



POLYTECHNIC UNIVERSITY OF THE PHILIPPINES
COLLEGE OF ENGINEERING
COMPUTER ENGINEERING DEPARTMENT

Appendix B

Republic of the Philippines
POLYTECHNIC UNIVERSITY OF THE PHILIPPINES
OFFICE OF THE PRESIDENT
Mabini Campus, Anonas St., Sta. Mesa, Manila

MEMORANDUM CIRCULAR

TO : ALL CONCERNED

SUBJ : Procedural Guidelines in Obtaining Access to Official Records
of the University

DATE : 19, August 1994

Pursuant to Sec. 28, Art. II and Sec. 7, Art. III of the Philippine Constitution, and R.A. No. 6713, and its implementing rules, in order to simplify the procedure in obtaining access to official records, information and data, the following guidelines are hereby prescribed for the guidance of all concerned:

1. The persons/entities allowed access to PUP records:
 - a. Any requesting party, if it pertains to his personal records;
 - b. The President and Vice-Presidents of the University;
 - c. Judicial and quasi-judicial bodies by means of subpoena duces tecum, in aid in the determination or resolution of pending cases;
 - d. Congress by means of subpoena duces tecum, in aid of legislation;
 - e. Other officials and entities duly authorized by competent authorities.
2. Persons/entities other than the above may be allowed access to PUP records by complying with the following procedures:
 - a. The request must be in writing addressed to the University President, thru the Chief, Human Resource Development Division;
 - b. The purpose/purposes for the request/s must be clearly specified;
 - c. The purpose/purposes must be valid and legitimate;
 - d. The request must be acted within fifteen (15) working days.
3. Personnel records and legal records involve personal privacy and the information contained therein are confidential in nature. Access thereto is subject to certain constitutional and statutory limitations.

22



POLYTECHNIC UNIVERSITY OF THE PHILIPPINES
COLLEGE OF ENGINEERING
COMPUTER ENGINEERING DEPARTMENT

4. No access to the following records or documents is allowed:
- a. Drafts of decisions, orders, rulings, opinions, etc. of the Legal Office;
 - b. Intra-office memoranda, comments, recommendations, etc.;
 - c. Those which will imminently endanger the life and safety or destroy the reputation of a person;
 - d. Those involving and/or pertaining to national security and the defense of the state;
 - e. Privileged communication under the pertinent provisions of Sec. 21, Rule 130 of the Revised Rules of Court;
 - f. Other records or documents of similar nature as the above.
5. Requests and other official communication received by the official concerned may no longer be withdrawn.

This memorandum Circular shall take effect immediately.

MEN
(SGD) ZENAIDA A. OLONAN
President



POLYTECHNIC UNIVERSITY OF THE PHILIPPINES
COLLEGE OF ENGINEERING
COMPUTER ENGINEERING DEPARTMENT

- c. Maintain an up-to-date index system of all files of the University, and all other other reference materials available to the CRO
- d. Check file cabinets at the end of the day.
- e. Performs other duties as may be assigned from time to time.

IV. THE UNIVERSITY RECORDS MANAGEMENT PROGRAM

A. Scope

Records management is an administrative service. It is concerned with the efficient organization, effective method of storing, fast retrieval and disposition of official documents of the University, including those in the branches. Its operations outlined, this Office shall be within and under the administration of the Human Resource Management Department, through the coordination, supervision and control of the Central Records Office.

Today, records management is moving to new directions with the innovations and inventions of machines called computer. It is adding to and expanding the field as well as replacing some of the existing functions of records management. Whether paper will eventually disappear, experts believe that paper records will continue to increase indefinitely and be stored and retrieved in the micro-and-tape filing cabinet. The invention of computer was motivated by the need to process large amounts of data very rapidly.

1. General Objective

To implement a *File Plan* to be known as the *Centralized Control with Decentralized Files* of all records of the University including its branches.

