



Republic of the Philippines
DEPARTMENT OF THE INTERIOR AND LOCAL GOVERNMENT
REGION XIII (CARAGA)
 1559 Matimco Bldg, Km 4., Libertad, Butuan City
 caraga.dilg.gov.ph

Document Code		
FM-R13-SP-02-01		
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Name of Division: Finance and Administrative Division/Records Section

MASTERLIST OF RETAINED DOCUMENTED INFORMATION

DOCUMENT CODE	DOCUMENT TITLE	CUSTODIAN	LOCATION	FILING SYSTEM		RETENTION PERIOD			DISPOSAL
				FOLDER	SCHEME	ACTIVE	STORAGE	TOTAL	
Management of Records									
	NAP Form 1 Records Inventory and Appraisal	Records Clerk	Steel Cabinet 2 - Drawer #2	Folder w/ Label	Chronological by Year	permanent			
	NAP Form 2 Records Disposition Schedule	Records Clerk	Steel Cabinet 2 - Drawer #2	Folder w/ Label	Chronological by Year	permanent			
	NAP Form 3 Guidelines on the Disposal of Valuess Records in Government Agencies	Records Clerk	Steel Cabinet 2 - Drawer #2	Folder w/ Label	Chronological by Year	permanent			
	DILG Central Office Records Disposition Schedule	Records Clerk	Steel Cabinet 2 - Drawer #2	Folder w/ Label	Chronological by Year	permanent			
	DILG RO 13 Inventory of Records	Records Clerk	Steel Cabinet 2 - Drawer #3	Folder w/ Label	Chronological by Year	2 years		2 years	
	Regional Issuances	Records Clerk	Steel Cabinet 1 & 2	Folder w/ Label	Chronological by Year	permanent			
	Central Issuances	Records Clerk	Steel Cabinet 1 & 2	Folder w/ Label	Chronological by Year				
	Logbooks of Incoming / Outgoing Communicatins	Records Clerk	Records Clerk Table Data Filer	Logbook w/ Label	current year	2 years		2 years	
	Incoming Communication Tracking System	Records Clerk	Records Clerk Desktop PC	Data Base		2 years		2 years	
	Logbooks for Clients	Records Clerk	PACD Table	Logbook w/ Label	current year	2 years		2 years	

Prepared By

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 Admin Aide VI
 Records Clerk

Reviewed By

DONALD A. SERONAY
 CAQ/OIC, Asst. Regional Director
 Regional OMR






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MASTER LIST OF MAINTAINED DOCUMENTED INFORMATION (INTERNAL)

DOCUMENT CODE	DOCUMENT TITLE	REVISION					
		00	01	02	03	04	05
Management of Records							
QP-R13-FAD-11	Quality Procedure	10.16.17					
QO-QP-R13-FAD-11	Quality Objective	10.16.17					
QME-QP-R13-FAD-11	Quality Monitoring and Evaluation	10.16.17					
FM-QP-R13-FAD-11-01	Process Summary Logsheets	10.16.17					
FM-QP-R13-FAD-11-02	Logbooks	10.16.17					
FM-QP-R13-FAD-11-03	Data Base Communication Tracking	10.16.17					

Prepared By

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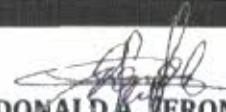
MASTER LIST OF MAINTAINED DOCUMENTED INFORMATION (EXTERNAL)

DOCUMENT CODE	DOCUMENT TITLE	REVISION					
		00	01	02	03	04	05
Management of Records							
	RA 9470 National Archives of the Phils. Act 2007						
	NAP Gen. Circular No.1 Rules and Regulations Governing the Management of Public Records and Archive Management						
	NAP Gen. Circular No.2 Guidelines on the Disposal of Valueless Records in Government Agencies						
	NAP Form 1 Records Inventory and Appraisal						
	NAP Form 2 Records Disposition Schedule						
	NAP Form 3 Guidelines on the Disposal of Valueless Records in Government Agencies						
	DILG Central Office Records Disposition Schedule						

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PROCEDURE TITLE	MANAGEMENT OF RECORDS		
SCOPE	This process starts from the receipt of documents, maintenance and storage, to disposal of records in compliance with NAP regulations.		
PURPOSE/S	To ensure the systematic control and management of the Regional Records and ensure NAP regulations' compliance.		
PROCESS DESCRIPTION			
	INPUT	PROCESS	OUTPUT
CO, NGAs, NGOs, FOU's	Documents /Records →	Data Base Communication Tracking/Log →	ROUTED DOCUMENT → RECIPIENT / CUSTOMERS (ORD, Division/Section, FOU's, NGAs, NGOs)

