

Republic of the Philippines  
**CAGAYAN STATE UNIVERSITY**



**Records Management  
Manual of Procedures**



# Records Management Manual of Procedures

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Republic of the Philippines  
CAGAYAN STATE UNIVERSITY  
Tuguegarao City, Cagayan  
**BOARD OF REGENTS**

**EXCERPTS FROM THE MINUTES OF THE 85<sup>th</sup> REGULAR MEETING OF  
THE BOARD OF REGENTS OF CAGAYAN STATE UNIVERSITY HELD  
ON AUGUST 17, 2022**

**RESOLUTION NO. 88**

*Series of 2022*  
August 17, 2022

**A RESOLUTION APPROVING THE RECORDS MANAGEMENT MANUAL OF  
PROCEDURES OF CAGAYAN STATE UNIVERSITY**

**WHEREAS**, records management plays a key role in the operations of Cagayan State University as it systematizes and standardizes the documentation of records in the offices;

**WHEREAS**, records management ensures that documents and records are properly processed, handled, filed, retained and disposed;

**WHEREAS**, the Records Management Manual serves as the University's master guide on the records management processes on which the offices of the University can anchor their respective office manual related to records management;

**WHEREAS**, in compliance with the records management regulations and ISO standards, the Records Management Manual was developed for implementation;

**WHEREAS**, the offices of CSU should develop their office procedures in compliance with this Manual.

**NOW THEREFORE:**

**RESOLVED, AS IT IS HEREBY RESOLVED**, the Board of Regents hereby approves the Records Management Manual of Procedures of Cagayan State University;

**APPROVED** by the CSU Board of Regents on the 17<sup>th</sup> of August 2022 at Lapu-Lapu City, Cebu.

A RESOLUTION APPROVING THE RECORDS MANAGEMENT MANUAL OF PROCEDURES OF CAGAYAN STATE UNIVERSITY

**RESOLUTION NO. 88**

*Series of 2022*  
August 17, 2022

**CERTIFIED AS TRUE AND CORRECT:**

**CARLA MARIE L. SUMIGAD**  
Acting Board Secretary

**ATTESTED BY:**

**DR. URDUJAH G. ALVARADO**  
Vice-Chairperson, CSU Board of Regents  
University President

**Board Resolution No. 88**

# Introduction

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Pursuant to the Article III, Section 3.5 of the National Archive of the Philippines (NAP) General Circular No.1, series of 2009 provides that “each agency shall develop and maintain a records management operation’s manual which shall contain the functions, organizations chart of the records office, policies and standard operating procedures on records management activities”.

In this regard, the Cagayan State University adheres to the relevant laws and policies on records management of an agency. The university is composed of different offices which perform different transactions to its stakeholders. Due to the lack of proper records management, this prompt the university through the Records Office and the University Records Management Improvement Committee to establish the manual in order to have a sound records management policy, to implement the legal ways of disposal, and the effective and efficient retention and retrieval system of all official documents.

The documents regardless of its nature in an office operation is to account for and control the activities of an organization. The accounting and controlling is accomplished primarily through the medium of paper, the records and information it contains. Not only that information must be properly controlled and managed to ensure effective administration, it must also be managed well so that the increasing demands of regulatory agencies and other governmental bodies are complied with.

An efficient records management system is the result of the responsible implementation of the objectives of Republic Act 9470, otherwise known as the “National Archive of the Philippines Act of 2007”. The records management manual serves as a standard process in managing and maintaining active and inactive records including policies, operational and administrative files created by most of the units in the university. In this respect, the law also provides that all government offices shall plan, formulate and implement a records management and archival administration program form the efficient creation, utilization, maintenance, retention, storage, preservation, conservation and disposal of public records including the adoption of security measures and vital records protection program for the agency.







As regards to the records disposition and retention program, the university shall also adopt the rules stipulated under Article 36 of the RA 9470 stating that no officer, member or employee shall destroy, sell or otherwise dispose of any of public records or printed public document in such person's care or custody or under such person's control without first having secured authority from the National Archive of the Philippines (NAP) of their nature and obtained its authorization.

Complementing with the relevant provisions of this manual are the standards set forth in the International Organization for Standardization (ISO) where this standard establishes the core concepts and principles of the creation, capture, and management of records. Following the standards set by the ISO, it ensures that authoritative evidence of business is created, captured, managed and made accessible to those who need it, for as long as it is required.



# Chapter I : Title and General Provisions

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## **Section 1 - Title**

This Manual shall be known as the Cagayan State University (CSU) Records Management Manual of Procedures.

## **Section 2 - Policy Statement**

The Records Officer and the Records Custodian in coordination with the University Records Management Improvement Committee, the Data Privacy Officer, and the Management Information System Officer shall be responsible in the implementation of a sound, systematic, effective and functional records management program in the university. The establishment of the CSU Records Management Manual of Procedures aims to develop and to enhance the delivery of records management services to the university.

## **Section 3 - Definition of Terms**

For the purpose of the manual, the following terms and definitions shall apply;

**Access** – refers to the granting of permission to: use the reference service of an archives institution; examine and study individual archives and records or collections held by archives; and extract information from archives records for research or publications.

**Active Record** – refers to the records that are frequently used or as need arises. Records that are maintained in office files for immediate access, use, and reference. Also considered current records, which are necessary for conducting the business of an office or function.

**Archives** – refers to: public records, papers, periodicals, books or other items, articles, or materials, whether, in the form of electronic, audiovisual, or print, which by their nature and characteristics have enduring value that have been selected for permanent preservation;

**Archival Room**- refers to the place building, room, storage area – where archival materials are kept and preserved; and an organization whose main function is to select, collect and preserve archival records and make such records available for public use.



**Disposition**– refers to a systematic transfer of inactive records from office to storage area, identification and preservation of archival records and the destruction of valueless records.

**Document** – refers to the recorded information regardless of medium or characteristics. The term is frequently used interchangeably with the word record; and a single record item (letter, memorandum, form, or report) consisting of one or more pages.

**Documented Information**- it is an information required to be controlled and maintained information by an organization and on which it is contained.

**Employee** – this includes administrative personnel (permanent, casual, contract of service/ job orders), members of the faculty of instructions (permanent, part-time), who are not members of Executive Committee or the Management Committee of the university.

**Evidential Value** – refers to the value of those records of an organization that are necessary to provide legal, authentic, and adequate documentation of its structure, functions, operations, and performance.

**Evidentiary Value** - is the same as probative worth: the degree to which evidence is able competently to prove a fact.

**File Classification Scheme** – refers to a systematic arrangement of subjects according to a plan as an aid in classifying file materials. A list of subject area identification codes intended for use in filing and identifying retentions for CSU-owned records.

**File** – refers to: a folder containing records; a collection of records involving a specific name or topic; a class of records in a separate group or series of file drawers; or the operation involved in arranging records in systematic order.

**File Plan** – refers to: a logical order of documents or files, and an arrangement or scheme by which all documents may be stored, retrieved, and re-filed.

Inactive Records – refers to the records that are no longer required or which are referred





to so infrequently in the conduct of current business that they may be removed from the office and either retired or destroyed depending on the approved disposition.

**Indexing** – refers to a systematic guide that allows access to specific items contained within a larger body of information; and the placing or listing of items in an order that follows a particular system.

