SOUTHERN LEYTE STATE UNIVERSITY
Sogod (Main) Campus

PROCEDURES MANUAL FOR RECORDS MANAGEMENT

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APPROVAL

The Procedures Manual for Records Management adheres to the provisions and standards of the law but tailored to meet the requirements of SLSU offices. The Originator has created this Manual for its specific purpose.

HAZELLE VILLA-ASALDO

Administrative Officer V

Records Management Office

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The information presented in the Manual defines a quality system for records management that substantially complies with the requirements. This Procedures Manual for Records Management was **Reviewed, Approved and Authorized for Implementation** at Southern Leyte State University-Main Campus, Sogod, Southern Leyte.

REVISIONS

Revisions to this Manual are made on a per-page basis as necessary to clarify, refine, or adapt new or changed requirements effecting changes in the records management procedures. Each revised page has a revision number and date in the top header. All manual revisions are recorded in the bottom footer with approval names and dates. The table of contents page of this manual should be updated as well.

Unauthorized amendment of provisions stated herein is prohibited.

ISSUE CONTROL

The following list identifies all parties holding controlled copies of this Manual. Modifications to this Manual will be distributed to the entire list.

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Control Code	Copy Number	Controlled Copy for
P-RM	1	University President
	2	Vice President for Administration and Finance
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INTRODUCTION

The main objective of the Records Management Office is to provide the University with a service that enables staff to establish and maintain a framework of uniform recordkeeping application and practices, effective retention and disposal processes and the efficient process of storing and retrieving records. Services include management of university records, legal agreements, consultancy, training, education and archiving.

SLSU records are the university's memory, and such are vital asset for on-going operations, providing valuable evidence of activities and transactions carried out by the organization. It documents the actions, transactions and serves as a reliable and accurate evidence of the decisions made by the authority. Being a public organization, SLSU receives a substantial proportion of its funding from the National Government. Given this, fulfilment of the principles of accountability and transparency is particularly important.

This Manual demonstrates the fundamental requirements in the management of records in compliance with internal policies, procedures and statutory requirements. Not only will this serve as a definitive source of instructions and guidance on the fundamentals of records and information management but also as a useful tool to staff responsible for the custody and safekeeping of documents and records, with the end view in bringing about efficiency, effectiveness, promptness, accuracy and economy in the delivery of services to its clients, the public, the community and other organizations.

Procedures Manual on Records Management

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Part I

Records Management

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Drafted by: Hazelle V Asaldo
Approved by:
Approval date:
Review Date:

Section I.   **SCOPE**

    1.1   General

        1.1.1. This Manual addresses a range of issues relating to all information recorded in the course of activities.

        1.1.2. Records are defined as all those documents, which facilitate the businesscarried out by the university and which are thereafter retained for a set period to provide evidence of its transactions or activities.

        1.1.3. It establishes a framework for a uniform recordkeeping application and practices within the offices of SLSU.

        1.1.4. In detail, it considers the mechanism and practices governing the management of records from the point of their creation, processing, maintenance, retention, destruction, and preservation.

    1.2   Application

        1.2.1 This Manual is mandated for use by all campus units;

        1.2.2 It is designed and developed for personnel with a duty to create, use and maintain records of the university;

        1.2.3 It applies to all records, in both paper and electronic, created or acquired during business transactions;

        1.2.4 Any office may use the Manual, however, only the office or unit's business records need to be filed into folders using the scheme.

        1.2.5 Outsourcing of services for the maintenance of records is excluded.

Section 2.   NORMATIVE REFERENCES

This Manual is developed in accordance with its obligations under these pieces of legislation that relate to records and information:

2.1   Regulatory References

2.1.1   ISO 9001:2008, "Quality Management Systems-Requirements", International Organization for Standardization (ISO), Nov., 2008.

2.1.2   ISO 15489, "Information and Documentation – Records Management", International Organization for Standardization (ISO), Nov., 2001.

2.1.3   ISO 5127: Information and Documentation – Vocabulary

2.1.4   ISO 14001, Environmental Management Systems – Specification with guidance for use.

2.2 Statutory References

2.2.1   Republic Act No. 9470, National Archives of the Philippines Act of 2007 and its implementing Rules and Regulations

2.2.2   National Heritage Act

2.2.3   Electronic Commerce Act

Section 3.   TERMS, DEFINITIONS AND ABBREVIATIONS

For the purpose of the manual, the following terms and definitions shall apply;

3.1 Terms and Definitions

ACCESS – refers to the granting of permission to: (1) Use the reference service of an archives institution; (2) examine and study individual archives and records or collections held by archives; and (3) extract information from archives records for research or publications.

ACTIVE RECORD - records that are referred to on a frequent basis, i.e., daily, or weekly. Records that are maintained in office files for immediate access, use, and reference.Also considered current records, which are necessary for conducting the business of an office or function.

ACTIVITY – Each function of an organization may be broken down into a number of activities, a term used in the sense of a class of actions that are taken in accomplishing a specific function.

