



# Bureau of Corrections

Document Reference Code

**BUC-STO-PR-013**

Revision No.

0

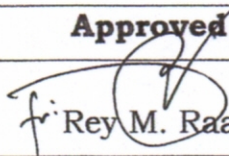
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01/05/2018

**RECORDS MANAGEMENT**

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## REVISION AND APPROVAL

Rev.	Date	Nature of Changes	Approved By
1		Original Issue	 fr. Rey M. Raagas <i>RLH</i>

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## 1. PURPOSE


To define the controls needed to ensure Records and Documents are readily identifiable, easily retrievable, accessible when needed, provided with adequate and suitable storage, protected from physical deterioration, loss or damage, secured from tampering and/or unauthorized access. Further, this also aims to provide a documented system to ensure that only appropriate versions of documents needed for effective planning, operation and control are available at points of use.

## 2. SCOPE


This covers BuCor's procedure and work instructions in Records Managements.

## 3. DEFINITION OF TERMS AND ACRONYMS

Active Records	<ul style="list-style-type: none"> <li>Records that are currently being maintains, used and controlled. These records normally kept in desk/workstation drawers or nearby filing cabinets, shelves or racks for easy access and retrieval.</li> </ul>
Directives/Issuances	<ul style="list-style-type: none"> <li>Policies, procedures, rules, regulations, orders, instructions and information issued on programs, operations and activities e.g. Special Order, Memorandum, etc.</li> </ul>
Disposal	<ul style="list-style-type: none"> <li>Refers to the act of selling, landfill, or any other way of discarding valueless records in accordance with the provisions of R.A. 9470.</li> </ul>
External Correspondence	<ul style="list-style-type: none"> <li>Refers to documents dispatch outside BuCor</li> </ul>
File	<ul style="list-style-type: none"> <li>A cabinet with records in it; a folder containing records; a collection of papers involving a specific name or topic; a class of records in a separate group or series of filing drawers.</li> </ul>
Inactive Records	<ul style="list-style-type: none"> <li>Records that are very rarely or no longer referred to. These records have already served their purpose but must be kept just the same for legal requirements or some compelling reasons.</li> </ul>

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Filing System	<ul style="list-style-type: none"> <li>A plan for identifying, arranging and finding records. Filing systems may be alphabetical, numerical, chronological, or functional subject-alphabetic classification system.</li> </ul>
Internal Correspondence	<ul style="list-style-type: none"> <li>Refers to documents dispatch within BuCor.</li> </ul>
Inventory of Records	<ul style="list-style-type: none"> <li>Refers to a descriptive listing of the records holding by records series indicating its specific location, inclusive date and volume in cubic meter; conduct of related activities to locate, identify, describe, count and measure all records in the office and storage areas including all loose and bound papers, microforms, optical disks, and magnetic tapes and disks.</li> </ul>
NAP	<ul style="list-style-type: none"> <li>Refers to the National Archives of the Philippines</li> </ul>
Non-Current Records	<ul style="list-style-type: none"> <li>Records that are not required or not frequently used in the conduct of administrative work.</li> </ul>
Record	<ul style="list-style-type: none"> <li>A document stating results achieved or providing evidence of activities;</li> <li>Records can be used document traceability and to provide evidence of verification, preventive action, and corrective action. Generally, records need not be under revision control (Control of Document procedure);</li> <li>Refers to recorded information produced or received in the initiation, conduct or completion of an institutional or individual activity and that comprises content, context and structure sufficient to provide evidence of the activity.</li> </ul>
Records Appraisal	<ul style="list-style-type: none"> <li>The process by which records are carefully and systematically studied and analyzed for the purpose of establishing appropriate values which will be vital factors in the final disposition; It is a detailed examination of records to determine their administrative, legal, fiscal and historical or research value.</li> </ul>

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Records Management	<ul style="list-style-type: none"> <li>Refers to the managerial activities involved with respect to records creation, records maintenance and use, transmission, retention, and records disposition in order to achieve adequate and proper documentation of policies and transactions of government for its efficient, effective and economical operation;</li> </ul>
RMIC	<ul style="list-style-type: none"> <li>Records Management Improvement Committee.</li> <li>RMIC Legal Basis – Article III of the National Archives of the Philippines</li> </ul>
Records Series	<ul style="list-style-type: none"> <li>Refers to a group of related records arranged under a single unit, label or kept together as a unit because the records deal with a particular subject, result from the same activity or have a related special form.</li> </ul>
Retention Period	<ul style="list-style-type: none"> <li>Refers to the specific period of time established and approved by the National Archives of the Philippines as the life span of records, after which they are deemed ready for permanent storage or destruction; Period of time when records must be kept, usually stated in terms of number of months or years, but sometimes expressed as contingent upon the occurrence of an event such as employee termination, closure, project completion, etc..</li> </ul>

