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17 September 1992

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NO. **148** 🅣~)
Series of 1992)
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SUBJECT :   Records Management Manual

To enable all Records Units of this Department establish and maintain effective and efficient records management programs/ activities in their respective offices, the Records Management Division, Administrative and Manpower Manag..ent Service is tasked to furnish copies of the DPWH Records Management Manual to all the various offices of this Department.

The DPWH Records Management Manual defines the major functions of the Records Management Division of the DPWH Central Office; the different phases and policies on records management.

It is therefore hereby directed that the subject Records Management Manual be used by all Records Officers or custodians of documents/records in all Offices of the Department for their guidance and reference.
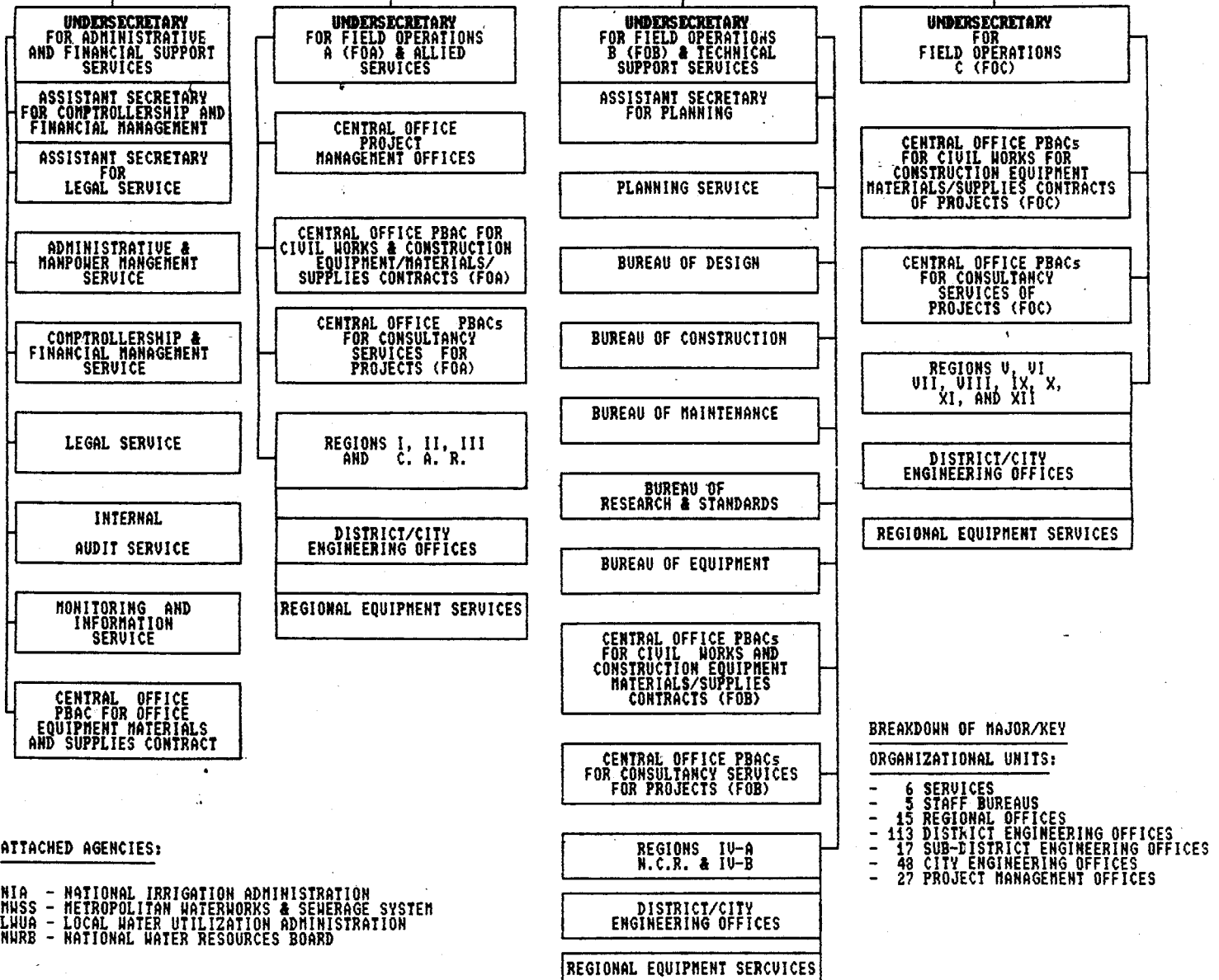

JOSE P. DE JESUS
Secretary

ORGANIZATIONAL STRUCTURE

DEPARTMENT OF PUBLIC WORKS AND HIGHWAYS
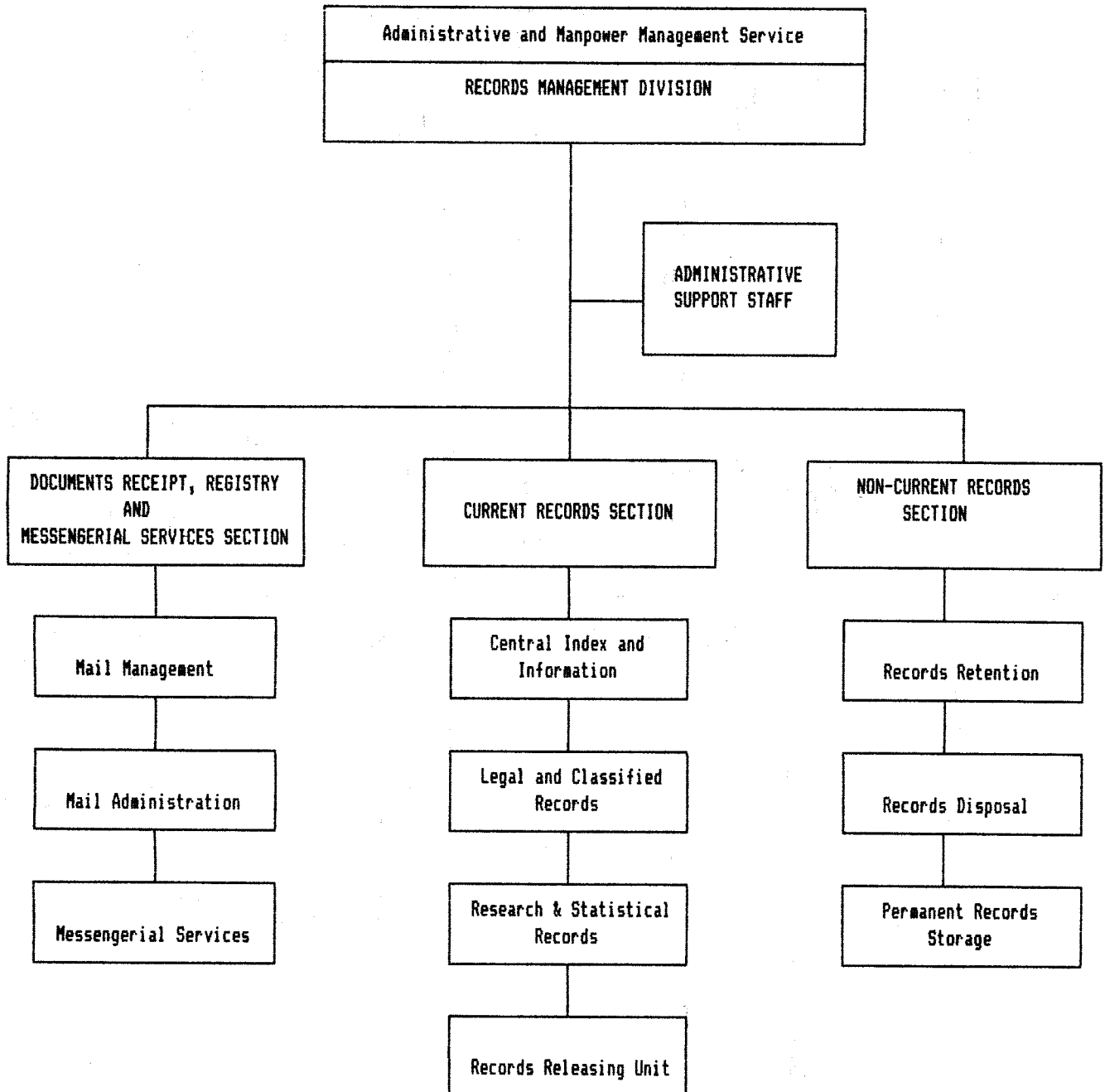## ORGANIZATIONAL CHART

SECRETARY
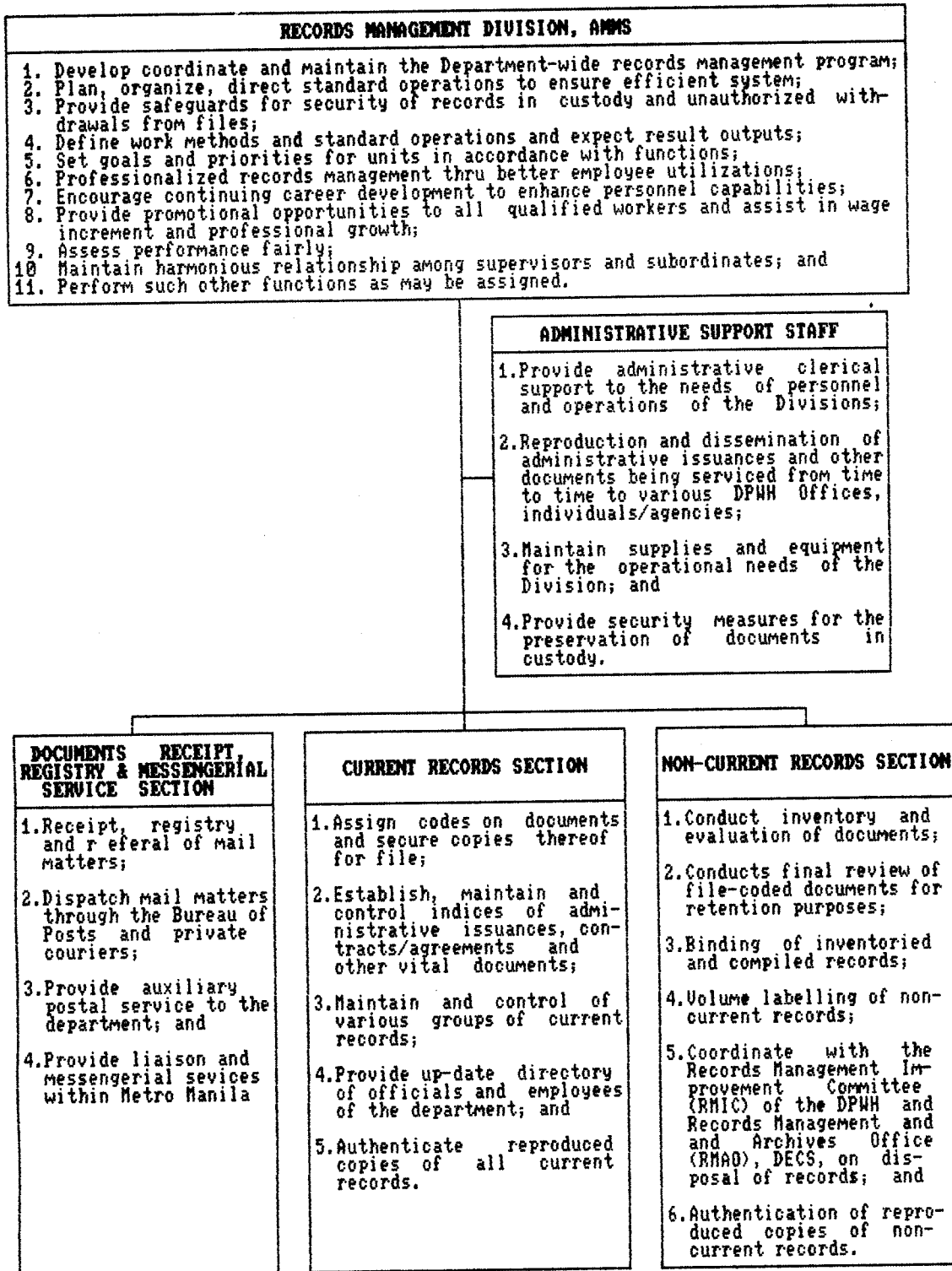
ATTACHED AGENCIES
NIA, MWSS, LWUA, NWRB

Assistant Secretary for Legislative Affairs

UNDERSECRETARY FOR ADMINISTRATIVE AND FINANCIAL SUPPORT SERVICES

ASSISTANT SECRETARY FOR COMPTROLLERSHIP AND FINANCIAL MANAGEMENT

ASSISTANT SECRETARY FOR LEGAL SERVICE

ADMINISTRATIVE & MANPOWER MANAGEMENT SERVICE

COMPTROLLERSHIP & FINANCIAL MANAGEMENT SERVICE

LEGAL SERVICE

INTERNAL AUDIT SERVICE

MONITORING AND INFORMATION SERVICE

CENTRAL OFFICE PBAC FOR OFFICE EQUIPMENT MATERIALS AND SUPPLIES CONTRACT

UNDERSECRETARY FOR FIELD OPERATIONS A (FOA) & ALLIED SERVICES

CENTRAL OFFICE PROJECT MANAGEMENT OFFICES

CENTRAL OFFICE PBAC FOR CIVIL WORKS & CONSTRUCTION EQUIPMENT/MATERIALS/ SUPPLIES CONTRACTS (FOA)

CENTRAL OFFICE PBACs FOR CONSULTANCY SERVICES FOR PROJECTS (FOA)

REGIONS I, II, III AND C. A. R.

DISTRICT/CITY ENGINEERING OFFICES

REGIONAL EQUIPMENT SERVICES

UNDERSECRETARY FOR FIELD OPERATIONS B (FOB) & TECHNICAL SUPPORT SERVICES

ASSISTANT SECRETARY FOR PLANNING

PLANNING SERVICE

BUREAU OF DESIGN

BUREAU OF CONSTRUCTION

BUREAU OF MAINTENANCE

BUREAU OF RESEARCH & STANDARDS

BUREAU OF EQUIPMENT

CENTRAL OFFICE PBACs FOR CIVIL WORKS AND CONSTRUCTION EQUIPMENT MATERIALS/SUPPLIES CONTRACTS (FOB)

CENTRAL OFFICE PBACs FOR CONSULTANCY SERVICES FOR PROJECTS (FOB)

REGIONS IV-A N.C.R. & IV-B

DISTRICT/CITY ENGINEERING OFFICES

REGIONAL EQUIPMENT SERCVICES

UNDERSECRETARY FOR FIELD OPERATIONS C (FOC)

CENTRAL OFFICE PBACs FOR CIVIL WORKS FOR CONSTRUCTION EQUIPMENT MATERIALS/SUPPLIES CONTRACTS OF PROJECTS (FOC)

CENTRAL OFFICE PBACs FOR CONSULTANCY SERVICES OF PROJECTS (FOC)

REGIONS V, VI VII, VIII, IX, X, XI, AND XII

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REGIONAL EQUIPMENT SERVICES

BREAKDOWN OF MAJOR/KEY ORGANIZATIONAL UNITS:

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- 5 STAFF BUREAUS
- 15 REGIONAL OFFICES
- 113 DISTRICT ENGINEERING OFFICES
- 17 SUB-DISTRICT ENGINEERING OFFICES
- 48 CITY ENGINEERING OFFICES
- 27 PROJECT MANAGEMENT OFFICES

ATTACHED AGENCIES:

NIA - NATIONAL IRRIGATION ADMINISTRATION
MWSS - METROPOLITAN WATERWORKS & SEWERAGE SYSTEM
LWUA - LOCAL WATER UTILIZATION ADMINISTRATION
NWRB - NATIONAL WATER RESOURCES BOARD

ORGANIZATIONAL CHART

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┌─────────────────────────────────────────────────────┐
│   Administrative and Manpower Management Service      │
├─────────────────────────────────────────────────────┤
│           RECORDS MANAGEMENT DIVISION                 │
└─────────────────────────────────────────────────────┘
                         │
                         │        ┌──────────────────┐
                         ├────────│  ADMINISTRATIVE   │
                         │        │  SUPPORT STAFF    │
                         │        └──────────────────┘
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DOCUMENTS RECEIPT, REGISTRY AND MESSENGERIAL SERVICES SECTION	CURRENT RECORDS SECTION	NON-CURRENT RECORDS SECTION
Mail Management	Central Index and Information	Records Retention
Mail Administration	Legal and Classified Records	Records Disposal
Messengerial Services	Research & Statistical Records	Permanent Records Storage
	Records Releasing Unit	

FUNCTIONAL CHART

RECORDS MANAGEMENT DIVISION, AMMS

1. Develop coordinate and maintain the Department-wide records management program;
2. Plan, organize, direct standard operations to ensure efficient system;
3. Provide safeguards for security of records in custody and unauthorized with-drawals from files;
4. Define work methods and standard operations and expect result outputs;
5. Set goals and priorities for units in accordance with functions;
6. Professionalized records management thru better employee utilizations;
7. Encourage continuing career development to enhance personnel capabilities;
8. Provide promotional opportunities to all qualified workers and assist in wage increment and professional growth;
9. Assess performance fairly;
10. Maintain harmonious relationship among supervisors and subordinates; and
11. Perform such other functions as may be assigned.

ADMINISTRATIVE SUPPORT STAFF

1. Provide administrative clerical support to the needs of personnel and operations of the Divisions;

2. Reproduction and dissemination of administrative issuances and other documents being serviced from time to time to various DPWH Offices, individuals/agencies;

3. Maintain supplies and equipment for the operational needs of the Division; and

4. Provide security measures for the preservation of documents in custody.

DOCUMENTS RECEIPT, REGISTRY & MESSENGERIAL SERVICE SECTION

1. Receipt, registry and referal of mail matters;

2. Dispatch mail matters through the Bureau of Posts and private couriers;

3. Provide auxiliary postal service to the department; and

4. Provide liaison and messengerial sevices within Metro Manila

CURRENT RECORDS SECTION

1. Assign codes on documents and secure copies thereof for file;

2. Establish, maintain and control indices of administrative issuances, contracts/agreements and other vital documents;

3. Maintain and control of various groups of current records;

4. Provide up-date directory of officials and employees of the department; and

5. Authenticate reproduced copies of all current records.

NON-CURRENT RECORDS SECTION

1. Conduct inventory and evaluation of documents;

2. Conducts final review of file-coded documents for retention purposes;

3. Binding of inventoried and compiled records;

4. Volume labelling of non-current records;

5. Coordinate with the Records Management Improvement Committee (RMIC) of the DPWH and Records Management and and Archives Office (RMAO), DECS, on disposal of records; and

6. Authentication of reproduced copies of non-current records.
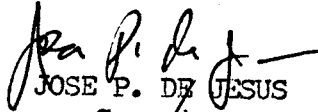
CONTENTS

F O R E W O R D

Records management is an important component of office administration. This is specially true for a line government agency like the Department of Public Works and Highways where the records that have to be managed are voluminous and critical.

To guide the personnel responsible for records management in the various offices of the Department, this Manual on Records Management is being published. It is designed to help records custodians and handlers understand records creation, maintenance, storage, preservation, retirement and disposal, and other aspects of records management. It is likewise meant to be a reference in pragmatically resolving day-to-day problems related to records management.

I urge all the heads of the records management units in the various DPWH offices to make use of this Manual not only to help them in their individual work but also to contribute to the efficient office administration in the Department.

I would like to thank and commend the Administrative and Manpower Management Service, particularly the Records Management Division, for this worthy undertaking.

JOSE P. DE JESUS
Secretary

INTRODUCTION

Man's limited memory makes records keeping essential in any organization. Without records, the supervisor cannot keep track of all the accomplishments of his people and all the details of the programs and projects of his office. The subordinate cannot possibly remember all the standing orders of his superior and all the policies, rules and regulations issued by higher authorities.

As an organization grows in size and becomes more complex in structure, the records that change hands increase in volume and variety. Records management, which is broader and more encompassing than simple records keeping, then becomes imperative.

The task of a records manager requires a balancing act. It is his duty to safeguard the records but at the same time make them available as needed. The safekeeping should be balanced with easy access and retrieval.

As an organization grows and the records become voluminous, there is also the need to weigh the benefits offered by certain records against the cost of continous storage. For integral to sound records management is records disposal.

Although records management systems have existed for over 40 years in both public and private sectors, they had been overlooked and neglected by office managers for a long time.

However, with information explosion and the accompanying records overload, office managers are now beginning to realize the value of records management. Already, there are rapid technological developments that involve computerization and microfilming.

Like in any other areas of office administration whose importance is recognized, the system and procedures in records management adopted by an organization deserve to be manualized to serve as a guide of concerned personnel.

Part I:

RECORDS MANAGEMENT:

AN OVERVIEW

PART 1:   RECORDS MANAGEMENT: AN OVERVIEW

1.1 RECORDS MANAGEMENT DEFINED:

Records Management is the systematic control over the creation, maintenance, preservation and disposition of records.

1.2 PURPOSES OF RECORDS MANAGEMENT:

* To create records that are necessary for the efficient and successful operation of an organization.

* To produce records when they are needed.

* To save or retain records that are necessary for the continued operation of an organization.

1.3 IMPORTANCE OF RECORDS MANAGEMENT:

* Decision Making — records have been described as the extension of the brains. No organization can exist without adequate records. Adequate records does not mean keeping everything that are to the records unit. The traditional method of records keeping is to keep and store everything.

Management depends on accurate records. In decision making, failure on the part of those maintaining records to give accurate records would result in an unsound decision.