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

BUSINESS FUNCTIONS – those functions of an office/unit that specifically relate to the specific mandate.

FILE CLASSIFICATION SCHEME– refers to a systematic arrangement of subjects according to a plan as an aid in classifying file materials.A list of subject area identification codes intended for use in filing and identifying retentions for SLSU-owned records.

DISPOSITION – refers to a systematic transfer of non-current records from office to storage area, identification and preservation of archival records and the destruction of valueless records.

DOCUMENT – (1) Recorded information regardless of medium or characteristics. The term is frequently used interchangeably with the word record; (2) A single record item (letter, memorandum, form, or report) consisting of one or more pages.

EVIDENTIAL VALUE - The value of those records of an organization that are necessary to provide legal, authentic, and adequate documentation of its structure, functions, operations, and performance.

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FILE – refers to: (1) a folder containing records; (2) a collection of records involving a specific name or topic; (3) a class of records in a separate group or series of file drawers; or (4) the operation involved in arranging records in systematic order.

FILE PLAN – refers to: (1) A logical order of documents or files; (2) An arrangement or scheme by which all documents may be stored, retrieved, and re-filed.

HISTORICAL VALUE - Records that are retained permanently for purposes of enduring value and not necessarily for business purposes.

INACTIVE RECORDS - Records that are no longer required or which are referred to so infrequently in the conduct of current business that they may be removed from the office and either retired or destroyed depending on the approved disposition.

INDEX/INDEXING - (1) A systematic guide that allows access to specific items contained within a larger body of information; (2) The placing or listing of items in an order that follows a particular system.

INVENTORY/RECORDS INVENTORY -A detailed listing that could include the types, locations, dates, volumes, equipment, classification systems, and usage data of an organization's records. The dissecting of each record to capture all pertinent information about the record to be used in its appraisal.

LABEL - A device by which the contents of a file folder, file drawer, guide, or shelf are identified. A shelf label may be identified as a range finder because the full range of records on the shelf is clearly identified.

LEGAL VALUE - Value inherent in records that provide legal proof of business transactions. Also, the value of records in demonstrating compliance with legal, statutory, and regulatory requirements.

LIFE CYCLE/STAGES (RECORD) - The span of time of a record from its creation or receipt, through its useful life to its final disposition or retention as a historical record.

MANUAL – Refers to the Procedures Manual for Records Management

OFFICES – Refers to offices of the campus as reflected in the approved organizational structure. Can be used interchangeably with the word *Units.*

OFFICIAL FILES - An accumulation of official records documenting an action or providing valuable information. The official files include the originals of incoming correspondence and the initialed copies of the outgoing and interoffice correspondence, the original or action copies of reports, completed forms, maps, photographs, and other similar documents.

OFFICIAL RECORD - Significant, vital, or important records of continuing value to be protected, managed, and retained according to established retention schedules. Often, but not necessarily an original.

OPERATIONAL RECORD - A record documenting those activities of an organization that are directed towards the substantive purpose for which the organization was created.

RECORD COPY - The official copy of a record that is retained for legal, operational, or historical purposes, sometimes the original.

RECORD SERIES - A group of related records filed/used together as a unit because they deal with a particular subject, result from the same activity or have a special form.

RECORDS APPRAISAL - The process of evaluating records based on their current operational, regulatory, legal, fiscal, and historical significance, their informational value, arrangement, and their relationship to other records.

RECORDS CENTER - Storage of inactive (usually) records on the premises of the organization that is sufficiently protected to ensure their preservation in the event of a disaster.

RECORDS CUSTODIAN – refers to any agency employee with responsibilities over a particular set of records. Can be also referred to as the Office Clerk.

RESTRICTED ACCESS - A limitation on the access to and use of records. Restrictions may be imposed by law, the organization, or donors of the records to a collection.

RETENTION PERIOD – (1) The period of time that inactive records must be kept after cutoff or break, prior to their destruction; (2) The time period records must be kept according to operational, legal, regulatory, and fiscal requirements.

RETRIEVAL - The process of locating and withdrawing a record from a filing system or records storage facility.

SUBJECT FILING - A plan for the classification and coding of records by subject.

TRANSFER - The movement of records out of filing cabinets and office space into the legal custody of an authorized depository.

