center will conduct regular surveys of users' responses to the services provided and take immediate action to make improvements when problems are reported.

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2. The head will submit annual report regarding the performance of the records center to the Office of the Chancellor. This report should include details of:

- the number of active and inactive files
- the number of letter requests received
- the number of files borrowed
- the number of persons who borrowed the files
- the number of boxes transferred to the records center
- the number of records disposed
- any problems encountered in running the records office.

3. It is the responsibility of the head of the records center to ensure that any improvements or changes recommended in monitoring reports are implemented.

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SECTION 13 RECORDS MANAGEMENT AND THE LAW

A. RECORD KEEPING AND THE LAW

Laws and policies should be found in written records – otherwise they are mere words without any legal effect. Once laws and policies are recorded and published, they become the bases for social order, protection and justice. At this point when records serve as legal evidence, there are certain rules of evidence that records managers need to be aware of so that records are handled properly at all phases of records management.

Records are vital to the efficient and effective operation of the legal system. Thus, it is important to consider the laws governing the management of records as well as the legal attributes of records in order for these to be considered valid documentary evidences that are admissible in court.

B. LEGAL CONSIDERATIONS ON RECORD AND INFORMATION SECURITY

The following laws govern records on information security:

1. **Memorandum Circular (MC) No. 78, s. 1964**
   Promulgating Rules Governing Security of Classified Matter in Government Offices

This MC safeguards official matters affecting the National Security to be enforced and observed in all departments, bureaus, offices and agencies of the government including all levels of the local government. This MC defines and categorizes records according to: Top Secret; Secret; Confidential; and Restricted.

Top Secret
These are records when unauthorized disclosure would cause exceptionally grave damage to the nation, politically, economically, from a security aspect. Example of these records are very important records dealing with negotiations for major alliances, major government projects about the nation's economy, etc.

Secret
Records considered under this category are those when unauthorized disclosure of which would:

- endanger national security;
- cause serious injury to the interest or prestige of the nation or of any governmental activity; or
- would be of great advantage to a foreign nation.

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Example of this type of records are high level directives dealing with important negotiations (distinct from major negotiations categorized as top secret) with other countries.

Confidential
Under this category, unauthorized disclosure of these type of records, although will NOT endanger national security, it would be prejudicial to the interest or prestige of the nation or of any governmental activity; or would cause administrative embarrassment; or unwarranted injury to an individual or would be of great advantage to a foreign nation. Records such as government plans for land development, routine intelligence reports; personnel records and staff matters such as 201 file, fall under this category.

Restricted
This refers to the records which are identified to be disclosed to limited and authorized people only (e.g. driver's license, personnel actions and those with legal impediment).

The MC also specifically indicates the procedures on classification, access authority, reproduction, transmission, storage and destruction for each type of classified information. Prohibited acts in handling classified records are also prescribed by this MC as emphasized in sub-section F.

Records managers should be conscious to record the action establishing the classifying, authorization, reproduction, transmission, storage and destruction of these types of records.

2. **Memorandum Circular No. 196, s. 1968**
   Amending Memorandum Circular 78 Entitled "Promulgating Rules Governing Security of Classified Matter in Government Offices."

This MC emphasized the importance of security of communication through the application of various measures of protections which prevents unauthorized persons from gaining information through communication. This includes Transmission Security, Cryptographic, and Physical Security.

3. **Executive Order (EO) No. 608 s 2007 Establishing a National Security Clearance for Government Personnel with Access to Classified Matters and for Other Purposes**

This EO was crafted because the government is always at risk of being infiltrated by a group or individual for a purpose which is disadvantageous to national interest. Thus, a uniform Security Clearance System that is national in scope was developed. This EO also prescribed the administrative liability of personnel who discloses, publishes or use information contained in classified records or materials without authority.

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4. **Executive Order No. 189 s 2015 Creating the National Cybersecurity Interagency Committee**

In the advent of social media, this EO was created because of various cyber threats against government and commercial information systems. There is a need to assess national vulnerabilities that compromise critical infrastructures, to strengthen cybersecurity capability by putting in place measures and eliminate vulnerability. This EO specifically provides the function and role of the agency in information security.

C. RULES ON MANAGING ELECTRONIC RECORDS

With the advent of computers and internet technology, electronic records became a valid form. However, there are certain principles that need to be considered for electronic records can be determined as valid and legal in form.

The following are considered Electronic records:

- **SMS**
- **Computer print-outs**

SMS is classified as "temporary electronic communication" which refers to telephone conversations, text messages, chatroom sessions, streaming audio and video, and other electronic forms of communication; the evidence of which is not recorded or retained (see Section 1[k], Rule 2 of the Rules on Electronic Evidence).

Computer print-outs can be considered as electronic records as long as it bears manual signature.

Fax Transmissions and mere copies of facsimile transmissions are not electronic records. In an ordinary facsimile transmission, there exists an original paper-based information or data that is scanned, sent through a phone line, and re-printed at the receiving end.

