



# **RECORDS MANAGEMENT MANUAL**

## OVERVIEW

Records are one of the most valuable assets of any type of organization. As we are all aware of, records support decision-making, demonstrate compliance, document the history of the organization, and perhaps most importantly, enable us to do our jobs. Thus, records need to be properly managed in order to maximize their value and minimize their cost.

The Aurora State College of Technology (ASCOT), as a state college, shall be governed by the existing laws and policies of the government. Thus, in compliance with the Republic Act NO. 9470 otherwise known as the National Archives of the Philippines Act of 2007, shall give priority for the safeguard, protection and preservation of its documents and records, not only as fundamental instruments for efficient and effective governance but also as essential tools for the preservation of the college's history and cultural memory.

Towards this end, the Aurora State College of Technology (ASCOT) acknowledges its obligation to establish and maintain an active continuing program directed to the application of efficient and economical records management methods relating to the creation, utilization, maintenance, retention, preservation, and disposal of public records (Rule 3.1, Art. III, NAP General Circular No. 1). This records management program shall form part of ASCOT's Records Management Manual (RMM).

The ASCOT's RMM shall serve as guidance and resources for all the college officials/employees responsible for creating, receiving, preparing, processing, storing, and disposing of records. It shall also contain the functions, organizational chart of the records, policies and standard operating procedures of all records management activities. The policies, rules and regulations embodied in the RMM were all based from the pertinent provisions of RA 9470 and its Implementing Rules and Regulations (IRR), and the NAP General Circulars issued under the provisions of said Act.

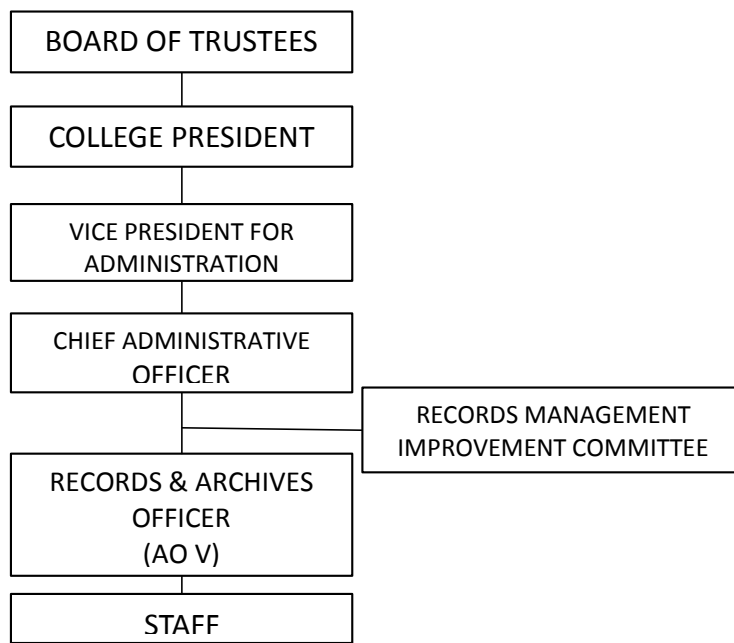
## FUNCTIONS AND ORGANIZATIONAL CHART ASCOT RECORDS AND ARCHIVES OFFICE

As provided under Article III of the NAP General Circular No. 1, the college shall establish its Records and Archives Office and shall be headed by a qualified Records Officer. The office is mandated to oversee the records management program of the college and serve as the liaison with the National Archives of the Philippines (NAP).

Figure 1 shows the organizational set-up of the Records and Archives Office of ASCOT. The office shall be under the supervision of the Chief Administrative Officer.

The Records Management Improvement Committee (RMIC) shall be created to serve as an advisory body on the development of records management. The chairman and members of which shall be designated by the College President.

Figure 1. Organizational Set-up of ASCOT Records & Archives Office



## **MANAGING ASCOT RECORDS**

### **1. Establishment of ASCOT's Storage/Mini Archives**

- 1.1 The college shall maintain and operate records storage/mini archives of non-current records preparatory to their transfer to the NAP, Records Center or to Archives Repository.
- 1.2 All non-current records of each department/section/unit shall transfer records to the Records and Archives Office for repository. Non-current records refer to files that deal with completed or adjourned business not needed for action or reference in continuing college transactions but have continuing research or historical value to the government and public.