A centralized location and control of files have the following advantages:

- * Records of common interest or value to University officials, faculty members, and employees are placed under the control of one supervisor
- * Records that are made and used by an organizational unit are maintained and controlled at the point of origin, copy furnished the Central Records Office
- * Responsibility is easily delegated and accountability is easily placed



POLYTECHNIC UNIVERSITY OF THE PHILIPPINES
COLLEGE OF ENGINEERING
COMPUTER ENGINEERING DEPARTMENT

- Reduces duplication of personnel, equipment, supplies and space
- Uniform files procedures
- Retrieval of information is faster and uniform service is given to all departments, office, etc.

2. Specific Objectives

- a. To ensure adequate control over all records produced and/or maintained by the college, department, division, and office/unit.
- b. To improve the quality of records system; effectiveness and accessibility of the documented information in the central records office and subordinate units.
- c. To maintain a records storage area for the housing of inactive records in an orderly, efficient, effective and economical manner.
- d. To secure and protect the vital and important records of the University.
- e. To assist in the education of office personnel in the most feasible methods of controlling and classifying office records.
- f. To reduce the volume of unnecessary records accumulated by the different units through the implementation of a record disposition schedule.

B. Policy Statement on Records Management Program

The Polytechnic University of the Philippines shall establish a records management program to ensure effective recording, safekeeping of records, retrieving of information and disposing the unnecessary papers and records.

It shall conduct series of training programs in record management to enhance the skills of support staff in this course.

Policy Guidelines:

1. The Central Records Office shall be under the Office of the Director, Human Resources Management Department and shall closely supervise the implementation of a Records Management Program.
2. The Central Records Office shall be responsible for the safekeeping of all administrative records and copies of official documents from the operating colleges/departments/units/offices.



The classification process is the use of a system in identifying, analyzing correspondence and records that provides a detailed control of the subject matter leading to the file location for easy retrieval. This system is better known as the Functional Subject-Alphabetic Classification (FSAC) system recommended and approved by the Records Management and Archives Office (RMAO). In the process, records are arranged by subjects covering all activities of the organization and the functions of the agency. Records are filed under a major subject which is subdivided into *primary category* and each category is subdivided further into more specific but related subjects called *secondary category*. This system retains the simplicity of the alphabetic arrangement of subject titles and bring together related subjects.

3. Major Categories in the Classification of Files

- ADM - Administration
- FIN - Finance and Fiscal
- LEG - Legal
- PER - Personnel
- RES - Researches/Theses

Administration files are files related to over-all policy, mission of the institution and direction of the agency, including management improvement programs, formal rules and regulations, guidelines pertaining to maintenance of service.

Financial/Fiscal files are files that deals with budget preparations, allotments, control of funds and other documents pertaining to financial transactions.

Legal files are documents which consist of administrative cases of personnel, opinions, land cases, civil cases, investigation records, etc.

Personnel files - any paper concerning the service records, appointment and personal transactions of the individual employees.

Research files - any research work that deals with the development of a certain project(s)

4. Procedures in Filing

- Check records before filing to determine whether the records are ready for filing. It should be properly marked "for filing" to show that the document is officially released for filing.
- Read the material and analyze its content to determine the most likely subject where to file.

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POLYTECHNIC UNIVERSITY OF THE PHILIPPINES
COLLEGE OF ENGINEERING
COMPUTER ENGINEERING DEPARTMENT

- Mark the material. This marking is the paper's complete filing designation. Use colored pencil for marking to facilitate sorting.
- Sort the materials before filing. Group together similar files.
- File the materials. After the papers have been classified, sorted and assembled, they should be properly arranged in the filing cabinet or shelves. Each paper is filed under the proper classification with the newest addition always on top or in front of the contents in its respective folder.
- Charge out the material. Records are charged-out with the use of what is called a substitution or a "charged-out card". The subject and other information of the loaned record are posted on this card. This card is filed in place of the loaned record. Upon return of the records, the corresponding entry on the card is crossed out so the card is reused.

5. Suggested Rules on the Use of Files

- No one, except the record personnel shall be permitted access to the files.
- Requisitions for material on file must be made in writing 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.
- Charged-out cards must be used when taking out materials from the filing cabinet.
- Use follow-up slip for records borrowed beyond the specified due date.
- Records that are permanent in nature should be given attention and preserved for eternity.