The Electronic Commerce Act of 2000 was created so that virtual paperless writing can have functional equivalent with that of manual writing and to have the same legal function as paper-based records. Further, technically in virtual paperless environment, there is no original copy to speak of as all direct print outs of the virtual reality are the same in all respects therefore, they are all considered as original copies.

Photocopies of records are not considered electronic records and they are relevant only in terms of the information is contained.

What differentiates electronic record from a paper-based record is the manner by which the information contained in the record is processed. To be considered as electronic record, the information must be "received, recorded, transmitted, stored, processed, retrieved, or produced electronically".

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Legal Recognition of Electronic Data Message

Information shall not be denied validity or enforceability solely on the ground that it is in the form of electronic data message asserting to give rise to such legal effect, or that it is merely incorporated by reference in that electronic data message (Section 6).

In any legal proceedings, nothing in the application of the rules on evidence shall deny admissibility of an electronic data message or electronic record in evidence on the sole ground that is in electronic form or on the ground that it is not the standard form (Section 12).

For evidentiary purposes, an electronic record is the functional equivalent of a paper-based record (Section 7) and at the same time electronic signature is the functional equivalent of a handwritten signature (Section 8).

Lawful Access to Electronic Data Message or Records and Obligation of Confidentiality of records Managers

Access to an electronic file, or an electronic signature of an electronic data message or electronic record shall only be authorized and enforced in favor of the individual or entity having a legal right to the possession or the use of plaintext, electronic signature or file or solely for the authorized purposes. The electronic key for identity or integrity shall not be made available to any person or party without the consent of the individual or entity in lawful possession of that electronic key (Section 31).
Except for the purposes authorized under the E-Commerce Act, any person who obtained access to any electronic key, electronic data message or electronic record, book, register, correspondence, information, or other material pursuant to any powers conferred under this Act, shall not convey to or share the same with any other person (Section 32).

Record Officers must always remember that the key difference between the paper-based information and electronic data message is the matter by which these two records were created.

D. LEGAL FRAMEWORK FOR PHILIPPINE HERITAGE PRESERVATION

According to the 1987 Philippine Constitution, it is the mandate of the state to foster patriotism and nationalism, accelerate social progress and promote total human liberation and development. The state shall foster the preservation, enrichment and dynamic evolution of a Filipino national culture based on the principle of unity and diversity in a climate of free artistic and intellectual expression.

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Arts and letters shall enjoy the patronage of the State. The State shall conserve, promote and popularize the nation's historical and cultural heritage resources, as well as artistic creations.

All the country's artistic and historic wealth constitutes the cultural treasure of the nation and shall be under the protection of the state which may regulate its disposition.

In view of this mandate, Republic Act 1006 or the National Cultural Heritage Act of 2009 was enacted into law.

The objective of this act is to protect, preserve, conserve and promote the nation's cultural heritage, its property and histories, and the ethnicity of local communities. One of the vision for cultural heritage is the "administration of heritage resources in a spirit of stewardship for the inspiration and benefit of the present and future generations".

What does Cultural Heritage mean? It refers to the totality of cultural property preserved and developed through time and passed on to posterity. Thus, it is important to consider what we have today that we wish to see 100 years after.

What is Cultural property? It refers to ALL products of human creativity by which a people and a nation reveal their identity and natural history specimens and sites. Cultural Properties may be tangible - such as archaeological artifacts, and intangible – such as people's learned processes or practice. These could be categorized as:

- National Cultural Treasure
- Important Cultural Property
- World heritage Site
- National Historical Shrine
- National Historical Monument
- National Historical Landmark

But before a property can be categorized as such, it must meet the required documentary evidence. For example, a property is categorized as National Treasure if it has exceptional cultural, artistic and historical significance to the Philippines as determined by the National Museum or the National Historical Commission of the Philippines. As such, evidence of exceptional cultural, artistic and historical significance to the Philippines must be proven through proper records. Even the declaration of the National Museum can only proven as such through pertinent records. In fact, archival material/record dating at least fifty (50) years old is considered as Cultural properly.

It is also important to note that failure to keep records is a failure to preserve culture and history.

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E. RULES OF EVIDENCE: IMPLICATIONS TO RECORDS MANAGEMENT

Court findings would depend only on the evidence presented before it, regardless of whether it pertains to the actual truth or not. The following are the rules of evidence that Records Manager must be aware of:

1. **Primary Evidence is the Best Evidence Rule**
   This refers to the original record. This precludes the admission of secondary evidence if the original record is available.

   It is also important to note that Records Managers must keep original records (not copy) intact.

2. **Secondary Evidence**
   This is evidence other than the original instrument, such as:

- A copy of the original
- A recital of the contents of the record in some authentic record
- Testimonies of witness

Records Managers are oftentimes called to testify on the records presented in court especially those under their custody.

Parole Evidence
A written agreement that contains all the things agreed upon. It does not concern with the primacy of evidence but presupposes that the original is available.

Authentication and Proof of records

Public records are deemed authentic and are immediately admitted in court. However, for private records to be admitted by the court, its due execution for authenticity must be proved except if the records are considered ancient which are 30 years old and above.

If a private record is more than thirty years old; is produced from a custody in which it would naturally be found, genuine and is unblemished by any alteration or circumstances of suspicion, there is no need for it to be authentic.