* Economic Waste — Paperwork is the most expensive activity but essential to an organization. The organization must have to appropriate and spend thousands of pesos for personnel services, supplies and equipment. The devotion to the maintenance of the traditional method of records keeping result to economic waste in relation to the total outlay of an organization. Unless management recognizes that records management is an important phase of management in an organization,

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separate and highly important operational function, an organization shall continue to appropriate and spend large amount of money. Inspite of this large amount appropriated and spent, there would still be inefficiency and mishandling of records.

* <u>Solution</u>   —   The inefficiency an mishandling of records could only be solved through a scientific approach to the establishment of an integrated records management program. If established, the result will be the efficient and economical handling of records. There will be fewer but better records, better service and sound decision.

1.4 <u>PERSONNEL INVOLVED IN RECORDS MANAGEMENT</u>:

* Executives   —   the person responsible in the creation of records;

* Processor or User — the person to whom the records is sent for action or informtion.

* Officer Worker — the person responsible in the preparation of records, usually the secretary, stenographer, typist or machine operator.

* Records Personnel — the person responsible in the maintenance and retention of records.

1.5 <u>RECORDS MANAGEMENT GENERAL OBJECTIVES</u>:

* Regulate the great variety and volume of records/documents & papers received and **created** in Department transactions.

* Accomodate and control natural increase in volume and variety due to growth of the organization, new functions and expanded activities.

* Establish a department-wide uniform system in the classification and coding of records to facilitate easy processing, filing, storage and retrieval when needed.

* Establish a standard procedures for their receipt, issuance and control.

* Control, ensure delivery and reduce the accumulation of personal mails and publications with official mails, including GSIS checks.

* Protect vital records from vandals, fire and other natural hazards, misplacement and faulty strorage.

* Introduce computerization and microfilming of vital records/documents for permanent safekeeping.

* Initiate training courses in coordination with HRPD and HRTMDD for the records personnel in all aspects of records activities.

* Establish standard procedures that assure maximum utilization of office repro duction and filing equipment, including space allocation.

Part 2:

THE ROLE OF INFORMATION

AND RECORDS MANAGEMENT

IN THE GOVERNMENT

AGENCIES/ENTITIES

PART 2. THE ROLE OF INFORMATION AND RECORDS MANAGEMENT IN THE GOVERNMENT AGENCIES/ENTITIES

Information is the most important tool of man today whether he is in public or in private enterprise. It is also needed daily in the processes of problem-solving and decision-making. What an individual can do in any organization depends largely upon the information that he received and vice-versa, he may also be the source of information transmitted to others. In short, information is the knowledge communicated by others or obtained by study and investigation.

Information is generated and transmitted within every business and governmental organization countless times every minute of the working day. Executives of government and business offices are informed of the accomplishment of projects or programs through letter or meetings. The accounting unit or section constructs financial statements, budget reports and various other documents and distributes them to other sections or unit. Department/service and division chiefs develop organizational plans and policies and transmit these to their subordinates for implementation. Thus, a great deal of time is spent in receiving or transmitting information directly or indirectly consumed time alloted to top management. The following classifications may be helpful in comprehending the different information needs of managers and executives in business and government for decision-making purposes:

Action   — requires the recipient to respond within a specified period of time.

Non-action   — is information on which no action is taken but which will eventually become part of some activity later on such as a monthly or annual report.

Recurring   — much information recurs at regular in a given period of time.

Non-recurring   — Management needs information for planning a new program or constructing a new facility which may be needed only once during the lifetime of an organization.

Internal   — In most organization, the greatest portion of the existing information is generated within the organization.

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External   — an example is data gathered from a
                  government agency. This is usually
                  difficult to obtain than the internal
                  information.

Historical   — this consists of records of past
                  events or occurrences which is useful
                  as a basis for management decisions
                  for cost-saving purposes. This is
                  also gathered from both internal and
                  external source.

Future   — this is used for future planning of
                  any activity either by a private or
                  public entity.

Documentary   — this is an information which has
                  been recorded in permanent form. It
                  includes written or printed
                  manuscripts, punched paper tapes,
                  magnetic tapes, microfilms, computer
                  printouts and other forms.

Non-documentary— is the information that has not been
                  recorded. It is usually obtained
                  through such processes as word of
                  mouth and personal observation.

So much so that business and government information is
transmitted from one to another in the form of
documents known as records.

2.1   THE ROLE OF THE RECORDS OFFICER

The records officer cannot be successfully in
directing a records management program if top
management is indifferent or unsupportive of the
program. The first requirement, then for the
succcessfull implementation of a records
management program is active support by top
administrators. Once this is assured, the records
officer/manager can proceed with confidence.

2.2   QUALIFICATION OF THE RECORDS OFFICER

For a records officer/manager to fulfill his
or her duties effectively, certain qualifications
are needed. Qualifications needed for effectively
directing a records program are **required** through
academic preparation as well as through experience
in government. Experience in areas of records

management as well as in all phases of office work is certainly beneficial to the officer/manager. Office experience, regardless of the type of work, gives the manager an awareness of the flow and pattern of work and the purpose of documents. A person who cannot delineate the difference between an invoice and a statement is apt to go astray in establishing guideliness for their retention or destruction. A greater confidence in knowing the movement/purpose of documents generated in an office will aid the records officer in fulfilling the duties and responsibilities of the position.

Academic preparation for a career as a records officer should include courses in office administration as well as other business courses, such as management, communication, and computer processing. In addition, history courses are excellent in providing an awareness of the historical value of documents for preservation in the archives. A degree in office administration, although not a requirements, is highly desirable.

In addition to academic preparation and experience, top priority in preparing for a career in records management is the art of communication. This skill, whether used in written or oral communication should not be underestimated by the records officer/manager. Understanding the principles of effective communication enables the records officer/manager to write and update records manuals, to write instructions and guidelines that are clear and concise, and to communicate with top management through well-written reports and proposals. The ability to communicate orally is equally important in supervising personnel. An articulate person will give clear, correct, and complete instructions to supervisors. Lastly, he or she must be CSC First Grade or Career Service Professional Eligible.

2.3 **JOB DESCRIPTION OF THE RECORDS OFFICER V (Division Chief)**

1. Formulate policies, standards, procedures, rules and regulation on the creation, maintenance, preservation, security and disposition of records;

2. Plan work program to carry out the function and activities of the division;

3. Provide technical assistance to the Department on matters concerning records management;

4. Represent the Department in response to Subpoena Duces Tecum served by the Courts and Administrative investigating bodies;

5. Responsible for the issuance of certified copies or certification and authentication of document in his/her custody.

2.4 QUALIFICATIONS OF THE RECORDS SUPERVISOR

Probably one of the best qualifications of a Records Supervisor is that he or she relates well to people. The Records Supervisor supervises any number of records clerks and reports directly to the Records Officer/Manager. The Records Supervisor should be highly qualified and have at least two or more years experience in records management. In addition, the supervisor should have a minimum of two years of college work iincluding such courses as office procedures, office administration, and personnel management. The supervisor must be able to supervise staff effectively; coordinate available resources, establish priorities; possess good communication skills; make decisions; and plan, organize and control the records system. The supervisor should cooperate with the Records Officer/Manager in implementing changes that may be needed. He or she will assist the Records Officer in setting up an ongoing training program for all of the employees. The evaluation of employees on a regular basis and sharing the result of that evaluation in interviews with the employees are also supervisor's duties.

The supervisor should assist the Records Officer in selecting and orienting new employees. Job descriptions should be updated regularly to reflect any changes in duties and requirements of the job. The supervisor is in a position to make sure that individuals filling these positions do indeed keep the job descriptions updated.

2.5 JOB DESCRIPTION OF THE RECORDS OFFICER IV, III, II AND I

Records Officer IV (Section Chief)

1. Assist in formulating policies, standards, procedures, rules and regulations on the creation, maintenance preservation, security and disposition of records;

2. Assist in planning the work program to carry out the function and activities of the division;

3. Direct and coordinates with subordinate supervisors the functions and activities of the division;

4. Render technical advice to the Department on matters pertaining to records management;

5. Represent the Department in answer to Subpoena duces Tecum served by the courts and other investigating bodies; and

6. Certify/authenticate available documents requested.

Records Officer III

a. Responsible for maintaining records in accordance with prescribed standards and procedures and recommending measures for improvement when necessary;

b. Supervise the proper filing and safekeeping of records;

c. Initially appraise the records as to their administrative, fiscal, legal & archival value;

d. Assist in the implementation of the Department Records Disposition Schedule;

e. Review and certify available documents in the absence of the RO V (Division Chief) and the RO IV (Assistant Division Chief); and

f. Check on the mailing operations and does other related work.

Records Officer II

a. Assume responsibility for the orderly maintenance of records;

b. Make periodic tehnical inspection of file station;

c. Supervise the retrieval of requested documents;

d. Inventory the records whenever necessary.

Records Officer I

a. Assume responsibility for the proper filing and safekeeping of records;

b. Update the filing guide and prepare indices to facilitate the search for records;

c. Conduct file audit periodically;

d. Classify and record incoming and outgoing communications;

e. Maintain logbooks/indices for incoming and outgoing communications to aid in the tracking system of the Department.

Part 3:

THE NEED FOR AN

INTEGRATED RECORDS

MANAGEMENT IMPROVEMENT

PROGRAM

PART 3. THE NEED FOR AN INTEGRATED RECORDS MANAGEMENT IMPROVEMENT PROGRAM

3.1 RECORDS MANAGEMENT IMPROVEMENT PROGRAM:

A Records Management Improvement Program is a predetermined, well-arranged and coordinated plan of activities to attain effectiveness, effeciency and economy in the creation, maintenance and disposition of records in the agency.

It is of common knowledge that the creation of records in a big agency like the Department of Public Works and Highways, entails tremendous amount of expenditures. Even with utmost care in the creation of such records, the desired effectiveness is not attained if they are not well-kept, maintained and controlled. As the records keep accumulating, there is also the corresponding increase in the volume of records that have outlived its usefulness. In such a case, measure should be taken to reduce the agency's records holdings to the minimum of what is necessary in its day-to-day operation. The life cycle of records, from creation and maintenance to disposition, would entail substantial amount of effort, time and money so much so that activities attendant to it require conscientious planning. This can be met through the setting up and development of a Records Management Improvement Program to be judiciously implemented by agency personnel.

3.2 OBJECTIVES OF A RECORDS MANAGEMENT IMPROVEMENT PROGRAM:

Create records that are necessary in the operational activities of the agency by limiting production to the desired quantity, and observing the basic principles and accepted practices in records creation.

Identify and classify the various types of records to be retained; establish their location within the agency/department; and account for specific records; systems and procedures.

Establish guidelines for the maintenance, use and control of active and inactive records.

Designate reponsibility for the total records management program within the department/agency to a records officer/manager and a specially trained staff of records personnel.

Reduce the amount of records in the department/agency to the level of what is normally needed and to dispose of those that are non-current, inactive or disposable in the manner consistent with sound disposition practices and in accordance with existing regulations.

Provide for effective and economical procedures, systems, and equipment to protect records.

Ensure continuity of operation of the department/agency in case of disaster where there is potential for loss and/or destruction of records.

3.3 RECORDS MANAGEMENT IMPROVEMENT COMMITTEE:

Pursuant to Article I, Rule 3 of Department Order No. 4 dated July19, 1968, the Department of General Services has directed the creation of a Records Mangement Improvement Committee in all government agencies.

On August 27, 1984, the Ministry of Public Works and Highways now Department of Public Works and Highways, under MPWH Memorandum Circular No. 40 created a Records Management Improvement Committee in the Ministry. In 1987, when the MPWH was reorganized, pursuant to Executive Order No. 124, the DPWH Records Management Improvement Committee was reconstituted under Memorandum Circular No. 63 dated August 19, 1988, composed of the following:

Assitant Secretary for Adminis-   — Chairman
  trative and Manpower Management

Assistant Secretary for Comptrol-   — Co-Chairman
  lership and Financial Management

Chief, Administrative and Manpower   — Member
  Management Service

Chief, Comptrollership and Financial — Member
  Management Service

Chief, Internal Audit Service — Member

Chief, Legal Service — Member

Bureau Director Concerned — Member

Project Manager Concerned — Member

COA Auditor/Representative — Member

Chief, Recrords Management Division — Secretary

3.4 FUNCTIONS AND RESPONSIBILITIES OF THE COMMITTEE:

* Plan, formulate and undertake the improvement
  of records management in the Department proper
  including but not limited to, the various
  Bureaus, Project Management Offices, Regional,
  RES, District/City Offices of the Department;

* Plan, formulate, coordinate and implement a
  Records Disposition Program with the end in
  view of identifying and preserving records
  having permanent vlaue, e.g.,administrative,
  legal, fiscal, technical or archival value, and
  disposing through destruction or sale of
  valueless records;

* Evaluate and establish the retention period of
  the Department records (produced or maintained);

* Formulate a Records Retention and Disposal
  Schedule and revise any schedule which the
  Committee may deem fit depending on the
  rationale for its retention/disposition, as the
  case may be, and as circumstances may warrant,
  subject to the approval of the Secretary; and

* Submit to t he Director of Records Management
  and Archives Office the established Records
  Retention and Disposal Schedule for approval.

In the formulation and **establishment of a** Records
Management Improvement Program for the Department, the
Committee shall be assisted by a Sub-Committee, to
be composed of the following:

CREATION AND COMPOSITION OF SUB-COMMITTEE

For the Central Office:

    Chief, Records Management Division   — Chairman

    Chief, Non-Current Records Section   — Member
      (Inventory, and Appraisal and
      Disposal of Records)

    Chief of Division where records are — Member
      stored

    COA Representative   — Member

For the Regional Offices:

    Chief, Administrative Division   — Chairman

    Chief, Records Section   — Member
    Chief, of the Division/Section   — Member
      where records are stored

3.5   FUNCTIONS AND RESPONSIBILITIES OF THE SUB-COMMITTEE

        3.5.1 Assist the DPWH Records Management Improvement Committee in the following areas of responsibilities:

           * Plan, formulate and undertake the improvement of a Records Management Program for the Department.

           * Prepare the action plan preparatory to the Inventory of Records.

           * Conduct inventory of all reocrds holdings (by records series) in the Central Office of the DPWH and all its various Offices.

           * Update the Records Retention and Disposal Schedules, subject to review by the DPWH Records Management Improvement Committee, and the approval of the Secretary and the Director, Records Management and Archives Office.

        3.5.2 Implement the Records Retention & Disposal Schedules of their respective Offices as approved by the Records Management and Archives Office.

3.5.3   Determine and set File breaks generally
        during slack periods of filing and
        servicing at the end of the calendar year.

3.5.4   Prepare the request for authority to
        dispose of valueless records of their
        Offices after a file break for approval by
        the Director of Records Management and
        Archives Office.

3.5.5   Assist in the conduct of Public bidding
        for award of contract for the disposal of
        valueless records of their respective
        offices following the pertinent provisions
        of PD 1445, preferably towards the end of
        the calendar year.

3.5.6   Shall have custody of the records holding
        of their respective offices and shall be
        reponsible for the safekeeping of the
        valueless reocrds until its disposal is
        authorized.

3.5.7. Remit to the National Fund all proceeds
        realized from the sale of disposable
        valueless records.

3.6   GOVERNMENT-WIDE RECORDS MANAGEMENT PROBLEMS:

Inadequate over-all coordination of records
management improvement program agencies.

Ineffective control of records management

* Creation of valueless records

* Storage of obsolete records

* Inefficient administration of valueless records

Lack of coordination and control of records
management

* Economic waste

* Inefficiency

3.7 COMMON RECORDS MANAGEMENT PROBLEMS IN AGENCIES

* Lack of uniform classification & filing system.
  * Loss of misfiling of records.

* Lack of storage space and filing equipment for active and inactive files.

* Lack of systematic and orderly transfer to non-current records from office stations to records centers

* Lack of control in the creation of reports, forms and directives.

* Too many unnecessary reports.

3.8 AGENCY PRIMARILY RESPONSIBLE FOR THE GOVERNMENT-WIDE RECORDS MANAGEMENT IMPROVEMENT PROGRAM

3.8.1 THE RECORDS MANAGEMENT AND ARCHIVES OFFICE:

The Central agency responsible for developing and implementing the government-wide records management program.

* Responsible for the promotion of a sound records management program in the government.

* Establish and operate records centers for the storage, servicing, security and screening of all records which must be preserved for a time but need not be retained in office space.

* Shall evolve and operate government-wide improvements and economies in records management.

* These shall include.

    * Standards and controls for records making and records keeping, selective records preservation, scheduled records disposal and transfer to records centers.

    * Discriminating application of tested methods, practices, materials, equipment and machines in the creation and maintenace of records.

* Authorization by law to inspect
  records and to require reports as to
  their management.

* Training programs directed at
  improving the effectiveness and
  technical knowledge of personnel
  assigned to records making and records
  keeping, and

* Standards and controls for physical,
  legal and security safeguards for all
  records.

Part 4:

DPWH POLICIES ON

RECORDS MANAGEMENT

4.   POLICIES ON RECORDS MANAGEMENT:

1. The Records Management Division with its Standard
    Operating Procedures and Internal Policies shall
    be responsible for the establishment of a more
    effective and efficient Records Management
    Improvement Program (RMIP) on a Department-wide
    application.

2. Centralization of Records Management in the
    Central Office - for the full control of incoming
    and outgoing communications/documents to assure
    prompt action thereon.

3. The Central Records Management Divison shall be
    the focal point of all records management
    activities of the Department.

4. The Records Management Division shall be the
    repository of the Department's vital
    records/documents. It shall also be the custodian
    of inactive records deemed necessary for current
    operations.

5. The Records Management Division shalll prepare the
    inventory of the Department's records holding and
    dispose of its valueless records at least once a
    year.

Part 5:

PHASES OF
RECORDS MANAGEMENT

5.1 Records Creation

5.2 Records Maintenance

5.3 Records Disposition

5.1 RECORDS CREATION

5.1.1 RECORDS CREATION: is defined as the putting down of information on papers, printed forms, punch cards, tapes or any information transmitting media.

5.1.2 PRIMARY PURPOSE OF RECORDS CREATION: is to create records that are necessary for the continued operation of an entity.

5.1.3 WHAT ARE RECORDS? The term "records" is any paper, book, photograph, drawing, motion picture film, microfilm, sound recording, map or other documents of any physical form or character, or any copy thereof, created by an entity or received by it, in connection with the transaction of public business, and has been retained by that entity as evidence of the objectives, organization, functions, policies, decisions, procedures, operations and other activities of the government, or because of the information contained therein.

A record maybe the creation of an individual. An example of this may be the historic "Emancipation of Tenants", PD # 27. Yet, a record may also be the creation of more than one person. A good example of this is a "Committee Report".

5.1.4 ORIGIN OF RECORDS: Records in an agency come from two sources. One is the agency itself and the other is from outside the agency.

5.1.5 CONCEPTS OR GUIDE IN THE CONTROL OF CREATING RECORDS:

* Measure of Necessity: emphasizes that records are created only if they become necessary tool or medium for the completion of a given task within an agency.

* Basis for Simplicity: states that in the creation
of records, the writer should use
only well-known, clear, specific,
short, and direct sentences, if
possible, one idea per document or
communication.

* Rule of Substitution: simply states that a writer
must substitute the simple for the
complicated and the formal for the
informal, provided that in so
doing, the desired results are
achieved.

* Rule for Simplication: shows that it is always
advisable to use a method that is
direct, better, easier, faster and
cheaper because complicated
procedures are time consuming and
costly.

* Measure of Good Supervision: points out that the
supervisor has a very important
role to play in preventing the
creation of unnecessary records.

5.1.6 Persons Responsible for Controlling the Creation and
Use of Records in an Entity:

* Secretaries or typists who prepare the records for
the creator;

* Processors who must see to it that the necessary
actions required in the records are taken;

* Filing clerks who are entrusted with the
safekeeping of records;

* Encourage the use of the telephone so that
communication will become faster, more efficient
and more economical;

* Use the form letter, guide letters and routine
slips.

5.1.7 MAJOR FIELDS IN RECORDS CREATION:

5.1.7.1 Correspondence Management: Government correspondence
consists of letters, memoranda, indorsements
and directives, including written or printed
matters, transmitted, enclosed or used in

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place of more formal correspondence. It is always a writer's responsibility to be understood by the person of the firm to whom he is addressing a letter. So, before writing, he should be able to visualize the ideas, thoughts and emotions intended to be put down in writing. In other words, he/she should plan his/her letter. In planning, he should remember the classic patterns for letter, that is the block, the semi-block, or the full-block form, the rules of unity, coherence and emphasis, the elements such as the communicator receiver, circumstances, expressions, channel and purpose which contribute to the desired effect of a letter, and clarity of the letter's content and style.

An equally effective guide for correspondence is the <u>Four (4) S Formula</u>.

* Shortness

* Simplicity

* Strength

* Sincerity

* Shortness — means the writer must avoid needless inquiry, words and information. Omit unnecessary expressions such as, <u>at hand, at an early date, beg to inform, enclosed herewith</u>, and shorten prepositional phrases.

* Simplicity — is knowing your subject, using short words, sentences and paragraphs, and using simple and compact statements.

* Strength — means using concrete words and active verbs. In other words, don't hedge.

* Sincerity — is being human. Admit mistakes and don't be servile or arrogant. Think of the other person.

It is also equally important if you check your letter against the Five C Formula.

* Is it complete?

* Is it Concise?

* Is it Clear?

* Is it Correct?

* Is it Courteous?

One way of having an effective and economical correspondence management is the use of form letter and this should be used when it can adequately attend to a routine business and informational matters.