### **2. Records Creation**

- 2.1 Each department/division/section/unit shall have an integrated program in the creation of necessary records and copies thereof, including reports, forms, and issuances of the absolute minimum in the most effective way consistent with efficiency and economy.
- 2.2 Each department/division/section/unit shall keep and preserve a logbook in which shall be recorded in chronological order all final official acts, decisions, transactions or contract pertaining to their functions. The logbook shall be in the custody of the Records Custodian concerned and shall be opened to the public for inspection.

### **3. Records Maintenance and Control**

#### **3.1 Operations of Incoming and Outgoing Mails**

3.1.1 The college shall have a centralized receiving and releasing unit of all communications for proper recording and routing procedures under the accountability of the Records Officer.

#### **3.2 File Classification Guide for Uniform Filing System**

3.2.1 The college shall develop a File Classification Guide or Scheme for a uniform filing system

#### 4. Retention Code

4.1. Retention Code shall be effected by the college based on the General Records Disposition Schedule (GRDS).

#### 5. Utilization of Filing Equipment and Floor Space

5.1 The college shall set standards and criteria for the maximum utilization of filing equipment and floor space for maintaining and servicing files.

#### 6. Personnel Security and Access to the File

5.1 The Records Officer/Custodian shall have the sole access to the office files and shall be responsible for the security of records at all time.

6.1. Confidential records shall be kept separately from the general files in secured file containers.

#### 7. Servicing with the File

Each department/division/section/unit shall adopt requisition and charge-out procedures in issuing files. A follow-up device shall be developed on charged out records.

### Records Disposition

#### 1. Inventory and Appraisal of Records

Each department/division/section/unit shall prepare an inventory and appraisal of its records holding using the prescribed form (NAP Form No. 1) as an initial step in developing the Records Disposition Schedule and in compliance with the NAP Circular No. 4.

#### 2. General Records Disposition Schedule (GRDS)

2.1. The college shall observe the enclosed GRDS in determining the disposal of its valueless records.

2.2. The college shall not dispose of the valueless records earlier than the period indicated for each records series. However, records may be retained for longer periods if there is a need to do so.

#### 3. Records Retention Schedule

3.1. The college shall establish a Records Disposition Schedule, to be accomplished in the prescribed form (NAP Form 2) covering its substantive records and those records not included in the GRDS, to serve as guide in the disposition of records. This will be subject to the approval of NAP.

3.2. Any revision or change in the Schedule shall likewise be submitted for approval to the Executive Director as the need arises.

#### 4. Turn-Over of Records to Successor

A person having custody of public records, at the expiration of his/her term of office or employment, shall deliver to his/her successor, or if there is none, to the National Archives of the Philippines, all public records in his/her custody.

#### 5. Transfer and Storage of Non-Current/Inactive Records

Transfer of non-current/inactive records of the college to the Records Center Division (RCD) of NAP shall be in accordance with the approved retention period and upon recommendation of the Records Management Analyst of NAP

#### 6. Authority to Transfer

Request for authority to transfer college records to the RCD-NAP shall be effected upon recommendation of the Chief, RCD and approved by the Executive Director, NAP

### Transparency of Transaction and Access to Information

The department/division/section/unit must institute adequate records management controls over the maintenance and use of their records wherever they are located to ensure that all records, regardless of format or medium, are organized, classified, and described to promote their accessibility.

### Transfer of Records to Archives

#### 1. Direct Transfer

The Archives Collection and Access Division (ACAD) of NAP is authorized to take into its custody all government records with enduring value and other historical materials for research and preservation purposes.

#### 2. Donations

Donations may be accepted from public and private sectors or entered into exchange policy agreement, subject to existing Philippine laws and evaluation policies of the NAP.

### 3. Acquisition

The physical nature and condition of the records, weighed against the capacity of the ACAD to collect and ensure access to them in the present and the long-term, will be considered as criteria in deciding whether or not to acquire or retain records, particularly technology-dependent records.

### 4. Access to Archival Materials

Any person who wishes to request information or have access to archival materials shall follow the procedures set by the ACAD.

### 5. Preservation of Archival Records

5.1. Archival records shall be stored in authorized repositories and shall be accessible to the public, subject to certain security and safety measures to preserve the integrity of the records.