6. 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 print or write in block letters all labels on the folders.
Don't write captions on the folders in longhand 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 folder.
- 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 see that no 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 very thick.
- Do close each file drawer as you finish with it.
Don't pull out more than one file drawer doesn't at a time.
- Do file in accordance with the file classification guide.
Don't pull a folder out of a place just because it may be too large.

7. Locating a Lost Materials File

When your records clerk has misfile an important document and you have to find it, you can shorten your search by looking in the most likely by checking the following:

- Verify and look for the name or subject if it has been transposed.
- Look into folders before and after the one you are looking for where the material being searched might be in.
- Check other vowel's not mentioned, for a name beginning with Ca, look under Ca, Ci or Ca.
- Names or subjects abbreviated are easily misfile. For example, an abbreviation of Saint may have incorrectly labeled and then filed under St. instead of Sta.



POLYTECHNIC UNIVERSITY OF THE PHILIPPINES
COLLEGE OF ENGINEERING
COMPUTER ENGINEERING DEPARTMENT

- If there are more than one name or subject in the content of the last paper filed, look in the index card made under each or subject even though the material should have been filed under the first name or subject in the content.
- As a last resort, check behind the drawers of your filing cabinet or in the drawers of your table or in the drawers in your home.

8. Retrieval of records

Retrieval of records starts with a user request for a record. The user may fill out a record request form, or make a direct request to a computer operator if the information being requested has been entered into the system. The next step is the search for the record information in the system. If the record is found, then the retrieval continues; otherwise, a report is forwarded to the user that the record as specified does not exist.

If the records exists, its status is checked to see if the record has already been retrieved (OUT) or it has been requested but not yet physically checked out (SEARCH). If either of these conditions exists, then the condition is reported to the user and stored for later report. Otherwise, the status of the records is changed to Search and a description of the records is produced and used for a physical search to access the record itself.

If the actual record cannot be located, then this information is stored for later report and also reported to the user. If the record is located, then the system is informed by changing the status to OUT and the record is delivered to the user.

D. Policy Statement on Mail Management and Communication Operations

The Mail Section of the Central Records Office shall be responsible of all incoming and outgoing official communication.

1. Policies on Incoming Communications

- a. All official mails/communications intended for the University whether addressed to the President, Vice-President(s), Deans, Directors, Chief of Office(s)/Unit Head(s) should be coursed through the Central Records Office for recording and forwarded to official/personnel concerned.
- b. Mails in closed envelopes addressed to the President or to the position are considered official and shall be opened with priority while mails addressed to the person holding the position shall be opened only by the addressee. Confidential mails shall be forwarded to the addressee immediately.



POLYTECHNIC UNIVERSITY OF THE PHILIPPINES
COLLEGE OF ENGINEERING
COMPUTER ENGINEERING DEPARTMENT

- c. The messenger picks up mails with notices from the Post Office.
- d. All official mail shall be opened except those marked "Confidential".
- e. Student letters shall be received and released by this Office.
- f. Personal letters are delivered unopened to the personal concerned.
- g. Telegrams delivered after office hours during Saturdays, Sundays holidays shall be received by the security guard unopened. The security guard must be authorized to receive and keep the mails, then properly endorsed to the Central Records Office the following working day.

2. Policies on Outgoing Communications

- a. All outgoing official mail/s, letters, or communications, which originates from within the University shall be coursed through the Central Records Office. The receiving/releasing clerk of the Records Office shall receive out-going communications from the action office for release or mailing.
- b. The Records Office shall be provided a file copy of all outgoing communication for immediate reference if mailed.
- c. The receiving/releasing clerk lists all out-going mails and correspondence for messenger services. The manner of postal delivery shall be specified and indicated on the envelope.
- d. The messenger receives mails and delivers mails accordingly. Speed or special mails are given priority. Mails that require urgent action within Metro Manila are personally delivered and properly acknowledged.

E. Policy Statement on Records Disposal Management Operations

Records disposition is the systematic transfer of records no longer needed for every day operations from an office to any records storage areas, the identification and preservation of records having permanent value and the destruction or sale of valueless records.