Advantages of FORM LETTERS over that of plain letters.

* Assures prompt reply

* Readable

* Easy to understand

* Eliminate unnecessary reviews

* Easy to control

5.1.7.2 FORM MANAGEMENT:

What is a Form? A form is any piece of paper reproduced or duplicated by any printing process, which contains information and blank spaces for the entry of variable information. There are many types of forms.
Some of these are:

* Printed or Business Letters

* Printed Memoranda

* Postal Cards

* Information Slips

These forms are used in place of typewritten ones for reasons of appropriateness, speed and economy. Forms may also be classified according to their office function such as, purchase forms, accounting and auditing forms, and pocurement and supply forms. They may also be classified according to the authority in which they are used such as, agency forms which are created and standardized by the agency for its internal or administrative purposes, and standard forms which are created and prescribed by an agency for the mandatory use of other agencies.

Importance of Forms:

* Forms show clearly what information must be gathered and communicated.

* Provide specific location for each information needed.

* Facilitate the use of multiple copies.

* Identify records and facilitate filing.

5.1.7.3 REPORTS MANAGEMENT:

A report management is defined as an official statement of facts relevant to any event, activity program or condition. It is usually written in narrative, statistical or graphic form. A report may be presented by a subordinate to his superior or by one office to another with the purpose of furnishing management much needed informations necessary for managerial decision-making.

Reports are important because:

* They evaluate and improve performance.

* Monitor progress of operation.

* Provide factual measurement of condition.

* Indicate deficiencies and need for creative action.

* Measure progress of program with respect to objective.

* Determine program values.

* Recognize trends and problems which affect the program.

Reports are classified as special reports such as investigations, studies, proposals, and recurring reports such as regular periodic report, progress report, financial report, and recurring irregular reports like audits, inspection or appraisal report. A good report must have the following.

* Accuracy

* General Appearance

* Relevancy

* Current Application

* Brevity

* Impartiality

* Promptness

        The other originate from the management down to the
lower group of employees and this is called Administrative
Issuances or Instructions.

5.1.7.4 INSTRUCTION MANAGEMENT:

        Is defined as the technique of planning, preparing,
organizing, conveying promptly the right instruction to the
right person at the right time and at the lowest possible
cost.   Instruction management is important because   it
enables   an   organization   to   function   economically,
efficiently and effectively.

Types of Administrative Issuances that are   applicable
within the Department.

* <u>Administrative Order</u> — which is issued for the supervision
                            of matters in the government which
                            is purely internal and not   of
                            general interest to the people.

* <u>Office Memoranda</u>   — an issuances addressed exclusively
                            to a particular group of officials
                            and employees of a particular unit
                            or a division.

* <u>General Circular</u>   — this   contains   administrative
                            instruction which are directory,
                            advisory or informative in nature,
                            more   or   less   general   in
                            application, permanent in duration
                            and   requiring   compliances   or
                            observance from the employees of
                            the issuing office and the public
                            in general.

* <u>Office Circular</u>   — this involves assignments and other
                            related   matters   affecting   the
                            status   of   personnel,   including
                            details,designation,communications,
                            supervisions, reinstatement, etc.

* <u>Special Order</u>	– this treats of special assignment or mission to be accomplished by officials and employees concerned for a definite period.
* <u>Travel Order</u>	– these are issued exclusively for travel assignments of personnel.
* <u>Department Orders</u>	– these are issuances which include, directives, rules, regulations order, and/or instruction which establish new policies or implement existing laws and executive orders. They are regulatory in nature, permanent and mandatory in character and of general application.

* <u>Office Memorandum Circular and Office Memorandum Orders</u>

These are intended as follow-up or calling attention to or as a reminder on a previous general circular and office order respectively.

* <u>Bulletins</u>	– these are used for brief informative issuances which do not require compliance from the employees such as periodical publication of the agency, news announcement, public notice and allied matters.

5.1.7.5 Guidelines in the Preparation of Written Instruction:

* Determine the purpose of the instruction.

* Plan or outline the writing of the instruction.

* Check previous instructional release.

* Use natural conversational language

* Be complete and clear.

* Be brief without sacrificing the substance.

* Use language with appropriate tone.

* Determine the appropriate format.

* Determine the right number of copies to be produced.

* Determine whether it needs necessity for indexing.

* Determine the most effective method of transmission.

* Review releases as frequently as possible.

* Secure clearance and approval.

Regardless of the size of the office in which records are created, records must be controlled. Every copy produced must be justified because needless copies will only add to the bulk of the records being maintained. Fewer but better records would result in an efficient, economical and effective records management.

5.2 RECORDS MAINTENANCE

5.2.1 MAIL MANAGEMENT

Approaches to an Improved Operations:

Proper organization is the groundwork for effective mail operations. In organizing the handling of mails and correspondence, the Agency should have a Unit responsible for managing and coordinating various aspects of mail operations.

Combine communications and records function into a single unit. Since communication process is the beginning and end of the paperwork chain, it could be better served if combined with the records function. The authority and responsibility of this function should be defined either thru a directive or in the form of an Order.

5.2.1.1 WHAT IS MAIL? Mail includes letters, postcards, documents, packages, publications and telegrams or any other written communications or documents transmitted through electrical, electronic or mechanical devices, or through postal service, that are received or sent by Agency of Office.

MAILS are considered communications/documents on sealed container.

MAIL MANAGEMENT in order to be effective should be set up in a mail room; this room provides vital services to the Agency. The heart of a mail management program is a well organized and efficient run mail room.

In small offices having no mail room, the Records Office is used as mail room. If possible, it should be located at a convenient place which is accessible to the action and to the public. It must have lights pleasing to the eyes and proper ventilation too.

5.2.1.2 BASIC GUIDES IN ORGANIZING A MAIL ROOM

* Planning — is to determine the volume handled, size of the agency and the equipment and materials needed for its operation.

* Organizing — is to determine the right number and kind of positions to be created and the qualifications of the personnel.

* Coordinating and Controlling — coordination between the mail room personnel and the agency's action unit be established including a system of review.

* Funding — is to provide funds to cover postage and other communication and transportation expensess, costs needed for materials, equipment and supplies including their replacement.

5.2.1.3   MAJOR PHASES OF MAIL MANAGEMENT:

* Handling of Incoming Mails and Correspondences/ Communications.

* Handling of Outgoing Mails/Signed Communications.

* Messenger Service System

5.2.1.4   FACTORS TO CONSIDER IN THE HANDLING OF INCOMING MAILS

Remember, effective servicing of mail starts at the time the Agency receives it. Therefore, an appropriate procedure should be done to facilitate rapid distribution, at least cost throughout the Department.

5.2.1.5   TOOLS NEEDED IN ORDER TO OPERATE AND EFFICIENTLY CONTROL THE MOVEMENT OF MAILS:

* Sorting Tray   * Letter Opener

* Log Books   * Stamps

* Mail Guide   * Plastic pouch/Transpack

* Envelope   * Stamp Pad

* Rubber Stamp   * Wrapping, Packaging, and Bailing, Materials.

The recording and control of all incoming mails can be minimized if we classify them into two categories:

Official Mails — are those that are addressed to the officials of the Department with their designations.

<u>Personal Mails</u> — are those which are personally addressed without stating their official designations.

<u>Official Mails are further classified into:</u>

Accountable Mails — are mails that needs recording and should properly be receipted and acknowledged by the receiver.
Example:

        package, printed matters and foreign mails.

Ordinary Mails — this type of mail need not to be recorded. However, if the Department decides to do so, it may be recorded for statistical purpose.

Sometimes, mails require action within a specific time. This includes those that are marked "URGENT or RUSH", CONFIDENTIAL and official correspondence from very important persons, like high ranking government officials.

5.2.1.6   PROCEDURES IN HANDLING INCOMING MAILS:

    * Receiving   —The agency's mail room is usually the first receiving point for mails addressed to the offices served by said mail unit. For receiving mails, arrangement should be made in such a way that the agency should have a pick-up and delivery schedule in coordination with the Postal Service. Arrange mail shortly before office hours or soon after.

    * Sorting   —is the segregating of mails by units or by the addressee. Routine mails are separated from non-routine mails. In sorting, we may find mails with wrong addresses, so, it shall be the responsibility of the sorter to place the correct address if available, or dispose it in accordance with existing policies.

* Opening of Mails —is a matter of policy by the agency. It is ideal that the opening shall be the responsibility of the records office. This is done either by hands or mechanical letter opener depending on the mails to be opened.

* Date Stamping —this is made on the face of mail matter to show date of receipt. It is a must in the handling of an incoming correspondence, especially if it has legal and or financial value. Time stamping should be confined to essential mails like bids, contracts, claims, etc.

* Scanning —is reading and analyzing the correspondence to determine the subject matter for the purpose of recording/registry.

* Recording/ Registration —the Department of Public Works and Highways is using the Record Book in recording mails. It indicates the origin, date received, subject matter and action unit having jurisdiction on/over the matter treated therein.

* Routing —it is the process of delivering the mail materials from one action unit to the other. This is done after the mail clerk has recorded the correspondence/document.

* Controlling —it **is the process** of recording all types of mail and correspondence concerning the receipts, location, status and dispatch. To facilitate and expedite work involved in controlling mail, there are devices, forms and other tools commonly used in mail operations. Among these are:

Mail Guide — this serves as the basis in determining what mail control to apply and where to route mail.

Records or Registrar Book — mails
are listed down in this record book
and only important informations are
recorded in the record book so as
to avoid undue delay in mail
delivery/dispatch.

Such informations are:

Correspondence Number

Source of mail

Date Mail was received

Subject matter of the mail
as briefly as possible.

Date when mail was
dispatched and signature
of person to whom it was
released.

5.2.1.7   HANDLING OF OUTGOING MAIL:

Any correspondence that is being prepared either
as a reply to incoming mail or as an originally created
piece intended to be sent outside the agency acquires
the category of an outgoing mail. It is the concern of
the agency to speed up the flow of mail from the office
preparing it to mail room which in turn, promptly
transmits it to its destination through the appropriate
messenger, courier, or postal service. The handling of
outgoing mail therefore also requires appropriate
procedures to attain fast service at the most
economical cost.

*THREE AREAS OF ACTIVITY IN MAIL PREPARATION:

* Preparing outgoing mail for dispatching.

* Final handling and actual dispatching.

* Final handling of material to be filed.

*STEPS IN PREPARING OUTGOING MAIL FOR DISPATCHING:

* Upon receipt, outgoing mail piece is checked for
complements including enclosures, signatures, etc..

* Reproduce more copies of the mail piece or its
enclosures, if necessary.

* Assign the code/release number, if required by the agency policy, to a mail piece which shall serve as a referral number for reply purposes.

* Mail is sorted first as to mail to be delivered by messenger service and to be delivered by postal service.

* Mail to be delivered by postal service is further sorted as to the type of postal handling ordinary mail, air mail, special delivery or regitered mail.

* Mark all outgoing mail with the same destination.

* Record only non-routine official mail.

* Prepare envelopes with correct addressees, exact amount of stamps and proper zip code to ensure correct and expeditious transport.

* Sort finished envelopes for postal service, messengerial delivery, LBC Air Cargo transport according to geographical locations for easy handling.

* Register mails with return address of sender for transmitting materials of considerable value as may be required by law.

* Prepare the necessary forms for registered mails. The list of registered and special delivery mails for records purposes, in accordance with postal regulations, shall be kept.

5.2.1.8   FINAL HANDLING AND DISPATCHING OF OUTGOING MAIL

         After it has been stripped of file material, the outgoing mail enters the final handling and dispatching stage. The outgoing mail material goes to the mail dispatcher/clerk while the file material goes to the file classifier/clerk.

ACTIVITIES INVOLVED:

* Sorting the mail —

    * Those to be delivered by messenger service.

    * Those to be delivered by Postal service.

    * Those which are to be delivered through telegrams, radiograms or by fax machine.

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* Enveloping mail -

    * Select the right envelope for a mail piece.

    * Fold the mail piece properly into the correct envelope.

    * Address the envelope properly.

5.2.1.9   SETTING UP A MAIL ROOM

        The Mail Room provides a vital to an agency in the government. The heart of a mail management program is a well-organized and efficiently run mail room. If possible, a mail room should be located at a convenient place to afford optimum accessibility to the action units and the public. Good ventilation and adequate lighting should be provided.

5.2.1.10   THE RECORDS STORAGE ROOM

        The records storage room should occupy a desirable space in the building basement or the farthest end room of the building may be used for this purpose. The cabinets and other equipments should be arranged 10 to 20 to a row from left to right and this is also true with the wooden open shelves.

5.2.1.11   MESSENGERIAL SERVICES

        An efficient messengerial service is just as important as establishing mail processing in the Division. Whether by internal or external messengerial services, mail dispatch should be efficient and adequate in order to prevent wastage of precious time needed to act on all communications/documents, received and delivered through the Department's mail channels.

5.2.1.12   KINDS OF MESSENGER SERVICES

    * Internal Messenger Service - this involves the delivery of mails from one office to another within the department/agency.

    * External Messenger Service - this involves the delivery of agency/office mails to or from the central mail station and outside office or other agencies.

* Special Messenger Service — this refers to special
          messenger trips to deliver or collect mails
          that is so urgent/rush or important in
          nature which requires immediate action.

5.2.1.13   MANAGING THE MESSENGER SERVICE

          To   achieve   the   ultimate   goal   of   the
office/agency in the prompt/fast delivery/dispatch of
mails,   it is but necessary to plan out very carefully
the most suitable procedures that must be established
to   meet   the   messengerial   requirements   of   the
office/agency.   In planning out these procedures,
consider the four activities involved in managing a
messenger service, namely:
          * Organizing and managing personnel that comprise
            the messenger force.

          * Planning   and   revising,   when   necessary,   the
            messenger routes and stops/destination.

          * Scheduling of messengers.

          * Prioritize urgent mails which need   special
            messenger.

          Certain factors which influence the scope and size
of the agency's messenger force.

          * The Organizational structure of the agency.

          * The   physical   lay-out of the buildings of   the
            entire agency.

          * The funding capability.

          * The working relationship of one action office to
            another.

5.2.1.14   TRAITS OF A GOOD MESSENGER

          * He must be physically fit.

          * He must have a pleasing personality.

          * He should be clean and neat in appearance.

          * He must be honest and trustworthy.

          * He must be tactful.

* He must have the initiative or capability to act on
  his own.

* He must be consciencious, mindful of his work.

* He must be resourceful.

* He must have a cheerful disposition.

* He should **not** be a gossiper.

* He should be educationally **qualified.**

5.2.1.15 HELPFUL DEVICES AND FORMS

* "IN and OUT" Trays - these are tray-like receptacles
  usually made of any light board
  or plywood or meshed wire,
  rectangular or boxlike in shape,
  which are used to accommodate
  mail pieces intended for
  delivery or collection by
  messenger.

* Delivery Receipts - these are **forms** which are
  accompli**shed for** all outgoing
  mails, to show brief
  descriptions of various
  materials listed and to be
  signed by the receiving entity.

* Record Book or Logbook - is commonly used to record
  the receipt of inter-office
  correspondence/documents
  delivered from one office to
  another in an agency.

5.2.2 FILES MANAGEMENT

In records management, filing constitutes a major
portion of office work. Written information materials
related to ognanizations, instructions, contracts,
obligations, drawings, plans, programs, transsactions
and the like must be readily available when needed.
Filing is the classifying and arranging of records in
a systematic way so they will not only be safely stored
but also quickly retrieved when needed, or filing is
the placing of papers/records in an acceptable
containers in accordance with the pre-determined
arrangement so that any paper or records, when
required, can be located and retrieved immediately.

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In filing, the emphasis is more upon the "Finding" rather than the "Storing" aspect for purposes of practicapability and convenience. Since the written information is being retained or filed for future posssible use or reference, the so-called "finding" aspect is essential in paperwork management.

Filing, from the simplest to the most complicated system, is an expensive undertaking. Establishing and managing effective system for arranging the records that an office must maintain, and placing them at their proper locations, will help promote operational efficiency in the office. Day to day operations of the files must be given utmost attention and direction to insure the greatest possible return of the money spent for records keeping.

5.2.2.1 Centralized Files - files are maintained in **one** unit and in one location.

5.2.2.2 Decentralized Files - places all records of common interest to many persons in one location under one supervisor.

5.2.2.3 Advantages in Centralizing all Filing Process:

* Filing is done by skilled technicians under specialized file supervision.

* Provide for more effective use of personnel and better quality of work.

* Responsibility is more easily delegated and accountability is easily placed.

* Reduces duplication of personnel, equipment, supplies and space.

* Greater utilization of filing facilities can be maintained.

* Records **are** stored in more efficient equipment.

* Uniform files procedures are followed.

* All related data are kept together.

* Retrieval of **in**formation is faster and uniform service is given to all department or divisions.

* Effective in small as well as larger organizations where some of the departments or organizational units do not have convenient access to the files.

* Offers complete service to the total organization, the storage of records, filing, maintenance, and reference service.

* Elimination of the cost of extra labor.

* Complete record of transaction can be assembled and produced more easily and quickly.

* Personnel changes will not affect tha ability to find records.

File Station - every separate location at which records of any kind are accumulated in an organization is a file station. It is a repository of information.

EXAMPLES:

* Small office file serving one or several persons.

* Large central file serving several or many offices.

* Engineering Drawing Files.

* Punched Card files.

* Files of magnetic tape.

* Microfilm files.

An Ideal File Station Network shall consist of:

* Official File Station - area where files will be readily accessible to users.

* Duplicate File Station- temporary place where files are permissible only when official station is inaccessible.

* Inactive File Station - location of files that are not frequently needed.

Central Reference Service:

* Responsible for maintaining up-to-date information on the location of all active and inactive records.

* Coordinates and provides indices of records holdings.

File Station Directory:

* Serve as connecting link between network stations.

* Descriptive listing of all records holdings.

Files Overgrowth:

* It is the keeping of records in half a dozen file stations. These are bits of related information scattered here and there.

Trouble Signs:

* Accumulation of records in desks, bookcases, and so called personal files.

* Unusually large expenditures for filing equipment.

Files Operations and Techniques - Office Filing Task:

* Determine which papers **to file and which papers to** avoid filing.

* Determine which needed papers to maintain as separate file groups.

* Arrange the folders logically within each group.

* Select and use the best available equipment and supplies, for housing records and for making the sequence of folders visible through labels.

* Operate the files on a day-to-day basis after establishing them.

Filing Fewer Publications:

* Who first requested the publications?

* Who now uses?

* How often does he use it?

* Can we conveniently get this information elsewhere when needed?

* Does our past experience justify our inclusion on the distribution list?

* Does this publication serve an immediate need? A probable need.

* Does it serve its purpose adequate after being reviewed by those who need to see it?

* Is the value of information long term? Limited? Temporary?

* If we must file it, how soon can we dispose of each other?

Filing Fewer "Information Only" Copies:

* Filing Fewer Directives — in an office, one person is designated to keep the entire "set", with the responsibility of making sure it is complete and up-to-date.

* Filing Fewer Copies of Routine Communications — Eliminate file copies of routine communications which require no record.

* Procedures for Eliminating Copies —

    * When granting routine request for publications, blank forms, or other printed supplies, attach the requesting letter to the materials sent. There is nothing to be filed since the request is returned to the sender.

    * As appropriate, answer routine request from other offices by placing the information at the bottom of the request.

* When transmitting materials not requested by
  letter, avoid routine transmittal letters
  with their attendant file copies. If some
  records seems necessary, note relevant facts
  on the office file copy of the transmitted
  materials.

* When using form, return the request for
  information with the **form** letter. If the
  request must be filed, place on it the date
  of the reply and the number of the form
  letter.

* Reducing Extra Copy Files — decisions made from
  extra copy files may be unsound decisons
  because it is based upon incomplete evidence.

* File Groups Commonly Found in Government
  Records:

    Administration

    Legal

    Finance

    Personnel

    Public Assistance

* Considerations in the establishment of separate
  File Types:

    Disposal Factor

    Identification Factor

    Volume Factor

    Completeness Factor

Basis File Groups:

* General Correspondence   – letters, telegrams,
                             reports, etc.

* Transitory Correspondence – answer to routine
                             request for infor –
                             mation or publica –
                             tions.

*   Case Records   – Investigations,con-
                                    tracts, etc.

*   Case Working Papers   – reference materials.

*   Technical Reference Material – printed reports,
                                    periodicals, etc.

*   Extra "convenience" copies.

*   Film, Tape or Desk Records

*   Cartographic materials and drawings – maps,
    charts, etc.

*   Cards – indices, catalogues, etc.

How to Break Down Records for Easy Finding:

*   First   Step – Divide the records into major
                    subjects.

    EXAMPLES:

        ADM – Administrative Matters

        FIN – Finance and Fiscal Matters

        LEG – Legal Matters

        PER – Personnel Matter

        PA – Public Assistance

*   Second Step – break down further within each
    separate file group.

EXAMPLE:

    ADM –

        1.   Aeronautics

        2.   Associations

        3.   Auto Plates

        4.   Buildings

            4-1 Military

4-2   Schools

4-3   Private/Residential

4-4   Plants/Factories

5.   Calamities

6.   Celebrations/Holidays/Fund Campaign

5.2.2.4   SYSTEMS OR ARRANGEMENT FOR QUICK FILING

What is meant by Filing:

*   Arranging of recorded information according to a simple logical system.

*   Placing the recorded information in a storage container in correct sequence; and

*   Retrieving the information so that it can be used.