TRANSITORY RECORDS - A general term for those types of records that lose their value within a short period of time (approximately 3 months) and minimal or no documentary value. Routine correspondence, documents, or records with short-term value and do not serve as basis for official action.
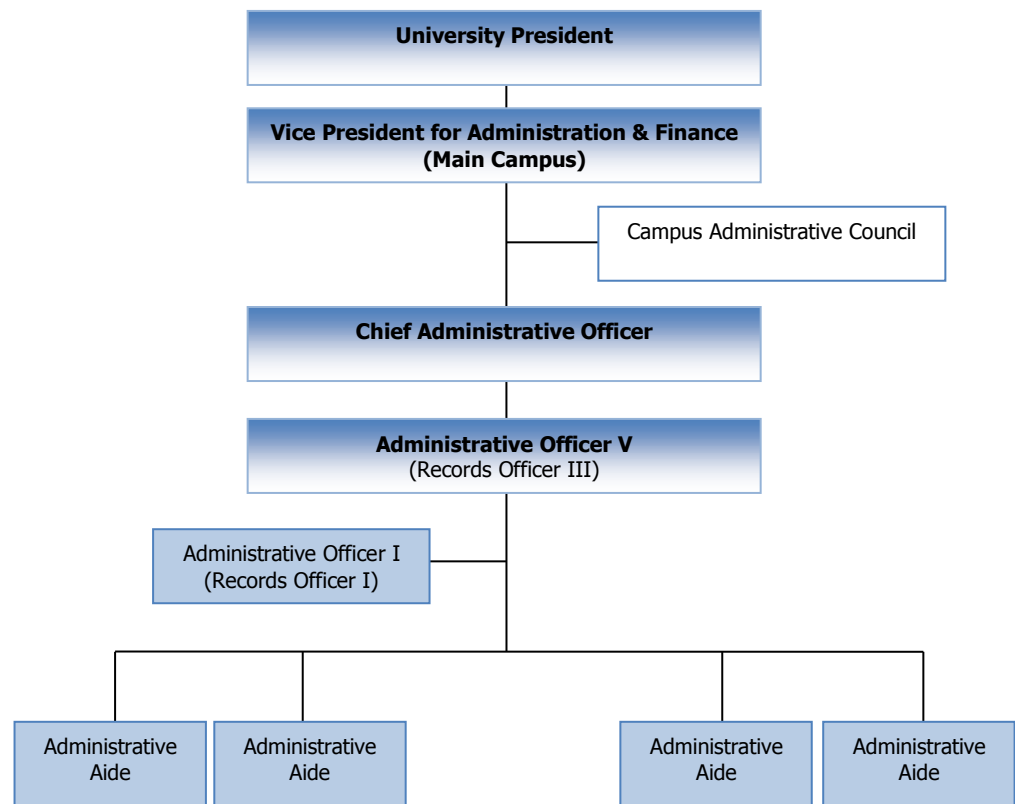
UNIFORM FILE CLASSIFICATION - Classification system used to establish common titles and preserve a set order of records.

3.2 List of Abbreviations

Abbreviation	Title
ADM	Administration & Management
FAM	Facilities Management
FCS	File Classification Scheme
FIN	Financial Management
HRM	Human Resources Management
INF	Information Management
LEG	Legal Services
PRS	Procurement & Supply Management
RMO	Records Management Office
SLSU	Southern Leyte State University
QMS	Quality Management System

3.3 Organization Chart of the Records Management Office

University President

Vice President for Administration & Finance (Main Campus)

Campus Administrative Council

Chief Administrative Officer

Administrative Officer V
(Records Officer III)

Administrative Officer I
(Records Officer I)

Administrative Aide

Administrative Aide

Administrative Aide

Administrative Aide

Section 4.   QUALITY MANAGEMENT SYSTEM

4.1   General Requirements

4.1.1   SLSU has established and documented a Quality Management System in accordance with requirements of ISO 9001:2008. To provide evidence of the effective operation of SLSU QMS, records management shall be established and maintained.

4.1.2   Record Management System is dedicated to the creation and maintenance of authentic, reliable and usable records for as long as they are required toeffectively and efficiently support operations and activities of the university.

4.1.3   The RMO monitors, measures and analyzes relevant process, determines preventive measures, takes corrective actions and ensures continual improvement.

4.1.4   Each office must have in place adequate arrangements for documenting its activities, taking into account the legal and regulatory environment specific to that area of work and the nature of the activities. Those arrangements will include:

a)   Identification of Quality Records
b)   Creation of Records
c)   Maintenance of Records
d)   Inventory of Records
e)   Transfer of Records
f)   Records Retention and Disposition
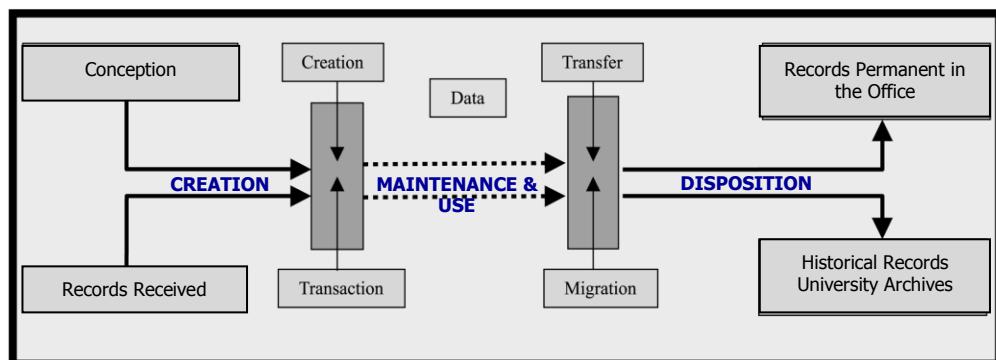g)   Records Preservation

Figure 1. Life Stages of a Record

4.2   Policies and Procedures

The Manual addresses a range of issues relating to records control and the fundamental requirements of managing records.

