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1. PURPOSE

The purpose of this procedure is to ensure that all records generated by the quality management system are properly maintained and are readily available for use by those who need them.

2. SCOPE

This procedure applies to records required by ISO 9001 as well as records identified by the organization as required for the effective management and control of processes.

3. PROCEDURES

3.1. Manager (Division Chief, Records Division)


- Approves the Records Disposition Schedule.
- Approves the turnover of files.
- Approves the disposal of files

3.2. Records Custodian/Records Officer

- Disposes records in his area following the retention schedule, using the Turnover List and Disposal Authorization.
- Updates the Masterlist of Records.
- Approves the disposal of files.

3.3. Records Custodian

- Identifies the record series and determines the record value and retention period, in coordination with the Unit Document Controller.

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- Creates and labels files as needed.
- Sets up and labels active records storage locations as needed.
- Maintains files of active records in conjunction with his function or process.
- Maintains the Records Masterlist.
- Turns over files of inactive records to the Records Center following the retention schedule, using the Turnover List and Disposal Authorization.

3.4. Records Officer

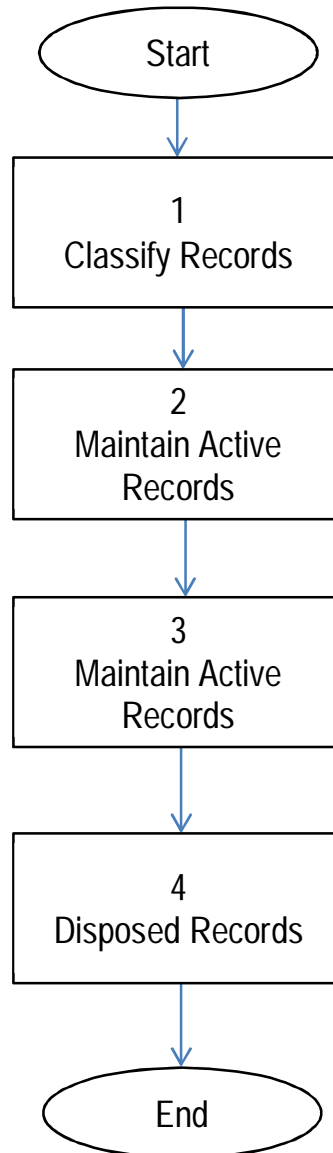
- Sets up and labels inactive storage locations as needed.
- Receives inactive files for storage.
- Maintains the Masterlist of Records.
- Implements the disposition of records following the retention schedule.

3.5. Document Controller

- Updates the Central Records Disposition Schedule.


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FLOWCHART OF PROCEDURE



Guidelines


- a) Internal forms needed by the Division shall be designed, developed, distributed for use and/or revised subject to the document control procedure.
- b) Control of records shall generally comply with the provision of RA 9470 RMAO.

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c) Control of records related to the six (6) mandatory procedures shall follow the same procedure as records required by the different units, except that the Records Retention Schedule shall be approved by the QMR

d) Records Classification

1. The values of records may be considered through the following perspective: first, in terms of their immediate or future utility to the Agency for administrative, legal or fiscal aspects; and second, from the archival point of view, in terms of their permanent historical or research value.
2. Records shall be classified in terms of value as:
 - i. Time Value – a record may be appraised as either temporary or permanent value.
 - ii. Utility Values – a record may be further appraised on the basis of various categories of usefulness.
 - Administrative Value – serves as administrative tools to accomplish the mission of the Agency.
 - Fiscal Value – serves as tools in discharging the financial obligations of the Agency.
 - Legal Value – states legal decisions and opinions, either of a permanent or temporary character.
 - Archival Value – historical or research significance of records or documents, such as the creation and development of an agency, its various policies and procedures.
3. Records belonging to a group or series shall have the same retention and disposition. Under the FSACS, the record group or series is defined by function subject.

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e) Maintenance of Active Records

1. Filing systems may be one of the following:


- i. Alphabetical – records are arranged in dictionary order, by name (individual or organization), subject matter (descriptive feature) or location (geographic).
- ii. Numerical – records are identified by the numbers assigned to them. This is used for records such as invoices and issuances.
- iii. Chronological – records are arranged by time sequence or date (year, month, day).
- iv. Functional Subject – Alphabetic Classification System (FSACS) – records are arranged by function (alphabetical) and their component subjects (alphabetical).

2. Files shall be labeled following the format:

Format	File Title 1	Date 1	
	File Title 2	Date 2	
		Date 3	
Where	File Title 1	Records Series Title (FSACS function title)	
	File Title 2	Record Title (FSACS subject/name title)	
	Date 1	Coverage Date	
Sample	Date 2	Date of transfer to the Records Office	
	Date 3	Disposal Date	
	Employee	Programs	Jan 2009
	Employee	Satisfaction Survey Forms	Jan 2010
			Jan 2011

3. Files shall be arranged following the filing system specified in the Records Disposition Schedule.

4. File storage areas shall be identified and labeled. Filing cabinets, shelves, racks, and drawers may be numbered accordingly.

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f) Maintenance of Inactive Records

1. At the end of active retention, files shall be placed in boxes and transferred to the Records Division. Files in a box must belong to only one Division and must have similar dates of transfer to the Records Division and disposal dates. There should be a Turnover List and Disposal Authorization (TLDA, please define/consider red tagging) with the following information:


- i. Unit Code (see Document Reference Coding of FSACS)
- ii. Box Number (sequential)
- iii. Date of transfer to the Records Office
- iv. Disposal date

2. File boxes are arranged on racks inside the Records Division. Each slot on the rack has a designated numbered address (rack number, row number, slot number) which is indicated in the Records Masterlist of the Records Division.

3. A logbook shall be maintained on records borrowed from/returned to the Records Division. The logbook shall indicate the following information:

- i. Borrowing Unit
- ii. Name of Borrower
- iii. Record Title
- iv. Date Borrowed
- v. Date Due
- vi. Signature of Borrower
- vii. Date Returned
- viii. Signature of Records Officer

g) Disposal of Records

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1. Records shall be disposed when the records have reached their inactive retention period and are deemed obsolete or no longer needed.

2. Records disposal shall be covered by the Turnover List and Disposal Authorization (TLDA). In addition, a request shall be sent to the National Archives of the Philippines (NAP) for an "Authority to Dispose of Records". Actual disposal shall be witnessed by the representative of the NAP COA.