

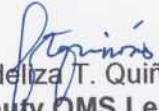
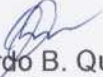
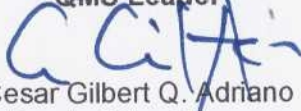




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**QMS
PROCEDURES**
Control of Records Procedure

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			Rev.: 0 Issue Date: July 15, 2022
Subject: Control of Records Procedure			
Prepared by:  Kathrina Liza M. Maño Knowledge Management Team	Reviewed by:  Flordeliza T. Quiñones Deputy QMS Leader	Approved by:  Edgardo B. Quiros QMS Leader  Cesar Gilbert Q. Adriano Head of the Agency	

1. PURPOSE

This procedure intends to define the controls needed to ensure that documented information that provide confidence that the processes are being carried out as planned and that provide evidence of conformity to requirements and of the effective operation of the quality management system are effectively retained.

2. EXPECTED OUTPUTS

By implementing the controls defined in this procedure, the following specific outputs are expected:

- 2.1. Records are easily retrievable;
- 2.2. Records are protected from deterioration, loss or damage, tampering and unauthorized access.


3. SCOPE

This procedure shall apply to all internally/externally generated documented information that records the effectiveness and efficiency of the NLP quality management system.

4. DEFINITION

Record	Document stating results achieved or providing evidence of activities performed (ISO 9000:2015) 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 (National Archives of the Philippines)
Active Records	Records that are currently being maintained, used and controlled. These records are normally kept in desk/workstation drawers or nearby filing cabinets, shelves or racks for easy access and retrieval.

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Inactive Records	Records that are very rarely or no longer referred to, and which must be transferred to another place (e.g. the Office Records Center). These records have already served their purpose but must be kept just the same for legal requirements or some compelling reasons. They are only destroyed the moment their retention periods have expired.
General Records Disposition Schedule	A records control schedule governing the disposition of a specified recurring records series common to all agencies issued by the National Archives of the Philippines (NAP Gen Circular 1-2 and GRDS 2009).
Retention Period	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.
Records Officer	Refers to the employee responsible for overseeing the records management program and providing guidance on adequate and proper recordkeeping.
Copyholder	Refers to any agency employee with responsibilities over a particular set of records.
Master Document Register (MDR)	An electronic database which contains the backup copy of the lists of records being maintained by various offices.


5. RESPONSIBILITIES

Records Officer	responsible for ensuring that the requirements for the control of records stated in this procedure are properly implemented.
Copyholder	must keep the Records Officer informed of any issues regarding the records in their custody.
Office Heads	ensure that data and information written on their respective records are true, correct, accurate and complete.
Document Controller	maintains the backup copy of the list of records of various offices.

6. PROCEDURE OUTLINE

Responsible	Activity	Documents
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Persons accomplishing any record	<div style="border: 1px solid black; padding: 5px;"> General Policy (See Section 7.1) </div>	All records
Reviewing and approving persons	<div style="border: 1px solid black; padding: 5px;"> Identification (See Section 7.2) </div>	Logbooks Control of Documents Procedure
Office personnel	<div style="border: 1px solid black; padding: 5px;"> Storage (See Section 7.3) </div>	Active Records
Office personnel	<div style="border: 1px solid black; padding: 5px;"> Protection (See Section 7.4) </div>	All records
Copyholder Document Controller	<div style="border: 1px solid black; padding: 5px;"> Retrieval (See Section 7.5) </div>	List of Records MDR
Copyholder Records Officer	<div style="border: 1px solid black; padding: 5px;"> Retention (See Section 7.6) </div>	List of Records National Records Inventory General Records Disposition Schedule
Records Officer	<div style="border: 1px solid black; padding: 5px;"> Disposition (See Section 7.7) </div>	Inactive Records IRR of RA 9470 NAP General Circular 2

7. PROCEDURE DETAILS


7.1. General

7.1.1. All records shall be legible, true, correct, accurate, and complete.

7.1.2. Records can be in the form of any type of media, such as hard copy or electronic media.

7.1.3. All records shall be reviewed and/or approved prior to use.

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7.1.4. Records shall indicate the person(s) authorizing its use.