In detail, it considers the mechanism and practices governing the management of records from the point of their creation, processing, maintenance, retention, destruction, and preservation.

4.2.1 Identification of Quality Records

Records have to be of quality and completeness. SLSU must keep full and accurate recordsto carry out its business functions effectively. Without full and accurate records, university officials cannot conduct their business. The conduct of that business cannot be scrutinized; the financial, legal and other rights of the organization, its clients and any other people affected by its actions and decisions cannot be protected.

Quality Records must be;

a) Comprehensive - a record must be created for every transaction for which evidence is required

b) Accurate - a record should accurately document the transaction that gives rise to it

c) Adequate - a record must be adequate for the purposes for which it is kept (in other words, the record should contain the information necessary to provide evidence of the transaction it documents)

d) Complete and Meaningful - as well as containing sufficient information to document a transaction, a record must include sufficient information about the context in which it was created and used, about its structure or physical form, and about its linkages to other records, to enable its contents to be understood

e) Understandable and Usable - it must be possible to extract from the record the information it contains and is intended to convey; and it should be possible to use the record without loss of information

f) Authentic - it must be possible to prove that the record is what it says it is

4.2.2 Records Creation

All personnel may generate quality records in the course of performing their normal duties. Such records are identified within an appropriate classification scheme.

In the creation of records, these policies apply;
a) Hard copies of quality records must be complete and printed in black ink to help ensure legibility and protect them from unauthorized change.

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b) Individual quality records should not be altered, as a rule. If necessary, changes or corrections to hardcopy records must be made with a single line through the incorrect entry. The change/correction must be written in ink, dated and initialed by the person making the change. Correction fluid or tape should not be used.

c) Electronic records are write-protected and access restricted to enforce change control. The DCO or other personnel authorized by the MRC should control access to electronic records. Electronic records should not be changed. Instead, "corrections" should be initiated by Management. Disposition of old electronic records (removal, reversing, archiving, etc.) should be a matter of university policy.

d) Retention periods determined for all records.

4.2.3 Record Maintenance & Use

The Manual is considered a living document and is subject to revision as necessary to facilitate and improve the operational procedures of the university.

a) All personnel shall ensure that records are maintained in an environment that prevents their damage, deterioration, alteration, or loss.

b) The Records Officer shall control access to hardcopy, electronic, and other records. Vital and permanent records should be backed up periodically in accordance with internal policies, customer, and statutory/regulatory requirements.

c) Provision of appropriate storage accommodation for current and non-current records which allows maximum accessibility to the information commensurate with its frequency of use but which is secure and complies with statutory requirements.

d) Storage areas must be kept clean and tidy with, ideally a single responsible person being identified.

e) Identifying records vital to the continued functioning of the University and applying appropriate protection;

f) The RMO shall be the official receiving and releasing point for incoming and outgoing mail;

4.2.3.1 Mail Operation Activities

a. Opening Mails:

The Clerk is authorized to open official mail addressed to a concerned official except those marked "Private", "Personal", and "Confidential", shall be recorded and immediately forwarded for appropriate action.

b. Registry Sheet/Log Sheets:

For purposes of standardizing the registry of records, regardless of source, all incoming and outgoing mail matters and correspondence shall be received and registered in the form or logbook provided for the purpose indicating such data as;
- Date Received
- Control Number
- Source or Sender
- Subject Matter
- Date Released
- Personnel/Office Assigned
- Action Taken

c. Handling Incoming Communication:

- Mails should be marked/stamped "RECEIVED" and forwarded to the Head of office for further action.

- If the document has to be coursed to more than one unit, route the mail first to the concerned primary action unit.

- Use short and simple office symbols in identifying office units.

- Limit time-stamping to selected types of mails, control only non-routine mail.

- Forward routine mail, without control, to the unit having direct interest in the mail.

d. Handling of Outgoing Communications

It is the responsibility of the clerk to process outgoing communications in accordance with existing policy to include its classification, mode of dispatch and other control processes as maybe needed to its easyretrieval.

- Prepare Outgoing Mail for Dispatch

- Make as many copies of the mail piece as needed.

- Specify the manner of delivering the mail piece;

- Indicate the type of postal service most appropriate for the mail piece;

- Check the completeness of the mail as to file copies, enclosures, signatures;

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

    e. Final Handling and Dispatching of Outgoing Mail

- Sort the mail

- Put mail in the appropriate envelope and indicate addressee details

- Dispatch outgoing mail, by (1) messengerial service, (2) postal service, and should see to it that "Urgent", "Rush", and "Confidential" communications shall be delivered within 24 hours of receipt thereof.

4.2.3.2 Handling Inactive Records:

Records which are not required or are not frequently used in the conduct of current administrative work shall be transferred to the RMO at a given period.