#### 4. RESPONSIBILITIES

QMR	<ul style="list-style-type: none"> <li>Reviews and approves the records retention schedule for records pertaining to mandatory procedures on control of documents, control of records, internal audit, corrective action and preventive action.</li> </ul>
Document Controller	<ul style="list-style-type: none"> <li>Ensures that the controls provided in this procedure effectively implemented throughout the Agency.</li> <li>Maintains the Central Records Retention Schedule.</li> </ul>
Records Officer	<ul style="list-style-type: none"> <li>Refers to the employee responsible for overseeing the records management program</li> </ul>

	and providing guidance on adequate and proper recordkeeping.
Filing Clerk	<ul style="list-style-type: none"> <li>File the records to its assigned filing cabinets for safekeeping</li> </ul>
Liaison Officer/Dispatching Officer	<ul style="list-style-type: none"> <li>Responsible in the messenger services; dispatches documents transmitted for internal and external communications/documents.</li> </ul>
Encoder	<ul style="list-style-type: none"> <li>Type inputs thru the computer.</li> </ul>

## 5. PROCEDURE DETAILS

### 5.1. Receiving of Documents

Activity	Person Responsible	Details/Functions	References
<p style="text-align: center;"><b>START</b></p> <p style="text-align: center;">↓</p> <p style="text-align: center;">Check the completeness of documents</p> <p style="text-align: center;">↓</p> <p style="text-align: center;">Receive documents</p> <p style="text-align: center;">↓</p> <p style="text-align: center;">Stamp date, time and name of the</p> <p style="text-align: center;">↓</p> <p style="text-align: center;">Sort/Classify</p> <p style="text-align: center;">↓</p> <p style="text-align: center;">Route to the Concerned Units</p> <p style="text-align: center;">↓</p> <p style="text-align: center;">Record in the Designated Logbook</p> <p style="text-align: center;">↓</p> <p style="text-align: center;"><b>END</b></p>	<ul style="list-style-type: none"> <li>Receiving Officer</li> <li>Clerk</li> </ul>	<ul style="list-style-type: none"> <li>Check the completeness of the documents, i.e. enclosures, signatures, etc.</li> <li>Receive the documents from the Source and/or Originating Office</li> <li>Stamp date, time, name and signature of the Receiving Officer</li> <li>Sort/classify the types of documents e.g. letters, issuances, whether for internal, external offices, etc.</li> <li>Record the details of the documents in the designated Logbooks</li> <li>Route to the concerned Units or Action Officer</li> </ul>	<ul style="list-style-type: none"> <li>Documents Received</li> <li>Entry Logbook</li> </ul>



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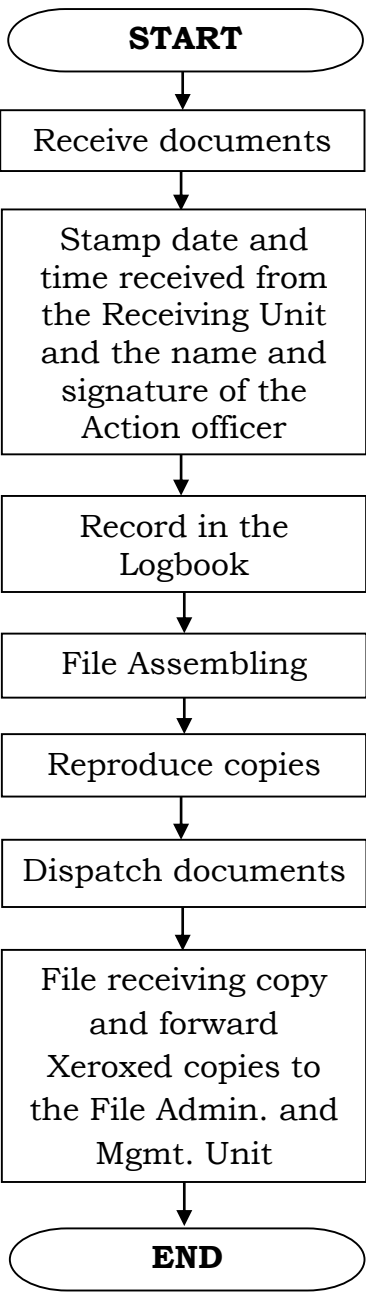
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### 5.2. Dispatching of Documents