5.2. It shall be the responsibility of the ACAD to protect archival documents in its custody and the Archives Preservation Division (APD) to undertake corrective measures to rehabilitate deteriorated documents in accordance with widely accepted standards.

5.3. All public officials and employees of government agencies shall consult with the NAP regarding proper methods and materials before undertaking conservation of any public records.

### Payment of Administrative Fee

The college shall charge fees for certified copies and certifications for non-availability of records. Fees shall be collected in accordance with existing laws and regulations.

### Technical Assistance

In case of technical assistance on matters concerning records/archives, the college can directly request specialists from the NAP.

## Records Management Audit

The NAP shall conduct periodic inspection of records of all government offices. All heads of government agencies shall have the duty to grant access to all of its records for audit purposes. Records found not included in the agency's Records Disposition Schedule shall be entered in NAP Form 2 (RDS) for approval of the Executive Director of NAP.

### **DISPOSAL OF VALUELESS RECORDS**

#### General Requirements

The College shall observe the following general requirements in disposing or destroying its valueless records:

1. Use the GRDS, College's (RDS), and/or specific laws and regulations in determining public records for disposal.
2. Ensure that only records with a Disposal Schedule are destroyed after the completion of its period for storage.
3. Ensure that records to be disposed have a number and subject/title as in the College's RDS and GRDS.
4. Conduct periodic examination of college files at least once a year to identify valueless records that can be requested for disposal.
5. Separate the records for disposal from those for further retention as suggested by the NAP.
6. Do not dispose any college records under the administration and control of each department/division/section/unit without authority from the NAP.
7. Do not dispose records that are involved in any case until they are finally decided upon or settled.
8. Do not dispose financial records that are subject of audit by the Commission on Audit until they are post-audited and finally settled.

#### Disposal Procedures

1. Determination of Valueless Records for Disposal



- 1.1. College personnel concerned shall determine the valueless records by checking their specific and authorized retention periods using the college's RDS, GRDS, and/or specific laws and regulations as the legal basis.
  - 1.2. College personnel concerned shall estimate the volume of the valueless records to determine and facilitate economical disposal.
2. Request for Authority to Dispose
  - 2.1. College personnel concerned shall accomplish the Request for Authority to Dispose of Records (NAP Form No. 3) in three (3) copies and properly fill-up the specific records series, period covered, volume and authorized retention periods in the College RDS, GRDS, and/or specific laws and regulations are complied with such as:
    - 2.1.1. financial records that are subject of audit by the Commission on Audit (COA) were post-audited and finally settled, and
    - 2.1.2. the records involved in a case or investigation were finally decided upon or settled.
  - 2.2. Upon completion of Request for Authority to Dispose of Records and the college officials concerned have approved and signed the request, the college Records Officer concerned shall submit the same to NAP.
3. Evaluation of Disposable Records

The office responsible in NAP shall evaluate the valueless records requested by ASCOT for disposal. The same office shall then prepare and submit an analysis report based on his/her evaluation and/or examination.
4. Authority to Dispose and Notification of Actual Disposal
  - 4.1. The Authority to Dispose of records indicating therein the mode of disposal shall be issued by the Executive Director of NAP.
  - 4.2. In case the mode of disposal is by Sale, the guidelines on Government Procurement shall be followed in the selection of contracted buyer. A copy of the contract shall be submitted to NAP prior to the actual disposal.
  - 4.3. If in case the college opted to avail the services of NAP official buyer, a letter of availment shall be submitted to NAP.
5. Segregation and Custody of Valueless Records

The Records Officer/Custodian of the college shall supervise the segregation of valueless records and be responsible for their safekeeping until their actual disposal.

## 6. Actual Disposal

6.1. Actual disposal shall be witnessed by Authorized Representatives from the college, NAP and COA to ensure that the records to be disposed of are the same records that were authorized for disposal.

6.2. Witnessing of actual disposal by NAP authorized representative shall be dispensed with for those agencies that have been compliant with all the government recordkeeping requirements as ascertained by NAP or in instances deemed appropriate and expedient by the Executive Director based on economy, nature of records series involved and track records of the agency.

6.3. A Certificate of Disposal shall be prepared in three (3) copies by the NAP authorized representative who will witness the actual disposal of records and ensure that all pertinent data are complete.