To be specific, public records are the following:

- Written official acts or records of official acts of the sovereign authority, official bodies and tribunals, and public officers, whether of the Philippines or of a foreign country;
- Records, acknowledged before a notary public except last wills and testaments. A notarized record is a public record and may be presented in evidence without further proof, the certification of acknowledgment being the prima facie evidence of its existence; and,

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- Public records kept in the Philippines, of private records required by law to be entered therein.

All other writings are private.

How can Records Managers prove the existence of official records of official acts? This can be done through:

- An official publication thereof;
- A copy of the record attested by the officer having legal custody of the record or by his deputy.
- An official copy of a public record, admissible in evidence, must not be removed from the office which it is kept, except upon order of the court or if essential to the just determination of a pending case.

Entries made in official records or made in the performance of duty by a public officer or by a person in the performance of a duty enjoined by law, are prima facie evidence of the facts therein stated.

F. PROHIBITED ACTS IN RELATION TO RECORDS MANAGEMENT

Under Memorandum Circular No, 78 s. 1964 on Promulgating Rules Governing Security of Classified Matter in Government Offices, these are the following rules that Records Officers should bear in mind:

1. All government personnel are prohibited from keeping private records, diaries, or papers containing statements of facts or opinions, either official or personal, concerning matters which are related to or which affect national interest or security. Also prohibited is the collection of souvenirs or obtaining for personal use whatsoever any matter classified in the interest of national security. This provision is the basis for policy of "no bringing of work at home"

2. Indiscreet discussions or conversations involving classified matter shall not be engaged in within the presence if or with unauthorized persons. When a lecture, address or informal talks to a group includes classified matter, the speaker shall announce the classification of the matter at the beginning and end of the period.

   All personnel leaving the Government Service shall be warned against unlawful disclosure of classified matter.

   It is advised that agencies must require government personnel to render Oath of Loyalty upon entry to government service and Oath of Secrecy upon separation or retirement.

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3. Classified records shall not be disseminated without the consent of originating Departments. As a general rule, no person in government shall convey orally, visually or by written communication any classified matter outside the office unless cleared.

Under Executive Order No. 608 s. 2007 unauthorized disclosure, sharing, publication and use of information in classified records and materials is considered a grave offense and shall be punishable in accordance with civil service rules and regulations. The filing of an administrative case against an erring personnel or officer does not preclude the filing of any other appropriate criminal or civil case for the violation/s.

Republic Act 8792 or the Electronic Commerce Act

The following Acts shall be penalized by fine and/or imprisonment, as follows:

1. Hacking or crackling with refers to unauthorized access into or interference in a computer system/server or information and communication system; or any access in order to corrupt, alter, steal, or destroy using a computer or other similar information and communication devices, without the knowledge and consent of the owner of the computer or information and communications system, including the introduction of computer viruses and the like, resulting in the corruption, destruction, alteration, theft or loss of electronic data messages or electronic records shall be punished by a minimum fine of One Hundred Thousand pesos (P 100,000.00) and a maximum commensurate to the damage incurred and a mandatory imprisonment of six (6) months to three (3) years;

2. Piracy or the unauthorized copying, reproduction, dissemination, or distribution, importation, use, removal, alteration, substitution, modification, storage, uploading, downloading, communication, making available to the public, or broadcasting of protected material, electronic signature or copyrighted works including legally protected sound recordings or phonograms or information material on protected works, through the use of telecommunication networks, such as, but not limited to, the internet, in a manner that infringes intellectual property rights shall be punished by a minimum fine of one hundred thousand pesos (P 100,000.00) and a maximum commensurate to the damage incurred and a mandatory imprisonment of six (6) months to three (3) years;

3. Violations of the Consumer Act of Republic Act No. 7394 and other relevant to pertinent laws through transaction covered by or using electronic data messages or electronic records, shall be penalized with the same penalties as provided in those laws;

4. Other violations of the provisions of this Act shall be penalized with a maximum penalty of one million pesos (P 1,000,000.00) or six (6) years imprisonment (Section 33).

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Republic Act 10175 or the Cybercrime Prevention Act of 2012

The following are considered as cybercrime offenses:

1. Offenses against the confidentiality, and availability of computer data or system
    - Illegal access
    - Illegal interception
    - Data interference
    - System interference
    - Misuse of Devices
    - Cybersquatting (using other company websites without permission)

2. Computer-related offenses
    - Computer-related forgery
    - Computer-related fraud
    - Computer-related identity theft

3. Content-related offenses
    - Cybersex
    - Pornography in any form
    - Online libel , valid with respect to the original author of the post (not applicable to others who simply receive the post and react to it)

4. Other offenses
    - Aiding and abetting , not valid for child pornography, ujonsolicited commercial communications, and online libel
    - Attempt in the commission – same validity

G. CRIMINAL LIABILITY IN MISHANDLING OF RECORDS

The Revised Penal Code of the Philippines defines public officer as *"any person who, by direct provisions of law, popular election or appointment by competent authority, shall take part in the performance of public functions in the Government or shall perform in said Government or in any of its branches public duties as an employee, agent or subordinate official of any rank or class".*

There are a number of crimes or offenses stipulated in the Penal Code which are peculiar to public officers and employees of the Government particularly if the offense was committed "in relation to his office. It has been stated that an offense is said to have been committed "in relation to his office" of the offense is intimately connected with the office of the offender and perpetrated while he was in the performance of his official functions.