4.2.3.3 Handling Issuances and Directives

General policies and procedures that are released for the purpose of transmitting orders, instructions and information to their staff/people on programs, operations and activities.

Kinds of Issuances
- Presidential
- Administrative

Types of Presidential Issuances
- Executive Order
- Administrative Order

- Proclamation
- Memorandum Circular
- Memorandum Order

Types of Administrative Issuances
- Office Order
- Special Order
- Department Order
- Memorandum Circular

A register of all administrative issuances shall be kept by the university in accordance with a form designed for the purpose. Copies of issuances shall be furnished to all the offices and parties concerned. The original issuance shall be kept, compiled and properly maintained forfuture use, reference andpreservation.

- Register all issuances and directives in the logbook provided for the purpose indicating the type, number, date ofissue, source, title/subject matter.
- Provide a copy for reference and backupfile.
- Prepare title guides by type of issuances and directive in chronological order.
- Compile and maintain a separate file for originals of issuances and directives forfuture use, reference and preservation
- Maintain a separate file for Presidential andother administrative issuances from the Office of the President and other agencies

4.2.3.4   Handling Electronic records

Records created or received electronically must be clearly identified following a pattern of treatment similar to that previously given to paper records. They must be able to be preserved and stored for the required period within the organization. It will be selected using defined selection criteria and can be transferred to other organizations for future preservation, or destroyed once they are no longer of operational use.

4.2.3.5 Issuance of Certified Copy

As a matter of policy, the Records Officer shall issue a certified copy or certify to its authenticity based on original records or official files.

Collection of fees (P1.00/page) shall only apply for the issuance of certified copies whose purpose is personal in nature, such as but not limited to application for job, promotion and loan transactions.

4.2.3 Inventory of Records

Records inventory is used as the source documenting the preparation of the Records Disposition Schedule and Classification and Filing Scheme. Inventory of records is done quarterly using the prescribed form.

4.2.4 Transfer of Records

Inactive or non-current records of offices are transferred to the RMO on January of every calendar year for final disposition management.

The office clerk is responsible for the transfer of inactive records to the RMO, in accordance with the approved Records Disposition Schedule and the General Records Schedule. An inventory list indicating the disposal dates shall accompany all inactive records for transfer to the RMO. The RMO shall be responsible for the processing, maintenance, storage, disposal and preservation of all noncurrent records**.**

- Screen all unnecessary non-record materials and all records authorized for destruction;

- Bundle/box uniformly and label records for transfer to storage by records series;

- Label card (3"x5") must bear the descriptive title of the records series with inclusive dates covered;

- Arrange all bundled records series alphabetically;

- Assign the same number to all bundles belonging to the same records series starting with #1 for each transfer;

- Label, tags or identification cards must be attached firmly to the side of the bundle facing the filer;

4.2.5 Records Retention and Disposition

Valueless records are retained and disposed in accordance with the records disposition schedule common to all government agencies issued by the National Archives of the Philippines.

4.2.5.1 Records Retention

- The University will retain for permanent preservation records which are essential its operations and which document the University's policies, structures and processes. These will include evidence of the following:
  a) Legal status and permits, and any major changes to these.
  b) Principal administrative process of the University.
  c) Top level decision making and policy formation within SLSU.
  d) Important or high profile aspects of the interactions between SLSU and individuals, business, civic institutions and the environment.

- At the end of the retention period, an appraisal process should be undertaken by the Records Officer to decide permanent preservation or further retention period or destruction.

- A schedule should be kept of records created and retained in each section. It should indicate the date of disposal and authorization for final disposition.

4.2.5.2 Records Disposal

- Records should be closed as soon as they have ceased to be of active use other than for reference purposes.
- Non-current records must be transferred in a controlled manner to the RMO rather than stored in offices, in accordance with the retention periods established.
- The following criteria should be observed when recommending destruction:

  a. No record should go into storage without an agreed retention period.

  b. No record should be automatically destroyed; lists of records for destruction need to be approved by the relevant manager.

  c. No record should be destroyed until it is established whether it is the subject of a request for access. If this is the case, destruction must be delayed until disclosure has taken place or, if the University has decided not to disclose the information.

  d. A record of those records destroyed must be maintained and preserved.

e. All records authorized for destruction must be destroyed in as secure and environmental-friendly manner as in necessary for the level of confidentially or security they warrant.

4.2.6 Records Preservation

The Management takes all actions to preserve and prevent the deterioration and damage of permanent/archival records.

4.2.6.1 Records selected for permanent preservation and not in regular use should be clearly marked as such and transferred to a secure storage area.

4.2.6.2 Records not selected for permanent preservation and which have reached the end of their retention period should be appraised by the Records Officer, who will recommend whether they merit a further retention period or are to be destroyed.