6.4. In cases where the witnessing by NAP authorized representative is dispensed with, the Records Officer of the college shall prepare the said Certificate of Disposal in three (3) copies.

6.5. The Distribution of copies shall be as follows: The College, as Requesting Agency – original copy; NAP – 2<sup>nd</sup> copy; and COA – 3<sup>rd</sup> copy.

## 7. Proceeds of Sale

All proceeds realized from the sale of valueless records shall be remitted either to the National Fund, Revolving or Trust Fund.

## 8. Disposal of Damaged Records

Disposal of damaged permanent records and damaged records that have not yet passed their prescribed retention period shall be considered for authorized disposal only upon submission to NAP of the following requirements:

8.1. Official Report pertaining to the non-usability and extent of damage done to the records; causes of the damage to the records; photo documentation and information on what other agency records series can the data or information of the damaged public records be found;

- 8.2. Request for Authority to Dispose of Records (NAP Form 3) in three (3) copies and properly filled-up with the specific records series, period covered, and volume of the damaged records, approved by the college officials concerned;
- 8.3. Certification that the said damaged records that are subject of audit by the Commission on Audit were post-audited and finally settled, and/or the records involved in a case or investigation were finally decided upon or settled; and
- 8.4. If expediency demands and upon the order of the Executive Director, an official report from NAP Representative who shall conduct an actual physical inspection and evaluation of the damaged records.
- 8.5. Upon issuance of authority to dispose, the same disposal procedures in these guidelines shall be strictly complied with.

## 9. Offenses and Penalties

A college employee, who wilfully or negligently, damages a college record in violation of the provisions of RA 9470 and its IRR contravenes or fails to comply with any provision of said Act and its IRR shall be deemed to have committed an offense.

## **INVENTORY OF RECORDS**

Pursuant to Article III, Section 15 of Republic Act 9470, the Records Officer/Custodian of ASCOT shall conduct an inventory of all college records and shall be mandated to keep the following data in the respective registry:

- (a) All college records under its custody
- (b) All records transferred to the NAP
- (c) All records disposed of with authority (Section 18 and 19 of RA 9470)
- (d) Data of deferred transfer of records (Section 21 of RA 9470)
- (e) A public access register that contains information on:
  - (1) Restrictions on public access to college records;
  - (2) Prohibitions imposed on public access to public archives or protected records under the control of the Executive Director;
  - (3) The grounds for the prohibitions and restrictions;
  - (4) The conditions agreed on as to public access for protected records transferred to the control of the Executive Director of NAP.

The inventory of records will allow the NAP to create a List of Record Series that will strengthen the present system of records keeping while promoting a meaningful awareness among stakeholders of the importance and relevance of records and archives as significant aspects of Philippines cultural heritage. A Public Access Registry will be established to provide public access to records of all government agencies. This registry will provide the basis for the National Records Management and Information System (NaRMIS).

In accordance with the provisions of RA 9470, the objectives of the inventory of records are as follows:

- (1) To create a list of record holdings of the college;
- (2) To gather information on the college's records management profile including information about its records officer/custodian, contact numbers and the like which would determine the accountability in ensuring that the full range of records documenting the affairs of the college are maintained and preserved;
- (3) To identify college employees/officers accountable/responsible for records management;
- (4) To establish a Public Access Registry for all record holdings of the college;
- (5) To assist offices/units of the college in establishing their own records management plan;
- (6) To provide the basis for a National Records Management Information System on policies, rules, regulations, guidelines, and procedures.
- (7) To provide public viewing on open access documents; access essential and reliable evidences of national information
- (8) To standardize government records management systems

The inventory shall cover all records created, received, and maintained in all offices and units of the college. The inventory of college records will be posted in the ASCOT website to make it accessible and available to the public. This inventory ensures full public accessibility to record holdings except for:

- (a) Those records which must be kept secret in the interest of national security or the conduct of foreign affairs;
- (b) Records which would put the life and safety of an individual in imminent danger and the disclosure of which would invade personal privacy;
- (c) Records which fall within the parameters of established privilege or recognized exceptions as may be provided by law or settled policy or jurisprudence;

Restricted records should still be listed in the inventory along with all information regarding the appropriate restrictions.

