

The Judiciary Quality Management System CONTROL OF RECORDS	Doc Ref No.:	
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Purpose

The purpose of this procedure is to ensure that all records generated by the quality management system are properly retained and are readily available for use by those who need them.

Scope

This procedure applies to records required by ISO 9001 as well as records identified by the organization as required for the effective management and control of processes.

References

Control of Documents
 National Archives of the Philippines (NAP) Guidelines
 Related Court Circulars and Resolutions
 Administrative Order No. 170-2008 (Revised Guidelines....)
 Administrative Matter 07-3-09-SC (Simplified Guidelines...) effective 2015 for 1st and 2nd Level Courts
 Internal Rules

Definition of Terms

Record	<p>A documented information stating results or providing evidence of activities performed</p> <p>Records can be used to document traceability and to provide evidence of verification, preventive action, and corrective action. Generally records need not be under revision control (Control of Documents Procedure).</p> <p>Records may use different media, including paper, electronic or optical computer disc, photograph or a combination thereof.</p>
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, vaults, or compactor for easy access and retrieval.
Inactive Records	Records that are very rarely or no longer referred to, and which must be transferred to another place (Storage Room, Archives Section, Warehouse and Office of the

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	Reporter) and classified accordingly. 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.
Process Owner	Office/Division/Section/Unit where the records are generated or individual who generates the records
Records Disposition or Disposal Schedule	A listing of records series by organization showing, for each record series, the period of time it is to remain in the office area, in the storage (inactive) area, and its preservation or destruction.
Retention Period	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.

Procedure Details

Ref. No.	Key Activities		Responsible	Reference Document/ Record
5.1	Collect and identify records	Collect records Ensure identification of records Establish a filing system	Records Officer Process Owner	N/A
5.2	Store and protect records through: SC/CTA/LC/SB/CA - storage area/space or filing cabinets Library - climate-controlled	Store properly Protect records appropriately	Records Officer Process Owner	N/A
5.3	Retrieve and maintain active records	Update Inventory (per office i.e. annual/ semestral/ monthly case, rollo, picture,	Office of Administrative Services Records Officer	Actual Inventory Report or Record Logbooks Index cards

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		list) Maintain properly the active records	Process Owner	Notebooks
5.4	Maintenance and disposal	Update inventory Turnover inactive records Convert to e-files	Records Officer	Inventory

Collection and Identification

Records are identifiable through any or combination of the following information, as appropriate:

- Title of Record
- Date(s)
- Barcode
- Document Number
- Name of signatory/ies

Records are collected upon availability from their source, for appropriate filing by the authorized personnel (document/records officer, controller, custodian, or archives officer) or concerned Process Owner per Court.

In case of erasure or correction, the corrected data are countersigned by the employee who corrected it.

Example: ~~12345~~ 67890 *egs*

Accepted practices on record erasure or correction are as follows:

Court	Practice

Other forms (which should be revisited):

- SC: Resolution = corrected copy
- SC: Decision/Signed Resolution = strike-out and countersign
- Judicial Records: Correction Form
- Sandiganbayan: Correction tape with countersign
- CA: Corrected copy
- LC: Amendment/strike-out and countersign

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All records are signed by authorized personnel. The reviewer ensures that said records are legible and contain sufficient information as basis for its endorsement or approval. Hence, records without the signature of approving authorities except e-copies are considered "unofficial".

Storage and Protection

Records are kept in appropriate locations to minimize physical deterioration, damage, and loss. For protection purposes, the following practices are observed: (locks, seal, password, etc.)

- Use of expanded folders/envelopes and/or ring binders;
- Placed in magazine files and stored in shelves or steel cabinets to prevent wear and tear;
- Regular back-up of permanent and archival records including databases;
- Access restriction, through password (this pertains only to soft copy and other security measures) to prevent unauthorized use; and/or
- Control through outsourced warehousing.

Retrieval and Retention

For easy retrieval, filing cabinets, shelves, boxes, magazine files, folders, and envelopes are labeled. Likewise, the inventory is maintained indicating information, such as:

1. Shelf/control number
2. Shelf/Folder labels
3. Case number per status
4. Other physical or visual control mechanisms

Records borrowed by other offices or courts are traced using logbooks, Rollo Tracking System, index cards, and/or CMIS.

Maintenance and Disposal

Maintenance and disposal of records are done in accordance with the Records Disposition or Disposal Schedule.

For easier safekeeping, permanent records may be converted to e-files, except for records that require original copy bearing authentic signatures.

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Attachment

National Archives of the Philippines Guidelines

Prepared by:	Reviewed by:
NAME	NAME
Chief, Records Division	QMS Leader
	Approved by:
	NAME
	Position

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