7.2. Identification

7.2.1. Records Officer/Custodian shall log the detailed information of all incoming and outgoing documented information in controlled logbooks or databases maintained for the purpose.

7.2.2. Records shall be identifiable. As part of its identification, records shall contain information on, but not limited to:

- Title
- Dates
- Name and signature of the originator, reviewer and/or approving person
- Reference document (if necessary). Records that have correlation with other records (internally/externally) shall identify related documents through this.
- Control Number. Records that require summaries for ease of monitoring shall be provided with log books.

7.2.3. Changes on the format of records shall be approved by the function that originally approved its use. Amendments on the format shall follow the procedure of Control of Documents.

7.3. Storage

7.3.1. Each office shall be responsible for the storage and keeping of their records.

7.3.2. Filing cabinets, box files, folders, dividers, envelopes, etc. shall be provided to organize records.


7.3.3. Electronic records shall be backed up periodically. Storage of e-records may include USB, external hard drive, or compact discs.

7.4. Protection

7.4.1. Records shall be kept in a place where it can be protected from physical deterioration, damage, and loss.

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7.4.2. Each office must ensure that records are kept in a place that is free of fire hazards. Records must be kept in a dry place.

7.4.3. Records shall be kept in a place where it can be protected from data tampering. Each office shall ensure that releasing of records to appropriate personnel is being tracked.

7.4.3.1. To prevent unauthorized amendments on the recorded data, the following shall be implemented:

- Only permanent blue or black ink pens must be used to fill out forms.
- Corrections to documented information must be done using correction tape on the correction.
- All corrected data must be countersigned indicating the identity of the corrector. Date-sensitive corrections should be dated.
- All printed/photocopied records without the official “certified true copy” stamp, signature and tracking code are considered unofficial documents.

7.5. Retrieval

7.5.1. For easy retrieval, filing cabinets, shelves, box files, folders, envelopes, etc. shall be labeled.

7.5.2. Each office shall maintain a List of Records being kept within their area by the appointed copyholder. The list specifies the document name, location, and retention period of the records located at their respective areas.

7.5.3. For backup purposes, this list shall be forwarded to the Document Controller for registration to the Master Document Register.


7.5.4.

7.5.5. Request for record must be accomplished before retrieving/obtaining a copy of record.

7.6. Retention

7.6.1. Active records’ retention period shall be indicated on the List of Records.

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7.6.2. Transfer of inactive records shall be coordinated by the copyholder with the Records Officer.

7.6.3. The National Records Inventory shall be accomplished by the Records Officer for the purpose of archiving inactive records.

7.6.4. Retention period of inactive records, intended for archiving, shall adhere to the General Records Disposition Schedule Common to Local Government Units as per the National Archives of the Philippines General Circular No. 2.

7.7. Disposition

7.7.1. Inactive records that exceeded their lifespan and deemed ready for destruction shall be removed from the office area and transferred to storage until its retention period.

7.7.2. All documented information shall be archived and/or disposed of in accordance with the National Archives of the Philippines General Circular No. 1 and 2, series of 2009.

7.7.3. Copyholder per division shall prepare an inventory and appraisal of its records using prescribed form (NAP Form no. 1) for easy identification of valueless records.

8. CONTROL OF NONCONFORMING OUTPUTS

When the expected outputs are not achieved, the following measures are to be implemented:

Nonconforming Output	Reactive Measures
Loss or damaged records.	<ol style="list-style-type: none"> 1. If with e-copy, reproduce by printing a copy of the lost record. 2. If externally provided, request a copy from the external provider. 3. For legal records, file an affidavit of loss and obtain a new copy from a regulatory agency.

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Incorrect data on records.	<ol style="list-style-type: none">1. Notify the user concerning the incorrect data.2. Provide the corrected version of the discrepant record.
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9. INTERFACES

9.1. Control of Documents Procedure

9.2. National Archives of the Philippines General Circulars

9.3. Implementing Rules and Regulations of R.A. 9470

10. REVISION HISTORY

Rev. No.	Nature of Change	Issue Date	Originator	Reviewed by	Approved by
00	• Initial issue	11-XX-2019	Name	Name	Name

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