Method of Filing:

*   Vertical Filing

*   Flat Filing

*   Loose-Leaf Filing

*   Visible Filing

Written Filing Procedures (Benefits):

*   Will make active records a reliable and dependable source of information.

*   Will increase the efficiency of active records.

*   Will relieve overcrowding of files by the elimination of unnecessary and out-dated on a continuing basis.

*   Will reduce the amount of space, equipment and material required for filing.

*   Will eliminate certain filing problems and unnecessary expenses.

*   Will reduce filing expenses.

Classiffying of Records:

*   Controls the filing of records and provides the same
    for locating them after they have been filed.

*   Provides the determination of the particular filing
    designation applicable to each records to insure its
    proper placement in the files and facilitate its
    speedy removal from the file when needed.

Assigning Records for Filing:

*   Destroy

*   30 - Day

*   90 - Day

*   6 - Months or 1 - Year

*   Permanent

Releasing Records for Filing:

*   Releasing Marks (Filing Authority)

*   Records should not be allowed to accumulate on
    window sills and tables but should be transferred to
    the filing station before the close of the
    business day.

Checking Records for Filing:

*   The date should be stamped on the record to show the
    the date that file stations assumes responsibility.

*   The records should be checked for classification and
    retention codes.

*   All copies of records should be checked to eliminate
    retention of unnecessary records.

*   All pins and clips should be removed, and records
    of more than one page should be stapled.

Cross-Referencing:

* Prepared when more than one specific subject is covered in a record.

* May be indicated by placing the caption code for cross-reference underneath the original classification.

Follow-Up (Suspense File) Sorting Records Before Filing:

* To eliminate excessive accumulation of records after the records reach the file station and serve as an aid in locating a record that has been collected but not yet filed.

Placing the Records in Storage File Operators Responsibility:

* Check the classification code on the record against the classification code on the folder guide.

* Place the records in the folders in chronological order, keeping the latest date first.

* Prepare an individual folders for 5 or 6 records having the same classification code.

* Prepare extra folders when the present folder contains more than it is designed to hold.

* Place records in back of guides.

Reference Request Procedures:

* Only the file operators should remove records from their storage place.

* If the record is valuable, a copy of the records may be transmitted rather than the original.

* A charge-out form should be used to described the withdrawn records.

* A periodic inventory should be made of all charge-out forms.

Screening of Active Records:

* Active records should be screened periodically so that records that no longer have retention value can be destroyed.

* Records that no longer have current value can be transferred to the inactive records storage centers.

Benefits for Screening Active Records:

* Will eliminate useless records from active files.

* Will reduce that number of records that must be handled by file operators.

* Will increase the efficiency and economy in the use and maintenance of active records.

* Will reduce the volume of records in file folders.

* Will improve the appearance of **files.**

* Will reduce floor space, filing equipment and filing supply requirements.

* Use of Records Storage Boxes.

5.2.2.5   <u>PRINCIPLES OF ALPHABETICAL ARRANGEMENT</u>

The following principles **are used** universally in the arrangement of names of individuals, organizations, geographical locations and political divisions.

NAMES OF INDIVIDUALS

* Alphabetize names of individuals according to (a) surname, (b) given name, (c) middle name or initial.

* Arrange names in dictionary (Alphabetic) order.

* Surnames alone are placed before surnames having initials or a given name. Surnames with initials precede given names beginning with the same letter as the initials.

* Surnames beginning with a prefix, such as "De","La", "Me", or "Mac" are arranged as spelled. A surname prefix is not considered a separate classification units.

* Titles such as Dr., Mrs., Captain, are disregarded in alphabetizing and follow the name in classification caption.

* If a title is used alone or with a given name, it is retained and considered in alphabetizing.

* Terms such as Jr., Sr., 3rd, are considered as alphabetizing units.

* Nicknames are alphabetized as written.

* The legal name of a married woman should be used in alphabetizing in this order; (a) her husband's surname, (b) her given name, (c) her middle name. Mrs. is placed in parenthesis at the end of the classification caption. The husband's first and middle names can be placed below the woman's legal name.

* Hyphenated names are treated as one word.

* Abbreviated prefixes, such as Sto. (Santo), are alphabetized according to the complete spelling.

NAMES of ORGANIZATION

* Business firm names initials precede surnames beginning with the same letters as the initials.

* Firm names beginning with titles are alphabetized as written.

* Firm names including the complete name of an individual are alphabetized according to the surname of the individual followed by the given name and initial.

* The apostrophe "s" is not considered in alphabetizing firm names.

* Hyphenated firm names are considered as separate alphabetizing units.

* Firm names which contains descriptive titles are alphabetized as written.

* Divisions of business organizations are classified under the corporate name and cross-reference under the Division name.

* Firm names beginning with numbers are alphabetized according to the complete spelling of the number.

* "The" at the beginning of a name of an organization is disregarded in alphabetizing and is placed after the name in parentheses.

* Firm ending such as Inc., are considered in alphabetizing.

* Conjunctios and prepositions are not considered in alphabetizing.

* Words in names of organizations that may be written either as one or two words are alphabetized as one word.

* If the firm name contains a compound geographic name that is an English word, such as New York, the parts of the compound word are considered as two units.

* If the firm name contains a compound geographic name beginning with a foreign word, such as Des in Des Moines, the compound name is alphabetized as one word.

* Organizations such as libraries, hotels and hospitals, are alphabetized by the identifying name of the organization.

    Example: Hotel Stafford is arrange by Stafford Hotel.

* Banks and trust companies are arranged first by the name of the town or city where they are located, and next by organization name.

* Guardianships, receiverships, and trustees are arranged by the names of the organizations that they represent.

* When the same individual or organization name appears with different addresses, the names are alphabetized according to city or town first. The name of the province is considered when there is duplication in the city name. Names of streets are considered when the same name is located at different street addresses within the same city. Street addresses are arranged from the lowest to the highest street number.

POLITICAL DIVISIONS:

* Government records are alphabetized in the orders:
  (a) Philippine Government, (b) department, and
  (c) Bureaus, division, board, etc.

* The words "Department of", "Bureau of" etc., are disregarded in alphabetizing when used in titles of government records.

* Names of foreign government divisions are alphabetized first by the name of the country, and then by the title of the department, bureau, division, etc.

* Provincial and municipal government records are arranged alphabetically by the name of the province or city and then by its classification.

  Example: Bulacan, Public Schools (Bureau of).

5.2.2.6   RULES FOR HANDLING RECORDS:

* The filing personnel should understand clearly the filing system used.

* The system should be maintained in accordance with the procedures stated in the records management manual.

* Each record should be handled as an important piece of information.

* Each record is examined for classificaton filing captions and retention value codes.

* Papers should be stapled neatly together in the upper left hand corner.

* Check carefully for cross-reference and follow-up notations. Prepare cross-reference and follow-up forms.

* Mend or repair any torn paper.

* Sort records prior to placing records in the drawers and cabinets. Records should be arranged according to the classification caption or code and according to the retention value code. Records with a retention value should not be placed with records of longer or permanent retention value.

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* Sort records as soon as they reach the filing unit.

* Use sorting devices to save time and eliminate errors.

* Place records in back of guides.

* Place records in folder in chronological order.

* Use a filing shelf enable freedom for both hands when filing.

* Make divisions in records when folders contain more than capacity for which they were designed.

* Close each drawer when work is completed to eliminate accidents caused by open drawers.

* When retrieving records, follow the charge-out procedures stated in the records management manual.

* Place unfiled records where others can find them.

* Keep folders, guides, drawers and cabinets neat, orderly and attractive in appearance. All folder labels should be typed, not handwritten. Drawer labels should be neat, clean, and typewritten. File cabinets should not be used for storage of material unrelated to retained records. Cabinets should not be used as bookcases.

5.2.2.7   SERVICING FILES

The following are the activities involved in servicing. files:

a. issuing the records

    (1) asking for records

    (2) locating the records

    (3) charging out records

b. transferring borrowed records

c. returning and refiling records

d. following up borrowed records

Procedures governing the withdrawal of borrowed records from the files may vary depending on the conditions prevailing in an agency. Usually, in small agencies especially, records from the files are issued to persons known to the records keeper after the borrower had filed out and signed a simple out-card covering the borrowed records. In larger agencies, where files are normally many and voluminous, the existence of a more systematic procedures covering the maintenance and control of files is absolutely necessary. No matter how simple or complicated a procedure in the lending of records from agency files, the main point that must be considered when planning a charge-out procedure is that records must be quickly found and issued to the borrower.

In formulating rules governing the charging out of records, it is vital to determine first the following:

* Who usually requests for materials in the files?

    * Is he the Chief of a unit, or his assistant or subordinate acting upon his orders?

    * Is he an employee of the agency, who is properly identified? or

    * Is the borrower any particular person?

    * What is the manner in which request for records are usually made?

    * Is the request made verbally?

    * Is the request made in writing?

Answer to these questions will facilitate the formulation of rules covering the charging out of records from agency files. It is recommended that a requisition slip be used in such a procedure because a records keeper can hardly be expected to know by memory all the records being loaned out of his file station.

5.2.2.8   SUGGESTED RULES ON THE USE OF FILES

* No one, except the file unit personnel, shall be permitted access to the files.

    Requisitions for material on file must be made in writing on forms provided for the purpose.

Records may not be kept beyond the due date specified in the requisition slip. If eventually they are needed for a longer period of time, the new due date must be duly recorded in the corresponding requisition slip.

* A whole folder should not be loaned when one or two records contained therein shall suffice to fill the need of the borrower.

* Confidential records shall always be on file at the close of office hours.

5.2.2.9   DO'S AND DON'TS IN FILING

Anyone working with files, can perform his work better by observing the following "Do's and Don'ts in filing."

* Do staple papers together in the upper left corner.
    Don't use pins, wire clips, or rubber bands on file papers.

* Do pre-arrange or send papers in exact order according to the filing system you are using.
    Don't start to file with papers in haphazard arrangement.

* Do print or write in block letters all labels on the folders.
    Don't write captions on the folders in long hand style.

* Do file materials everyday.
    Don't allow the materials to be filed to pile up day after day.

* Do lift the folder out to insert papers in the proper place.
    Don't jam papers down into the folders.

* Do file in the order of date, keeping the latest date on top or in front.
    Don't allow papers to be out of chronological **order.**

* Do file in back of the file guides.
    Don't file in front of the file guides.

* Do make an individual folder when you have six to eight pieces of materials on a subject or on a customer.
    Don't allow your miscellaneous folders to become cluttered and overcrowded.

* Do see that folder contains more than the capacity for which it is designed, generally one and a half to two and a half centimeters thick of materials.
Don't allow the folders to become so full that they bulge or become unwieldy.

* Do close each file drawer as you finish with it.
Don't pull out more than one file drawer at a time.

* Do keep files in accordance with the file classification guide.
Don't pull a folder out of a place just because it may be too large.

* Do charge out records removed and place the corresponding "charged-out" card in the file.
Don't lend records and then depend upon your memory to tell you who took them.

5.2.2.10   CLASSIFICATION SCHEME:

The **coding/classification of records must be governed by** a particular system of arrangement. The classification system controls the filing of records and provides the means for locating them after **they have been** filed. Basically, all classification systems are based upon letters of the alphabet or upon numerals.

The Department of Public Works and Highways adopted the numerical system otherwise known as the **Dewey/Punzal Decimal System of coding/classifying correspondence.** Why? This has been the system used eversince, and to change this to subject-alphabetic as what is commonly used now, sabotaging of records will be rampant because if anybody knows the subject being traced he could easily trace it in filing cabinets. Whereas, in the decimal system, the person who wants to sabotage records whether he belongs to the organization, must know the corresponding file number to a given subject, if he is found wanting he will be at a loss **to trace it** particularly confidential records. This is one big advantage over the modern subject-alphabetic system.

5.2.2.11   KINDS OF CLASSIFICATION SYSTEM:

* Alphabetic Classification

* Numeric Classification

* Phonetic Classification

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5.2.2.12 <u>GUIDELINES IN THE CHOICE CLASSIFICATION SYSTEM</u>:

* Analysis of the organization and policies, objectives, organization structure and organizational relationships.

* Analysis and clear understanding of records management function.

* Determination of the type of recorded information created and received, and now this information is used.

* Determination of the volume of each type of recorded information, correspondence, reports, forms, and written instructions.

5.2.2.13 <u>FACTORS THAT REQUIRE ANALYSIS BEFORE CHOICE IS MADE</u>:

* Physical form of recorded information — check, standard or legal size documents, cards, etc.

* Type of organization — government, insurance, etc.

* Types of machines used in preparing and processing records — EDP, duplicating machine, etc.

5.2.2.14 <u>CHARACTERISTICS OF A GOOD CLASSIFICATION SYSTEM</u>:

* Should be one that meets the overall needs of the Agency.

* Should allow filing procedure to be carried on effeciently and at low cost.

* One that requires the minimum of equipment, space, effort and operating expense.

* Should be as simple as possible.

5.2.2.15 <u>ALPHABETIC CLASSIFICATION</u>:

Under the alphabetic classification, the arrangement of the files follow the sequence of the letters of the alphabet.

<u>KINDS OF ALPHABETIC CLASSIFICATIONS</u>:

* Name Classification

* Geographic Classification

* Subject Classification

APPLICABILITY OF

*   Names of Individuals   – Name Classification

*   Names of Organization   – Name Classification

*   Geographical Locations   – Geographic Classification

*   Names of Months and Days – Name Classification

*   Names of Subjects   – Subject Classification

NAME CLASSIFICATION

When records are classified according to names of individuals or organizations, guides and folders are arranged in the filing drawers in dictionary order.

5.2.2.16   GEOGRAPHIC CLASSIFICATION:

The system of arranging records geographically involves the classifying of records according to location. The locations are arranged alphabetically—province, municipality and municipal district or city and district.

5.2.2.17   SUBJECT CLASSIFICATION:

Records are classified and arranged by subject in alphabetic sequence.

This is the most difficult classification sytem to develop and administer.

*   The classifying of records by subjects involves analyzing of records and distributing them into related classes.

*   The classifying procedure requires a thorough knowledge of the functions of the organization and the use of the records.

*   It requires the technique of analyzing the subject matter contained in the record and applying this analysis to the calssification scheme.

*   It is important that the classifier be consistent in the interpretation of subject matter.

*   The classifier is responsible for the consolidation of all related information on a particular subject.

5.2.2.18 NUMERIC CLASSIFICATION:

Under the Numeric Classification System, records are arranged and filed according to numbers that are assigned consecutively or according to numbers that represent certain subject classifications.

KINDS OF NUMERIC CLASSIFICATIONS:

* Consecutive Numeric System

* Subject Numeric System

* Decimal Numeric System

* Duplex Numeric System

* Terminal Digit Numeric System

* Middle Digit System

CONSECUTIVE NUMERIC SYSTEM

Usually used for records that are pre-numbered - checks, invoices, vouchers, etc. If not pre-numbered, numbers are assigned to records arbitrarily and in consecutive order. There is a need to use an Index Card for cross-reference by name, subject, or geographical location to locate the record when the number is not known.

SUBJECT NUMERIC SYSTEM:

The system controls the classification and arrangement of records by subject and by number. Numbers are assigned according to predetermined subjects. An index card should be used to aid in quick location of records. Any cross-reference that are prepared are placed in index card.

5.2.2.19 ADVANTAGES OF SUBJECT NUMERIC SYSTEM:

* It is flexible so that new subjects can be added without disturbing the file arrangement.

* Coding system is simple.

* Time is saved in the elimination of typewritten long subject captions.

* Sorting is performed more easily and quickly.

*   Less chance of misfiling; and

*   Allows for security of confidential records and grouping of related information.

5.2.2.20   DECIMAL NUMERIC SYSTEM:

All records are arranged in numeric sequence from number 000 to 900. Records are grouped according to main classifications. Each main classification are divided into groups and each subdivision are divided into groups indefinitely. The main group classification is expressed in three digits – the subheadings in two digits and the next subheadings in one digit. When the one digit headings are subdivided, the decimal point and additional numbers are used. The group divisions are limited to ten.

5.2.2.21   DUPLEX NUMERIC SYSTEM:

Under the system, the group divisions are limited to ten. One number is assigned to the main subject and a secondary number following a dash is assigned to be subheading. The secondary subject may be divided by the addition of a letter to the secondary matter.

5.2.2.22   TERMINAL DIGIT

Terminal digit systems are based on the last one, two, three or four digits to any numbered records. The numbers are arranged by the final digits 0 through 9 in primary, secondary and tertiary groups of digits, reading from right to left. The digits used in each group are determined by the range of the series of assigned numbers on the records to be filed. The primary digit may be one, two, three, or even four digits. The secondary group is always two digits, and the tertiary group is always two and three. There are ten primary groups of any one series and there are 100 numbers to every group.

5.2.2.23   MIDDLE DIGIT SYSTEM

The middle digit system is a variation of the terminal digit system. In this system, numbers are also read in groups of two digits from right to left. The numbers are broken down into 100 terminal digit primary divisions number 00 to 99. Each terminal digit has 100 secondary group divisions, numbered 00 to 99. Within the secondary group, records are filed in straight numeric sequence by the middle digits.

5.2.2.24   POINTERS IN THE PREPARATION OF CLASSIFICATION AND
FILING SCHEME:

*   Determine the organizational relationship of the
    Records Unit in the organization structure of the
    agency.

*   Have a thorough knowledge of the functions of the
    operating units that compose the Agency.

*   Prepare a list, in record series, of the documents
    on file.

5.2.2.25   MAJOR CLASSIFICATIONS

ADM   —   Administrative matters

FIN   —   Finance and Fiscal matters

LEG   —   Legal matters

PER   —   Personnel matters

PA   —   Public Assistance

PRIMARY SUBJECTS

*   Prepare caption for each records series.

*   Use the caption as Primary.
    Subject to the Major Classification.

*   Arrange the caption in alphabetic order.

SECONDARY SUBJECT

Preparation of caption for Secondary Subject shall be
on those matters included in the Primary Subject.

TERTIARY SUBJECTS

Preparation of caption for tertiary Subject shall be on
those matters embraced in the Primary Subject and
included in the Secondary Subject.

5.3 RECORDS DISPOSITION

5.3.1   WHAT IS RECORDS DISPOSITION?

Systematic removal from office to storage of records that are not needed for everyday operations, identification and preservation of permanent valuable records and the destruction of valueless records.

To lessen or minimize accumulation for the sake of economy, efficiency and effectiveness, the program of records disposition shall be observed as follows:

* Remove from files, records no longer needed for day-to-day operations, regularly, to utilize space properly.

* All inactive or non-current records removed from files shall be stored and properly labeled in storage facilities for the purpose in the records room.

* All records marked/inventoried for proper disposal shall follow the standard procedures for disposal.

* All records previously classified shall be properly labeled, according to their usefulness to the Department categorized as:

  a) for _Time Value_ (temporary or permanent significance) administrative, legal or research/historical value, which reflects the agency's organization and administrative history, agency's policies and the reason for their adoption.

  b) methods and procedures.

  c) specific individual personnel transactions.

Records disposition program includes the orderly maintenance of those records necessary to protect the interest of the organization and, in the interest of economy, the prompt disposal of records as they cease to have value for administrative, financial, legal, operational or research purposes.

5.3.2   RECORDS INVENTORY

Records inventory is an examination and accurate listing of individual or groups of records to

facilitate appraisal and establishment of retention value.

5.3.3   METHODS OF TAKING INVENTORY

a) Questionnaire Method - a form is sent to all active records units and inactive storage areas. The questionnaire requests a descriptive listing of all records stored and recommendation for lenght of retention.

b) Survey Method - each storage cabinet or shelf is examined and the data pertaining to the record or record series is recorded.

5.3.4   RECORDS EVALUATION

The statistics taken from the inventory can be used to estimate the duration of the records disposal to determine the personnel needed for the records disposition program, to report the condition of the records to management, and to report the estimate of savings possible through a revised records disposition program.

This will lead to the establishment of a schedule which will assure the retention of records of value and historical interest and to the disposal of all other records as soon as they have served their usefulness.

5.3.5   RECORDS APPRAISAL

Records Appraisal is a detailed examination of records to determine their administrative, legal, fiscal and historical or research value. The value of records must be determined from the point of view of the entire organization rather than from one department or individual.

* Administrative Value - if its helps the agency perform its current work or if it probably will help it perform future work.

* Legal Value - if they contain evidence of legally enforceable rights or obligation of the government.

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* Fiscal Value — those which pertain to the financial transactions of an agency.

* Research Value — if it contains data on experiments and investigation for use in the conduct of further scientific researches.

* Historical Value — if it refers to policy records, those relating to the organization, the plans, the methods and techniques, and the rules and procedures which the agency or one of its component parts adopted to carry out its responsibilities and functions.

5.3.6 RECORDS DISPOSAL PROCEDURE

The following procedure shall be undertaken before actual disposal of obsolute and valueless records can be effected.

* Preparation of records inventory.

* Submission of the records inventory to the Records Management Improvement Committee (RMIC) for evaluation.

* Submission of the RMIC recommendation to the Agency Head for approval.

* Accomplishment of the Request for Authority to dispose of the Records and submission by the Agency Head to the RMAO for approval.

* Actual Disposal of records to authorized buyer in the presence of COA representative.

DECS Department Order No. 13 - A dated February 3, 1988 was issued providing the guidelines on the disposal of valueless records in government agencies. It consists of the procedures to be followed and a general records disposition schedule of records common to all government agencies.