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Specifically for those handling public records the following are the offenses and their corresponding criminal liabilities:

TITLE 4: CRIMES AGAINST PUBLIC INTEREST

Art. 169. *Forgery* — The penalty of *prision mayor* (6 years and one day to 12 years) and a fine not to exceed P2,000 pesos shall be imposed upon any public officer, employee, or notary who, taking advantage of his official position, shall commit forgery. Forgery referred to in this section may be committed by any of the following means:

1. By giving to a treasury or bank note or any instrument, payable to bearer or order mentioned therein, the appearance of a true genuine document.

2. By erasing, substituting, counterfeiting or altering by any means the figures, letters, words or signs contained therein.

Art. 171. *Falsification by public officer, employee or notary or ecclesiastic minister.* — The penalty of *prision mayor* and a fine not to exceed P5,000 pesos shall be imposed upon any public officer, employee, or notary who, taking advantage of his official position, shall falsify a document by committing any of the following acts:

1. Counterfeiting or imitating any handwriting, signature or rubric;

2. Causing it to appear that persons have participated in any act or proceeding when they did not in fact so participate;

3. Attributing to persons who have participated in an act or proceeding statements other than those in fact made by them;

4. Making untruthful statements in a narration of facts;

5. Altering true dates;

6. Making any alteration or intercalation in a genuine document which changes its meaning;

7. Issuing in an authenticated form a document purporting to be a copy of an original document when no such original exists, or including in such a copy a statement contrary to, or different from, that of the genuine original; or

8. Intercalating any instrument or note relative to the issuance thereof in a protocol, registry, or official book.

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Art. 172. ***Falsification by private individual and use of falsified documents*** **—** The penalty of *prision correccional* in its medium and maximum periods (2 years, 4 months and 1 day to 6 years) and a fine of not more than P5,000 pesos shall be imposed upon:

1. Any private individual who shall commit any of the falsifications enumerated in the next preceding article in any public or official document or letter of exchange or any other kind of commercial document; and

2. Any person who, to the damage of a third party, or with the intent to cause such damage, shall in any private document commit any of the acts of falsification enumerated in the next preceding article.

Any person who shall knowingly introduce in evidence in any judicial proceeding or to the damage of another or who, with the intent to cause such damage, shall use any of the false documents embraced in the next preceding article, or in any of the foregoing subdivisions of this article, shall be punished by the penalty next lower in degree.

Art. 173. ***Falsification of wireless, cable, telegraph and telephone messages, and use of said falsified messages*** **—** The penalty of *prision correccional* in its medium and maximum periods shall be imposed upon officer or employee of the Government or of any private corporation or concern engaged in the service of sending or receiving wireless, cable or telephone message who utters a fictitious wireless, telegraph or telephone message of any system or falsifies the same.

Any person who shall use such falsified dispatch to the prejudice of a third party or with the intent of cause such prejudice, shall suffer the penalty next lower in degree (6 months and 1 day to 2 years and 4 months).

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TITLE 7: CRIMES COMMITTED BY PUBLIC OFFICERS

Section Two. — Infidelity in the custody of document

The following articles of the Revised Penal Code penalizes public officials who commits an offense involving the abstraction, destruction and concealment of documents that were entrusted to him or her by reason of his office and that damage or prejudice to the public interest to a third person be caused by such act.

Art. 226. ***Removal, concealment or destruction of documents.*** — Any public officer who shall remove, destroy or conceal documents or papers officially entrusted to him, shall suffer:

1. The penalty of prision mayor and a fine not exceeding 1,000 pesos, whenever serious damage shall have been caused thereby to a third party or to the public interest.

2. The penalty of prision correccional in its minimum and medium period and a fine not exceeding 1,000 pesos, whenever the damage to a third party or to the public interest shall not have been serious.

In either case, the additional penalty of temporary special disqualification in its maximum period to perpetual disqualification (from the government service) shall be imposed.

Art. 227. ***Officer breaking seal.*** **—** Any public officer charged with the custody of papers or property sealed by proper authority, who shall break the seals or permit them to be broken, shall suffer the penalties of prision correccional in its minimum and medium periods, temporary special disqualification and a fine not exceeding 2,000 pesos.

Art. 228. ***Opening of closed documents.*** **—** Any public officer not included in the provisions of the next preceding article who, without proper authority, shall open or shall permit to be opened any closed papers, documents or objects entrusted to his custody, shall suffer the penalties or arresto mayor, temporary special disqualification and a fine of not exceeding 2,000 pesos.

Section Three — Revelation of secrets

This section particularly gives importance to the responsibility of record custodians not only to the physical aspect of records but also to the information therein.