The inventory aims to assist researchers and other members of the public interested in specific records holdings of the college. It shall promote the awareness that the college must keep records according to their prescribed disposition period and that the general public can access such records provided no restrictions have been included.

#### Steps/Procedures in the Conduct of Inventory

1. The Records Officer/Custodian of the college shall conduct the physical inventory of records. He/she shall:

Step 1. Identify all records by records series title or records series name including those records that cannot be classified/determined as official records whether located in the official file/repository or other storage areas.

Step 2. Identify the location of each record series including records not properly placed in the designated storage areas such as those located in the stairways, unused restrooms and vehicles, etc.

Step 3. Approximate the volume of each record by cubic meter.

Step 4. Fill up the National Inventory Form (see Appendix A). The following information are needed in filling-up the form:

- 1) Name of Office

The Aurora State College of Technology (ASCOT) will be the office where inventory will be undertaken

- 2) Department/Division

The department/division of the college

- 3) Section/Unit

The administrative or operating section/unit of the college

- 4) Telephone Number

The contact number of the person/employee in-charge of files

- 5) E-mail Address

It must be the official electronic mail of the college

6) Address

The specific location of the college where the barangay, municipality, and province are indicated

7) Person-In-Charge of Files

The employee/officer having control or custody of the records/files/documents

8) Date Prepared

The date when the inventory of records was accomplished/finalized

9) Records Series Title and Description

The entry for records series title shall be properly filled out. If the record is substantive record or a record with archival value or one which could not be found in the General Records Disposition Schedule (GRDS), a brief description or definition of the records shall be noted in the remark column.

10) Period Covered/Inclusive Dates

Indicates the period covered by the record series from the earliest to the latest year when the records were created/received by the college

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)

12) Records Medium

The physical material in or on which information may be recorded such as paper, film, magnetic tape, electronic disk, etc.

13) Restriction

Records are to be classified as open access or restricted access records. If the college has no guidelines pertaining to the restrictions of its records holdings, all records of the college shall be considered open

access. Restricted records shall be classified as confidential, secret and top secret records.

14) Location of Records

The location of records should be specified with such designations as office area, offsite or in NAP

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.

16) Retention Period

16. 1. If the time value of the records is temporary, the specific retention period should be indicated and checked against the GRDS, College RDS or against any other guidelines pertaining to the disposition of the specific records series.

16.2. 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 of the college shall make an appropriate proposal to the NAP about the suggested retention period.

17) Remarks

A brief description/explanation/history of the records series indicated in the inventory if not found in the College RDS/GRDS.

Step 5. Upon completion of the inventory of records, the properly filled-up inventory form should be signed by the employee/officer who conducted the inventory and by his/her immediate supervisor.

2. The NAP shall collate and prepare a summary/terminal report and, if necessary, conduct phone verification or ocular visits and inspections for those records found incompletely described especially if these are archival records.
3. The NAP shall produce a Public Access Registry which it shall circulate through publication.



4. The inventory of records shall be updated every year by the college and shall be submitted during the records management audit of the NAP.

## **PENAL PROVISIONS**

A person who, wilfully or negligently, damages a public record or disposes of or destroys a public record other than in accordance with the provisions of RA 9470 or contravenes or fails to comply with the provisions of said Act or nay regulations made under this Act shall be deemed to have committed an offense.

Any public officer committing any of the unlawful acts or omission mandated under RA 9470 shall be punished by a fine or not less than Five Hundred Thousand Pesos (PhP 500,000.00) but not exceeding One Million Pesos (PhP 1,000,000.00) or be imprisoned for not less than five (5) years but not more than fifteen (15) years and/or both fine and imprisonment at the discretion of the court without prejudice to the filing of administrative charges that would result to such public officer's perpetual disqualification form public office, and forfeiture, in favour of the government, of his salary and other lawful income.