REPUBLIKA NG PILIPINAS
(Republic of the Philippines)
KAGAWARAN NG EDUKASYON, KULTURA AT ISPORTS
(DEPARTMENT OF EDUCATION, CULTURE AND SPORTS)
MAYNILA
(Manila)

TANGGAPAN NG KALIHIM
(OFFICE OF THE SECRETARY)

DEPARTMENT ORDER NO. 13-A

February 3, 1988

T O   :   ALL Heads of Departments and Chiefs of Bureaus and
                Offices of the National and Local Governments,
                including   Government-owned   and   Controlled
                Corporations,   Constitutional   Offices,   State
                Colleges and Universities.

SUBJECT   :   Guidelines   on   the   Decentralized   Disposal   of
                Valueless Records in Government Agencies.

        Executive   Order   285, s. 87, Sec. 5 transfers   the   Records
Management and Archives Office to the Department of Education,
Culture and Sports as a Cultural agency.

        The   following guidelines on the decentralized   disposal   of
valueless   records in all agencies in the government   are   hereby
fixed and issued for the guidance of all concerned.

        General   Circular   Nos. 25 and 27, s. 1986 of   the   Records
Management and Archives Office and all other issuances or parts
thereof, inconsistent with this Department Order are hereby
superseded or amended accordingly.

                                    (SGD.) TOMAS V. SANTOS
                                         Undersecretary
                                       Officer In-Charge

a true copy:
may:9/16/89

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GUIDELINES ON THE DECENTRALIZED DISPOSAL
OF VALUELESS RECORDS IN GOVERNMENT AGENCIES

ARTICLE I - COVERAGE

Pursuant to Section 5 of Executive Order No. 285 dated July 25, 1987, the Records Management and Agencies Office (RMAO) has been transferred and attached to the Department of Education, Culture and Sports. To strengthen operation of the said office, the DECS was authorized by virtue of Executive Order No. 301 dated July 26,1987, to effect a decentralized disposal of valueless records of government offices. In this regard, the Records Management and Archives Office (RMAO) of DECS as mandated to prescribe uniform standards of guidelines to be followed by government offices/agencies in the disposal or destruction of their valueless or unnecessary records. Thus, these guidelines were formulated to meet this purpose.

The "Guidelines on the Decentralized Disposal of Valueless Records" in government offices consists of five (5) parts. These are: (1) Coverage, (2) Definition of Terms, (3) Records Disposal Procedure, (4) Penal Provisions, and (5) Miscellaneous Provisions. The letter includes the repealing and effectivity clauses of the guidelines.

Attached to the Guidelines are the General Records Authorized Disposition Schedules. Appropriate forms for the disposal valueless records shall be as prescribed by the RMAO.

ARTICLE II - DEFINITION OF TERMS

Administrative Value. The usefulness of records to the originating or succeeding agency in the conduct of current business.

Agency. Any agency other than Records Management and Archives Office.

Appraisal. The study of records, their relationships and contents, to determine their administrative, fiscal, legal, archival value and time values whether temporary or permanent.

Archival value. The determination by appraisal of the vital worth of records for purposes of permanent preservation and storage by an archival agency.

Director. Director of Records Management and Archives Office (RMAO).

Disposal. The act of selling, burning, or any other way of getting rid of valueless records in accordance with the provision of these guidelines.

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

File Breaks. The termination of filing activity for a particular file at a pre-determined time, or after the lapse of a specific event and the beginning of a new file period.

Fiscal Value. The information on the usefulness of records about the financial transactions and obligations of agencies and organizations.

General Records Schedule. A records control **schedule** governing the retention and disposition of specified recurring records series <u>common</u> to several or all agencies.

Infidelity of Records. Loss of records under the custody of the agency including the loss of valueless records before its actual disposal.

Inventory. A descriptive listing of the records holding by records series and indicating its specific location, inclusive dates and volume in cubic meters.

Legal Value. The use of records containing evidence of legally enforceable rights or obligations of government and/or private persons.

Records. Any paper, book, photograph, motion picture film, microfilm, X-ray films, sound recording, drawing, map or other documents of any physical form or character whatever or any copy thereof, that has been made by any entity or received by it in connection with the transaction of public business, and has been retained by that entity or its successor, as evidence of the objectives, organization, **functions, policies, decisions, procedures, operations or other activities of the government, or because of the information contained therein.**

Records Disposition. Systematic removal from office to storage of records that are not needed in everyday operation, identification and preservation of permanently valuable records and the destruction of valueless records.

Records Series. A group of related records arranged under a single unit or kept together as a unit because they deal with a particular subject, result from the same activity, or have a special form such as maps, blueprints, etc.

Retention Period. The specific period of time established and approved by the Records Management and Archives Office as the life span of files, after which a given set of files is deemed ready for permanent storage or destruction.

Secretary. Secretary of Department of Education, Culture and Sports.

Valueless or No Value Records. Include all record materials that have reached their prescribed retention periods and usefulness to the agency or the government as a whole.

ARTICLE III - RECORDS DISPOSAL PROCEDURES

Rule 1. Inventory of Records

Each agency shall prepare an inventory of its records holdings in the prescribed form (Form 1) as an initial step in developing the Records Disposition Schedule (RDS) and for whatever purpose the agency may deem necessary.

Rule 2. General Records Disposition Schedules

2.1 All government agencies and instrumentalities shall observe the enclosed General Disposition Records Schedules in determining the disposal of their valueless records. (Annex I)

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

Rule 3. Agency's Records Disposition Schedule

3.1 Each agency shall have a Records Disposition Schedule, to be accomplished in the prescibed form (Form 2) covering its substantive records and those records not included in the General Records Schedule to serve as its guide in the disposition of records , subject to the approval of the Director of the Records Management and Archives Office.

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

Rule 4. Request for Authori**zation**

4.1 No agency shall destroy or sell any record without having first secured authority from the Director of Records Management and Archives Office.

4.2 Each agency shall submit to the Records Management and Archives Office four (4) copies of accomplished "Request for Auhtority to Dispose of Records" (Form 3).

Rule 5. Appraisal and Examination of Disposable Records

Upon receipt of the request for authority to dispose of records, the Chief of the ·Current Records Divisions, acting for the Director, shall assign a Records Management Analyst, to appraise and examine the disposable records of the requesting agency and recommend the manner or method of disposal, such as by burning or direct sale or shredding before sale in the prescribed form (Form 4).

Rule 6. Authority to Dispose

6.1 The Director of Records Management and Archives Office, acting for the Secretary of DECS with the concurrence of the Head of the agency concerned, is authorized to direct destruction or disposal of records in accordance with the recommendation of the Records Management Analyst of Records Management and Archives Office who appraised the records.

6.2 The Director of Records Management and Archives Office shall issue the authority to dispose of records and the manner of disposal using the prescribed form (Form 5).

6.3 All records pertaining to claims and demands by the government of the Philippines, either as a debtor or creditor, and are required to be audited by the Commission on Audit shall not be destroyed or disposed of by the head of any entity under the authorization granted without the necessary clearance, **from** the Commission on Audit, certifying among other things that the records for disposal are not involved in any case.

Rule 7. Custody of Valueless Records

The Records Officer who is in custody of the records holding of an Agency shall be responsible for the safekeeping of the valueless records until its disposal is authorized.

Rule 8. How Disposals Are To Be Accomplished

8.1 The Records Management and Archives Office together with representative of DECS and the COA may reappraise and re-examine records for disposal as the need arises.

8.2 To safeguard the sanctity of the records and to check that the records to be disposed of are the same records which were appraised and examined and that no insertions have been done, the actual disposal of records shall be witnessed by representatives of the agency concerned, the RMAO and COA.

Rule 9. Authority to Public Bidding

9.1 Each agency shall conduct public bidding for the disposal of valueless records once a year following the pertinent provisions on public bidding and awarding of contracts of P.D. 1445. Preferably, the public bidding should be conducted towards the end of the calendar year so that the effectivity of the contract of the winning bidder shall be in January of the following year.

9.2 The Records Management and Archives Office shall be furnished with a copy of the contract.

Rule 10.   Certificate of Disposal

10.1 A cerfiticate of Disposal (Form 6) shall be
prepared in triplicate by the agency concerned
and witnessed by the representatives of the
Commisssion on Audit, Records Management and
Archives Office and the owning agency upon
delivery of the disposable records to the
paper mills or warehouse of the winning
bidders.

10.2 The certificate shall indicate the nature of
the records the manner, place and date of
disposal and their approximate volume in cubic
meters and weight.

10.3 The original copy goes with the agency
concerned, a copy for the Records Management
and Archives Office and a copy for the
Commisssion on Audit.

10.4 Each agency shall submit a report on the
disposal of valueless records to the Records
Management and Archives Office.

Rule 11.   Proceeds of Sale

All proceeds realized from the sale of disposable
valueless records shall be remitted either to the
National Fund, to the Local Government Fund, or to
the Corporate Fund.

Rue 12.   File Breaks and Disposal Periods

12.1 Each agency shall determine when to have its
file breaks. File breaks are generally set
during the slack periods of filing and
servicing. A file break may be set at the
end of the fiscal year or calendar year.

12.2 Records shall be disposed of periodically,
usually once a year, soon after a file break.

ARTICLE IV - PROVISIONS

Rule 13. Any act or omission in relation to the rules and
regulations promulgated in the guidelines shall
be punishable under the provisions of Articles
226, 234 and 235 of the Revised Penal Code or any
specific rule which may be considered a violation
of the specific provisions or criminal laws
without prejudice to the filing of administrative
case against the offender.

ARTICLES - MISCELLANEOUS PROVISIONS

Rule 14. Repealing Clause

All orders, rules and regulations or part thereof,
which are inconsistent herewith are hereby
repealed or amended accordingly.

Rule 15. Effectivity

This Department Order shall take effect fifteen
(15) days after its publication in the Official
Gazette.

Published in the Official Gazette, Volume 84, No. 10, dated
March 7, 1988.

_____
Agency

_____
Address

_____
Date

The Director
Records Management and Archives Office
National Library Bldg., T, M. Kalaw,
Ermita, Manila

Subject : REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS

Sir :

    Please authorize the disposal of the records listed below.

ITEM NO.	RECORDS SERIES AND DESCRIPTION	PERIOD COVERED

PREPARED BY : (NAME & SIGNATURE)

POSITION:

LOCATION OF RECORDS:

VOLUME IN CUBIC METERS:

    The above-mentioned records are no longer needed by this Office and that they are not involved nor connected in any administrative or judicial cases.

Very truly yours,

_____
Agency Head or his duly authorized representative

_____
Position

Part 6:

SPACE MANAGEMENT

PART 6.   SPACE MANAGEMENT

6.1   WHAT IS SPACE MANAGEMENT?

Space management is the systematic procedure of providing space which will yield maximum productivity and effectiveness at minimum cost. Today, not only in the modern industrial world but also in all government endeavors, space has become an expensive commodity and therefore must be utilized to its full capacity.

Therefore, the records officers must plan both office lay-out and workflow procedures so that the greatest use can be made of the space alloted to the Records Office.

6.2   OBJECTIVES OF OFFICE PLANNING AND LAY-OUT:

*   To reduce work at the same or lower cost.

*   To reduce the time taken to do the work by improving the flow of work.

*   To improve the morale of workers by providing more satisfactory working conditions.

6.3   ELEMENTS OF OFFICE PLANNING AND LAY-OUT:

*   Proper positioning on the office floor of desks, chairs, cabinets and other office facilities so that work may flow smoothly in the shortest time and with the least effort and cost.

*   Providing a healthful and pleasant working environment in the office by making adequate provisions for such environmental factors as light, ventilation, temperature, color and noise control.

6.4   BENEFITS DERIVED FROM A WELL-PLANNED OFFICE LAY-OUT:

*   Increased   production   — there is a smooth flow of work.

*   Improved Work Quality   — it minimizes destructions and reduces worker fatigue and leads to better quality workmanship.

* Better Supervision	–	control of the flow of work, inspection, and discipline and made easier for the supervisor.
* Better Use of Available Space	–	valuable floor space can be used more economically.
* Increased Employee Comfort	–	a more comfortable employee does better work, takes less time off for relaxation.

6.5 PSYCHOLOGICAL AND PHYSICAL FACTORS WHICH DETERMINES HUMAN COMFORT AND CONVENIENCE:

* Lighting	–	good quality of light that is relatively free from glare.
* Ventilation	–	normal requirement is about 2,000 cubic feet of air per person per hour.
* Color	–	light color should be chosen to produce the best overall effect to workers eyes comfort and morale.
* Temperature	–	high temperature causes drowsiness and fatigue which increase work error and slows down work.
* Noise Control	–	must be observed in every office.

6.6 DIFFERENT WAYS TO CONTROL NOISE:

* Place typewriters or any equipment on wooden table that absorb sound.

* Place cloth or rubber or cork mats under the machine.

* Put noisy machines in a separate room.

* Provide adequate maintenance and lubrication of file drawers, desks and chairs.

* Place reception/receiving room with telephone and other organizational units dealing with the public in areas where conversation will not disturb other employees.

Part 7:

VITAL RECORDS

PROTECTION PROGRAM

7. VITAL RECORDS PROTECTION PROGRAM

7.1 PROGRAM OBJECTIVES

A vital records program should have as its objectives the following activities:

1. Defining vital records and assigning program responsibility.

2. Designating vital records classifications.

3. Analyzing vital records in order to determine the most effective and economical means of protection.

4. Issuing procedures for program implementation and maintenance.

5. Reconciling vital records with retention schedules.

6. Designating vital records centers and preparing instruction for vault maintenance.

7.2 RESPONSIBILITY

Responsibility for the vital records program should rest with the Records Division.

7.3 WHAT RECORDS ARE VITAL

Standards for identifying the vital records of an agency cannot be established except in very general terms, but such records fall into one of two categories:

1. Records vital to the essential functions of the government for the duration of an emergency if the country **is** attacked.

   a. Military effort of the nation - operations of the Armed Forces.

   b. Mobilization and protection of the material and manpower resources of the nation.

   c. Maintenance of public health, safety, and order; the conduct of essential civil defense activities.

2. Records essential to the preservation of legal rights of individual citizens.

The following criteria may be used in selecting vital records:

1. Records which are essential for the smooth operation of the Bank;

2. Records generally with long retention periods.

3. Records which are irreplaceable or are replaceable only at considerable expense;

4. Records where no other copies are available elsewhere; and

5. In some instance, records which have historical and permanent value.

7.4 METHODS OF PROTECTION

7.4.1 Built-in Dispersal

This method of protection is particularly appropriate in cases of decentralization of functions or geographical dispersion of operations such as subsidiary companies. In current practice, the maintenance of vital records in two or more well separated locations is recognized as providing "built-in" protection of the records. In the event of destruction of such records in one place, the company would still be able to rely on the records copy located elsewhere to reconstruct the necessary management data. This is the cheapest means of vital protection since it involves no cost for creating, duplicating and maintaining additional files. What is required, however, is proper precaution to inform all offices concerned as to which records are vital, how long the records should be retained and what precautions, if any, are required for their safekeeping.

7.4.2. Improvised Dispersal

Improvised dispersal involves the modification of existing procedures to make available a copy of a vital records which can be so identified and forwarded for safekeeping. When the vital records is in active use, a duplicate may be "made available" for the designed dispersal either by creating an additional copy or by using an existing copy. Designed dispersal is particularly applicable where the basic vital records is already being prepared in one or more copies.

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7.4.3.   Duplication

        Where one of the above conditions does not exist, it may be necessary to provide additional duplicate of records. Duplication may be result **from** the preparation of extra copies of the records at the time of its organization or through scheduled microfilm or other copying means at stated intervals. Microfilm should only be used when the nature of volume of the records does not permit duplication by any other means. Microfilming is used primarily for preparing duplicates of constant office-filed records or to initiate a program by filming existing records to bring the program up to a current basis. Where microfilm is used, paper means of indexing as well as microfilm specifications should be followed.

        The purpose of duplication of vital records is to be able to reconstruct such records, at any time, with the least amount of effort, cost, and confusion. Available of reproduction equipment in the event of disaster may present a problem. This is particularly true in the area of microfilm and magnetic tapes. Sources of reproduction equipment should be made a part of reconstruction planning.

7.4.4.   Vaulting

        A vault is properly defined as an "underground room or compartment for sorting valuables" or a "completely enclosed area." Few company vaults fall within the proper definition of such a facility. While used for housing important records they are also used in many cases, as active file areas to which access is relatively easy. When used as repositories for vital records they should remain closed at all times. A true protection program calls for duplicate dispersal of records whether or not the originals are housed in vaults. Wherever practical and possible, originals of vital records should be kept in vault. This can be quite expensive, however, so it become a matter of best utilizing existing vaults and expanding protection through dispersal programs rather than building more and more vaults.

        It is important that the method used to protect and keep the records up-to-date be as economical and efficient as possible.

Part 8:

RECORDS SECURITY

8. RECORDS SECURITY

ACCESS TO INFORMATION

In accordance with Republic Act No. 67131, dated April 21, 1989, Rule IV Sec. 3:

Sec. 3: Every department; office or agency shall provide official information; records or documents to the requesting public, except when:

(a) such information, record or document must be kept secret in the interest of national defence or security or the conduct of foreign affairs;

(b) such disclosure would put thelife and safety of an individual in imminent danger;

(c) the information, record or document sought falls within the concept of established privilege or recognized exceptions as may be provided by law or settled policy or jurisprudence;

(d) such information, records or documents comprises drafts of decisions, orders, rulings, policy decisions, memoranda, etc;

(e) it would disclose information of a personal nature where disclosure would constitute a clearly unwarranted invasion of personal privacy;

* e.g., closed door Cabinet Sessions, Executive Sessions of Congress deliberations of the Supreme Court, trade secrets, etc.

** e.g., physical-patient privilege

(f) it would disclose investigatory records compiled for law enforcement purpose, or information which, if written would be contained in such records, but only to the extent the production of such records or information would;
(1) interfere with enforcement proceedings,
(2) deprive a person of a right to a fair trial or an impartial adjudication,
(3) disclose the identity of a confidential source and, in the case of a record compiled by a criminal law enforcement authority in the source of a criminal investigation, or by the agency conducting a lawful national security intelligence investigation, confidential information furnished only by the confidential source, or

(4)   unjustifiably   disclose   investigative
       techniques and procedures; or

(h) it would   disclose information the   premature
     disclosure of which would;
     (1)   in the case of the department, office or
            agency   which   regulates   currencies,
            securities,   commodities,   or   financial
            institution, be likely to lead to significant
            financial   speculation   in   currencies,
            securities, or commodities, or significantly
            endanger the stability of any   financial
            institution or
     (2)   in the case of any department, office   or
            agency,   be likely or   significantly   to
            frustrate   implementation of   a   purposed
            official section, except that sub-paragraph
            (f) (2) shall not apply in any instance
            where the department, office or   agency has
            already disclosed to the public the content
            or   nature of its proposed action, or where
            the department, office or agency has already
            disclosed to the public the content or nature
            of   its proposed action, or   where   the
            department, office or agency is required by
            law to make such disclosure on its own
            initiative prior to taking final official
            action on such proposal.

Part 9:

ANNEXES

i. Definition of Terms

ii. DPWH Decimal Numeric Coding/Classification System

9.1 DEFINITION OF TERMS:

Current Files

Records that are frequently used to carry on the functions of an agency.

"Cut Off" Period

The termination of filing activity for a particular file and the beginning of a new filing period.

Disposal

The act of selling, burning, or in any other way of getting rid of valueless records.

Disposal Schedule

A predetermined program by which records are disposed of regularly according to a plan.

File

Means a folder containing records; a collection of papers involving a specific name or topic.

Filing

Is the classifying and arranging of records in a systematic way so they will not only be **safely** stored but also quickly retrieved when needed.

Filing Classification Guide

A systematic arrangement of subject according to a plan. Functional Subject Alphabeic File Classification System is a system of classifying file materials based on a related grouping of subject arranged functionally according to the activities and operation of an organization.

Non-Current

Files that deal with completed or adjourned business, not needed for action or reference in an organization.

Records

Defined as "any paper, **book** photograph, motion picture film, microfilm, sound recording, drawing, map or other documents of any physical form or character whatever, or any copy thereof, that has been made by any entity **or** received by it inconnection with the transaction of public business, and has been retained by that entity or its successor as evidence of the objectives, ognanizations, functions, policies, decisions, procedures, operations **Oor** other activities of the Government or because of the information contained therein.

Records Disposition

Systematic removal **from** office to storage of records that are not needed for everyday operations, identification and preservation of permanently valuable records and the destruction of valueless records.

Records Inventory

A description list of the record holding**s of an** agency.

Records Series

A group of related records arranged under a single filing system or kept together as a unit because they deal with a particular subject, result from the same activity or have a special form (maps, blueprints, etc.)

Retention Period

Specific period of time established and approved by a competent authority which a given set of files is deemed ready for permanent storage or destruction.

Correspondences

Consists of letters, memoranda, endorsements, directives, including written or printed matters transmitted, enclosed or used in a place of more formal correspondence.

Report

An official statement of facts relevant to any event, activity, operation, program or condition and is usually written in narrative, statistical or graphic form and presented by a subordinate to his superior, or by one office to another.

Form

A form maybe a piece of communication, letter or document usually printed, mimeographed or produced in some other way whose contents are either complete or maybe completed by filling the blanks or spaces especially provided for, and which normally is stocked way ahead of its use.

Instructions

Are issuances whether verbal or written by way of command or directive. These emanate from the top management going down to the lowest level of an organization.

Sorting of Mail

Is the process by which routine mail is separated from non-routine mail.

Routing

The process of determining and indicating on the mail piece the action unit or units to which it is to be forwarded.