**Inventory** –refers to a detailed listing that could include the types, locations, dates, volumes, equipment, classification systems, and usage data of an organization's records. The dissecting of each record to capture all pertinent information about the record to be used in its appraisal.

**Label** – refers to a device by which the contents of a file folder, file drawer, guide, or shelf are identified. A shelf label may be identified as a range finder because the full range of records on the shelf is clearly identified.

**Life Cycle/Stages of Records** - refers to the span of time of a record from its creation or receipt, through its useful life to its final disposition or retention as a historical record.

**Official Files** – refers to an accumulation of official records documenting an action or providing valuable information. The official files include the originals of incoming correspondence and the initialed copies of the outgoing and interoffice correspondence, the original or action copies of reports, completed forms, maps, photographs, and other similar documents.

**Official Record** – refers to the significant, vital, or important records of continuing value to be protected, managed, and retained according to established retention schedules. Often, but not necessarily an original.

**Operational Record** – refers to a record documenting those activities of an organization that are directed towards the substantive purpose for which the organization was created.



**Records**- refers to an information that is created, received, and maintained as evidence and information in pursuance of legal obligations or transactions.

**Record Copy** – refers to the official copy of a record that is retained for legal, operational, or historical purposes, sometimes the original.

**Record Series** – refers to a group of related records filed/used together as a unit because they deal with a particular subject, result from the same activity or have a special form.

**Records Appraisal** – refers to the process of evaluating records based on their current operational, regulatory, legal, fiscal, and historical significance, their informational value, arrangement, and their relationship to other records.

**Records Center** – refers to the storage of inactive (usually) records on the premises of the organization that is sufficiently protected to ensure their preservation in the event of a disaster.

**Records Management** - refers to the managerial activities involved with respect to the records creation, records maintenance and use, transmission, retention, and records disposition in order documentation of policies and transactions of government for its efficient, effective and economical operation.

**Records Management Manual** - refers to a guide which contain the functions, organizational chart of the records office, policies and standard operating procedures on records management activities of an agency.

**Restricted Access** – refers to a limitation on the access to and use of records. Restrictions may be imposed by law, the organization, or donors of the records to a collection.

**Retention Period** – refers to the period of time that inactive records must be kept after cutoff or break, prior to their destruction; the time period records must be kept according to operational, legal, regulatory, and fiscal requirements.



**Retrieval** – refers to the process of locating and withdrawing a record from a filing system or records storage facility.

**Transfer** – refers to the movement of records out of filing cabinets and office space into the legal custody of an authorized depository.

**Transitory Records** – is a general term for those types of records that lose their value within a short period of time (approximately 3 months) and minimal or no documentary value. Routine correspondence, documents, or records with short-term value which do not serve as basis for official action.

**University Official** – refers to the members of the executive committee (President and the Vice-Presidents), and management committee (Campus Executive Officers, Directors/ Section Heads, and College Deans) of the university.

**Valueless Records**- refers to all records that have reached the prescribed retention periods and outlived their usefulness to the agency or the government as a whole.

## **Section 4 - Concepts of Records Management**

### **a. Filing Concept**

It refers to the placing of records into proper folders or containers for the easy and fast retrieval.

### **b. Paper Work Management Concept**

It is concerned with the paper handling or movement of documents or records from receipt, to its use, to storage and until it reaches its retention period.

### **c. Records Control Concept**

It refers to the strict compliance to the manual of procedures and other relevant laws with regard on the access, release and proper posting of documents relevant to its nature.



**d. Records Retention Concept**

It refers to the life span of the records on which the RMIC will evaluate the documents if these are ready for permanent storage or destruction.

**Section 5 - Phases of Records Management**

**a. Records Creation**

It refers to the bringing of records into existence to appropriately document the agency's functions, policies and procedures, decisions and essential transactions in the operation of the agency.

**b. Records Maintenance and Use**

It refers to the process of records management that involves the systematic and proper handling, arrangement of written materials into a functional filing sequence and the selection of an appropriate type of filing dockets and storage equipment.

**c. Records Disposition**

It refers to the systematic transfer of inactive records from an office to any records storage area, the identification and preservation of permanent records and the disposal of valueless records.

**Section 6 - Categories of Value of Records**

**a. Time Value**

It refers to the specific period of usefulness of records.

**a.1: Temporary** - when the records have served the purposes for which they were created or when action on them have been accomplished and terminated.

**a.2: Permanent**- when the records have administrative, legal, archival, research or historical significance and are worth preserving.



## **b. Utility Value**

It refers to the nature of the usefulness of the records to the agency's operations.

**b.1: Administrative** - records value that is determined by their use as administrative tools in accomplishing the administrative concerns the university to carry out its functions and responsibilities

**b.2: Fiscal** - records value that is determined by their use to discharge financial obligations to the university.

**b.3: Legal** - records expressing legal decisions and opinions, records that generally give protection of the civil, legal, property and rights of an individual

**b.4: Archival** - records value that reflect significant historical events or historical documentations that could be used as basis for research.

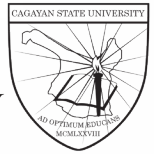
**b.5: Historical** - records that provide complete records of the past and current activities. This could be referred to the policies, plans, rules and procedures which the organization adapted to preserve its institutional memories.





## Chapter II : Organizational Structure, Functions, and Responsibilities on Records Management

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The University Records Management Improvement Committee, the Unit Heads, the Records Officer, Records Custodians, the Management Information System Officer, and the Data Privacy Officer have shared responsibilities in the management and confidentiality of records. They must be responsible for all professional and technical matters relating to the delivery of effective and efficient records management services including training, inspection and auditing of records. On the other hand, the CSU Administration is responsible on matters regarding the welfare, discipline and training of records staff as well as resolution of issues and concerns relating to records management.