Step No.	Responsible Personnel	PROCESS/ACTIVITY	Details	References
1	Designated Records Officer/receiving Clerk	Encode/scan/photo copy	<ul style="list-style-type: none"> Receive documents records and classify For Internal distribution <ul style="list-style-type: none"> Check the completeness of attachments/enclosures, if any. Inform originating office of documents/records which are unsigned or with incomplete enclosures for appropriate action Stamped "received" except personal and confidential documents/records For official confidential documents/records <ul style="list-style-type: none"> If for distribution/ mailing/ hand carry, keep the packaging/envelope intact and log accordingly and forward to concerned personnel 	<ul style="list-style-type: none"> Data base communication tracking received Logbook for the personal and miscellaneous Print hard copy of the communication tracking for incoming





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**QUALITY
 PROCEDURE (QP)**

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Step No.	Responsible Personnel	PROCESS/ACTIVITY	Details	References
			<ul style="list-style-type: none"> • <i>For official non-confidential documents/records:</i> <ul style="list-style-type: none"> • Read, analyze, scan, encode and initial the document and put control number in the received data base communication tracking • Classify as to: <ul style="list-style-type: none"> • Regional • FOU's • NGAs • NGOs • Confidential & personal • Encode documents/records on Data base communication tracking except personal and miscellaneous logbook only 	
2	Designated Records Officer/receiving Clerk	Released distribution for documents	<ul style="list-style-type: none"> • For internal distribution of documents/records and issuances to identified concerned division or personnel after • For external distribution of documents/records and issuances such as: <ul style="list-style-type: none"> • CO • FOU's • NGAs • NGOs • LGUs 	<ul style="list-style-type: none"> • Transmittal letter as receiving copy or file • Registered mail or thru LBC • Thru Email or Fax • Messenger/Lias on Personnel
3	Designated Records Officer/receiving Clerk	Assign control number	<ul style="list-style-type: none"> • Assign a serial number to the following regional issuances and indicate as follows: <ul style="list-style-type: none"> • Regional Order • Regional Memo Circular • Office Order • Memorandum 	<ul style="list-style-type: none"> • Regional Issuances Logbook (with basis serial numbering) <ul style="list-style-type: none"> • Logbooks





DILG - REGION XIII (CARAGA)
**QUALITY
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Step No.	Responsible Personnel	PROCESS/ACTIVITY	Details	References
			<ul style="list-style-type: none"> • Stamped "Released" the documents/records • Log the release documents/records with tracking number if registered mail or private courier 	
4	Designated Records Officer/receiving Clerk	Maintain Files/storage	<ul style="list-style-type: none"> • Scan the issuances and save to designated electronic folders. • File copies of original issuances of the Regional Office to designated folders • Secure backup of scanned issuances. 	<ul style="list-style-type: none"> • Data Base communication tracking
5	Designated Records Officer/receiving Clerk	Inventory of files	<ul style="list-style-type: none"> • Appraise records by conducting inventory of documents/records annually by file station or cabinets in accordance with the NAP General records disposition schedule common all gov't agencies (GRDS) and DILG records disposition schedule (RDS) • Accomplish the NAP Form No.1 Records Inventory and Appraisal and NAP National Inventory Form 2012 and establish/update retention and disposition period of records 	<ul style="list-style-type: none"> • NAP Form 1 records inventory and appraisal inventory Form • NAP National inventory Form 2012
6	Designated Records Officer/receiving Clerk	Receive turned-over non-current record	<ul style="list-style-type: none"> • Record the receipt of turned-over non-current records and Receive and classify whether valueless or permanent records. • For permanent records, include in the List on non-current Records and store accordingly. 	<ul style="list-style-type: none"> • List of non-current Records • NAP Circular No. 1&2 • GRDS Common to all Govern