9.2 <u>DECIMAL NUMERIC CLASSIFICATION/CODING SYSTEM USED BY THE</u> <u>RECORDS MANAGEMENT DIVISION, AMMS, DEPARTMENT OF PUBLIC</u> <u>WORKS AND HIGHWAYS, MANILA.</u>

004	Government - Foreign Countries
005	Government Organization (R.P.), other gov't. offices
006	Organization DPWH and its branch agencies
007.02	Constitutions
007.4	Carbon copies of proposed Legislation
007.7	Various offenses against the Law (Gen.)
008.06	Appeals from Court Decision
008.8	Cases, (Complaints)
008.81	Civil Case
.82	Criminal Cases
009.01	Civil Service Law
.08	Election Law
.24	Tariff Law
.33	Contract Law
.93	Flag Law
.95	Labor Law
010.01	Boundaries, fusion, segregations, Province
.02	Boundaries, fusions, segregations, Municipalities
.21	Municipalities change in classifications
012	Seminar, training
016	Politics

017	History
.1	History and Historical Date
.2	Monuments, Memorial, Status
.31	Exhibits
.6	Flags, Banners, Ensigns, Regulations, use of
018.1	Political-conspiracies,insurgents,insurrections mutinies, revolutions
028	Information, (Gen.)
029	Reports (by titles)
.1	Audit (by place audited)
031.5	Police, Fire by Municipal
.7	Traffic Rules (Counts)
033	Health
.17	Cemeteries, graves. etc.
.19	Misc. Health affairs
.4	Sanitation, regulation, etc.
.41	Toilets, Cesspools
.42	Garbage, swill, disposal of, etc.
038.1	Charitable Organization
.2	Hospitals, Resthouses. etc.
041.02	Organization, religion
.031	Parades, processions
.11	Priest, bishops, etc.
.3	Buildings, temples, chapels, land property

043		Education
	.034	Fellowship, Pensionados sent abroad
	.04	Degrees
	.072	Vacational Education
	.1	Schools, Municipals, Buildings, sites
	.2	Schools, Provincial, Buildings, sites
	.301	University of the Philippines
	.31	Schools of Arts and Trade
	.33	Deaf and Blind Schools
	.7	Libraries
044.11		Ethnology, Customs, Manners — Non-Christians
045		Amusements, Sports, Athletics
	.1	Theaters
	.2	Celebrations and Entertainments
	.3	Athletics, Games (ABC)
046		Courtesy, Etiquette
	.1	Ceremonials on Visits of foreign officials
048		Calamities and Disasters
	.1	Earthquakes
	.3	Calamities, Disasters, typhoon damages
	.5	Floods
	.51	Flood forecasting
048.7		Fires
049.313		Billboards, Posters
050.1		Treasure Hunting
	.3	Price escalation

052   Populations and Census

    .1   Provincial Census

    .2   Municipal Census

    .5   Traffic Census

053   Corporation

    .3   Corporations, Organization (ABC)

054.71   Specific Professions (as Contractors)

055   Insurance

    .2   Life Insurance

056   Copyrights, Patent and Trade-marks

061   Expositions, carnivals,etc.

    .12   Exhibits

062   Mines, Mining, etc.

    .1   Regulations

    .5   Quarries

063   Machines, Machineries, Machine Shop & Equipment
               General.

064   Heat, Light, Power

    .2   Water, power, survey, etc.

    .3   Lighting and Power

066   Agriculture

    .121   Campaign

    .14   Rice, Rice mills (ABC)

    .2   Nurseries, Agricultural farm

    .4   Fruits

    .5   Flowers

    .6   Forestry

.7	Irrigation
.72	Water rights
067	Animal, Husbandry statistics
.012	Cattle
.121	Slaughterhouses, abattoirs
.42	Fisheries (Fish pond)
080.3	Canals, Esteros, Channels
.7	Licenses, Regulations, Qualification
.9	Obstruction to navigation
082.1	Lighthouses
.2	Beacons light and buoys
084	Taxes on navigation
085	Vessels, Name of (ABC)
.5	Vessels, Name of (ABC) Kind
087	Distance
093	Science
.2	Botany
094	Correspondence
095	Records, Papers, etc.
.15	Request for records, papers, etc.
.21	Facsimiles, Signatures
097	Directives, Memo Orders, Office Orders, Special Order
.3	Proclamations
.4	Resolutions
.6	Circulars, Executive Bureau

400.1	Accountability, Reports, Etc.
.12	Reports of Waste Materials
.13	Transfer with or without construction materials supplies and equipment
.3	Inventories
402.1	Regulations, building (Building Code)
402.2	Buildings, Miscellaneous construction (ABC)
.203	Insular Building (ABC)
402.2031	Capitol
.204	Provincial Building (ABC)
.205	Markets (ABC)
.206	Municipal Buildings (ABC)
.22	Lease and Rent (Building & Lands)
.23	Private buildings
.3	Land, Public
.301	Land, Public, Value and Sale, applications
.312	Reclaimed, Foreshore (402.301)
.3121	Fills, Filling of Lands
.34	Registration, Land Deed and Titles
.38	Private Lands (Sub-Division)
.51	Reservation (civil), Land Settlements
.6	Leases, land, application or Misc. lease applications
.62	Squatters
.7	Purchase or sale, land
.8	Exchange or Donations
403	Public Works

.12	Bridges (ABC)
.25	Sewerage & Sewer Drainage
.3	Trails and Roads **(Highways)(ABC)**
.301	Road Right of Way Agreement (ABC)
.311	Sidewalks and curving (ABC)
.33	Road Signs, Road Crossing (ABC)
.36	Road Diagrams, Road Maps and Bridge Lists (ABC)
.4	Tunnel (ABC)
.5	Water Supply, Reservoirs, Pumping Plant
.51	Artesian Wells
.7	Harbors, Bays, Port Works, etc.
.72	Sea Walls
.8	Rivers
.81	Dikes and Walls, River control
.82	Dredging
403.91	Parks, Plazas
.93	Tablets (name plates)
.94	Town planning
.95	Swimming pool
450.01	Depots (provincial exchange)
.02	Bids and Proposals
.7	Testing of Supplies
451	Purchase Supplies (ABC)
.32	Requisitions (Provincial)
.33	Requisitions (by bureau's and offices) (ABC)
.5	Purchase, direct (ABC)

452.4	Repairs (Work orders, shop, etc.) (ABC)
455.073	Arms, ammunitions, explosives
456.1	Sale of, by bureau
.11	Rentals or Loans
490.5	Blank forms (Misc. supplies)
510	Trade, export and import
.3	Exports
520	Industry and **Manufacturers**
.1	Asphalt plant
554.6	Refunds, Misc. request (ABC)
555	Free Entry
556.84	Lading, bills of
605.3	Bureau of Coast and Geodetic Survey
.6	DPW & Communication, DPW **(DPWH)**
.63	Organization Chart or Diagram (District Engr., C.E.
.67	Material Testing Lab.
.69	National Civil Defense, Admin.
611	Consolidation, Reorganization of Bureau, of Offices
612.2	Charges, Complaints, Criticisms (Employees Insular)
.7	Charges, Complaints, Criticisms (Provincial Official and Employees)
902.1	Fees, Customs
902.11	Fees, Storage, arrastre, unloading
.61	Toll Bridges (Fees)
.62	Toll Ferries (Fees)
.63	Toll Roads (Fees)

Part 10:

APPROVED DPWH RECORDS

RETENTION AND DISPOSAL

SCHEDULE

09 May 1989

The Honorable Secretary
Department of Public Works and Highways
M a n i l a

Sir:

     We are returning the original of the approved Records
Disposition Schedule of your agency.

     Please reproduce and disseminate to all action units for their
guidance in the disposition of records.

     Thank you for your interest in bringing about an effective,
efficient and economical records management program.

                              Very truly yours,

                              EDGARDO J. CELIS
                                   Director
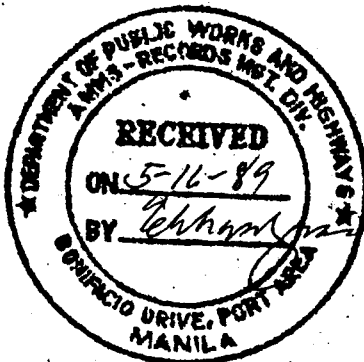
RECORDS DISPOSITION SCHEDULE

1. Agency	: DEPARTMENT OF PUBLIC WORKS AND HIGHWAYS	: 3. Schedule I	: 5. Page 1 of 37 pages
2. Address	: Bonifacio Drive, Port Area, Manila	: 4. Date Prepared November 21, 1988	

6. Item No.	7. RECORDS SERIES TITLE AND DESCRIPTION	8. Retention Period a. Active	b. Storage	c. Total	9. Disposition Authority/Remark
	ADMINISTRATIVE AND MANPOWER MANAGEMENT				
	Civil Security (4.1e)				
1.	Firearms and other Security Equipment Files	P E R M A N E N T			
2.	Fire Alarm and Fire Fighting Equipment Systems	P E R M A N E N T			
3.	Fire Disaster Control Program				Disposal 1 year after revision/superseded.
4.	Intelligence Reports on Officials and Employees	5		5	
5.	Reports				
	PC-Susia/Pre-Licensing/Training of Security Guards				Dispose 25 years after death/compulsory retirement.
	Regional Seminars for fire Prevention and Control	2		2	
	Re-Training of Security Guards	2		2	
	Security Checks, Survey and Inspection	P E R M A N E N T			
	Situational (Moving Reports)	2		2	
	Daily Monthly (Regional)				
	Facilities and Maintenance (4.1g)				
6.	Accomplishment Report				
	Administration Contractual	2 5		2 5	

IMPORTANT: No agency shall destroy or sell any records without having first secured authority from the Director of Records Management and Archives Office. (Article III, Rule 4.1, Department Order No. 13-A, s. 1988)

6. Item No.	7. RECORDS SERIES TITLE AND DESCRIPTION	8. Retention Period			9. Disposition Authority/Remark
		a. Active	b. Storage	c. Total	
7.	Annual Inventory of Office equipment with corresponding Memorandum Receipts of accountable officials				Dispose 1 year after superseded updated.
8.	Gasoline and Oil Consumption of service vehicles				Dispose 1 year after liquidation and post-audited.
9.	Issuance/Receipts of materials and supplies	4		4	
10.	Memorandum Receipts of Tools and Equipment	P E R M A N E N T			
11.	Periodic Pest Control Treatment	2		2	
12.	Periodic Inspection of Office facilities	1		1	
13.	Repair and Maintenance of buildings, grounds, electrical fixtures and sanitary facilities	2		2	
14.	Requisition of supplies and materials for repair	4		4	
	Human Resource Planning (4.1b)				
15.	Annual Training Calendars Central Office DPWH Integrated (Nationwide)	2		2	
16	Course Design				Dispose 1 year after superseded.
17.	Qualifications Standard Manual	P E R M A N E N T			
18.	Regional Quarterly Manpower Development Performance Reports	2		2	
19.	Scholarships Approved Programs (Local and Foreign) Contract Invitations Nominations Travel Orders	2		2	
20.	Training Evaluation Reports	2		2	

6. Item No.	7. RECORDS SERIES TITLE AND DESCRIPTION	8. Retention Period			9. Disposition Authority/Remark
		a. Active	b. Storage	c. Total	
	Human Resources Training and Materials Development (4.1c)				
21.	Annual Procurement Program	2		2	
22.	Audio-Visuals	P E R M A N E N T			
	Courses Catague Equipment (Brochures) Scripts Tapes				
23.	Communications relative to Training (routine)				Dispose after 2 years from the date of communication.
24.	Nominations to In-House Training Programs	2		2	
25.	Reports				
	Annual	P E R M A N E N T			
	Completion (Local and Overseas) Quarterly Semi-Annual Terminal (In-House)	2 2 2		2 2 2	
26.	Semestral MORE Commitment Sheets	2		2	
	Medical/Dental (4.1d)				
27.	Annual Medical Procurement Program	2		2	
28.	Claims (Per Sec. 699 of Revised Adm. Code)				Dispose 25 years after death/compulsary retirement.
29.	Consultations and Follow-up Treatment				Dispose 25 years after death/compulsary retirement.
30.	Inspections	1		1	
	Canteen and Ground Facilities Office Working Conditions Disposal of Water Sanitary Facilities				

6. Item No.	7. RECORDS SERIES TITLE AND DESCRIPTION	8. Retention Period			9. Disposition Authority/Remark
		a. Active	b. Storage	c. Total	
31.	Medical Communications/Inspections pertaining to routine matters				Dispose 3 years after date of communication.
32.	Periodic X-Ray Examinations and Follow-up treatment				
	Negative Positive	5		5	Dispose 25 years after compulsory retirement death.
33.	Reports	2		2	
	Inventory/Consumption of Medicines Outreach Program (Periodic visit to Regional Offices and re compliance of Memo Circular on pre-employment and X-Ray examinations)				
	Personnel (4.1a)				
34.	Acceptance of Resignation				Dispose 25 years after compulsory retirement death.
35.	Administrative Cases				Dispose all papers related to the case 5 years from the date of decision, except vital documentary evidences presented in the case which is value for the protection of the civil, legal and property rights of the citizen and government. DECISIONS ARE PERMANENT.
36.	Annual Summary Report for Replacement Program for Non-Eligibles	P E R M A N E N T			
37.	Application for Employment	1		1	
38.	Application for Leave of Absence				Dispose 1 year form date of expiration of leave and absence has been recorded on the leave credit card.

6. Item No.	7. RECORDS SERIES TITLE AND DESCRIPTION	8. Retention Period			9. Disposition Authority/Remark
		a. Active	b. Storage	c. Total	
39.	Application for resignation/tranfer/retirement	1		1	
40.	Approval of Retirements/GSIS				Dispose 25 years after compulsory retirement death.
41.	Assets and Liabilities				Dispose after 5 years, if superseded.
42.	Authority to engage in business practice profession and to teach				Disposal 1 year after date of authorization.
43.	Certificate of Appearance	1		1	
44.	Certificate of Clearance	1		1	Dispose 25 years after compulsory retirement death.
45.	Certified copy of Marriage Contract				
46.	Certificates of Eligibles				Dispose 2 years after date of cerficate.
47.	Certification of Refund (Per RA 5830)				Dispose 1 year after settlement.
48.	Curriculum Vitae				Dispose after 1 year, if superseded.
49.	Daily Time Records (CS Form 48)				Dispose 1 year after absence have been posted in the leave oredit card.
50.	Employee Interview Records				Dispose 1 year after separation of employee.
51.	Evaluation for Promotions				Dispose 25 years after compulsory retirement death.
52.	GSIS/MEDICARE/P.A.G.I.B.I.G Membership				Dispose 25 years after compulsory retirement death.
53.	Leave Credit Cards				Dispose 25 years after compulsory retirement death.
54.	Manning List Reorganization				Dispose 2 years after approval of appointments.
55.	Medical Certificates in support of absence on account of illness/maternity.				Dispose 25 years after compulsory retirement death.

6. Item No.	7. RECORDS SERIES TITLE AND DESCRIPTION	8. Retention Period			9. Disposition Authority/Remark
		a. Active	b. Storage	c. Total	
56.	Microfilmed Records Input (DPWH)	P E R M A N E N T			
57.	Performance Appraisal	1		1	
58.	Performance Appraisal Report System	2		2	
59.	Performance Target Worksheet	1		1	
60.	Performance Rating Cards				Dispose 5 years after compulsory retirement/ death.
61.	Personnel Folder (201 Files)				Dispose 25 years after compulsory retirement/death
	Appoinments Change of Status/Names Incentive Awards Notice of Salary Adjustments Oath of Office Personal Data Sheet Service Records Training Certificates				Dispose after 2 years, if superseded
62.	Plantilla	3		3	
63.	Position Classification papers including job description/ request for classification and recommendation/notices of classification action.				Dispose 1 year after classification of position has been superseded.
64.	Protest Cases on Appointments				Dispose 1 year after decided.
65.	Psychological Test Results	1		1	
66.	Recommendations for Employment	1		1	
67.	Relief from Property Accountability				Dispose 25 years after compulsory retirement/death.
68.	Reports for Staff Movement	2		2	
69.	Request (approval on promotion, transfer, reinstatement, change of status).				Dispose 1 year after date of correspondence.
70.	Statement of Duties and Responsibilities (PDF)	2		2	

6. Item No.	7. RECORDS SERIES TITLE AND DESCRIPTION	8. Retention Period			9. Disposition Authority/Remark
		a. Active	b. Storage	c. Total	
71.	Signature and Handwriting Specimen	1		1	
	Records Management (4.1h)				
72.	Acknowledgements (inquiries, requests on routine matters)				Dispose 3 years after date of correspondence
73.	Contracts				
	Infrastructure Projects Janitorial and Security Services	P E R M A N E N T			Dispose 2 years after termination and finally settled.
	Personnel Services Rental of Copying Machine				-do- -do-
74.	Credit Memos with corresponding payment for obligations				Dispose 10 years after finally settled, post audited and not involved in any case.
	Emergency Purchase for Office Supplies and Consumables Mail Stamps Rental of Xerox Copier Salary of cultural Director				
75.	Delivery Receipts of communications delivered by external messengers and received via LBC Aircargo	1		1	
76.	Directories of Officials and Employees				Dispose after 2 years, if superseded.
77.	Index Cards of Administrative Issuances				Dispose after 1 year, if superseded.
78.	Lists				
	DPWH Contractors and authorized representative for release of communications/documents	P E R M A N E N T			
	Supplies and consumables for production jobs.				Dispose after 1 year, if superseded.
79.	Locator Slips	1		1	
80.	Logbooks of incoming/outgoing communications				Dispose 2 years after the last entry.
81.	Mailing Lists	1		1	

6. Item No.	7. RECORDS SERIES TITLE AND DESCRIPTION	8. Retention Period			9. Disposition Authority/Remark
		a. Active	b. Storage	c. Total	
82.	Ministry Coded Records				
	120 Files (Yellow Bantex Files)				Dispose 25 years after compulsary retirement/death.
	Administrative Issuances (Blue Bantex File)	P E R M A N E N T			
	(Presidential Decree, LOI, Executive Orders, Unnumbered Circular including amendments).				
	Assets and Liabilities and Network (Blue Bantex File)				Dispose 5 years after it has been superseded.
	Confidential and Classified Records (Beige Bantex File)	P E R M A N E N T			
	Land Registration for Infrastructure Projects (Orange Bantex file)	P E R M A N E N T			
	(Schools, Hospitals, Colleges, Slaughterhouses, etc.)				
	Original Contracts and other related documents of infrastructure projects of Public Works from defunct MPW, MPH, DPWTC (Orange Bantex File)				Transfer to Archives Division, RMAO
	Records ralative to Purchase, Transfer of Equipment, Procurement, Rentals or Loans, Lease for Equipment, Manufacturers' List (Brown Bantex File).	P E R M A N E N T			
	Retired, resigned or phase-out due to reorganization (green Bantex File)				Dispose 25 years after compulsary retirement/death.
	Value and Sale of Philippines Land, M.S.A. Land Registration (Red Bantex File)	P E R M A N E N T			
83.	Minutes of Meetings				
	Board	P E R M A N E N T			
	Staff	1		1	
84.	Office Memoranda/Orders relative to organizational assignments, rotaions and change of assignment/work station				Dispose 2 years after it has been superseded
85.	Reproduction Jobs/Requests	2		2	

6. Item No.	7. RECORDS SERIES TITLE AND DESCRIPTION	8. Retention Period			9. Disposition Authority/Remark
		a. Active	b. Storage	c. Total	
86.	Report (Accomplishment, monthly, progress, semi-annual weekly)	2		2	
	Supply and Property Management (4.1i)				
87.	Bill of Lading (GF 9-A)				Dispose 5 years after acceptance of delivery
88.	Canvass of Prices	2		2	
89.	Certificate of Clearance from property accountability				Dispose 25 years after compulsory retirement/death.
90.	Inventory and Inspection Reports on Unserviceable Property				Dispose 5 years after settlement and clearance.
91.	Inventory of supplies and Equipment of different agencies (GF 41-A)				Dispose 2 years superseded.
92.	Invitation to Bid and Bid Tenders (BSC Form 706)				Dispose 5 years after termination of contract and finally settled.
93.	Invoices and Receipts of Accountable Forms				Dispose 3 years after clearance.
94.	Invoices and Receipts for Property (GF 30-A)				Dispose 3 years after issuance of clearance.
95.	Invoices and Receipt for Transfer (GF 10-A)				Dispose 3 years after property has been transferred.
96.	Memorandum Receipts for Equipment Semi-Expandable and Non-Expandable Property (GF 32-A)	P E R M A N E N T			
97.	Purchase Orders/Work Orders				Dispose 4 years after settlement of accounts
98.	Report of Waste Materials (GF 64-A)				Dispose 5 years after settlement of credit.
99.	Requisition and Issue Vouchers covering emergency purchase of supplies.	4		4	
100.	Requisition on Direct Purchase with supporting papers	4		4	

6. Item No.	7. RECORDS SERIES TITLE AND DESCRIPTION	8. Retention Period			9. Disposition Authority/Remark
		a. Active	b. Storage	c. Total	
101.	Requisition for Equipment or Supplies (BSC Form 1)	4		4	
102.	Shipping and Packing List on Items Purchased with Bill of Lading				Dispose 1 year after shipment and acceptance of delivery.
103.	Stock Cards on Supplies				Dispose 3 years after the last entry.
104.	Suppliers Identification Certificates				Dispose 2 years after renewal.
105.	Supplies Adjustment Sheet				Dispose 1 year after post-audited.
106.	Supplies Ledger Card "Doubles" (GF 48-A)	P E R M A N E N T			
107.	Supplies Ledger Card	P E R M A N E N T			
	COMPTROLLERSHIP & FINANCIAL MANAGEMENT				
	Accounting (4.2a)				
108.	Annual Statement of Accounts Payable	P E R M A N E N T			
109.	Authorizations (overtime, transfer of funds)	2		2	
110.	Bank Reconciliation Statements	5		5	
111.	Balance Sheet	P E R M A N E N T			
112.	Certificate of Availability of Funds	P E R M A N E N T			
113.	Checks and Check Stubs Issued				Dispose after 10 years provided post-audited, finally settled and not involved in any case.
114.	Daily Cash Report	3		3	
115.	Disbursement Vouchers				Dispose after 10 years provided post-audited, finally settled and not involved in any case.
116.	Financial Reports of Operations	P E R M A N E N T			
117.	General Ledger	P E R M A N E N T			

118.	General Payrolls
	  Casual
	  Permanent
					Dispose after 10 years provided post-audited, finally settled and not involved in any case.