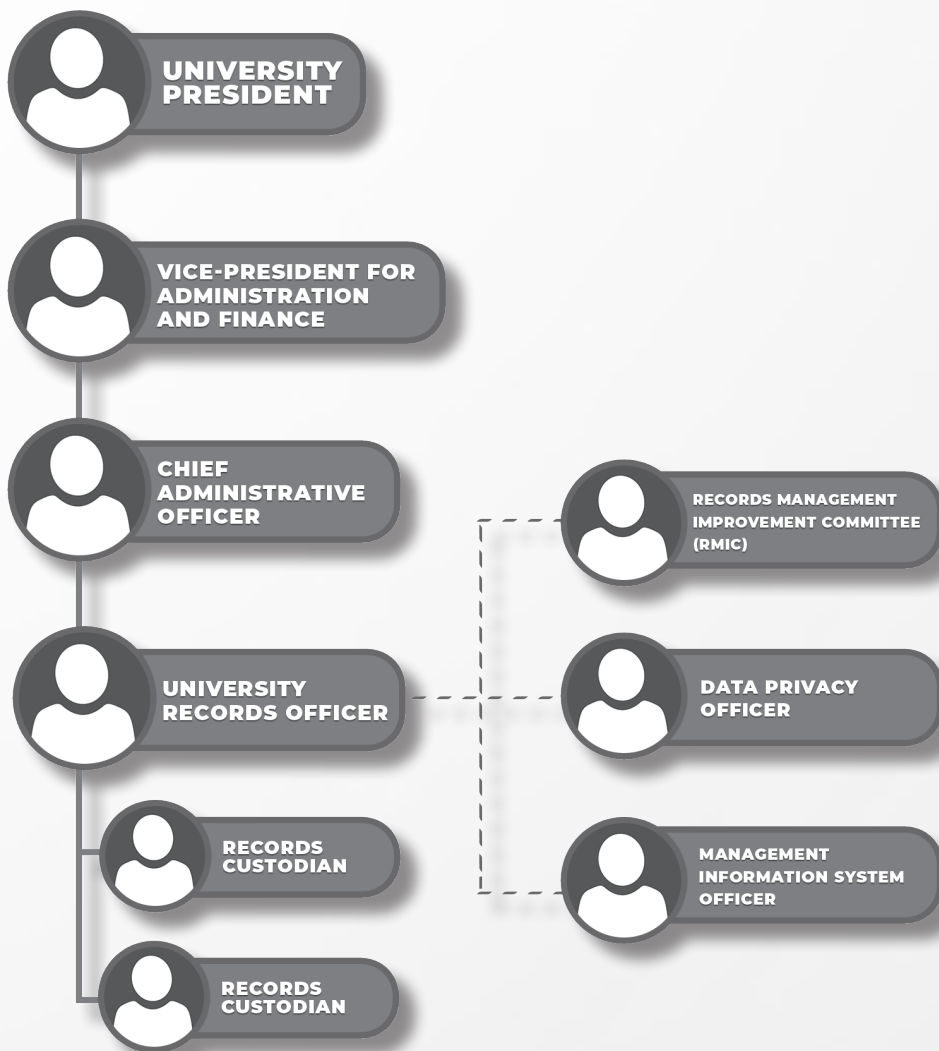
Pursuant to the Data Privacy Act of 2012, the university shall ensure that processing of personal data of employees and students shall be allowed, subject to compliance with the requirements of the law, and other laws allowing disclosure of information to the public, and adherence to the principles of transparency, legitimate purpose.

Finally, all records personnel as well as employees shall operate and hold personal data under strict confidentiality of the documents not intended for public disclosure.



# Organizational Structure

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## **Section 1 - The University Records Management Improvement Committee**

The University Management Improvement Committee is an advisory body on the development of records management system which shall be composed of a Chairperson and members of which shall be designated by the Head of the Agency.

### ***The committee shall:***

1. Implement a systematic records management program in all phases of records management- creation, maintenance, and disposition
2. Identify and preserve documents which are of continuing value and promptly dispose of those which are of temporary value upon the expiration of a predetermined period.
3. Evaluate the documents and determine the retention period of the agency's records and review the records disposition schedule as prepared by the Records Officer, subject to the approval of the University President and the final approval of the Executive Director of the National Archive of the Philippines;
4. Develop policies and techniques for repairing damaged records and take positive steps to prevent loss and unauthorized destruction of records
5. Review the contents of the records disposition program and supervise the implementation of this program; recommend for the approval of the disposal of documents that have already reached its retention period.
6. Establish a repository for the storage of records which are no longer needed by the agency, but which are not yet ready for disposal or a program to transfer the records to the Records Management and Archives Office.

## **Section 2 - The Records Officer**

### ***The University Records Officer shall:***

1. Oversee the records management program and provide guidance on adequate and proper records keeping.



2. Ensure that the particular needs and requirements of the agency and its users in relation to records are promptly met.
3. Respond courteously to the complaints of users, giving reasonable and sound explanations.
4. Direct the overall operation of records classification system and its implementation of processes and procedures.
5. Review and endorse to the Records Center the disposal of all outdated files or other records in accordance with the approved Records Retention and Disposition Schedule.
6. Manage activities involved with respect to the records creation, maintenance and use, transmission, retention, and records disposition in order to achieve adequate and proper documentation of policies and transactions in the office.

### **Section 3 - The Records Custodian**

The Records Custodian refers to any agency employee with responsibilities over a particular set of records.

#### ***Its Records Custodian shall:***

1. Keep the Records Officer informed of any issues regarding the records in their custody.
2. Provide record keeping services to authorized users for the utilization of documents subject to the approval of the Records Officer.
3. Receive and record incoming and internally created records of all kinds;
4. Open and log files, and forward to concerned officers; distribute outgoing records to the concerned offices or officers
5. Classify all officially registered files and other documentation in accordance to the filing and retrieval procedures;
6. Provide storages, repository and references services for all officially registered files and other documentation
7. Record and arrange for the efficient and timely dispatch of all correspondence produced by the officers they serve;



#### **Section 4 - The Management Information System Officer**

The Management Information Officer refers to any agency employee whose major function is to ensure that information required to support the university's operations is collected, organized and distributed to all the stakeholders.

##### ***Its MIS Officer shall:***

1. Oversee all the existing document management system and all the ICT-involved operations in the university;
2. Be responsible for the establishment of a records management system which will be utilized for the digitization of documents;
3. Ensure that all the documents uploaded in the system are properly protected in accordance with the provisions of the Data Privacy Act of 2012;
4. Design and conduct training programs on computer-based operations with regard to records management system, and
5. Maintain a regular review of computer generated reports and issuances to ensure that the right to information is delivered to the right person at the right time.

#### **Section 5- The Data Privacy Officer**

##### ***The Data Privacy Officer shall:***

1. Ensure that all the documents or data in the agency are properly protected;
2. Conduct strict scrutiny of documents prior to its release;
3. Provide recommendations based on the requirements of the law, and other laws allowing disclosure of information to the public, and adherence to the principles of transparency, legitimate purpose when conflict arises, and
4. Fulfill all functions prescribed in the Data Privacy Protection Act and its Implementing Rules and Regulations.





## Chapter III : Records Management and the Law

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The moment that records serve as legal evidence, there are laws that records managers need to be aware of and to be knowledgeable so that records are handled properly and protected at all phases of records management. Considering that records are vital in the efficient and effective operation in the university, it is important to consider the laws governing the management of records as well as the legal attributes of records.

### **Section 1 - Constitutional Provisions and other Relevant Statutes**

The following provisions of the Constitution and other relevant laws governing the security of records:

#### **1. The 1987 Philippine Constitution**

Under the Article II, Section 28 of the Constitution provides that “subject to reasonable conditions prescribed by law, the State adopts and implements a policy of full public disclosure of all its transactions involving public interest.

In like manner, under the Article III, Section 7 of the Constitution states that “the right of the people to information on matters of public concern shall be recognized. Access to official records, and to documents, and papers pertaining to official acts, transactions, or decisions, as well as to government research data used as basis for policy development, shall be afforded the citizen, subject to such limitations as may be provided by law.

#### **2. The Executive Order No. 608, series of 2007**

Establishing a National Security Clearance System for Government Personnel with Access to Classified Matters and for other Purposes

This executive order was promulgated to ensure against unauthorized access or disclosure of information and classified matters which could cause grave damage to the government or national interest.

Section 1.b provides that heads of departments and/or agencies of the government or their designated or instrumentalities, shall before issuance of the Interim Security Clearance,



issue a certification that after strictly complying with the security clearance procedure, the officer or employee is cleared to have access or category of classified information to which such personnel is authorized to have access.