Art. 229. ***Revelation of secrets by an officer.*** — Any public officer who shall reveal any secret known to him by reason of his official capacity, or shall wrongfully deliver

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papers or copies of papers of which he may have charge and which should not be published, shall suffer the penalties of prision correccional in its medium and maximum periods, perpetual special disqualification and a fine not exceeding 2,000 pesos if the revelation of such secrets or the delivery of such papers shall have caused serious damage to the public interest; otherwise, the penalties of prision correccional in its minimum period, temporary special disqualification and a fine not exceeding 50 pesos shall be imposed.

Art. 230. ***Public officer revealing secrets of private individual.*** **—** Any public officer to whom the secrets of any private individual shall become known by reason of his office who shall reveal such secrets, shall suffer the penalties of arresto mayor and a fine not exceeding 1,000 pesos.

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SECTION 14 LIST OF RECORDS MANAGEMENT FORMS

These are the following forms to be used for records management:

Figure 1: Log Sheet
Figure 2: Cross-reference Sheet
Figure 3: File Reclassification Index
Figure 4: File Movement Sheet
Figure 5: File Movement Ladder
Figure 6: Record Transfer Sheet

The figures below are sample labels for temporary file folder and folder with closed files.

Figure 7: Label for Temporary File Folder
Figure 8: Sample Folder with Closed Files

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OVCAA

DATE	TRACKING NUMBER/FILE FOLDER LABEL	PARTICULAR	REMARKS	FORWARDED TO

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Figure 1: Log Sheet

RM Form 1 **UPMin-RMIC**

CROSS-REFERENCE SHEET

File Folder Label: _____

Date of the Record/Communication: _____

Particulars: _____

_____

_____ ORIGINAL _____DUPLICATE

SEE OTHER COPY AT:

File Folder Label: _____

Particulars: _____

_____

Filed by:

_____

Name and Signature of Authorized Records Officer

Office: _____ Date: _____

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Figure 2: Cross-Reference Sheet

RM Form 2 **UPMin-RMIC**

FILE RECLASSIFICATION INDEX

Date Reclassified	*File Folder Label*	*Historical Details*	*Reclassified by (Name of Records Officer)*

Figure 3: File Reclassification Index

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RM Form 3 **UPMin-RMIC**

FILE MOVEMENT SHEET

(Accomplish and submit to the Records Officer when a record is borrowed.)

File/Folder number: _____

☐ File/Folder Title: _____

☐ Specific Record Title : _____

***Released to:**

_____

Name and Signature of Borrower

Office: _____ Date: _____

**I understand that this record/folder shall be returned after 3 days.*

Released by:

_____

Name and Signature of Authorized Records Officer

Office: _____ Date: _____

(To be filled-up upon the return of the record)

Returned on: _____

_____

Name and Signature of Borrower

_____

Name and Signature of Authorized Records Officer

REMARKS:

____ **In Good Condition**

____ **Others:**

Specify:_____ _____

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Figure 4: File Movement Sheet

RM Form 4 **UPMin-RMIC**

(To be filled-up only by the Records Officer)

FILE MOVEMENT LADDER

File Folder Label: _____

Name of User	Date Borrowed	Due Date	Date Returned	Date Reclassified from Active to Inactive (*if applicable*)

Figure 5: File Movement Ladder

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RM Form 5 **UPMin-RMIC**

RECORD TRANSFER SHEET

(Accomplish 3 copies and submit 1 copy to the Records Center.)

Box number: _____ File/Folder Title: 1. _____ 2. _____ 3. _____ 4. _____ 5. _____ (use additional sheet if necessary)	*(for use of Records Center Officer)* Remarks: _____ _____ _____ _____ _____
Transferred by: _____ Name and Signature of the Records Officer Office: _____ Date: _____	Received by: _____ Name and Signature of Records Center Officer Date: _____

Figure 6: Record Transfer Sheet

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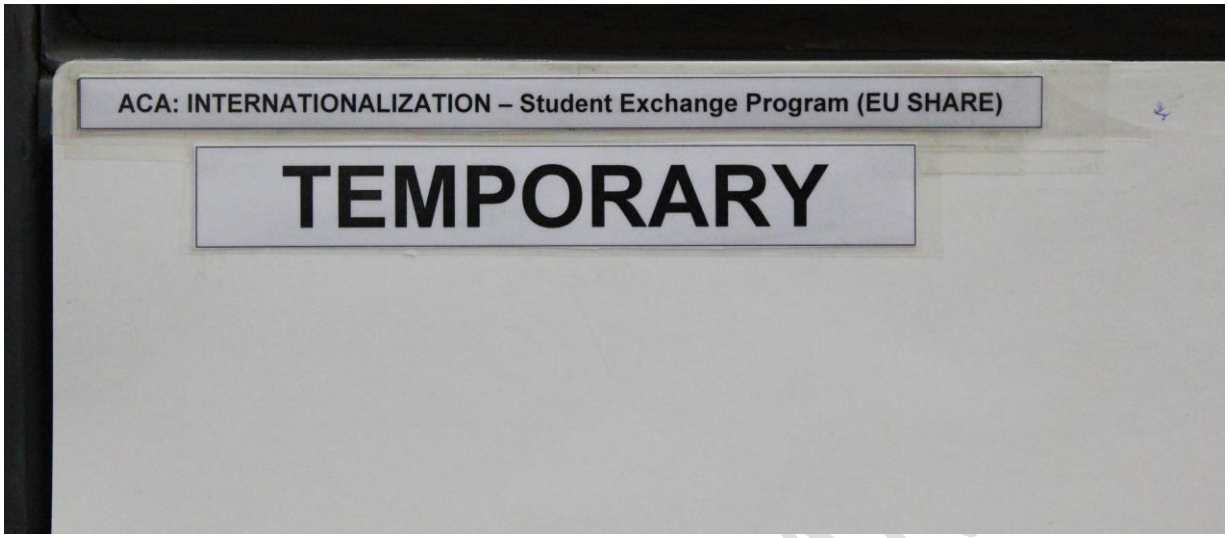