#### 5.2.1 Administrative Issuances (Internal Offices)

Activity	Person Responsible	Details/Functions	References
<p style="text-align: center;"><b>START</b></p> <p style="text-align: center;">↓</p> <p style="text-align: center;">Receive documents</p> <p style="text-align: center;">↓</p> <p style="text-align: center;">Stamp date and time received from the Receiving Unit and the name and signature of the Action officer</p> <p style="text-align: center;">↓</p> <p style="text-align: center;">Record in the Logbook</p> <p style="text-align: center;">↓</p> <p style="text-align: center;">File Assembling</p> <p style="text-align: center;">↓</p> <p style="text-align: center;">Reproduce copies and prepares receiving copy</p> <p style="text-align: center;">↓</p> <p style="text-align: center;">Dispatch administrative issuances</p> <p style="text-align: center;">↓</p> <p style="text-align: center;">File receiving copy and forward original copies to the File Admin. and Mgmt. Unit</p> <p style="text-align: center;">↓</p> <p style="text-align: center;"><b>END</b></p>	<ul style="list-style-type: none"> <li>• Action/ Dispatching Officer</li> <li>• Liaison Officer</li> <li>• Clerk</li> </ul>	<ul style="list-style-type: none"> <li>• Receive the documents from the Receiving Unit</li> <li>• Stamp date and time received from the Receiving Unit and the name and signature of Action Officer</li> <li>• Record in the Outgoing Logbook the details in the documents</li> <li>• Assembling and strip file materials</li> <li>• Reproduce copies as required and/or needed and prepares receiving copy</li> <li>• Dispatch documents to the concerned</li> <li>• File receiving copy</li> <li>• Forward the original copies to the File Administration and Management Unit</li> </ul>	<ul style="list-style-type: none"> <li>• Documents Received</li> <li>• Outgoing Logbook</li> </ul>

### 5.2.2 External Correspondence Dispatched Through Liaison Officer (Department of Justice (DOJ), Supreme Court (SC), Court of Appeals (CA), etc.)

Activity	Person Responsible	Details/Functions	References
 <pre> graph TD     START([START]) --&gt; R1[Receive documents]     R1 --&gt; R2[Stamp date and time received from the Receiving Unit and the name and signature of the Action officer]     R2 --&gt; R3[Record in the Logbook]     R3 --&gt; R4[File Assembling]     R4 --&gt; R5[Reproduce copies]     R5 --&gt; R6[Dispatch documents]     R6 --&gt; R7[File receiving copy and forward Xeroxed copies to the File Admin. and Mgmt. Unit]     R7 --&gt; END([END])           </pre>	<ul style="list-style-type: none"> <li>• Action/ Dispatching Officer</li> <li>• Liaison Officer</li> <li>• Clerk</li> </ul>	<ul style="list-style-type: none"> <li>• Receive the documents from the Receiving Unit</li> <li>• Stamp date and time received from the Receiving Unit and the name and signature of Action Officer</li> <li>• Record in the Outgoing Logbook the details in the documents</li> <li>• Assembling and strip file materials</li> <li>• Reproduce copies as required and/or needed</li> <li>• Dispatch documents to the DOJ, SC, CA, etc. and retain file copies</li> <li>• Forward Xeroxed copies to the File Administration and Management Unit</li> </ul>	<ul style="list-style-type: none"> <li>• Documents Received</li> <li>• Outgoing Logbook</li> </ul>



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### 5.2.3 External Correspondence Dispatched Through Mailing

Activity	Person Responsible	Details/Functions	References
<pre> graph TD     START([START]) --&gt; R1[Receive documents]     R1 --&gt; R2[Stamp date and time received from the Receiving Unit and the name and signature of the Action officer]     R2 --&gt; R3[Record in the Logbook]     R3 --&gt; R4[File Assembling]     R4 --&gt; R5[Reproduce copies]     R5 --&gt; R6[Prepare mailing envelopes]     R6 --&gt; R7[Dispatch Documents]     R7 --&gt; R8[Forward Xeroxed copies to the File Admin. and Mgmt.]     R8 --&gt; END([END])           </pre>	<ul style="list-style-type: none"> <li>Action/ Dispatching Officer</li> <li>Clerk</li> </ul>	<ul style="list-style-type: none"> <li>Receive the documents from the Receiving Unit</li> <li>Stamp date and time received from the Receiving Unit and the name and signature of Action Officer</li> <li>Record in the Outgoing Logbook the details in the documents</li> <li>Assembling and strip file materials</li> <li>Reproduce copies as required and /or needed</li> <li>Prepare mailing Envelopes</li> <li>Dispatch documents to the Post Office and/or courier services</li> <li>Forward Xerox copies to the File Administration and Management Unit</li> </ul>	<ul style="list-style-type: none"> <li>Documents Received</li> <li>Outgoing Logbook</li> </ul>