Section 6 also provides that any unauthorized disclosure, sharing, publication or use of the information contained in the classified documents or materials shall be considered a grave offense and shall be punishable in accordance with civil service rules and regulations. The filing of an administrative case against an erring personnel or officer does not preclude the filing of any other appropriate criminal or civil case for the same violation/s.

### **3. Executive Order No. 02, series of 2016**

This executive order provides every Filipino to have access to information, official records, public records, and to documents and papers pertaining to official acts, transactions, or decisions, as well as to government research data used as basis for policy development. ‘

In this respect, the EO also provides for the protection of privacy provided under Section 7 which states that Privacy. While providing access to information, public records, and official records, responsible officials shall afford full protection to the right to privacy of the individual as follows:

(a) Each government office per Section 2 hereof shall ensure that personal information in its custody or under its control is disclosed or released only if it is material or relevant to the subject-matter of the request and its disclosure is permissible under this order or existing law, rules or regulations;

(b) Each government office must protect personal information in its custody or control by making reasonable security arrangements against leaks or premature disclosure of personal information which unduly exposes the individual whose personal information is requested, to vilification, harassment or any other wrongful acts.

(c) Any employee, official or director of a government office per Section 2 hereof who



has access, authorized or unauthorized, to personal information in the custody of the office, must not disclose that information except when authorized under this order or pursuant to existing laws, rules or regulation.

#### **4. *The Republic Act 10173 Data Privacy Act of 2012***

This law enacted to protect the fundamental human right of privacy, of communication while ensuring free flow of information to promote innovation and growth. The State recognizes the vital role of information and communications technology in nation-building and its inherent obligation to ensure that personal information in information and communications systems in the government and in the private sector are secured and protected.

#### **5. *Republic Act No. 11032 Ease of Doing Business and Efficient Government Service Delivery Act of 2018***

This law aims to promote integrity, accountability, proper management of public affairs and public property as well as to establish effective practices, aimed at efficient turnaround of the delivery of government services and the prevention of graft and corruption in government. It also maintains honesty and responsibility among its public officials and employees, and shall take the appropriate measures to promote transparency in each agency with regard to the manner of transacting with the public, which shall encompass a program for the adoption of simplified requirements and procedures that will reduce red tape and expedite business and nonbusiness related transactions in the government.

#### **6. *The Republic Act 6713 Code of Conduct and Ethical Standards for Public Officials and Employees***

Section 5 of this law also provides for the duties of public officials and employees to respond on the needs of the people with regard to the release of official documents.

(a) Act promptly on letters and requests. - All public officials and employees shall, within fifteen (15) working days from receipt thereof, respond to letters, telegrams or other means



of communications sent by the public. The reply must contain the action taken on the request.

(b) Submit annual performance reports- All heads or other responsible offices and agencies of the government and of government-owned or controlled corporations shall, within forty-five (45) working days from the end of the year, render a performance report of the agency or office or corporation concerned. Such report shall be open and available to the public within regular office hours.

(c) Process documents and papers expeditiously. - All official papers and documents must be processed and completed within a reasonable time from the preparation thereof and must contain, as far as practicable, not more than three (3) signatories therein. In the absence of duly authorized signatories, the official next-in-rank or officer in charge shall sign for and in their behalf.

(d) Act immediately on the public's personal transactions. - All public officials and employees must attend to anyone who wants to avail himself of the services of their offices and must, at all times, act promptly and expeditiously.

(e) Make documents accessible to the public. - All public documents must be made accessible to, and readily available for inspection by, the public within reasonable working hours

## **6. MEMORANDUM ORDER 2017-06-102: *University Rules on Data Privacy***

This memorandum order was issued pursuant to the enactment of Republic Act 10173 and Its Implementing Rules and Regulations promulgated by the National Privacy Commission, complying with the initiatives of the Commission on Higher Education to implement the law in all State Universities and Colleges (SUCs). The issued memorandum by the University President should be strictly followed and applied in the access of official documents in the university.



## **Section 2 - Liability in Mishandling of Records**

The following articles of the Revised Penal Code and other penal provisions of the different special laws penalize public officials who commit an offense involving the abstraction, destruction and concealment of documents that were entrusted to him or her by reason of his office and that damage or prejudice to the public interest to a third person be caused by such act.

### ***Art. 171, Revised Penal Code. Falsification by public officer, employee or notary or ecclesiastic minister.***

The penalty of prision mayor and a fine not to exceed P5,000 pesos shall be imposed upon any public officer, employee, or notary who, taking advantage of his official position, shall falsify a document by committing any of the following acts:

1. *Counterfeiting or imitating any handwriting, signature or rubric;*
2. *Causing it to appear that persons have participated in any act or proceeding when they did not in fact so participate;*
3. *Attributing to persons who have participated in an act or proceeding statements other than those in fact made by them;*
4. *Making untruthful statements in a narration of facts;*
5. *Altering true dates;*
6. *Making any alteration or intercalation in a genuine document which changes its meaning;*
7. *Issuing in an authenticated form a document purporting to be a copy of an original document when no such original exists, or including in such a copy a statement contrary to, or different from, that of the genuine original; or*
8. *Intercalating any instrument or note relative to the issuance thereof in a protocol, registry, or official book.*





**Art. 172, Revised Penal Code. Falsification by private individual and use of falsified documents**

The penalty of prision correccional in its medium and maximum periods (2 years, 4 months and 1 day to 6 years) and a fine of not more than P5,000 pesos shall be imposed upon:

1. *Any private individual who shall commit any of the falsifications enumerated in the next preceding article in any public or official document or letter of exchange or any other kind of commercial document; and*
2. *Any person who, to the damage of a third party, or with the intent to cause such damage, shall in any private document commit any of the acts of falsification enumerated in the next preceding article.*

Any person who shall knowingly introduce in evidence in any judicial proceeding or to the damage of another or who, with the intent to cause such damage, shall use any of the false documents embraced in the next preceding article, or in any of the foregoing subdivisions of this article, shall be punished by the penalty next lower in degree.

**Art. 226, Revised Penal Code. Removal, concealment or destruction of documents**

Any public officer who shall remove, destroy or conceal documents or papers officially entrusted to him, shall suffer: 1. The penalty of prision mayor and a fine not exceeding 1,000 pesos, whenever serious damage shall have been caused thereby to a third party or to the public interest. 2. The penalty of prision correccional in its minimum and medium period and a fine not exceeding 1,000 pesos, whenever the damage to a third party or to the public interest shall not have been serious. In either case, the additional penalty of temporary special disqualification in its maximum period to perpetual disqualification (from the government service) shall be imposed.

**Art. 227, Revised Penal Code. Officer breaking seal**

Any public officer charged with the custody of papers or property sealed by proper authority, who shall break the seals or permit them to be broken, shall suffer the penalties of prision correccional in its minimum and medium periods, temporary special disqualification and a fine not exceeding 2,000 pesos.



***Art. 228, Revised Penal Code. Opening of closed documents***

Any public officer not included in the provisions of the next preceding article who, without proper authority, shall open or shall permit to be opened any closed papers, documents or objects entrusted to his custody, shall suffer the penalties of arresto mayor, temporary special disqualification and a fine of not exceeding 2,000 pesos. Section Three — Revelation of secrets This section particularly gives importance to the responsibility of record custodians not only to the physical aspect of records but also to the information therein.