4.2.6.3 Correct handling of files will aid in preserving them for as long as they are required:

a. Handle with care
b. Ensure your hands are clean and free from food, grease and hand creams.
c. Use pencil when working near archival records, not marker pens or ink pens.
d. Avoid tearing pages off the file pin.
e. Do not use a wet finger to turn pages.
f. If you need to mark a page in a file use a piece of clean white paper - avoid using 'post-it' notes and remove the paper when finished.
g. Do not use adhesive tape to repair tears. It will discolour and degrade the paper and eventually fall off.
h. Polypropylene, polyethylene or polyester plastic bags are very useful for placing damaged pages back on files and isolating photographs and other materials from other pages on the file.
i. File pins and other metal pins will eventually rust. Use stainless steel pins and paper clips. Placing a piece of archival quality paper between the clip and the document will prevent damage to the paper.
j. If folios are protruding from files then the papers should be carefully re-aligned. Any torn or loose folios can be placed into a polyester sleeve.

4.2.6.4 Storage Equipment

a. Shelves should be made of coated metal. Wooden shelving should be avoided, as it can release harmful vapours, can contribute to the spread of fire and may harbour insects.
b. Shelves should start at least 10 cm off the floor in case of flood.
c. Paper records should not be stored on the top of shelving units as they will be too close to ceiling lights and there is also the possibility of water damage from fire sprinklers.
d. Aisles between shelving should allow easy access to, and removal of, the records.
e. Suitably sized tables should be located next to the storage cabinets, so that staff can comfortably and safely check the contents of boxes and drawers and retrieve individual items.
f. Storage drawers should be clearly labelled with their contents so that items may be retrieved with a minimum of handling. To prevent damage to the items when the drawers are opened and closed, they should:

- operate smoothly
- have stops to prevent them from being pulled completely out when they are opened
- have a lip at the front to prevent items from falling onto the floor and one at the back to prevent them from falling behind the drawers
- never be overfilled

Procedures Manual on Records Management

Part II

File Classification Scheme for Administrative Functions Common to all SLSU-MC Offices

File Classification Scheme for Administrative Functions Common to all SLSU-MC Offices

Content: Section 1:   Scope and rationale
              Section 2:   Purpose
              Section 3:   Policies & Procedures

Annex   A: File Classification Scheme for Administrative Functions

Section 1   **SCOPE**

1. The FCS is to be used by any office within the SLSU-Main Campus;
2. The FCS is designed for use in both paper and electronic management system;
3. The FCS can be adjusted to meet specific needs of an office.
4. Only a unit's business records need to be filed into folders using the FCS.

Section 2   **PURPOSE**

1. The File Classification Scheme for the Administrative Functions Common to all SLSU-MC Offices has been developed by RMO to provide a detailed framework for the management of administrative records.
2. The FCS facilitates the standardization of arrangement and titling of file folders that are commonly found in all offices within the Main Campus;
3. The FCS has been designed to support the use of an approved retention policy thereby facilitating the timely transfer, destruction and archiving of administrative records;

Section 3   **POLICIES & PROCEDURES**

The File Classification Scheme follows the principle that information is classified from general to specific. As one moves down the hierarchy, each level become more definitive and specific. This hierarchical structure creates a quick and easy way to access and retrieve information.

3.1   Structure of the FCS

The FCS is a hierarchical filing system comprised of two or three levels. The first and second levels have been defined. The first level cannot be changed; however, offices may need to adjust the second and third levels as needed.

3.2   First Level: Functions

The FCS is divided into seven (7) sections. These sections classify and describe a function at its broadest level and each section begins with a three letter alphabetical designator, which collectively represent the first level of business functions.

Abbreviation	Title
ADM	Administration & Management
FAM	Facilities Management
FIN	Financial Management
HRM	Human Resources Management
INF	Information Management
LEG	Legal Services
PRS	Procurement & Supply Management

Business Functions:

Administration & Management
All functions relating to the determination of organizational goals and objectives and organizational management such as strategic planning, organizing, and controlling the performance of the organization and institutional transformation.

Facilities Management
All functions relating to planning, designing, and managing buildings, their mechanical and electrical installations and air-conditioning plants, equipment and furniture, grounds, postal and telecommunication services.

Financial Management
All functions relating to raising, allocating, using, and accounting for the financial resources of the organization.

Human Resources Management
All functions relating to human resource management planning, promotion, training, skills development.

Information Management
All functions relating to the provision and management of information resources of the organizations

Legal Services
All functions relating to the provision of legal advice, litigation and contract management.

Procurement & Supply Management
All functions relating to the acquisition, maintenance and management of consumable assets.

3.3   Second Level: Activities

The FCS follows the principle that information is classified from general to specific. As one moves down the hierarchy, each level become more

definitive and specific. This hierarchical structure creates a quick and easy way to access and retrieve information.

The second level categories are numbered, which correspond to business activities. The first six categories (-01 to -06) are standard categories, which are to be used for records that cover the function as a whole. They are:

Number	Title	Usage
-01	Planning, Strategy	Minutes for regularly scheduled meetings; unit and individual work plans
-02	Policy, Procedure	Policies, SOPs, guidelines, minutes of policy meetings
-03	Coordination, Partnership	External Affairs, meetings with partners, MOA with partner agencies
-04	Monitoring, Reporting	Performance Evaluation, DTR, Assessment of personnel
-05	Best Practice	Action reviews, national and international standards
-06	Reference	Publications, reference information

However, if the record of a particular office/unit does not logically fall under the standard category, additional folder number/category may be added.