Figure 7: Label for Temporary File Folder

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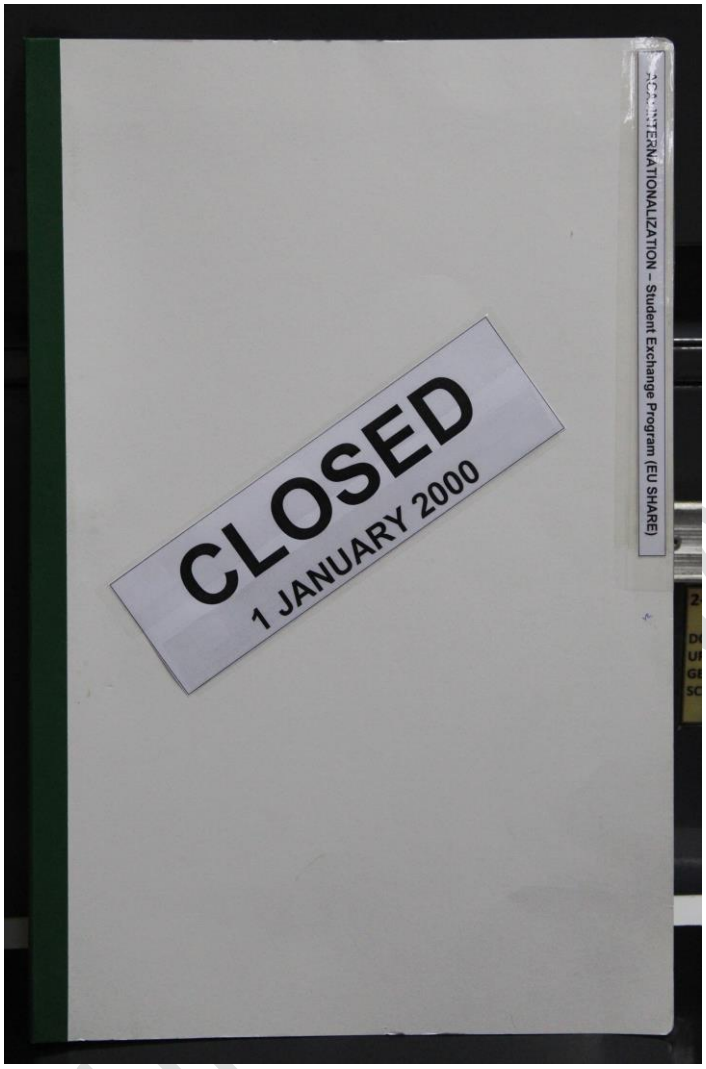

Figure 8: Sample Folder with Closed Files

SECTION 15 LIST OF ANNEXES

The following are the annexes in relation to records management:

Annex A: Memorandum SBC 2014-045 re: Records Management Team
Annex B: Folder Label
Annex C: NAP National Inventory Form (National Records Inventory)
Annex D: NAP Form 2 (Records Disposition Schedule)

Annex A: ***Memorandum No. SBC 2014-045 re: Records Management Team***

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UNIVERSITY OF THE PHILIPPINES MINDANAO
OFFICE OF THE CHANCELLOR

04 July 2014

MEMORANDUM NO. SBC 2014-045

TO : **MS. MARY CHRISTIE A. ESTOCADO – Chair**
MS. JO-AN A. GARCIA – Co-Chair

Members:
MS. FLORENCE F. AQUIATAN – SOM Representative
MS. CHERYL T. OCZON – CHSS Representative
MS. SHARON JEAN A. AÑO – CSM Representative
MS. LYDA MAY D. SUAL – OVCAA Representative
MS. ANN MIRAFLOR BATOMALAQUE – OVCA Representative
MS. MICHELLE A. PANIS – OC Representative
MS. SHEENA MARION T. NAZARENO – HRDO Representative
MS. OPHELIA S. TIAGO – OUR Representative
MS. HAZEL S. DELA PEÑA – SPMO Representative

Secretariat: MS. FRANCES MAY F. BALDOZA
Resource Person: DR. BRICCIO M. MERCED

FROM : **PROF. SYLVIA B. CONCEPCION, Ph.D.**
Chancellor

SUBJECT : **RECORDS MANAGEMENT TEAM 2014-2016**

You are hereby constituted as the **RECORDS MANAGEMENT TEAM** of the **University.** The period of your appointment is from **07 July 2014 to 28 February 2016**, unless otherwise revised and dependent on your actual appointments as faculty/personnel of your respective units.