***Art. 229, Revised Penal Code. Revelation of secrets by an officer***

Any public officer who shall reveal any secret known to him by reason of his official capacity, or shall wrongfully deliver 37 papers or copies of papers of which he may have charged and which should not be published, shall suffer the penalties of prision correccional in its medium and maximum periods, perpetual special disqualification and a fine not exceeding 2,000 pesos if the revelation of such secrets or the delivery of such papers shall have caused serious damage to the public interest; otherwise, the penalties of prision correccional in its minimum period, temporary special disqualification and a fine not exceeding 50 pesos shall be imposed.

***Art. 230, Revised Penal Code. Public officer revealing secrets of private individual***

Any public officer to whom the secrets of any private individual shall become known by reason of his office who shall reveal such secrets, shall suffer the penalties of arresto mayor and a fine not exceeding 1,000 pesos.

***Section 51, IRR of the Data Privacy Act. Accountability for Violation of the Act, these Rules and Other Issuances of the Commission.***

a. Any natural or juridical person, or other body involved in the processing of personal data, who fails to comply with the Act, these Rules, and other issuances of the Commission, shall be liable for such violation, and shall be subject to its corresponding sanction, penalty, or fine, without prejudice to any civil or criminal liability, as may be applicable.



b. In cases where a data subject files a complaint for violation of his or her rights as data subject, and for any injury suffered as a result of the processing of his or her personal data, the Commission may award indemnity on the basis of the applicable provisions of the New Civil Code.

c. In case of criminal acts and their corresponding personal penalties, the person who committed the unlawful act or omission shall be recommended for prosecution by the Commission based on substantial evidence. If the offender is a corporation, partnership, or any juridical person, the responsible officers, as the case may be, who participated in, or by their gross negligence, allowed the commission of the crime, shall be recommended for prosecution by the Commission based on substantial evidence.

***Section 52, IRR of the Data Privacy Act. Unauthorized Processing of Personal Information and Sensitive Personal Information.***

a. A penalty of imprisonment ranging from one (1) year to three (3) years and a fine of not less than Five hundred thousand pesos (Php500,000.00) but not more than Two million pesos (Php2,000,000.00) shall be imposed on persons who process personal information without the consent of the data subject, or without being authorized under the Act or any existing law.

b. A penalty of imprisonment ranging from three (3) years to six (6) years and a fine of not less than Five hundred thousand pesos (Php500,000.00) but not more than Four million pesos (Php4,000,000.00) shall be imposed on persons who process sensitive personal information without the consent of the data subject, or without being authorized under the Act or any existing law.

***Section 53, IRR of the Data Privacy Act. Accessing of Personal Information and Sensitive Personal Information Due to Negligence.***

a. A penalty of imprisonment ranging from one (1) year to three (3) years and a fine of not less than Five hundred thousand pesos (Php500,000.00) but not more than Two million



pesos (Php2,000,000.00) shall be imposed on persons who, due to negligence, provided access to personal information without being authorized under the Act or any existing law.

b. A penalty of imprisonment ranging from three (3) years to six (6) years and a fine of not less than Five hundred thousand pesos (Php500,000.00) but not more than Four million pesos (Php4,000,000.00) shall be imposed on persons who, due to negligence, provided access to sensitive personal information without being authorized under the Act or any existing law.

***Section 54, IRR of the Data Privacy Act. Improper Disposal of Personal Information and Sensitive Personal Information***

a. A penalty of imprisonment ranging from six (6) months to two (2) years and a fine of not less than One hundred thousand pesos (Php100,000.00) but not more than Five hundred thousand pesos (Php500,000.00) shall be imposed on persons who knowingly or negligently dispose, discard, or abandon the personal information of an individual in an area accessible to the public or has otherwise placed the personal information of an individual in its container for trash collection.

b. A penalty of imprisonment ranging from one (1) year to three (3) years and a fine of not less than One hundred thousand pesos (Php100,000.00) but not more than One million pesos (Php1,000,000.00) shall be imposed on persons who knowingly or negligently dispose, discard or abandon the sensitive personal information of an individual in an area accessible to the public or has otherwise placed the sensitive personal information of an individual in its container for trash collection.

***Section 55, IRR of the Data Privacy Act. Processing of Personal Information and Sensitive Personal Information for Unauthorized Purposes.***

a. A penalty of imprisonment ranging from one (1) year and six (6) months to five (5) years and a fine of not less than Five hundred thousand pesos (Php500,000.00) but not more than One million pesos (Php1,000,000.00) shall be imposed on persons processing



personal information for purposes not authorized by the data subject, or otherwise authorized under the Act or under existing laws.

b. A penalty of imprisonment ranging from two (2) years to seven (7) years and a fine of not less than Five hundred thousand pesos (Php500,000.00) but not more than Two million pesos (Php2,000,000.00) shall be imposed on persons processing sensitive personal information for purposes not authorized by the data subject, or otherwise authorized under the Act or under existing laws.

#### ***Section 56, IRR of the Data Privacy Act. Unauthorized Access or Intentional Breach.***

A penalty of imprisonment ranging from one (1) year to three (3) years and a fine of not less than Five hundred thousand pesos (Php500,000.00) but not more than Two million pesos (Php2,000,000.00) shall be imposed on persons who knowingly and unlawfully, or violating data confidentiality and security data systems, breaks in any way into any system where personal and sensitive personal information are stored.

#### ***Section 57, IRR of the Data Privacy Act. Concealment of Security Breaches Involving Sensitive Personal Information***

A penalty of imprisonment ranging from one (1) year and six (6) months to five (5) years and a fine of not less than Five hundred thousand pesos (Php500,000.00) but not more than One million pesos (Php1,000,000.00) shall be imposed on persons who, after having knowledge of a security breach and of the obligation to notify the Commission pursuant to Section 20(f) of the Act, intentionally or by omission conceals the fact of such security breach.

#### ***Section 58, IRR of the Data Privacy Act. Malicious Disclosure.***

Any personal information controller or personal information processor, or any of its officials, employees or agents, who, with malice or in bad faith, discloses unwarranted or false information relative to any personal information or sensitive personal information





obtained by him or her, shall be subject to imprisonment ranging from one (1) year and six (6) months to five (5) years and a fine of not less than Five hundred thousand pesos (Php500,000.00) but not more than One million pesos (Php1,000,000.00).

### ***Section 59, IRR of the Data Privacy Act. Unauthorized Disclosure***

a. Any personal information controller or personal information processor, or any of its officials, employees, or agents, who discloses to a third party personal information not covered by the immediately preceding section without the consent of the data subject, shall be subject to imprisonment ranging from one (1) year to three (3) years and a fine of not less than Five hundred thousand pesos (Php500,000.00) but not more than One million pesos (Php1,000,000.00).

b. Any personal information controller or personal information processor, or any of its officials, employees or agents, who discloses to a third party sensitive personal information not covered by the immediately preceding section without the consent of the data subject, shall be subject to imprisonment ranging from three (3) years to five (5) years and a fine of not less than Five hundred thousand pesos (Php500,000.00) but not more than Two million pesos (Php2,000,000.00).