A prescribed retention period for all records holdings shall be determined by the head of each college/office/unit to be approved by the University President.



POLYTECHNIC UNIVERSITY OF THE PHILIPPINES
COLLEGE OF ENGINEERING
COMPUTER ENGINEERING DEPARTMENT

1. Activities in Records Disposition

- **Inventory.** This activity involves knowing the records holdings of an agency as a basis for developing a Records Disposal Schedule which will later on be the guide for activities related to records disposition.
- **Appraisal.** This activity involves determining the value of the records filed by the agency. Appraisal is essential as a guide in deciding the final disposition of records.
- **Development of Records Disposition Schedule.** This activity involves the formulation of Records Disposition Schedule which shall serve as guide in the disposition of records.
- **Retention.** This activity involves the maintenance of records which because of their appraisal value, cannot yet be disposed.
- **Preservation.** This involves preserving and protecting records having permanent value for future use.
- **Transfer of Records.** Records no longer needed in the day-to-day agency operation are transferred to appropriate storage areas.
- **Disposal.** This activity involves destroying or selling records that have reached their prescribed retention periods. It includes the periodic elimination of valueless records. Rule 4.1 of Article III of DECS Order No. 13-A, s. of 1988 states that "No agency shall destroy or sell any record without having first secured authority from the Director of Records Management and Archives Office."

2. Policies on Records Disposition

- a. The University shall create a Records Management Improvement Committee.
- b. The University shall install a Records Disposition Program.
- c. The general policy is to retain the active records/documents that are needed in the day-to-day operations in the Division/Office/Unit. Inactive files/records should be systematically transferred to the Central Records Office for proper storage.
- d. Records inventory shall be conducted by the Clerk of every Division/ Office/ Unit and should be briefed/oriented on records maintenance and disposition.
- e. Records with permanent value have no retention periods and therefore their preservation should be taken immediately upon determination of their value.



POLYTECHNIC UNIVERSITY OF THE PHILIPPINES
COLLEGE OF ENGINEERING
COMPUTER ENGINEERING DEPARTMENT

- f. The person, who undertook the inventory for review should do initial appraisal of records for disposal and final appraisal is to be made by the Records Management Improvement Committee.
- g. All requests for storage of non-current records by Department/College/Office/Unit of the University shall reflect a brief description of the record series turned over, inclusive of dates covered by the record.
- h. The record officer shall regularly review non-current records and inspect the file.
- i. The proposed disposition of records shall be based on the time and utility value of the records and should cover all records of the university.
- j. A Records Disposition Schedule shall be applied regularly to avoid accumulation of valueless records.
- k. Records transferred to storage areas are to be maintained and filed systematically by the record custodian.
- l. Mode of disposal shall be determined and recommended by the Records Management and Archives Office (RMAO).
- m. Transfer or destruction of records shall be made regularly once a year during summer period if possible, to avoid intervening factors which affects current operations.
- n. RMAO have the sole authority to conduct public bidding for the disposal of records.
- o. No records shall be destroyed or sold without securing authority from and approval of RMAO.
- p. All requests for authority to dispose of records shall be reviewed by RMIC.
- q. Disposal of records shall be made immediately upon receipt of approval in the presence of COA and RMAO representative.
- r. Disposal through sale may be resorted to if there is a possibility of fair return to the government.
- s. Proceeds of sale shall go to the University's funds.
- t. Certificate of disposal shall be prepared immediately after actual disposition of records.