Step No.	Responsible Personnel	PROCESS/ACTIVITY	Details	References
			<ul style="list-style-type: none"> For valueless records, confirm that the indicated retention period is already exceeded as per GRDS of NAP and agency RDS. Once confirmed, list, bundle and measure in cubic meter ready for disposal. 	<ul style="list-style-type: none"> ment Agencies Agency Records Disposition Schedule List of Disposable Records
7	Designated Records Officer/receiving Clerk	Request authority to Dispose of Records	<ul style="list-style-type: none"> If sufficient volume or weight of records for disposal is met, prepare request for NAP authorization to dispose records with Letter-Request and Memo-transmittal. Submit request to SILG or authorized representative for signature. 	<ul style="list-style-type: none"> Letter-request Memo-transmittal NAP Form No. 3 "Request for Authority to Dispose of Records"
8	Authorized Representative	Approve Request	<ul style="list-style-type: none"> Sign Request for Authority to Dispose Records. Return request to Records Section. 	<ul style="list-style-type: none"> Letter-request Memo-transmittal NAP Form "Request for Authority to Dispose of Records"
9	Designated Records Officer/receiving Clerk	Record and Release the Request	<ul style="list-style-type: none"> Log the approved request. Forward the Letter-request and NAP Form to NAP. 	<ul style="list-style-type: none"> Signed NAP Form "Request for Authority to Dispose of Records" and Letter-request





Step No.	Responsible Personnel	PROCESS/ACTIVITY	Details	References
10	Designated Records Officer/receiving Clerk	Receive Authority to Dispose of Records	<ul style="list-style-type: none"> Receive and log Authority to Dispose. Prepare Request for Public Bidding and Supporting Documents and submit to GSD, Procurement Section. 	<ul style="list-style-type: none"> NAP Form No. 5 "Authority to Dispose of Records"
11	GSD, Procurement Section, Bids and Awards Committee	Conduct Public Bidding	<ul style="list-style-type: none"> Refer to procedure on Public Bidding. 	<ul style="list-style-type: none"> Procurement thru Public Bidding
12	Designated Records Officer/receiving Clerk	Request the Disposal Date	<ul style="list-style-type: none"> Submit Contract with Winning Bidder to NAP and request for the Disposal Date. 	<ul style="list-style-type: none"> Contract
13	Designated Records Officer/receiving Clerk	Receive NAP Resolution for Disposal of Records	<ul style="list-style-type: none"> Receive and log NAP Resolution for disposal of records. Coordinate and inform schedule of disposal to participants. 	<ul style="list-style-type: none"> NAP Resolution for Disposal of Records
14	Chief, GSD; Records Officer; COA and NAP representatives; Cashier	Conduct actual Disposal	<ul style="list-style-type: none"> Conduct actual disposal to be witnessed by NAP, COA representative and DILG-CO representatives. Sign the records of disposal Records Officer: Remit sale to Cash Section who will then issue Official Receipt. 	<ul style="list-style-type: none"> Records of Disposal Official Receipt
15	Designated Records Officer/receiving Clerk	Prepare Certificate of Disposal	<ul style="list-style-type: none"> Fill-up NAP Form "Certificate of Disposal" indicating the records series, manner, date and place of disposal, volume of record disposed and the amount of sale and official receipt number. 	<ul style="list-style-type: none"> NAP Form No. 6 "Certificate of Disposal of Records"





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Step No.	Responsible Personnel	PROCESS/ACTIVITY	Details	References
			<ul style="list-style-type: none"> Retain the original copy and provide 1 copy to NAP and another copy to COA 	
16	Designated Records Officer/receiving Clerk	Retain records	<ul style="list-style-type: none"> Retain all records generated in accordance with Control of Retained Documented Information Procedure and Masterlist of Records 	<ul style="list-style-type: none"> Control of Retained Documented Information Procedure Masterlist of Records SP-R13-02

DEFINITION OF TERMS:

- Number Sequence System- documents are arranged by number series annually with corresponding title of the issuances, documents/records.

LEGAL REFERENCE:

- National Archives of the Philippines Act of 2007

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Process Owner	Regional QMR	Top Management





DILG CENTRAL OFFICE
QUALITY OBJECTIVE (QO)

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DIVISION/FOU	Finance and Administrative Division, Records Section
QUALITY PROCEDURE TITLE	MANAGEMENT OF RECORDS