3.4   Third Level: Sub-activities

Other administrative offices may choose to sub-divide their activities for record keeping purpose.

Example:

Level	Structure	Example
1	Function	Human Resources Management
2	Activities	Staffing and Recruitment
3	Sub-Activities	Personal Data Sheet

3.5   File/Folder Numbers and Titles:

Each file folder opened by an office should be assigned and labelled with a unique number which identifies it. By combining the appropriate FCS code (e.g. HRM-01) with a chronologically assigned number for a specific folder.

File folder number: HRM-01-001
File folder title: HRM-Attendance Sheet

Each folder is labelled (front part) in the following manner for easy identification. This information can be adjusted by the office as needed.

HRM-ATTENDANCE SHEET	**Folder Title**
1/2015 to 12/2015	**Folder Date Range**
Monitoring of Employees	**Folder Description**
2 year	**Retention Period**
1/2018	**Disposition Schedule**
Name of Record Creator	**Folder Custodian**

The file folder number is unique within the unit's record-keeping system. A work unit need not create a file folder under each FCS number; file folders are created only when needed.

Folders are organized in the cabinets according to the file folder number.

Section 5.   **MANAGEMENT RESPONSIBILITY**

5.1   Management Commitment

The Management ensures that university records are maintained, protected and properly disposed, the recordkeeping procedures set in this manual are in accordance with the systems set out by International Standard for Records Management (ISO 15489) and the National Archives of the Philippines Act of 2007.

5.2   Quality Policy

SLSU records are its organization's memory, such are vital asset for on-going operations, providing valuable evidence of activities and transactions. SLSU recognizes its regulatory requirements as a Public Higher Education Institution and committed to the principles and practices set out in the International Standard for Records Management (ISO 15489).

SLSU is committed to implementing best recordkeeping practices and systems toensure the creation, maintenance, disposition and protection of accurate andreliable records. All practices concerning recordkeeping within SLSU are to be inaccordance with this policy and its supporting procedures.

5.4 Responsibility, Authority and Communication

    5.4.1   University President – Final Approval

    5.4.2   Vice President for Administration and Finance &

    5.4.3   Campus Administrative Council - Reviews and recommends the internal records management processes and procedures for an efficient and cost effective administrative operations.

    5.4.4   Records Officer– Directs the overall operation Records Classification System and its implementing processes and procedures. Manages activities involved with respect to the records creation, maintenance and use, transmission, retention and records disposition in order to achieve adequate and proper documentation of policies and transactions in the office.

    5.4.5   Administrative Aides – provides administrative support in the proper management of records created or acquired by the office. Understands and applies the requirements and procedures presented in the classification scheme.

    5.4.6   IT System Developer – assists in the design, development and implementation of database of records or electronic file system.

5.5   Management Representative

    The top management assigns the Records Officer to directly monitor the implementation of the policies and procedures.

5.6   Management Review

    To assure quality record management processes, policies stated herein are reviewed annually and revised if needed. The review will be conducted by an Internal Audit Committee.

Annex A

File Classification Scheme for Administrative Functions						
FUNCTIONS (Level 1)	ABBR	No	ACTIVITIES (Level 2)	No	SUB-ACTIVITIES	SCOPE NOTES
Administration & Management	ADM					**All functions relating to the determination of organizational goals and objectives and organizational management such as strategic planning, organizing, and controlling the performance of the organization and institutional transformation.**
		01	Planning, Strategy			File here: Strategic Plans, Action Plans, Operational Plans
		02	Policy, Procedure			File here: Administrative policies, guidelines, SOPs, general policies and guidelines, procedure manual, issuances, memorandum order, office order
		03	Coordination, Partnership			File here: organization records, correspondences
		04	Monitoring, Reporting			File here: Annual Report, Quarterly Report, Resolutions, mandates, briefing, consultations, accomplishment Report, Performance Evaluation, DTR, Assessment of personnel
Facilities Management	FAM					**All functions relating to planning, designing, and managing buildings, their mechanical and electrical installations and air-conditioning plants, equipment and furniture, grounds, postal and telecommunication services.**
		01	Planning, Strategy			
		02	Policy, Procedure			File here: operating procedures, instructional manuals, methods, procedures, policies
		03	Coordination, Partnership			File here: organization records, correspondences
		04	Monitoring, Reporting			File here: Reports
		07	Engineering Management			File here: Road maps, landscape and construction records
		08	Facilities Development			File here: records relating to the activities involved in undertaking construction, renovation and refurbishment of premises
		09	Facilities Management			File here: records relating to security operations, physical facilities
		10	Facilities Maintenance			File here: records relating to premises inspections, cleaning services, pest control & extermination, waste management, etc.
		11	Facilities Service Provision			File here: requests by staff for routine facilities matters, such as creation of signage, affixing of wall hangings, etc.
Financial Management	FIN					**All functions relating to raising, allocating, using, and accounting for the financial resources of the organization.**
		01	Planning, Strategy			
		02	Policy, Procedure			File here: annual budget, budget issuances,
		03	Coordination, Partnership			File here: organization records, correspondences
		04	Monitoring, Reporting			File here: Financial Monitoring Records, Financial Statements, Cash Flows, Statements of Operation, Daily Cash reports, Liquidations, Income Statements, Overdrafts, Replenishments
		07	Accounting	01		