### ***Section 63, IRR of the Data Privacy Act. Offense Committed by Public Officer.***

When the offender or the person responsible for the offense is a public officer, as defined in the Administrative Code of 1987, in the exercise of his or her duties, he or she shall likewise suffer an accessory penalty consisting of disqualification to occupy public office for a term double the term of the criminal penalty imposed.



## **Section 21, Ease of Doing Business and Efficient Government Service Delivery Act of 2018. Violations and Persons Liable**

Any person who performs or cause the performance of the following acts shall be liable:

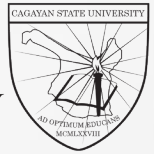
- "(a) Refusal to accept application or request with complete requirements being submitted by an applicant or requesting party without due cause;*
- "(b) Imposition of additional requirements other than those listed in the Citizen's Charter;*
- "(c) Imposition of additional costs not reflected in the Citizen's Charter;*
- "(d) Failure to give the applicant or requesting party a written notice on the disapproval of an application or request;*
- "(e) Failure to render government services within the prescribed processing time on any application or request without due cause;*
- "(f) Failure to attend to applicants or requesting parties who are within the premises of the office or agency concerned prior to the end of official working hours and during lunch break;*
- "(g) Failure or refusal to issue official receipts; and*
- "(h) Fixing and/or collusion with fixers in consideration of economic and/or other gain or advantage."*

## **Section 22, Ease of Doing Business and Efficient Government Service Delivery Act of 2018. Penalties and Liabilities**

Any violations of the preceding actions will warrant the following penalties and liabilities.

- "(a) First Offense: Administrative liability with six (6) months suspension: Provided, however, that in the case of fixing and/or collusion with fixers under Section 21(h), the penalty and liability under Section 22(b) of this Act shall apply.*
- "(b) Second Offense: Administrative liability and criminal liability of dismissal from the service, perpetual disqualification from holding public office and forfeiture of retirement benefits and imprisonment of one (1) year to six (6) years with a fine of not less than Five hundred thousand pesos (P500,000.00), but not more than Two million pesos (P2,000,000.00).*





*“Criminal liability shall also be incurred through the commission of bribery, extortion, or when the violation was done deliberately and maliciously to solicit favor in cash or in kind. In such cases, the pertinent provisions of the Revised Penal Code and other special laws shall apply.”*

**Section 7 (c), Code of Conduct and Ethical Standards for Public Officials and Employees. Disclosure and/or misuse of confidential information.**

Public officials and employees shall not use or divulge, confidential or classified information officially known to them by reason of their office and not made available to the public, either:

- (1) To further their private interests, or give undue advantage to anyone; or
- (2) To prejudice the public interest.



## Chapter IV : Policies and Procedures

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### **Section 1 - Policies**

- a. The employees shall strictly observe the secrecy of communication. No employee is allowed to leak information on all communications and documents received and recorded.
- b. The employees are strictly not allowed to authenticate, reproduce, circulate, release or give copies of documents to unauthorized individual without authority or permission from the concerned or from the higher authorities of the university.
- c. All official correspondence and mail (in original copies) received through the Postal services office, accredited couriers, fax, electronic mails and other related means should be recorded to the Records Office to be routed to the concerned action officers.
- d. Correspondence or mail addressed personally to the official/employee, or bearing the name of the official/employee together with the position title, should not be opened unless authorized.
- e. Issuances from the Office of the University President and from other university officials or employees should be processed, disseminated and uploaded to the Document Archive Access System and/or circulated to the different offices, department, units and sections within the day and without delays.
- f. All issuances that are not official in its nature shall be deemed void, and has no legal effect. Such communication will be disregarded. Only official communication that are properly and officially released from the Records Office and the Offices of the university officials should be regarded with legality and effect.
- g. Official correspondence for the university officials should be coursed through the Records Office for stamping "received or official release"
- h. A photocopy of document could serve as a reference only and not valid for processing. Only the original copy of document should be officially stamped "received" or "official released" and to be forwarded to the concerned University Officials and other employees.
- i. The Records Office should always keep a copy or copies of official correspondence received with complete action taken for its "file or "official file".



j. The whole folders of correspondence are not allowed to be issued by the Records Officer or personnel to any requesting parties. Only the specific document being requested by the concerned or an authorized representative should be taken out from the folder to be returned immediately after reproduction.

k. Every office of the university shall have their own official logbooks for incoming and outgoing communications indicating the correspondence number, date, sender, subject matter and the initial of the receiving personnel. Action taken must be recorded under the column "remarks" in the logbook.

l. The date of receipt of the correspondence in original copy should be stamped on the top right portion of the document indicating the date, control number, initial of receiving personnel and the time.

m. The correspondence to be released should be properly recorded in the logbook for outgoing communications stating the correspondence number, date, addressee, subject matter, means of sending, total denominations of stamps used if sent through mail or official receipts as proof if sent through courier/forwarders.

n. Only authorized personnel of the Records Management Office should be allowed to retrieve and to pull-out files and folders on the dockets and storage cabinets.

o. The Records Officer should be the one to certify documents being requested. Only the verified documents on file should be authenticated. The documents could be stamped as:

- a. Certified photocopy
- b. Authenticated copy

p. Requests for copies of confidential records, legal documents, records involving criminal, civil and administrative proceedings, and other related official documents and administrative issuances should be recommended by the Data Privacy Officer and be approved by the University President. The above-mentioned records could be subject to restrictions due to the sensitive nature of information contained therein. The concerned official or employee should state the reason why the documents are needed and for what particular purposes. Authorized representative is not allowed considering the nature of the documents being requested.



q. All Heads of offices, personnel of the records office should be responsible for the safeguarding of documents to prevent unauthorized access. They are not allowed to leave any documents in public view.

r. The Records Officer shall be accountable and responsible for the safekeeping of all records and documents under the custody of the Records Office.

## **Section 2 - Procedures**

### ***2.1 Receiving of Correspondence and Documents***

a. Incoming mail claimed by the university messenger from the postal services office or through the accredited couriers should be forwarded to the Records Management Office.

b. All communications received by the different offices through social media platforms, electronic mails, or mail service applications shall be held accountable and have full control to the documents received. The offices may opt to furnish a copy to the Records office for proper recording.

c. Official mail and correspondence shall be stamped "received". The date of receipt of the correspondence in the original copy should be stamped on the top right portion of the document indicating the date, control number, initial of the receiving personnel and the time.

d. Official documents shall be recorded in the excel file and logbook to be routed to the concerned employees and to be acknowledged by their authorized receiving personnel.

e. The Records Custodian may check on the following before stamping and affixing his initials on the documents being received:

- e.1. Documents should be in original copies
- e.2 Correct name and complete address of the addressee
- e.3 Documents are properly signed by the sender/endorsing officials
- e.4 Complete number of sheets/pages of the documents
- e.5 Complete enclosures and attachments mentioned in the communication

f. Mail with wrong name of addressees and incorrect addresses from the postal services office,



couriers or forwarders should not be received by the messenger or the Records Custodian. In like manner, if the addressee is no longer connected to the university, said mail should be returned to the postal office, couriers or forwarders.

g. Documents assessed and appraised to have corresponding restrictions should be referred to the Data Privacy Officer, and to the University President through the University Risk Officer before the Records Custodian will stamp "received".

h. Private and personal mails shall be claimed by the concerned employees to the Records Office. Authorized person is allowed to claim such document.