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### 5.3 File Administration and Management of Records

Activity	Person Responsible	Details/Functions	References
<pre> graph TD     START([START]) --&gt; R1[Receive documents]     R1 --&gt; R2[Sort and classify documents according to records series]     R2 --&gt; R3[Scan the documents]     R3 --&gt; R4[Encode and assign file names or folders]     R4 --&gt; R5[Assembling and strip file materials]     R5 --&gt; R6[File copies in the designated folders]     R6 --&gt; R7[File folders in the designated filing cabinets and storage area]     R7 --&gt; END([END])           </pre>	<ul style="list-style-type: none"> <li>• Computer Encoder</li> <li>• Clerk</li> <li>• Filer</li> <li>• Records Custodian</li> </ul>	<ul style="list-style-type: none"> <li>• Receive the document from the Dispatching Unit</li> <li>• Sort and classify records according to records series</li> <li>• Scan the documents</li> <li>• Encode in the computer and assign file names or folders to the scanned documents according to records series classified</li> <li>• Assembling and strip file materials</li> <li>• File copies in the designated folders</li> <li>• File folders in the designated filing cabinets and storage area</li> </ul>	<ul style="list-style-type: none"> <li>• Documents Received</li> </ul>



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### 5.4 Storage, Retention and Disposal of Records

Activity	Person Responsible	Details/Functions	References
<pre> graph TD     START([START]) --&gt; I[Inventory of records]     I --&gt; A[Appraisal of records]     A --&gt; IDP[Identify retention period]     IDP --&gt; SSA[Separate and store in the mezzanine area]     SSA --&gt; F[Filed in the boxes, sacks, etc. with proper label]     F --&gt; NAP[Accomplish the NAP form for disposal of records and submit through RMIC for recommendation to DG for approval]     NAP --&gt; SNA[Submit to NAP for approval of the BuCor RDS]     SNA --&gt; DR[Disposal of records]     DR --&gt; END([END])           </pre>	<ul style="list-style-type: none"> <li>• Computer Encoder</li> </ul>	<ul style="list-style-type: none"> <li>• Conduct inventory of records in the storage area</li> <li>• Appraise records to determine its retention period in accordance with the BuCor RDS as approved by the NAP</li> <li>• Records that have been appraised and identify its retention period shall be separated and store in the mezzanine area for final sorting and evaluation</li> <li>• Filed the same in boxes, sacks and labelled it properly i.e. records series name and period covered indicated</li> <li>• Request the RMIC to convene for approval of the inventory and its subsequent referral to the NAP for approval</li> <li>• Disposal or records</li> </ul>	<ul style="list-style-type: none"> <li>•</li> </ul>

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## 6. GUIDELINES

### 6.1 Receiving of Documents

- 6.1.1 Use of Entry Logbooks
- 6.1.2 All types of correspondence in order (i.e. completeness e.g. enclosures, signatures etc.) shall be received. If not in order, documents shall be returned to the Source or Originating Office.
- 6.1.3 All correspondence shall be recorded in the logbook i.e. the date and time of receipt, details/subject matter/particulars, name of the Action/Dispatching Officer (responsible person who will act on it).
- 6.1.4 All correspondence classified for internal and external offices and shall be received by the Records Section during working days, Monday to Friday from 8:00 o'clock (0800H) in the morning to 5:00 o'clock (1700H) in the afternoon.
- 6.1.5 All correspondence marked with RUSH, URGENT, PRIORITY, and other related/special request shall be accompanied by a routing slip, instruction, memorandum signed by the Division Chief/Concerned Officer with the following details: Complete Name and Address of the Recipient, Mode/Manner of Dispatch e.g. by hand/personal delivery, messenger, courier, register, mail, etc.
- 6.1.6 All sealed communication shall be marked with CONFIDENTIAL, STRICTLY CONFIDENTIAL, SECRET, SEALED ENVELOPED for proper disposition.