					Accounts payable	File here: Records used to justify payment of salary, allowances, honoraria
				02	Accounts receivable	File here: supporting documentation for settled and non-settled cases
				03	Billing	File here: Bills, billing payments
				04	Books of Final Entry	File here: General Ledgers, Subsidiary ledgers
				05	Books of Original Entry	File here: Cash Disbursement Journals, Cash Journals, Cash Receipts Journals, Check Disbursement Journals, General Journals, Journal of Analysis of Obligation, Journal of Bill Rendered, Journal of Check Issued, Journal of Collection and Deposit, Journal of Disbursement
		08	Budget	01	Regular Budget	File here: Allotment Files
				02	Budget Expenditures	File here: Programs, Finance Source, Expenditures
		09	Claims			File here: claims case file folder, insurance, employees' benefits, Remittances,
		10	Disbursement			File here: Disbursement vouchers and supporting records such as travel orders, purchase requests and purchase orders: payroll vouchers, cash advances & check registers.
		11	Journal Vouchers			File here: Journal vouchers and supporting records
Human Resources Management	HRM					**All functions relating to human resource management planning, promotion, training, skills development.**
		01	Planning, Strategy			File here: HR resources plan, Merit Promotions Plan,
		02	Policy, Procedure			File here: HR policies and guidelines, Staffing Patterns
		03	Coordination, Partnership			File here: Collective Negotiation Agreement File, correspondences
		04	Monitoring, Reporting			File here: DTR, Personnel folders, Service Cards
		05	Appraisal			File here: Performance Rating, Rating cards, individual and group work plans, records relating to awards
		06	Certification			File here: Certificates of Appearance/Employment/Service/Residency/Medical
		07	Directives			File here: records relating to issuances, administrative orders, executive orders
		08	Discipline			File here: records relating to suspension, disciplinary actions
		09	Recruitment			File here: Curriculum Vitae, Personal Data Sheet, Interview Records, job descriptions, comparative evaluation report
		10	Professional Development			File here: records relating to training course, course evaluation and assessment, needs assessment records, skills development, advancement
		11	Promotion			File here:
		12	Termination			File here: records relating separation, retirement, resignation, dismissal
Information Management	INF					**All functions relating to the provision and**

						management of information resources of the organizations
		01	Planning, Strategy			File here: Information Management Plan
		02	Policy, Procedure			File here: Memorandum Circulars
		03	Coordination, Partnership			File here: correspondences
		04	Monitoring, Reporting			File here: Inventory reports, monthly/annual reports
		05	Document Management			File here: records relating to collaboration, workflow, document scanning, business process analysis
		06	Records Management			File here: records relating to information security & disaster recovery, file classification scheme, records retention schedules, records transfer
		07	Archives Management			File here: records relating to archival storage and preservation
Legal Services	LEG					**All functions relating to the provision of legal advice, litigation and contract management.**
		01	Planning, Strategy			
		02	Policy, Procedure			
		03	Coordination, Partnership			
		04	Monitoring, Reporting			
		05	Reference			File here: Applicable laws
		06	Agreements & Understanding			File here: MOA, MOU, Deeds, Contracts
		07	Litigation			File here: Case folders, sanctions, resolutions
Procurement & Supply Management						**All functions relating to the acquisition, maintenance and management of consumable assets.**
		01	Planning, Strategy			File here: Procurement plans
		02	Policy, Procedure			File here: Guidelines, circulars on procurement
		03	Coordination, Partnership			
		04	Monitoring, Reporting			File here: accomplishment report, monthly reports of supplies & materials issued, inventory cards
		05	Contract Management			File here: Record copies of contracts, leases, institutional agreements
		06	Purchases of goods and supplies	01	Files for the acquisition of goods & supplies P1.00 – 25,000.00	File here: Records relating to requisitions and purchases including bids, proposals, quotations, payment records
				02	Files for the acquisition of goods & supplies P25,001.00 – 50,000.00	File here: Records relating to requisitions and purchases including bids, proposals, quotations, payment records
				03	Files for the acquisition of goods & supplies P50,001.00 – 100,000.00	File here: Records relating to requisitions and purchases including bids, proposals, quotations, payment records
				04	Files for the acquisition of	File here: Records relating to requisitions and purchases including bids, proposals, quotations,

				goods & supplies Above P100,001.00	payment records