i. Communications to be circulated and disseminated through channels shall always be in original copies including the corresponding endorsements, attachments and/or actions taken.

j. Photocopies of incoming official issuances or correspondence addressed directly to concerned university officials or through channels are not valid for processing. Said photocopies be considered as "reference only". Only the original documents should be coursed to the addressees or concerned university officials or employees.

k. The personnel in charge of receiving the official communications, mail, administrative issuances and other related documents delivered by the messenger or Records Custodian to the different offices are always assumed to be responsible for the proper handling of the documents they received.

l. For the sealed and unsealed documents from individuals, outside agencies and offices being hand-carried by an authorized person for the University Head and with separate copies and/or copy furnished for the other university officials, the Records Custodian should only receive the documents intended and officially addressed for the university head.

m. Copies of documents that did not pass through the Records Office for official release or received, shall be accepted and shall serve as "file copy". The documents should be stamped "received" with no correspondence number but with the date and initial of the receiving personnel.





n. Documents that did not pass through the Records Office but had already acted upon by the University Officials shall be stamped on the date when the documents are forwarded to the Records Office.

## ***2.2: Releasing of Correspondence and Documents***

a. All communications to be released shall be stamped “official release”, dated, numbered and initialed by the Records Custodian.

b. The originating office should specify to the Records Custodian the service desired whether the outgoing correspondence is for messenger service, personal deliver, postal, courier, fax, electronic mail, DAAS, and other related means.

c. The originating office shall have a scanned copy of the documents being forwarded to the Records Office in order for the concerned office has its own electronic files.

d. Official documents released for mailing shall be affixed with stamps. Denominations of stamps be used and it should be recorded in the excel file and in the logbook for outgoing correspondence.

e. Outgoing official issuances from the University President and other University Officials shall be received by the Records Office with complete copy furnished copies or attachments as stated in the original communication.

f. In cases of rush and urgent issuances/advisories issued by the University President or other University Officials, the office personnel-in-charge from which the issuance originated could also help assist in the dissemination of advance information in order to avoid unnecessary delays and to facilitate the fast flow of communication due to the time element involved.

g. Official documents forwarded to the Records Office after 4 o'clock in the afternoon shall be processed as to priorities and whenever necessary, be considered for the next day transaction except for urgent issuances.



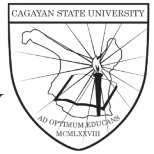
### **Section 3 - Deposit of Official Records**

- a. The Records Officer shall be accountable and in full control of all documents deposited, furnished or received.
- b. All offices of the university shall deposit documents that have LEGAL, ARCHIVAL, and HISTORICAL value to the Records Office for proper recording and keeping.
- c. The Records Officer may conduct proper evaluation of these documents before these documents shall be admitted for proper recording and keeping.
- d. All documents with legal, archival, and historical value sent via social media platforms, and electronic mails shall be acknowledged but should be considered as "reference/file copy" only. Hard copies of these documents should be forwarded to the Records Office.
- e. These documents are highly confidential or restricted documents, in which case, prior to its release, proper procedures must be undertaken.

### **Section 4 - Access to Official Records**

- a. The request for official documents shall be made by the concerned employee or the authorized representative. The requesting party fills-out the necessary request forms to be provided by the Records Custodian
- b. Regardless of the nature of the documents whether general, sensitive or highly confidential, the requesting party is mandated to state the reasons why the documents are being requested and for what particular purpose.
- c. The Records Officer may conduct proper evaluation of the filled-out request form based on the nature of the documents being requested.
- d. Only the Records Custodian shall process the request of the requesting party, releases the document, and ensures that the requesting party duly acknowledged and received the documents.





e. Documents being requested by courts/judiciaries, quasi-judicial bodies, or the disciplining board of the university should be referred to the Data Privacy Officer and to the University President through the University Risk Officer before the documents could be released.

f. No records or documents shall be released to any requesting party without submitting a duly accomplished request form.

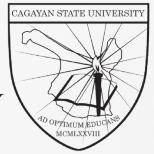
g. Authorized representative is allowed to access documents that are available in public, however, authorization letter is needed.

h. Authorized representative is not allowed to access documents that are sensitive, highly confidential or restricted in nature. Only the concerned employee is allowed to request such.



## Chapter V : Retention and Disposition of Records

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The Records Office shall ensure that the University is compliant to the mandates by the National Archive of the Philippines in regard to the proper retention and disposition of records in the university. In this regard, no employee shall conduct unauthorized disposition of records without undertaking the proper disposal procedures and processes. The retention and disposition procedures of the University is anchored on the National Archive of the Philippines General Circular No. 1, series of 2009.

### **Section 1 - Retention Procedures**

- a. The University through the Records Office shall prepare a proper inventory of its records and classify them according to their appraisal value.
- b. The University Records Officer conducts evaluation and review on the inventoried documents before recommending it to the University Records Management Improvement Committee for their evaluation and recommendation.
- c. All documents that are no longer in frequent use, and have not yet reached the retention period should be transferred to the Archival Room for its preservation and protection.
- d. No documents shall be retained in the Archival Room once these documents have already reached their retention periods.
- e. The University shall strictly follow the General Disposition Schedule provided by the NAP and the Special Schedule made by the university in order to maintain the proper retention of documents.

### **Section 2 - Disposition Procedures**

- a. The University through the Records Office shall prepare an inventory of its records holding in the prescribed form provided by the NAP as an initial step in developing the Records Disposition Schedule (RDS) and for whatever purpose it may serve.



- b. The University through the Records Office shall observe the General and Special Disposition of Records Schedules in determining the disposal of its valueless records.
- c. All Head of Offices shall fill-out all the NAP forms before the documents are disposed. Proper procedures should be taken before the NAP forms be submitted to the NAP for their review and approval.
- d. All forms filled-out by the Heads of Offices, must be reviewed by the University Records Officer, properly evaluated by the University Records Management Improvement Council, recommended by the Chief Administrative Officer, and for the approval of the University President.
- e. The Records Officer who is in custody of the records holding shall be responsible for the safekeeping of the valueless records until their disposal is granted and authorized.
- f. A certificate of disposal shall be prepared by the university in triplicate forms and witnessed by the representatives of the Commission on Audit. The certificate shall indicate the nature of the records, the manner, place and date of disposal and their approximate volume in cubic meters and weight.
- g. The University shall adhere to the legal ways of disposing documents as provided by the National Archive of the Philippines.