### 6.2 Dispatching of Documents

- 6.2.1 Use of Logbooks.
- 6.2.2 All correspondence shall be recorded in the designated Logbook with following the details i.e. type of communication, number series (if applicable), date issued/prepared, source/originating office, subject matter/particulars, name and signature of recipient as a proof of receipt, date and time received by the receiver,


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amount and number of postage stamp used (for mail piece).

- 6.2.3 Mail piece shall be assigned a code number i.e. page number of logbook, series of number of documents received and year e.g. 001-002-2017.
- 6.2.4 All mail piece shall be put in the appropriate envelope with the addressee details, ZIP code, stamps needed and affix assigned code number.
- 6.2.5 Registry receipt and returned card shall be filed.
- 6.2.6 Ensures that all communications are promptly dispatched.
- 6.2.7 All documents marked with RUSH, URGENT, PRIORITY, and other related/special request shall be dispatched without delay.
- 6.2.8 All sealed communication marked with CONFIDENTIAL, STRICTLY CONFIDENTIAL, SECRET, SEALED ENVELOPE shall be safely and securely dispatched to the addressee.
- 6.2.9 In all cases, receipt of document by the concerned office/party shall be acknowledged and reflected in the Receiving Copy and or designated logbook indicating the actual date and time received, name and signature of the receiver.
- 6.2.10 The receiving copy shall be filed.


### **6.3 File Administration and Management of Records**

- 6.3.1 BuCor maintains records that are needed to provide evidence of conformity to requirements and of the effective operation of the quality management system.
- 6.3.2 The correspondence shall be scanned and converted to PDF format.
- 6.3.3 Original and Xeroxed copies shall be filed.
- 6.3.4 All records shall be kept in the filing cabinets, racks, sacks, boxes with proper label.
- 6.3.5 Softcopy of records are stored in the computers; in all cases, computer files are subject to backup.
- 6.3.6 Digitally converted files shall be stored by folders.

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## 6.4 Appraisal, Retention and Disposal of Records

- 6.4.1 An inventory of records shall be conducted at least once a year and/or on date as approved by the RMIC.
- 6.4.2 Records shall be classified and determined the retention period in conformity with the BuCor Records Disposition Schedule (RDS) and General Disposition Schedule (GRDS) under R.A. 9470.
- 6.4.3 Records that reached the retention period as indicated in the BuCor RDS shall be submitted to the NAP for review, evaluation and approval
- 6.4.4 Once approved the NAP, the records shall be disposed for sale and its proceeds shall go to the BuCor Fund.
- 6.4.5 Archive records shall be stored in a clean and secured environment that protects them from damage and deterioration.
- 6.4.6 Records shall be made readily available to the requesting authority. Such record is limited to those records applicable to the customer or regulatory authority, and shall not allow for the accidental or intentional release of confidential information to an unauthorized party.

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## 7. QUALITY RECORDS MATRIX

Activity/ Procedure	BuCor Record	Responsible Controller	Type of Record	Storage Location	Discard Method
Management of Records	Letters	Records Custodian	Xeroxed Copy	RS Mezzanine Room (Filed by Sacks)	Sale
	Correspondence to DOJ, SC, CA	Records Custodian	Xeroxed Copy	RS Filing Cabinet near the CR (Filed by Folder)	Sale
	Special Order e.g. to attend seminars, court hearings	Records Custodian	Hard Copy (Original)	RS Storage Area (Filed by Folder in the Filing Cabinet/ Racks)	Sale
	Active and Inactive 201 Folders	Records Custodian	Hard Copy (Original)	RS Storage Area (Filing Cabinets)	Sale
	DTR	Records Custodian	Hard Copy (Original)	RS Mezzanine Room (by sacks)	Sale
	Memorandum, Memorandum Circular, Memorandum Order and other Documents relative to Issuances/ Directives with Basic Attachments/ Enclosures	Records Custodian	Hard Copy (Original)	RS Storage Area (Filed by Folder in the Filing Cabinet/ Racks)	Sale
	Archived Leave Credit Cards	Records Custodian	Hard Copy (Original)	RS Storage Area (Filing Cabinets)	Sale
	Approved Applications for Leave of Absence	Records Custodian	Hard Copy (Original)	RS Mezzanine Room (by sacks)	Sale
	Approved Applications for Leave of Absence with Medical Certifications	Records Custodian	Hard Copy (Original)	RS Mezzanine Room (by sacks)	Sale