6. Item No.	7. RECORDS SERIES TITLE AND DESCRIPTION	8. Retention Period			9. Disposition Authority/Remark
		a. Active	b. Storage	c. Total	
119.	General Vouchers				Dispose after 10 years provided post-audited, finally settled and not involved in any case.
120.	Index Cards	PERMANENT			
121.	Index Payment of Employees (GF 82-A)	PERMANENT			
122.	Index of Sunday Payment by Warrant (GF 83-A)	PERMANENT			
123.	Journal of Analysis of Obligation	PERMANENT			
124.	Journal of Bills Rendered	PERMANENT			
125.	Journal f Checks Issued	PERMANENT			
126.	Journal of Collection and Deposit	PERMANENT			
127.	Journal of Disbursement	PERMANENT			
128.	Journal Vouchers (GF 20-A)				Dispose after 10 years provided post-audited, finally settled and not involved in any case.
129.	List of Remittances	5	5	10	
130.	Monthly Settlement of Monthly Subsidiary Ledger Balance	2		2	
131.	Monthly Statement of Bank Balances	2		2	
132.	Notice of Funding Warrant Issued	5		5	
133.	Physical Report of Operation	2		2	
134.	Project Cost Sheet	PERMANENT			
135.	Quarterly Statement of Charges to Account Payable				Dispose after 10 years provided post-audited, finally settled and not involved in any case.
136.	Receipt and Release of Advice of Cash Deposit	3		3	
137.	Reports of Disbursements (GF 99-A)	5	5	10	
138.	Reports of Income	5	5	10	

6. Item No.	7. RECORDS SERIES TITLE AND DESCRIPTION	8. Retention Period			9. Disposition Authority/Remark
		a. Active	b. Storage	c. Total	
139.	Request for Obligation of Allotment				
	Infra Projects	P E R M A N E N T			
	Others	3		3	
140.	Remittance Advice (GF 14-B)	5	5	5	
141.	Schedule of Account Receivable (Quarterly)	3		3	
142.	Statement of Financial Operations	P E R M A N E N T			
143.	Statement of SAA (Sub-allotment Advice) and Advice of cash Deposit Released (ACD)	2		2	

	Regional Officed
	   Regional Equipment Offices
	   Project Management Office				

144.	Status of Common Funds	2		2	
145.	Subsidiary Ledgers (GF 67-A)	P E R M A N E N T			
146.	Trial Balance	P E R M A N E N T			
	Assets and Supplies Management and Control (4.2b)				
147.	Abstract of Bids	5		5	
	Infrastructure Supplies, Materials, Equipment				
148.	Annual Procurement Program	2		2	
149.	Equipment Ledger Card (GF 46-A)	P E R M A N E N T			
150.	Inspection Report of Supplies, materials and equipment				Dispose 2 years after clearance.
151.	Inventory	P E R M A N E N T			
	Construction equipment, service vehicle, office furniture and fixtures and office equipment				
	Insured properties such as aircrafts, buildings, electrical structure, equipment machine, marine hull/ vessel, motor vehicle and heavy equipment.				

6. Item No.	7. RECORDS SERIES TITLE AND DESCRIPTION	8. Retention Period			9. Disposition Authority/Remark
		a. Active	b. Storage	c. Total	
	Road-Right-of-Way acquired Titles Unserviceable Equipment				
152.	Lists	P E R M A N E N T			
	Furniture and Equipment transferred without cost by the then Department of Public Works and Transportation and Communication to Batasang Pambansa.				
	Torens Ttle including other notarial archives turned over by Ministry of Public Works and Highways to Records Management and Archives Office				
153.	Quarterly Consumption Report of Supplies and Materials	2		2	
154.	Supplies Ledger Card (Gf 83-A)	P E R M A N E N T			
	Budget (4.2c)				
155.	Advice of Allotment	3		3	
156.	Advice of Cash Deposits				Dispose after 10 years provided post-audited, finally settled and not involved in any case.
157.	Annual Budget Estimates				Dispose 2 years after passage of bill
158.	Financial and Physical Reports	2		2	
159.	Financial Reports/Statements for Infrastructure Projects	2		2	
160.	Letter of Advice (Regional Offices)				Dispose after 10 years provided post-audted, finally settled and not involved in any case.
161.	Notice of Funding Warrant				Dispose after 10 years provided post-audited, finally settled and not involved in any case.
162.	Requests	2		2	
	Accounts Payable Fund Releases for retirements/terminal leave Realignment of Cash Funds				

6. Item No.	7. RECORDS SERIES TITLE AND DESCRIPTION	8. Retention Period			9. Disposition Authority/Remark
		a. Active	b. Storage	c. Total	
163.	Sub-Allotment Advice				Dispose after 10 years provided post-audited, finally settled and not involved in any case.
164.	Work and Financial Plan (Special Budget) Request of fund release from office of the Budget and Management for the initial work and Financial Plan which covers the total annual operation of DPWH on which the regular quarterly sub-allotment to its offices are based and other requests for fund releases from lump-sum appropriation during the budget year. **Cash (4.2d)**	3		3	
165.	Advice of Remittances	3		3	
166.	Application for bonding officials				Dispose 3 years after cancellation.
167.	Cash Disbursement Ceiling	3		3	
168.	Certificate of Shortages				Dispose after 10 years provided post-audited, finally settled and not involved in any case.
169.	Certification of Settlement and Balances				Dispose after 10 years provided post-audited, finally settled and not involved inany case.
170.	Daily Cash Report	3		3	
171.	Monthly Report of Accountables of Forms (OR's Bank Checkd)				Dispose after 10 years after post-audited.
172.	Official Cashbooks	P E R M A N E N T			
173.	Official Receipts				Dispose after 10 years provided post-audited, finally settled and not involved in any case.
174.	Reports of checks Issued by deputized Disbursing Officer	5	5	10	
175.	Reports of Collection and Deposit	5	5	10	
176.	Requisition of Blank Checks	4		4	

6. Item No.	7. RECORDS SERIES TITLE AND DESCRIPTION	8. Retention Period			9. Disposition Authority/Remark
		a. Active	b. Storage	c. Total	
177.	Warrant Register	P E:R M A N E N T			
	INTERNAL AUDIT SERVICE				
	Management and Performance Review (4.3a)				
178.	Audit Reports (Analysis and evaluation of management and operations performance)	P E:R M A N E N T			
	Performance Standards (4.3b)				
179.	Evaluations	P E:R M A N E N T			
	Organizational performance efficiency against approved standards				
	Service/Bureaus/PMO's Standard Operation Procedures and performance of the different organizational units.				
180.	Performance Standards	P E:R M A N E N T			
	Adopted by different organizational units including Project Management Offices				
	Recommended changes				
	Systems and Procedures (4.3c)				
181.	Forms DEsign and Control	P E:R M A N E N T			
182.	Organizational/Functional/Position Charts	P E:R M A N E N T			
183.	Manuals	P E:R M A N E N T			
	Administrative Contract Management Operations and Procedures Organization Systems and Operations				
184.	Policies, rules and regulations pertaining to procedures	P E:R M A N E N T			

6. Item No.	7. RECORDS SERIES TITLE AND DESCRIPTION	8. Retention Period			9. Disposition Authority/Remark
		a. Active	b. Storage	c. Total	
185.	Procedural Flow Charts	P E:R M A N E N T			
	LEGAL SERVICE				
	Complainst and Investigation (4.4b)				
186.	Administrative Cases				Dispose 5 years after decision is rendered except vital documentary evidences presented in the case which is of value for the protection of the civil, legal and property rights of the government and citizen. DECISION ARE PERMANENT.
187.	Certificate of Clearance for retirement/terminal leave				Dispose 25 years after compulsary retirement/death.
188.	Legal Studies re Claims for back wages in connection with dsimissal or suspension.	P E:R M A N E N T			
189.	Reviews on decided cases	P E:R M A N E N T			
	Appeals on administrative desicions Evaluation and resolutions Request for consideration				
	Contract Letting and Litigation (4.4a)				
190.	Appearance as Counsel				Dispose 1 year after payment of claims.
191.	Cases				
	Administrative				Dispose after 5 years from the date of decisions.
	Civil				Dispose 15 years after termination of the case.
	Criminal				Dispose 15 years after termination of the case.
192.	Decisions	P E:R M A N E N T			

6. Item No.	7. RECORDS SERIES TITLE AND DESCRIPTION	8. Retention Period			9. Disposition Authority/Remark
		a. Active	b. Storage	c. Total	
193.	Opinions Application of directives/issuances to Contracts Claims of contractors/Subcontractor/Third Party to projects under contract. Interpretations of the provisions of the contract validity and binding effect for the release of funds. Legislative Research and Affairs (4.4c)	P E R M A N E N T			
194.	Opinions/ Interpretations Application of directives/issuances, laws which affect the function of the agency. Queries on the interpretations of laws, directives/ issuances by bureaus, services of Field Offices of the agency.	P E R M A N E N T			
195.	Research on Questions of Law on legal opinions rendered containing appeals, briefs, memoranda, pleadings on administrative cases. Sites Acquisition and Law Enforcement (4.4d)				
196.	Agreements to demolish and remove improvements affected by Right-of-Way				Dispose 5 years after release of fund and finally settled.
197.	Application for miscellaneous sales and leases of public land				Dispose 6 years after final recommendation to the bureau of lands.
198.	Correspondence relating to:				
	Acquisition of lots needed for foreign assisted projects				Dispose 1 year after completion of projects and payment of claims.
	Projects implementation				Dispose 3 years after date of correspondence
	Routine matters				Dispose 3 years after date of correspondence

6. Item No.	7. RECORDS SERIES TITLE AND DESCRIPTION	8. Retention Period a. Active	b. Storage	c. Total	9. Disposition Authority/Remark
199.	Deeds of Donation	P E:R M A N E N T			
200.	Deeds of Exchange	P E:R M A N E N T			
201.	Deeds of Sale of Land	P E:R M A N E N E			
202.	Expropriation Case				Dispose 5 years after final decision and and fully paid.
	Application Notice of Hearing				
203.	Investigation				Dispose 5 years after final decison/reso- lution of the case.
	Encroachment on River Banks Violation of PD 296, LOI 19 and related laws				
204.	Land Registration Case				Dispose 5 years after final decison and fully settled.
205.	Request for Funds for payment of Right-of-Way claims and other related expenses.				Dispose 1 year after final decision and fully settled.
206.	Transfer of Certificate of Title	P E:R M A N E N T			TCT in the name of the government are forwarded to the National Archives.
	PLANNING SERVICE				
	Development Planning (4.5a)				
207.	List of National Roads under EO 113	P E:R M A N E N T			
208.	Long/Medium Term Programs				Dispose 5 years after implementation.
209.	Manual of Road Inventory, Road Numbering, Functional and Systems Classification	P E:R M A N E N T			
210.	Plans for the Integrated Road Development (NACIAD)	P E:R M A N E N T			
	Programming (4.5b)				
211.	Annual Infrastructure Program	2		2	
212.	Manual on Infrastructure Programming	P E:R M A N E N T			

6. Item No.	7. RECORDS SERIES TITLE AND DESCRIPTION	8. Retention Period a. Active	b. Storage	c. Total	9. Disposition Authority/Remark
213.	List of priority projects in the Annual Infrastructure Program	2		2	
214.	Public Works Act	P E:R M A N E N T			
215.	Requests	2		2	
	Additional Funding for Infrastructure porjects Realignment of Funds				
	Project Preparation and Evaluation (4.5c)				
216.	Central Labor Advisory anf Training Team (CLATT)	P E:R M A N E N T			
217.	Feasibility Study/Survey Data Report	P E:R M A N E N T			
218.	Master Plans for Integrated Project/Program	P E:R M A N E N T			
219.	Projects	P E:R M A N E N T			
	Cagayan River Flood Control Nationwide River Training				
220.	Projects Evaluation Assistance (National Environmental Pollution Commission)				
221.	Pre-Feasibility Studies of Projects (Regional Offices)				Dispose 1 year after implementation.
	Research and Statistics (4.5d)				
222.	Financial Reports/Statements for Infrastructure Projects	P E:R M A N E N T			
223.	Infrastructure Atlas				Dispose 2 years after it has been superseded
224.	Inventory				Dispose 2 years after it has been superseded
	School buildings Water Supply Facilities/Sources				
225.	Newspaper Clippings (fuel, dollar rates, labor rates)				Transfer to Library.

6. Item No.	7. RECORDS SERIES TITLE AND DESCRIPTION	8. Retention Period a. Active	b. Storage	c. Total	9. Disposition Authority/Remark
226.	Statistical Data	PERMANENT			
	Average Costs Estimates Base Maps (original tracings) Diskettes on Data Base File Inputs to Construction Costs				
	MONITORING AND INFORMATION SERVICE				
	Infrastructure Computer Center (4.6a)				
227.	Biller/Statement of Accounts				Dispose 3 years after full payment/post-audited.
228.	Continuous Forms used in Validation				Dispose 1 year after final output.
229.	EDP Systems/Program Documentation	PERMANENT			
230.	National Roads and Bridges Inventory				Dispose 1 year after superseded.
231.	Price Index of Construction Materials				Dispose 1 year after superseded.
232.	Price Lists – Procurement	2		2	
233.	Project Monitoring System Field Reports				Dispose 2 years after completion of project.
234.	Quotations from different Suppliers	1		1	
235.	Project Monitoring (4.6c)	PERMANENT			
236.	Checklist and Telegraphic Status Report				Dispose 2 years after completion/acceptance of projects and finally settled.
	1987 Congressional Projects 1987 CEDP Projects submitted by Districts/Cities				
237.	Monthly Project Profiles and Status of Completion, On-Going and Foreign Assisted Projects				Dispose 2 years after completion/acceptance of projects and finally settled.
238.	Monthly Reports				Dispose 2 years after completion/acceptance of projects and finally settled.
	CEDP Projects Infrastructure Program				

6. Item No.	7. RECORDS SERIES TITLE AND DESCRIPTION	8. Retention Period a. Active	b. Storage	c. Total	9. Disposition Authority/Remark
239.	Status Report				Dispose 2 years after completion/acceptance of projects and finally settled.
	1987 CEDP School Building implementation by Local Government Units				
	1987 CEDP Water Supply Projects implementation by DPWH				
	1987 Overall Summary Infrastructure Program (Lotus 123)				
	1988 Overall Summary Infrastructure Program (Lotus 123)				
	1987 Infrastructure Program by Districts (Lotus 123)				
	1988 Infrastructure Program by Districts (Lotus 123)				
	CONSTRUCTION MANAGEMENT				
	General Infrastructure (5.1)				
240.	Construction Services	P E R M A N E N T			
	Barangay Roads Bridges Flood Control National Roads and Runways Ports and Harbor Water Supply				
241.	Construction Plans	P E R M A N E N T			
242.	Drawings	P E R M A N E N T			
243.	Specifications	P E R M A N E N T			
244.	Contract Documents				Dispose 2 years after completion of the project, finally settled and post-audited.
	Cash Deposit Certificate of Availability of Funds Legal Requirements Letter of Credit Performance Bond Program of Work				

6. Item No.	7. RECORDS SERIES TITLE AND DESCRIPTION	8. Retention Period			9. Disposition Authority/Remark
		a. Active	b. Storage	c. Total	
245.	Review/Inspection/Evaluation of Projects (Regional Offices) Barangay I – Northern Luzon Barangay II – Southern Luzon Barangay III – Visayas Barangay IV – Mindanao				Dispose 10 years after evaluation.
	DESIGN MANAGEMENT				
246.	Analysis of Topograpbic and Hydrologic Data for Infras- tructure Projects	P E R M A N E N T			
247.	"As Built" Plans/Drawings	P E R M A N E N T			
248.	Design Analysis and Calculations Bridges Buildings Flood Control Drainage and Water Supply Highways Ports and Harbor				Dispose 5 years after project completion.
249.	Manuals for Design Standard and Criteria for Projects	P E R M A N E N T			
250.	Military Maps of the Philippines for Hydrologic Study	P E R M A N E N T			
251.	National Building Code Clearances for building permits regarding easement requirements along creeks, esteros and rivers Miscellaneous Sales/Lease Applications Pipe-laying projects (MWSS)-underground facilities Resolutions of appeals filed by litigants	P E R M A N E N T			
252.	Plans reviewed and corrected (MWSS, NHA)				Dispose 2 years after reviewed and corrected
253.	Project Reports on Preliminary Engineering Projects				Dispose 2 years after project completion.

6. Item No.	7. RECORDS SERIES TITLE AND DESCRIPTION	8. Retention Period a. Active	b. Storage	c. Total	9. Disposition Authority/Remark
254.	Reports Accomplishment Remedial Measures Structural Defects	2		2	
255.	Variation Orders Change Orders Extra Work Orders Supplemental Agreement				Dispose 1 year after project completion.
	EQUIPMENT MANAGEMENT				
256.	Advice of Shipment and Acknowledgement (Regional Offices) Equipment Spare Parts/Supplies/Materials				Dispose 1 year after acknowledgement and attestation by COA.
257.	Allocations Equipment (Regional Equipment Service) Project Funds	4		4	
258.	Annual Inventory of Memorandum Receipts for Equipment/ Shop Tools	P E R M A N E N T			
259.	Authorization re Withdrawal of Items from the Central Equipment and Spare Parts Division. Annual Temporary				Dispose 1 year after renewal of authority. Dispose 1 year after receipt.
260.	Billings, Collections and Remittances for Equipment Rentals	5	5	10	
261.	Charge Accounts: Cost of Repair of Equipment CHPG Clearance LTC Registration	P E R M A N E N T			
262.	Confirmation Letters of Regional Equipment Services for items withdrawn by representatives				Dispose 1 year after confirmed/received the items.

6. Item No.	7. RECORDS SERIES TITLE AND DESCRIPTION	8. Retention Period			9. Disposition Authority/Remark
		a. Active	b. Storage	c. Total	
263.	Contracts of Lease for Equipment				Dispose 2 years after expiration of contracts, finally settled and post-audited.
264.	Directives/Issuances on Equipment Utilization	P E R M A N E N T			
265.	Dockets Books (Equipment) Bill of Lading Nos. Date DPWH Property Nos. Location Memo Receipt Nos. Serial Nos.	P E R M A N E N T			
266.	Documents on Locally Purchased Equipment/Items Certificate of Acceptance by the requisitioner Certificate of Inspection (Property and Procurement Division Inspector & CESPD) Credit Memo of Equipment returned Incoming Receipt of Spare Parts, Supplies and Materials returned Invoice Receipt (GF 302-A)-transfer of property from one accountable officer to another Memorandum Receipt for shop tools and equipment catalogues and manuals (GF 32-A) Purchase Order Requisition for Supplies/Equipment (BSC Form 43) Supplies Invoice	P E R M A N E N T P E R M A N E N T			
267.	Equipment History Card				Dispose 1 year after disposal equipment.
268.	Equipment Ledger Card (GF 46-A)	P E R M A N E N T			
269.	Equipment Machinery Card (BPH E-21)	P E R M A N E N T			
270.	Equipment Supplied Rent Free	4		4	
271.	Freight Bill of Lading Certification of Acceptance (Regional Offices)				Dispose 5 years after acceptance, finally settled and post-audited. the items.

6. Item No.	7. RECORDS SERIES TITLE AND DESCRIPTION	8. Retention Period a. Active	b. Storage	c. Total	9. Disposition Authority/Remark
272.	Inventory Equipment (GF 41-A) Shop Tools and Equipment Spare parts, office equipment, supplies and materials				Dispose 2 years after superseded.
273.	Inventory and Inspection Reports of Unserviceable Property				Dispose 5 years after settlement of credit.
274.	Inventory Tag (GF 71-A) Date	2		2	
275.	Local Cost for handling of equipment, spare parts, supplies and materials purchased from abroad	P E R M A N E N T			
276.	Memorandum Receipts fot Tires and Batteries				Dispose 1 year after receipt of Report of Waste Material.
277.	Packing List of Unserviceable/Obsolete Parts and other related documents				Dispose 1 year after dropping from the Book of Account.
278.	Receipts of Shipment of Imported equipment, shop tools, Spare Parts, supplies and materials by Regional Offices Bills of Lading Certificates of Acceptance Customs's Special Permit to Transfer (SPT), BC Form 43 Marine Insurance Certificate Packing List Letter of Request and Authority to transfer commodities to the Department of Finance.	P E R M A N E N T			
279.	Reimbursement for Emergency Purchase of spare parts, supplies and materials.				Dispose after 10 yrs. provided finally settled, post-audited and not involved in any case.
280.	Registration of Equipment (Light and Heavy) Accident Report/Claims Certificate of Cover Insurance Policy	P E R M A N E N T			
281.	Rental Rates for Equipment (Dredge)				Dispose 1 year after superseded.