## **GLOSSARY**

1. Access – refers to the granting of permission to:
  - (a) use the reference service of an archives institution;
  - (b) examine and study individual archives and records or collection held by archives; and
  - (c) extract information from archives and records for research or publication

2. Accession – refers to the process of transferring non-current/archival; records from the custody of an operating agency to the administrative control and guardianship of a records center/archival agency;
3. Administrative value – refers to the usefulness of records to the originating or succeeding agency in the conduct of current business
4. Appraisal – refers to the study of records, their relationships and contents, to determine their utility values as to administrative, fiscal, legal, and archival value and time values whether temporary or permanent
5. Archival Value – refers to 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 individuals’ rights and entitlements; and provide information about the important people, issues, places, events that make up the story of Philippines’ history.
6. Archives – shall refer to:
  - (a) public records, paper, 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 value, that have been selected for permanent preservation;
  - (b) the place (building/room/storage area) where archival materials are kept and preserved; and
  - (c) 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
7. Acquisition – refers to:
  - (a) the act of obtaining records for the archives, through donations, transfers, loans, or purchase both from public and private archives;
  - (b) the terms of agreement, procedures and documentation used by archival repositories to obtain physical and legal ownership of archival materials from depositors; and
  - (c) a unit of archival material that has been recently collected or acquired.

8. Authority – refers to a conclusive statement leading to an official decision pertaining to records and archives management
9. Authority to Dispose of Records – refers to written permission issued by the Executive Director of the National Archives of the Philippines (NAP) to government agencies for the destruction of valueless records
10. Classification Scheme or Guide – refers to a systematic arrangement of subjects according to a plan as an aid in classifying file materials;
11. Conservation – refers to the physical care and maintenance of archival materials, including cleaning, storage, and repair
12. Controlling Government Agency – shall refer to:
  - (a) public office that controls the public records;
  - (b) public office that has the power to determine the conditions of access to the public archives; and
  - (c) any successor of a public office that is abolished, merged or reorganized
13. Disposal – refers to the act of selling, landfill/burying, or any other way of discarding valueless records in accordance with the provisions of RA 9470
14. Disposal Procedures – refer to series of steps in the disposal of valueless records
15. Document – refers to recorded information regardless of medium or characteristics. Frequently used interchangeably with “records”.
16. Economical Disposal – refers to management ways of discarding valueless records that will generate savings in terms of space, equipment, manpower, and other source of income
17. Evaluation – refers to the act of examining disposable records in order to assess their value, quality, importance and extent of physical condition
18. Executive Director – refers to the head of the National Archives of the Philippines
19. Financial Records – refer to the records created and maintained by the agency about their financial transactions and obligations
20. File – refers to:

- (a) a folder containing records; or
  - (b) a collection of records involving a specific name or topic; or
  - (c) the operation involved in arranging records of file drawers; or
21. File Break – refers to the termination of filing activity for a particular file at a predetermined time, or after a lapse of a specific event and the beginning of a new filing period.
  22. File Containers – refer to steel filing cabinets, open wooden shelves, vaults, corrugated boxes, file jackets and the like used to keep the records of the agency.
  23. Fiscal Value – refers to the relative worth or usefulness of records pertaining to financial transactions and obligation of agencies and organization
  24. General Records Disposition Schedule (GRDS) – refers to a records control schedule governing the disposition of specified recurring records series common to all government agencies issued by the National Archives of the Philippines
  25. Government Agency/Office – refers to any public office, department, bureau, agency, and instrumentality, whether pertaining to the national government or local government unit.
  26. Inventory – refers to a descriptive listings of the records holding by records series indicating its specific location, inclusive dates 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.
  27. Legal Value – refers to the value of records containing evidence of legally enforceable rights or obligations of government and/or private person
  28. Letter of Availment – refers to letter of agencies availing the services of the NAP official buyers of valueless records
  29. Mode of Disposal – refers to destruction of valueless records by sale, landfill/burying, or any other way
  30. National Archives – refers to the National Archives of the Philippines (NAP), which is established and strengthened under RA 9470

31. Non-Current Records – refer to files that deal with completed or adjourned business not needed for action or reference in continuing agency transactions but have continuing research or historical value to the government and public
32. Open Access Records – refer to public records that have not been prohibited for public access
33. Permanent Records – refer to records which usefulness are worthy of preservation because of their administrative, legal, and/or archival (historical and research) significance
34. Preservation – refers to all actions taken to retard deterioration of, or prevent damage to, cultural materials and controlling the environment and conditions of use and may include treatment to maintain materials as nearly as possible in an unchanging state
35. Private Archives/Collections – refer to records belonging to private individuals and/or entities which are of archival value
36. Public Access Registry – refers to public access register containing prohibition and restriction on the unauthorized disclosure and access of information in any public records
37. Public Archives – refer to public records that are under the custody and control of the Executive Director of NAP
38. Public Records - refer to public records or classes of records, in any form, in whole or in part, created or received, whether before or after the effectivity of RA 9470, by a government agency in the conduct of its affairs, and which have been retained by the government agency or its successors as evidence or because of the information contained therein
39. Records – refer to 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:
  - (a) in written form on any material; or
  - (b) on film, negative, tape, or other medium so as to be capable of being reproduced; or
  - (c) by means of any recording device or process, computer, or other electronic device or process