14 2 1



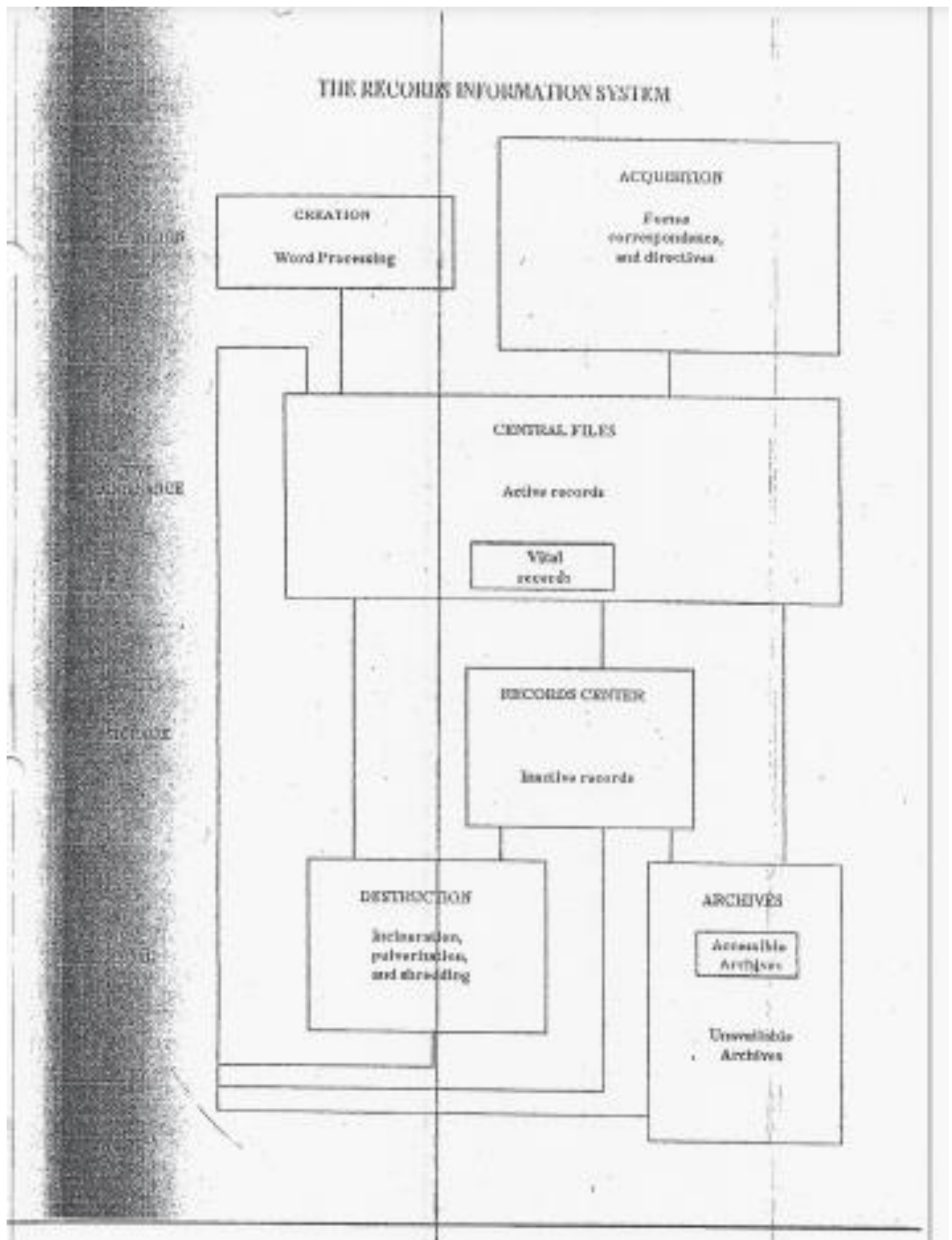
- ii. The record custodian shall be responsible for accessioning, filing and finding of inactive records. Request for retrieval of inactive records must be made to the record custodian upon notation of the Records Officer. Access to record storage area is restricted to records staff.

3. Steps in the Disposal of Government Records

- Fill-up RMAO Form No. 3 – "Request for Authority to Dispose Records."
- Send to the Director of the RMAO the filled-up form after it has been signed by the Head of Agency or his authorized representatives.
- Actual disposal will be done upon receipt of the Authority to Dispose of Records to be witnessed by a representative from COA, the RMAO and the concerned agency.
- A certificate of disposal shall be signed by the three representatives.