6. Item No.	7. RECORDS SERIES TITLE AND DESCRIPTION	8. Retention Period a. Active	b. Storage	c. Total	9. Disposition Authority/Remark
282.	Reports	2		2	
	Monthly Fleet Demand/Availability Report Technical Assistants Report on government agencies Equipment Specifications Fuel Utilization Maintenance Operation Rentals Procurements				
283.	Research on Equipment and Model				Dispose 1 year after obsolence of equipment/ declared obsolete.
284.	Shipment of Spare Parts				Dispose 3 years after settlement.
	Claims of Loss/Damage parts				
	Foreign Parts - Invoice, Cargo, Survey, Invoice Letter Waiver				
	Local Parts - Listing of Parts and WMR				
	Premium Invoice				Dispose 1 year after renewal.
285.	Stock Cards (GF 77-A)	P E R M A N E N T			
286.	Summary of Payments to Contractors on Projects completed.				Dispose after 10 years provided fully settled, post-audited and not involved in any case.
287.	Survey of Workshops Site, Plan Layouts	P E R M A N E N T			
288.	Telegrams	1		1	
289.	Tender Documents for Specials Equipment	5	5	10	
290.	Report of Waste Materials (GF 64-A)				Dispose 5 years after settlement of credit.
	MAINTENANCE MANAGEMENT				
	Building Services				
291.	Appraisal and Determination of Value of Government-owned Buildings.	P E R M A N E N T			

6. Item No.	7. RECORDS SERIES TITLE AND DESCRIPTION	8. Retention Period			9. Disposition Authority/Remark
		a. Active	b. Storage	c. Total	
292.	Disposal/Demolition of Government-owned buildings	5		5	
293.	Guidelines/Criteria/Standards on Rental Rates	P E R M A N E N T			
294.	Insurance records of National government-owned buildings	P E R M A N E N T			
295.	Space requirements of various government agencies	5		5	
	Inspectorate				
296.	Road Condition Rating (National, Provincial, City, Municipal, Barangay)	5		5	
297.	Reports				
	Completed Road and Bridges Projects	3		3	
	Status of implementation of the highway maintenance management (Roads and Bridges – national, provincial, city, municipal, barangay; water supply, flood control and drainage, ports, seawalls, lighthouses, school buildings, health facilities, public buildings, regional office buildings)	5		5	
	Verification of calamity/typhoon damages on infrastructure projects	5		5	
	Inventory and Statistics				
298.	Approved Basic Cost per EMK Analysis and Computations	P E R M A N E N T			
299.	Inventories				Dispose after 2 years, if superseded.
	Flood Control and Drainage Health Facilities Ports, Seawalls, Lighthouses Public/Central/Regional Office Buildings Roads and Bridges (national, provincial, city, municipal barangay) School Buildings Water Supply Systems				

6. Item No.	7. RECORDS SERIES TITLE AND DESCRIPTION	8. Retention Period			9. Disposition Authority/Remark
		a. Active	b. Storage	c. Total	
300.	Road Maps and Maps for other infrastructure projects				Dispose 5 years after updated.
301.	Statistical Reports	P E R M A N E N T			
	Average Annual/Daily Traffic (AADT) Types of Roads and Bridges				
	MONITORING AND METHODS				
302.	Annual Reports	P E R M A N E N T			
	Accomplishment for the Calendar Year Reimbursement of Periodic Maintenance Projects Funds to IBRD (World Bank)				
303.	CEDP Progress Reports (Maintenance Projects)	3		3	
304.	Monthly Accomplishment/Progress Reports	3		3	
	Calamity-Funded Repair Projects Flood Control and Drainage Health Facilities Periodic Maintenance of National Roads and Bridges Ports, Seawall, Lighthouses Public/School/Regional Office Buildings Road Right-of-Way Encroachment of National Roads Water Supply				
305.	Quarterly Reports	3		3	
	Activity Data Summary and Activity Performance Summary for National Roads and Bridges Physical and Financial Accomplishment of Local Roads (Provincial, City, Municipal and Barangay Roads) Status of Water Supply System and Performance				
	Planning and Programming (5.4)				
306.	Advice of Allotment and Sub-Allotment Advice for regular maintenance				Dispose 1 year after project completion.

6. Item No.	7. RECORDS SERIES TITLE AND DESCRIPTION	8. Retention Period			9.
		a. Active	b. Storage	c. Total	Disposition Authority/Remark
307.	Annual Maintenance Work Program. Performance Budget for National Roads and Bridges				Dispose 3 years after superseded.
308.	Approval Basic Cost per EMK	P E:R M A N E N T			
309.	Budget Proposal for maintenance of:	3		3	
	Flood Control and Drainage Health Facilities Ports, Seawalls, Lighthouses Public/School/Central/Regional Office Buildings Roads and Bridges (National, Provincial, City, Municipal Barangay) Water Supply				
310.	Calamity/Typhoon Damage Reports and Request for Funding	2		2	
311.	Contract Documents for Regular Maintenance				Dispose after 2 years provided post-audited, finally settled and not involved in any case.
312.	Planning Data Input (Planning)	P E:R M A N E N T			
	Source Documents (Regions) Summaries (BOM)				
313.	Project Program and Detailed Estimates	3		3	
	Flood Control and Drainage Health Facilities Ports, Seawalls, Lighthouses Public/School/Central/Regional Office Buildings Water Supply				
314.	Updated Activity List and Standards	2		2	
	Restoration Projects				
315.	Contract Documents and other related records				Dispose after 10 years provided finally settled post-audited and not involved in any case.

6. Item No.	7. RECORDS SERIES TITLE AND DESCRIPTION	8. Retention Period			9. Disposition Authority/Remark
		a. Active	b. Storage	c. Total	
316.	List of Projects Programmed for Restoration (Foreign Assisted Projects)				Dispose after 5 years if implemented.
317.	Programs of Work and Detailed Estimates including Plans and Specifications	3		3	
318.	Price Reimbursement (IBRD)	P E R M A N E N T			
	RESEARCH AND STANDARDS MANAGEMENT				
319.	Certificates of Quality Control Assurance				Dispose 5 years after project completion.
320.	Checklist on Monthly Materials Report				Dispose 5 years after project completion.
321.	Cost Estimates on Core Boring of various Projects				Dispose 5 years after project completion.
322.	Evaluation Reports	P E R M A N E N T			
	Production Development of various construction materials Usefulness of Newly introduced construction materials				
323.	Income Reports				Dispose after 10 years provided post-audited
324.	Material Maps/Sources	P E R M A N E N T			
325.	Physical Inventory of Components	P E R M A N E N T			
	Bagong Lipunan School Building Pre-fab School Buildings				
326.	Plans	P E R M A N E N T			
	Administrative Building Employees' Quarters Fencing of Plants Site Roadway and Drainage Warehouses Wood and Steel Component Building Special Projects				
327.	Price Index of Construction Materials				Dispose of 2 years after superseded.

6. Item No.	7. RECORDS SERIES TITLE AND DESCRIPTION	8. Retention Period			9. Disposition Authority/Remark
		a. Active	b. Storage	c. Total	
328.	Program of Work	3		3	
	Construction of the Vitas Plant School Building Components				
329.	Ratings of trainee-participants in Materials Engineering Quality Control Course	P E:R M A N E N T			
330.	Reports				
	Project Data Project Inspection/Investigation Project Quality Control Research Soils and Materials	P E:R M A N E N T			Dispose 5 years after project completion. Dispose 10 years after execution of work. Dispose 5 years after project completion.
331.	Specifications for various Projects	P E:R M A N E N T			
332.	Standard Specifications for Highways and Bridges	P E:R M A N E N T			
333.	Statement of Tests performed for Charging Laboratory Test and Equipment Rental				Dispose 5 years after project completion.
334.	Statistical Data on Tests Results	P E:R M A N E N T			
335.	Straight Line Diagram of Concrete and Asphalt Pavement				Dispoe 5 years after project completion.
336.	Technical Books, Publications				Transfer to Library.
337.	Technical Reports and Evaluation				Dispose 5 years aftter project completion.
	Core Boring of Concrete ans Asphalt Pavement				
338.	Test Report of Materials Samples from inspected Plants/ Manufacturers/Suppliers	5		5	
339.	Weekly Production Report of Steel Component (Vitas Plant)	5		5	
	PROJECT MANAGEMENT				
	Administrative Services				
340.	Billings - Local and Foreign (Consultants/Contractors)				Dispose after 10 years provided post-audited finally settled and not involved in any case.

6. Item No.	7. RECORDS SERIES TITLE AND DESCRIPTION	8. Retention Period a. Active	b. Storage	c. Total	9. Disposition Authority/Remark
341.	Index Cards for Payments to Contractors				Dispose after 10 years provided post-audited and finally settled.
342.	Requests				
	Funds for Accounts Payables	3		3	
	Notices for Funds Releases		PERMANENT		
	Reallignment of Cash Funds (Standard)	3		3	
343.	Statements of Withdrawal Applications				Dispose after 10 years provided approved by lending institutions and post-audited.
344.	Summary of Payments Contractors				Dispose 3 years after project completion and post-audited.
	Technical Services				
345.	Construction/Cross Section Drawings		PERMANENT		
346.	Design Plans		PERMANENT		
347.	Detailed Unit Price Analysis		PERMANENT		
348.	Equipment		PERMANENT		
	Manual Specifications				
349.	Loan Agreement		PERMANENT		
350.	Performance Bonds of Contractors				Dispose 5 years after termination of contract, project completed, finally settled and post-audited.
351.	PERT/CPM Diagrams		PERMANENT		
352.	Pile Driving and Computations		PERMANENT		
353.	Project Proposals (By Categories)				Dispose 5 years after implementation/ evaluation.
354.	Quantity Calculations/Tender Documents related to Contracts				Dispose 5 years after project completion.

6. Item No.	7. RECORDS SERIES TITLE AND DESCRIPTION	8. Retention Period			9. Disposition Authority/Remark
		a. Active	b. Storage	c. Total	
355.	Reports				
	Field Survey/Investigation Material Sources Physical/Status/Executive Summary	P E R M A N E N T P E R M A N E N T			Dispose 1 year after project completion.
	Inception Interim Mid-Year Monthly Preliminary Quarterly Year-End				
	Pre-Feasibility Study				
356.	Requests/Resolutions for Access Roads, Wells Latrines (Rural Water Supply-RWS)	P E R M A N E N T			
357.	Soils and Materials Test	P E R M A N E N T			
358.	Spare Parts Catalogue				
359.	Specifications	P E R M A N E N T			
	Roads and Bridges Paintings Special (Civil Works) Technical (Vol. III)				
360.	Supplemental Agreement for Construction Supervisions	P E R M A N E N T			
361.	Technical Assistance (Revised Project Proposals)	7		7	
362.	Terms of Reference (Consultancy Services)	P E R M A N E N T			
		P E R M A N E N T			

6. Item No.	7. **RECORDS SERIES TITLE AND DESCRIPTION**	8. Retention Period a. Active	b. Storage	c. Total	9. Disposition Authority/Remark
	TRAFFIC ENGINEERING & ADMINISTRATIVE MANAGEMENT/ TRAFFIC CONTROL CENTER				
	Traffic and Road Inventory Surveys				
363.	Surveys				Dispose 3 years after re-survey.
	Before and After Board and Alighting Bus and PUJ Lane Control and Court Coverage Count Detector's Data Intersection Inventory Lateral Placement Origin and Destination Parking Pedestrian Count Que Lenght Raw Data (Survey Reports)/Trading Movement Count Road Inventory Traffic Accident Data Traffic Violation Travel Time Vehicle				
	Design of Intersections, Roads and Others				
364.	Bus Reorganization Data	P E R M A N E N T			
365.	Consumer Price Index (Supplies and equipment)				Dispose after 1 year, if superseded.
366.	Existing and New Jeepney Routes	P E R M A N E N T			
367.	Flood Level Information	P E R M A N E N T			
368.	Foreign Periodicals				Transfer to Library.

6. Item No.	7. RECORDS SERIES TITLE AND DESCRIPTION	8. Retention Period			9. Disposition Authority/Remark
		a. Active	b. Storage	c. Total	
369.	General Computer Program/Software Manual	P E R M A N E N T			
370.	Hardware Configuration - Traffic Signals	P E R M A N E N T			
371.	Intersection Code Number	P E R M A N E N T			
372.	Inventory of Traffic Signals				Dispose after 2 years, if superseded.
373.	Light Rail Transit System	P E R M A N E N T			
374.	Maintenance of Traffic Signals	P E R M A N E N T			
	Procedural Manual and Warrants				
375.	Major Roads System	P E R M A N E N T			
376.	Manual	P E R M A N E N T			
	Pavement Markings Traffic Signals Lighting Philippine Road Signs				
377.	Standards and Warrants Signals	P E R M A N E N T			
	Bus Stops Lighting Pavement Markings Pedestrian Crossing Facilities Signals				
378.	Summary/Plans	P E R M A N E N T			
379.	Traffic Management Authority	P E R M A N E N T			
380.	Transport Training Program	P E R M A N E N T			
	Technical Proposals and Studies				
381.	Proposals and Studies				Dispose 5 years after implementation.
	Bicycles Lanes JUMSUT LRT Traffic Management Plans MMUTSTRAPP Team Phase II Team Phase III Traffic Proposals for MIA Access Road				

6. Item No.	7. **RECORDS SERIES TITLE AND DESCRIPTION**	8. Retention Period			9. Disposition Authority/Remark
		a. Active	b. Storage	c. Total	
	Traffic Management Schemes Outline of C2 and C4				
	<u>Signal Operation and Maintenance</u>				
382.	Computer Programs	P E R M A N E N T			
383.	Inspection Reports	2		2	
	Daily Road Excavation Signal Operation				
384.	Job Order Tickets	2		2	
385.	Maintenance Schedule Pending maintenance work Signals Damaged by Accidents Signal Maintenance (Old signals) Traffic Control Parameter/Detectors' Data	2		2	
386.	Signal Operations	2		2	
	<u>Miscellaneous</u>				
387.	Intersection Files (every signalized intersection have separate record for maintenance and operation data.	P E R M A N E N T			
388.	Lists	P E R M A N E N T			
	Intersections with New Traffic Signals Persons with Telephone Controller Keys Vehicles Detectors and Source of Power				
389.	Map Display Data File	P E R M A N E N T			
390.	Pedestrian Push Button	P E R M A N E N T			

Prepared by:

Estrella A. Manzano (signature)
ESTRELLA A. MANZANO
Name

Chief, Records Management Division
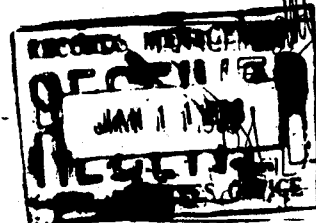Chairman, Sub-Committee *RMIP*
Position

Recommending Approval:

Carolina Z. Manganang (signature) *14/10*
CAROLINA Z. MANGANANG
Chairman
Records Management Improvement Committee

12. Approved:

J. Nery Ferrer (signature) *19 87*
J. NERY FERRER
Secretary

~~XHXMITEXMXXFERREX~~
Agency Head
~~Secretary~~

TO BE ACCOMPLISHED BY THE RECORDS MANAGEMENT AND ARCHIVES OFFICE

This Records Disposition Schedule

☐ is being returned for improvement/correction

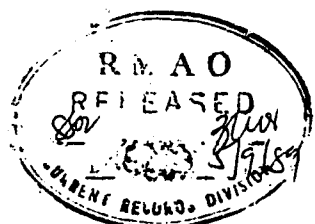☒ is being recommended for approval

Rosalina A. Concepcion (signature)
ROSALINA A. CONCEPCION
Chairman
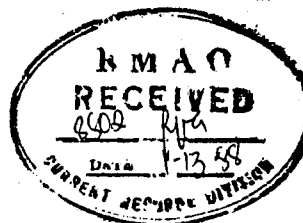Records Management Evaluation Committee

**RECORDS MANAGEMENT
RECEIVED**
5-5-89   *dce*
DATE 08/   INITIAL
AND ARCHIVES OFFICE
APPROVED:

**RECORDS MANAGEMENT
RELEASED**
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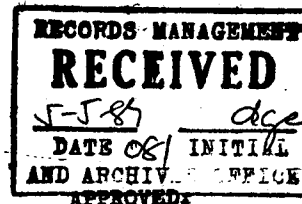
Celis (signature)
EDGARDO J. CELIS
Director

MAY 5, 1989
Date

MAY 5, 1989
Date

(stamp) RMAO RELEASED

(stamp) RMAO RECEIVED

PART 11

AMENDATORY SECTION

11-1   Records Management
        Improvement Committee
        (Reconstituted per
        DMC No. 61 dated
        May 12, 1993)
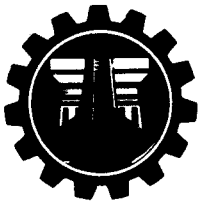
12 May 1993

DEPARTMENT MEMORANDUM)
)
CIRCULAR NO. **61**)
Series of 1993)
x-x-x-x-x-x-x-x-x-x-)

SUBJECT: Amending Department Memorandum
Circular No. 63 dated August 19,
1988, Re: Reconstituting Records
Management Improvement Committee
to Undertake Improvement of Records
Management in the Department.

- -

      In view of the retirement from the government service of
Mrs. CAROLINA Z. MANGAWANG, Assistant Secretary for Administration
and Manpower Management, the Records Management Improvement Committee
is hereby reconstituted to be composed of the following:

Director III, Administrative and Manpower Management Service	-	Chairman
Director III, Comptrollership and Financial Management Service	-	Member
Director III, Legal Service	-	Member
Director III, Planning Service	-	Member
Director III, Internal Audit Service	-	Member
Director III, Monitoring and Information Service	-	Member
Bureau Director Concerned	-	Member
Project Director Concerned	-	Member
COA Auditor/Representative	-	Member
Chief, Records Management Division	-	Secretary

      The Bureau Director or Project Manager concerned shall sit only
with the Committee whenever the records holding of his Office is the
subject of the deliberation and/or evaluation by the Committee.

The Committee shall have the following functions and responsibilities:

1. Plan, formulate and undertake the improvement of records management in the Department proper including but not limited to, the various Bureaus, Project Management Offices, Regional, RES, District/City Offices of the Department;

2. Plan, formulate, coordinate and implement a Records Disposition Program with the end in view of identifying and preserving records having permanent value, e.g., administrative, legal, fiscal, technical or archival value, and disposing through destruction or sale of valueless records;

3. Evaluate and establish the retention period of the Department records (produced or maintained);

4. Formulate a Records Retention and Disposal Schedule and revise any schedule which the Committee may deem fit depending on the rationale for its retention/disposition, as the case maybe, and as circumstances may warrant, subject to the approval of the Secretary; and

5. Submit to the Director of Records Management and Archives Office the established Records Retention and Disposal Schedule for approval.

Whenever necessary, and as need arises, the Committee may seek technical advice and assistance from the Records Management and Archives Office in its tasks of improving records management in the Department.

In the formulation and establishment of a Records Management Improvement Program for the Department, the Committee shall be assisted by Sub-Committee which are hereby, likewise, recreated to be composed of the following:

For the Central Office:

Chief, Records Management Division	– Chairman
Chief, Non-Current Records Section (Inventory, Appraisal and Disposal of Records)	– Member
Chief of Division where records are stored	– Member
COA Representative	– Member

For Regional Offices:

Chief, Administrative Division	– Chairman
Chief, Records Section	– Member
Chief of the Division/Section where records are stored	– Member

The Sub-Committee as created shall have the following functions and responsibilities:

1. Assist the DPWH Records Management Improvement Committee in the following areas of responsibilities:

   a) Plan, formulate and undertake the improvement of a Records Management Program for the Department.

   b) Prepare the action plan preparatory to the Inventory of Records.

   c) Conduct inventory of all records holdings (by records series) in the Central Office, the various Bureaus, PMO's and Regional, RES, District/City Offices.

   d) Up-date the Records Retention and Disposal Schedules, subject to review by the DPWH Records Management Improvement Committee, and the approval of the Secretary and the Director, Records Management and Archives Office.

   e) Submit up-dated Records Retention and Disposal Schedules thru the RMIC, to the Records Management and Archives Office for approval.

2. Implement the Records Retention and Disposal Schedules of their respective Offices as approved by the Records Management and Archives Office.

3. Determine and set file breaks generally during slack periods of filing and servicing at the end of the calendar year.

4. Prepare the request for authority to dispose valueless records of their Offices after a file break for approval by the Director of Records Management and Archives Office.

5. Assist in the conduct of public bidding for award of contract for the disposal of valueless records of their respective Offices following the pertinent provisions of PD 1445, preferably towards the end of the calendar year.

6. Shall have custody of the records holdings of their respective offices and shall be responsible for the safe-keeping of the valueless records until it's disposal is authorized.

7. Remit to the National Fund all proceeds realized from the sale of disposable valueless records.

- 3 -

In the implementation of this Program, DECS Department Order No. 13-A, dated February 3, 1988, as enunciated in DPWH Department Memorandum Circular No. 25, dated 19 April 1988, shall be used as "Guidelines on the Decentralized Disposal of Valueless Records in Government Agencies."

MPWH Memorandum Circular No. 40, series of 1984 and other issuances inconsistent with this Department Order are hereby superseded or amended accordingly.

This order takes effect immediately.

EDMUNDO V. MIR
Acting Secretary

4.lh/EMM/AAJ/ALE/BEM/GSA
/brz