Function	Key Performance Indicators (KPI)			Frequency of Monitoring Results	Responsible for Monitoring	Applicable Documents (e.g. Communication Tracking System Database, Logbook, etc.)
	Objective	Target	Indicator/Formula (if applicable)			
<ul style="list-style-type: none"> Records Management (Receipt, Release, and Storage) 	<ul style="list-style-type: none"> Timely action on Documents received within 1 working day upon receipt. 	<ul style="list-style-type: none"> 90% 	<ul style="list-style-type: none"> Total no. of documents acted upon within 1 day upon receipt / Total No. of Documents received. 	<ul style="list-style-type: none"> Monthly 	<ul style="list-style-type: none"> Records Officer 	<ul style="list-style-type: none"> Central Records Management (Receipt, Release, and Storage) Process Data base and Logbooks
<ul style="list-style-type: none"> Disposal of records 	<ul style="list-style-type: none"> Timely request for NAP authority to dispose record 5 working days upon receipt of SILG/Authorized Representative on Authority to Dispose Timely preparation of 	<ul style="list-style-type: none"> ≤5 working days ≤5 working days 	<ul style="list-style-type: none"> Date received of SILG/Authorized Representative on approved Authority to Dispose Date of Request (NAP) No. of days elapsed Certificate of disposal - 	<ul style="list-style-type: none"> 5th working day of the ensuing month of submission ≤5 working days on preparation of 	<ul style="list-style-type: none"> Records Officer Records Officer 	<ul style="list-style-type: none"> NAP form request for authority to dispose Certificate of Disposal





DILG CENTRAL OFFICE
QUALITY OBJECTIVE (QO)

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Function	Key Performance Indicators (KPI)			Frequency of Monitoring Results	Responsible for Monitoring	Applicable Documents (e.g. Communication Tracking System Database, Logbook, etc.)
	Objective	Target	Indicator/Formula (if applicable)			
	certificate of disposal within 5 working days upon actual conduct of disposal		Indicating the records series, date official receipt/number/amount/Date of conduct and place of disposal, volume of records disposed and signatures of witnesses <ul style="list-style-type: none"> • Date of Certificate of Disposal • Date of Actual Disposal • No. of days elapsed 	certificate of disposal		

Prepared By	Reviewed By	Approved By
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Process Owner	Regional QMR	Top Management





PROCESS QUALITY MONITORING AND EVALUATION (QME)

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DIVISION/FOU	Finance and Administrative Division, Records Section												
PROCEDURE TITLE	MANAGEMENT OF RECORDS												
OBJECTIVE STATEMENT	<ol style="list-style-type: none"> 90% of received Documents acted upon within 1 working day upon receipt. Timely request for NAP authority to dispose records within five (5) working days upon receipt of SILG/Authorized representative's approved authority to dispose. Timely preparation of Certificate of Disposal within five (5) working days upon actual conduct of disposal. 												
CURRENT PERIOD													
INDICATORS	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Total
Objective 1: 90% of received Documents acted upon within 1 working day upon receipt.													
A	Total no. of documents acted upon within 1 day upon receipt												
B	Total No. of Documents received.												
C	Formula: $\frac{A}{B} \times 100$	Target Result: 90%											
D	Gap Analysis: In case the objective is not met, put your analysis why it is not met												
Objective 2: Timely request for NAP authority to dispose records within five (5) working days upon receipt of SILG/Authorized representative's approved authority to dispose.													
A	Date received of SILG/Authorized representative on Authority to Dispose Records												
B	Date of Request (NAP)												
C	No. of days elapsed	Target result = ≤ 5 working days											
D	Gap Analysis: In case the objective is not met, put your analysis why it is not met												
Objective 3: Timely preparation of Certificate of Disposal within five (5) working days upon actual conduct of disposal.													
A	Date of Certificate of Disposal												
B	Date of Actual Disposal												








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PROCESS QUALITY MONITORING AND EVALUATION (QME)

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C	No. of days elapsed	Target result = ≤ 5 working days												
D	Gap Analysis: In case the objective is not met, put your analysis why it is not met													

Note: For unmet targets, the QMS Secretariat will issue Corrective/Preventive Action Report (CPAR) duly signed by the DILG-CO Deputy QMR.

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DILG REGION 13

Management of Records Process Summary Log Sheet

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QUALITY OBJECTIVE: 90% of received Documents acted upon within 1 working day upon receipt.
 Timely request for NAP authority to dispose records within five (5) working days upon receipt of SILG/Authorized representative's approved authority to dispose.
 Timely preparation of Certificate of Disposal within five (5) working days upon actual conduct of disposal.

FREQUENCY OF MONITORING: Monthly
CURRENT PERIOD: October 16, 2017

Legend: AR = Available Record; NRM = No Record Maintained; AD = Already Disposed; R= Released; C = Confidential

No.	Particulars			Division/ Section In Charge	Status, Disposition, and Action Taken							Met (same day)	Unmet (other day)	Remarks (indicate the reason if target is unmet)	Notes
	Control No.	Date Received	Document Received		AR	NRM	AD	CO	R	Date Record/ Document Issued	Date Record/ Document Released				
TOTAL															
RESULT %															

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