Your Committee is tasked to do the following:

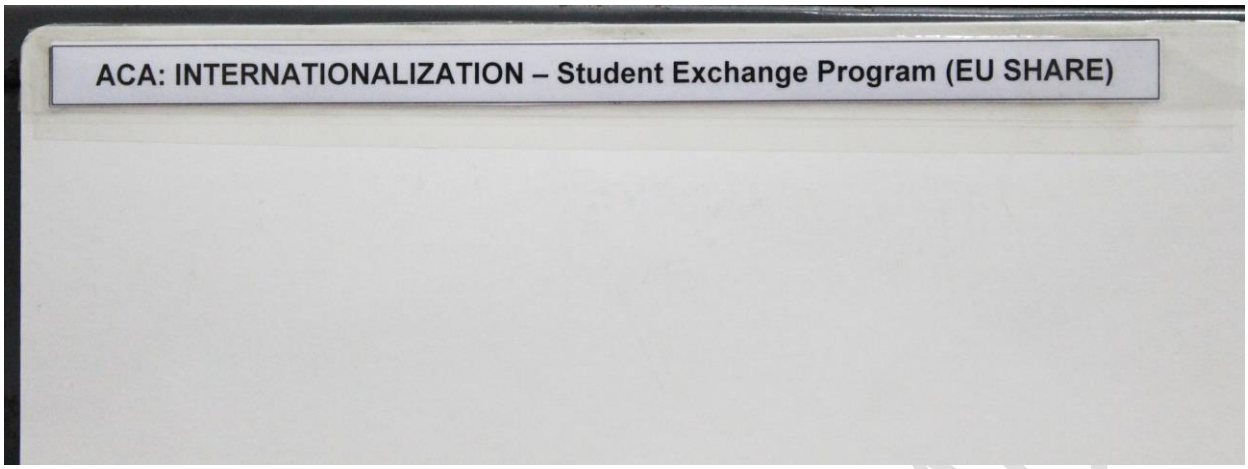
1. Recommend policies and guidelines for the proper classification, maintenance, and disposition of all records in the university;
2. Establish a University Record Management and Archiving System;
3. Recommend the best possible ways to store and preserve University records; and,
4. Develop a University Records Management and Archiving Manual.

Kindly submit your proposed plans and projects for possible budgetary considerations on **Wednesday, 9 July 2014**. You are also requested to submit periodic updates on your projects and activities.

cc: All Units

Administration Bldg., Mintal, Tugbok District, Davao City 8022, Philippines
Tel: (63-82) 293-0216 Telefax: (63-82) 293-0307 E-mail: oc@upmin.edu.ph Website: www.upmin.edu.ph

Annex B: ***Folder Label***



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Annex C: NAP National Inventory Form (National Records Inventory)

NAP National Inventory Form
2012

NATIONAL ARCHIVES OF THE PHILIPPINES
Pambansang Sinupan ng Pilipinas

NATIONAL RECORDS INVENTORY

1. NAME OF OFFICE:	2. DEPARTMENT/DIVISION:	4. TELEPHONE NO.:
	3. SECTION/UNIT:	5. EMAIL ADDRESS.:
6. ADDRESS:	7. PERSON-IN-CHARGE OF FILES:	8. DATE PREPARED:

9. RECORDS SERIES TITLE AND DESCRIPTION	10. PERIOD COVERED/ INCLUSIVE DATES	11. VOLUME	12. RECORDS MEDIUM	13. RESTRICTION/S	14. LOCATION OF RECORDS	15. TIME VALUE	16. RETENTION PERIOD	17. REMARKS

Page 1 of 3 Pages

9. RECORDS SERIES TITLE AND DESCRIPTION	10. PERIOD COVERED/ INCLUSIVE DATES	11. VOLUME	12. RECORDS MEDIUM	13RESTRICTION/S	14. LOCATION OF RECORDS	15. TIME VALUE	16. RETENTION PERIOD	17. REMARKS

TO BE ACCOMPLISHED BY THE CONCERNED GOVERNMENT AGENCY

PREPARED BY:

_____
Name and Position

APPROVED BY:

_____
Chief of the Department/Division

TO BE ACCOMPLISHED BY THE NATIONAL ARCHIVES OF THE PHILIPPINES

EVALUATED BY:

_____
Name and Position

NOTED BY:

_____
RMSD Chief

PROCEDURAL/INSTRUCTIONAL GUIDE:

(1) NAME OF OFFICE
The office where the inventory is being undertaken.

(2) DEPARTMENT/DIVISION
The department/division of the office.

(3) SECTION/UNIT
The administrative or operating section/unit of the office.

(4) TELEPHONE NUMBER & (5) EMAIL ADDRESS
The contact number of the person/employee in charge of files. Email address must be the official electronic mail of the office.