40. Records Center/Storage Area – refers to 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
41. Records Creation – refers to the:
  - (a) organization's operation wherein exchange of written ideas between two sources occur;
  - (b) act of controlling records and retaining them in records keeping system; and
  - (c) bringing of records into existence as evidence of any administrative process
42. Records Custodian – refer to any agency employee with responsibilities over a particular set of records. He/she must keep the Records Officer informed of any issues regarding the records in his/her custody
43. Records Disposition – refers to the systematic transfer of non-current records from office to storage area, identification and preservation of archival records, and the destruction of valueless records
44. Records Disposition Schedule – refers to a listing of records 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
45. Records Maintenance and Control – refers to the creative process of records management that includes the proper handling and operations of records, the arrangement of written materials into usable filing sequence, and the selection of the most efficient type of filing equipment
46. Records Management – refers to the managerial activities involved with respect to records creation, records maintenance and use, transmission, retention, and records disposition in order to achieve adequate and proper documentation of policies and transaction of government for its efficient, effective and economical operation
47. Records Management Audit – refers to the periodic inspection of the records holdings of government offices, whether national or local for purposes of identifying and incorporating records series that are not yet included in the agency RDS
48. Records Management Improvement Committee – refers to a group of key officials and employees designated by the head of the agency responsible for the improvement of their records activities

49. Records Management Manual – refers to a guide which contain the functions, organizational chart of the records office, policies and standard operating procedures on records management activities of an agency
50. Records Office – refers to an organizational unit responsible for planning, developing, prescribing, disseminating and enforcing policies, rules and regulations, and coordinating agency-wide records management program
51. Records Officer - refers to the employee responsible for overseeing the records management program and providing guidance on adequate and proper recordkeeping
52. Records Series – refers to a group of related records arranged under a single unit, label or kept together as a unit because they deal with a particular subject, result from the same activity or have a related special form
53. Reference Service – refers to the function and activity of making available to inquirer, records, reproduction of records, or information from or/about records, the last in conference or in writing
54. Request for Authority to Dispose of Records – refers to NAP Form No. 3 used in the disposal of valueless records
55. 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 Executive Director that requires such public records to be withheld from public access.
56. Restriction – refers to the limitation placed by authority on access to records or information
57. Retention Period – refers to 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
58. Temporary Records – refer to records that already serve the purpose for which they had created
59. Transfer of Records – refers to systematic movement of records out of high cost space and equipment to less expensive storage area/Records Center
60. Valueless Records – refer to all records that have reached the prescribed retention periods and outlived the usefulness to the agency or the government as a whole

61. Vital Records – refer to records containing information essential for: emergency operation during a disaster; the resumption and/or continuation of operations; the reestablishment 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
62. Volume of Records – refers to quantity of records in terms of cubic meter

#### **REFERENCES**

1. NAP General Circular No. 1: Rules and Regulations Governing the Management of Public Records and Archives Administration
2. NAP General Circular No. 2: Guidelines on the Disposal of Valueless Records in Government Agencies
3. NAP General Circular No. 3: Guidelines on the Establishment and Use of General Records Disposition Schedule (GRDS)
4. NAP General Circular No. 4: Guidelines on the National Inventory of Records
5. Republic Act No. 9470 (National Archives of the Philippines Act of 2007): An Act to Strengthen the System of Management and Administration of Archival Records, Establishing for the Purpose the National Archives of the Philippines, and for Other Purposes



## **APPENDICES**

1. General Records Disposition Schedule (GRDS) – Common to All Government Agencies
2. NAP Form No. 1 – Form used in the inventory of records
3. NAP Form No. 2 – Records Disposition Schedule
4. NAP Form No. 3 – Request for Authority to Dispose of Records