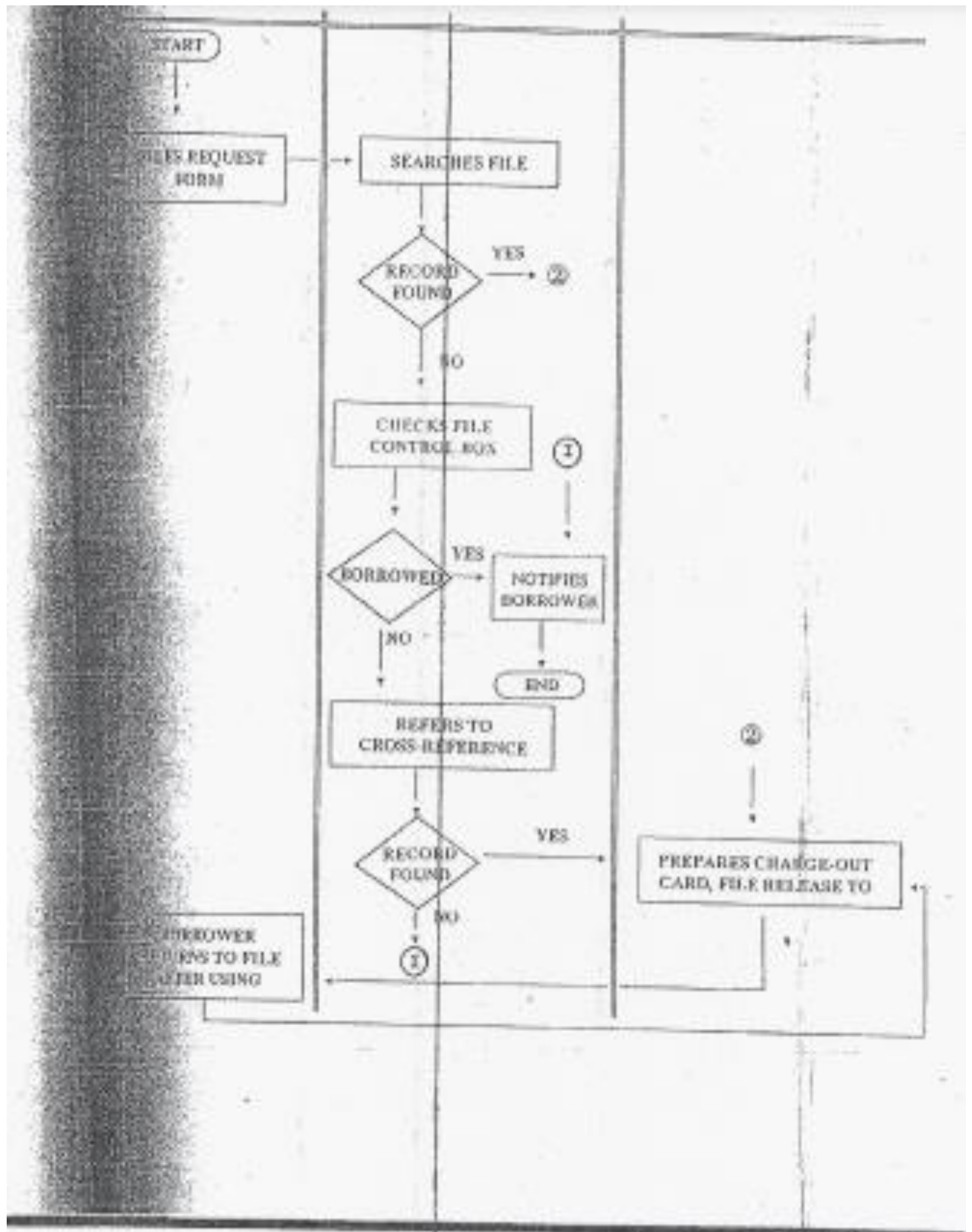


POLYTECHNIC UNIVERSITY OF THE PHILIPPINES
COLLEGE OF ENGINEERING
COMPUTER ENGINEERING DEPARTMENT





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POLYTECHNIC UNIVERSITY OF THE PHILIPPINES
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COMPUTER ENGINEERING DEPARTMENT