(6) ADDRESS
Indicate the specific address of the office such as floor number, building, street, city/municipality and province.

(7) PERSON IN CHARGE OF FILES
The person/employee having control or custody of the records/files/documents.

(8) DATE PREPARED
The date when the inventory of records had been accomplished.

(9) RECORDS SERIES TITLE AND DESCRIPTION
The entry of record series title shall be properly filled out. If the records are not listed in the General Records Disposition Schedule (GRDS) or in the Agency Records Disposition Schedule (RDS), a brief description or definition of the records shall be noted in the remark column. (e.g. for substantive record: Batch Control Sheets – are lists of taxpayers). Include other records that may not be in the records series enumerated above.

(10) PERIOD COVERED/ INCLUSIVE DATES
Indicate the period covered by the record series from the earliest to the latest year when the records are created/received by the government agency. (e.g. 1990 – 2011). Note gaps.

(11) VOLUME
The mass of the records should be computed and expressed in cubic meters. The formula for volume in cubic meters: Volume = length x width x height (in meters). In case the bulk of the records could be counted by sacks, box, bundles or wherever the records are stored, then it should be indicated in the inventory list. (e.g. 2 cu.m. – 50 bundles)

(12) RECORDS MEDIUM
The medium of the records should be specified - whether the records are in paper format, microfilm, electronic, cd/dvd, maps, drawings, computer printout or in any forms. (e.g. for Notarial records: Paper & microfilm)

(13) RESTRICTION
Records are to be classified as open access or restricted access records. If the government office has no guidelines pertaining to the restrictions of its record holdings, all records of that office are considered open access. Restricted records shall be classified as confidential, restricted, secret and top secret records. (e.g. for 201 Files: Confidential)

(14) LOCATION OF RECORDS
The location of records should be specified with such designations as office area, offsite or in NAP. (e.g. Room 617 Vault 1 Cabinet 2a)

(15) TIME VALUE
Records shall be categorized as temporary or permanent records. Temporary records have a specific retention period and may be disposed of. Permanent records may not be disposed of as these should be retained for safekeeping. (e.g. for Vouchers: Temporary; Check Register: Permanent)

(16) RETENTION PERIOD
If the time value of the records is temporary, the specific retention period should be indicated and checked against the GRDS, Agency RDS or against any other guidelines pertaining to the disposition of the specific record series. When the records' time value is permanent, there will be no limit to its retention period. If the records had no approved retention period, the Records Officer/Custodian shall make an appropriate proposal to the NAP and approved by the supervisor about the suggested retention period. (e.g. for Vouchers that have approved retention period: 10 years; Batch Control Sheets that has no approved retention period: Suggested – 10 years)

(17) REMARKS
State a brief description/explanation/history of the records series if not found in the Agency RDS/GRDS.

Annex D: NAP Form 2 (Records Disposition Schedule)

NAP Form No. 2
2008

NATIONAL ARCHIVES OF THE PHILIPPINES *Pambansang Sinupan ng Pilipinas* **RECORDS DISPOSITION SCHEDULE**	1. AGENCY NAME: 2. ADDRESS:
3. SCHEDULE NO.:	4. DATE PREPARED:

5. ITEM NO.	6. RECORD SERIES TITLE AND DESCRIPTION	7. RETENTION PERIOD			8. REMARKS
		Active	Storage	Total	

IMPORTANT: Pursuant to Section 18, Article III, RA 9470 s. 2007, "No government department, bureau, agency and instrumentality shall dispose of, destroy or authorize the disposal or destruction of any public records, which are in the custody or under its control except with the prior written authority of the executive director."

Page ___ of ___ Pages

NAP Form No. 2
2008

5. ITEM NO.	6. RECORD SERIES TITLE AND DESCRIPTION	7. RETENTION PERIOD			8. REMARKS
		Active	Storage	Total	

NAP Form No. 2
2008

5. ITEM NO.	6. RECORD SERIES TITLE AND DESCRIPTION	7. RETENTION PERIOD			8. REMARKS
		Active	Storage	Total	

NAP Form No. 2
2008

9. Prepared by:

Name

Position

11. Recommending Approval:

Name

Position

10. Assisted by:

Name

Position

12. Approved:

Name

Position

TO BE ACCOMPLISHED BY THE NATIONAL ARCHIVES OF THE PHILIPPINES

This Records Disposition Schedule

☐ is being returned for improvement / correction

☐ is being recommended for approval

Chairman
Records Management Evaluation Committee

Date

APPROVED:

Executive Director

Date

REFERENCES

The National Archives of Scotland. *Records Management Procedures Manual*. Scotland UK

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This provisions of this manual are contributions of the members based on the principles set forth in the Implementing Rules and Regulations of Republic Act 9470 otherwise known as the National Archives of the Philippines Act of 2007, key concepts from ISO 15489 Information and Documentation – Records Management, knowledge learned from various RM trainings as well as benchmarking of best practices of other UP CUs.

Through this manual, the committee hopes that records management across units of this university will be standardized and systematized so that access to various records will become easy and efficient.

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