## Chapter VI : Records Management Forms

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### **External Forms**

- a. **NAP Form 1** - Records Inventory and Appraisal (*Annexed A*)
- b. **NAP Form 2** - Records Disposition Schedule (*Annexed B*)
- c. **NAP Form 3** - Request for Authority to Dispose of Records (*Annexed C*)

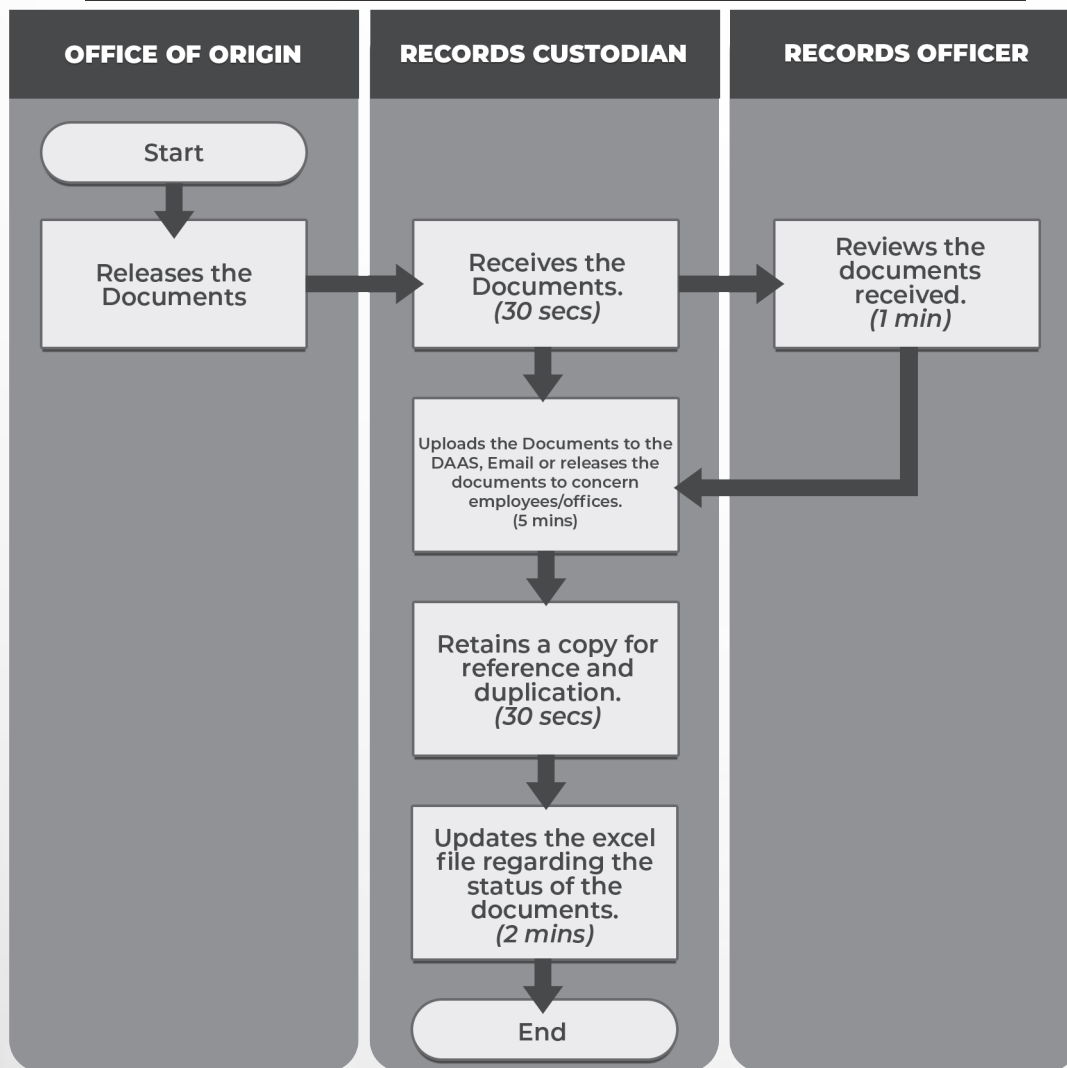
### **Internal Forms**

- a. **Records Form 01** - Records Request Form on Routinary or Basic Documents (*Annexed D*)
- b. **Records Form 02** - Records Request Form on Confidential or Restricted Documents (*Annexed E*)



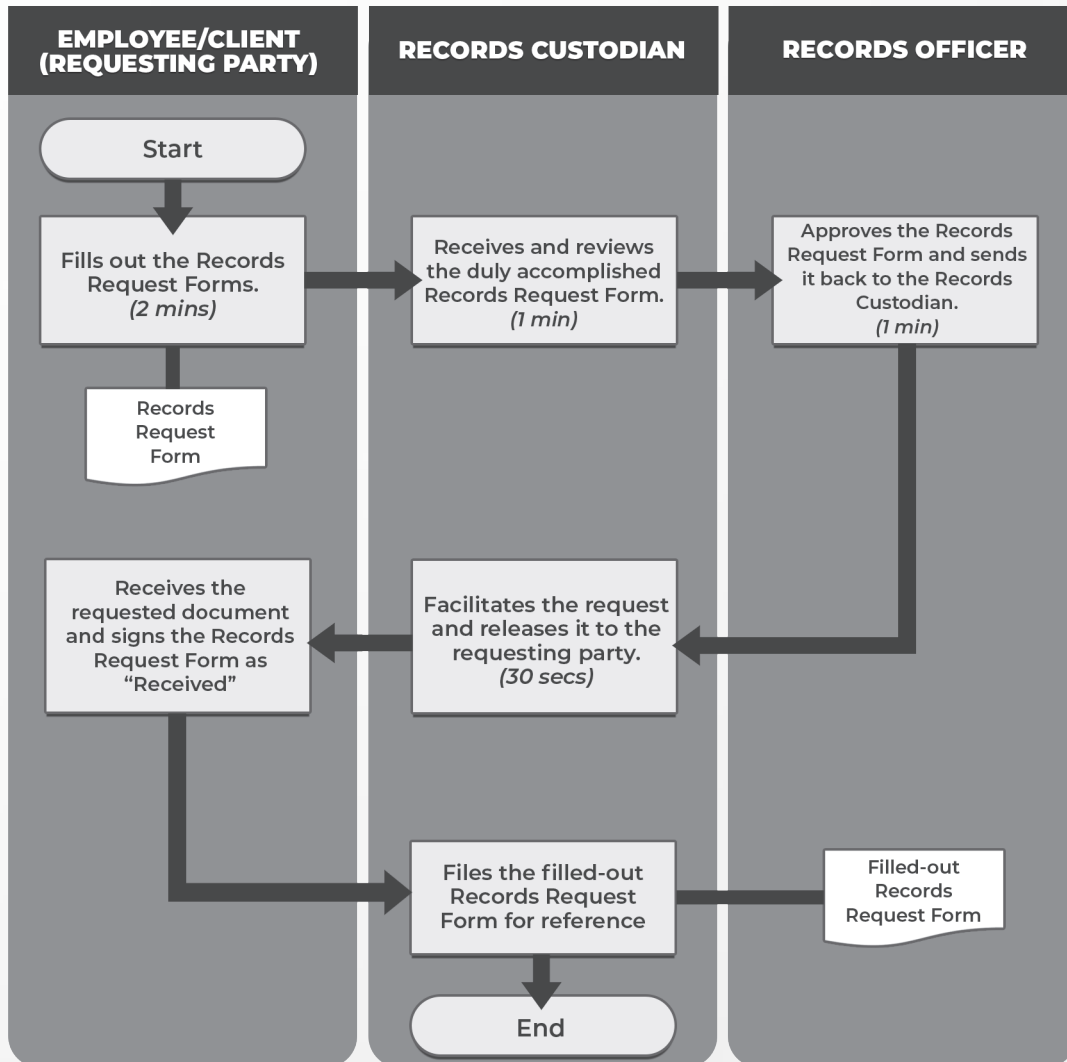


### Flowchart of Receiving and Releasing/Uploading of Documents

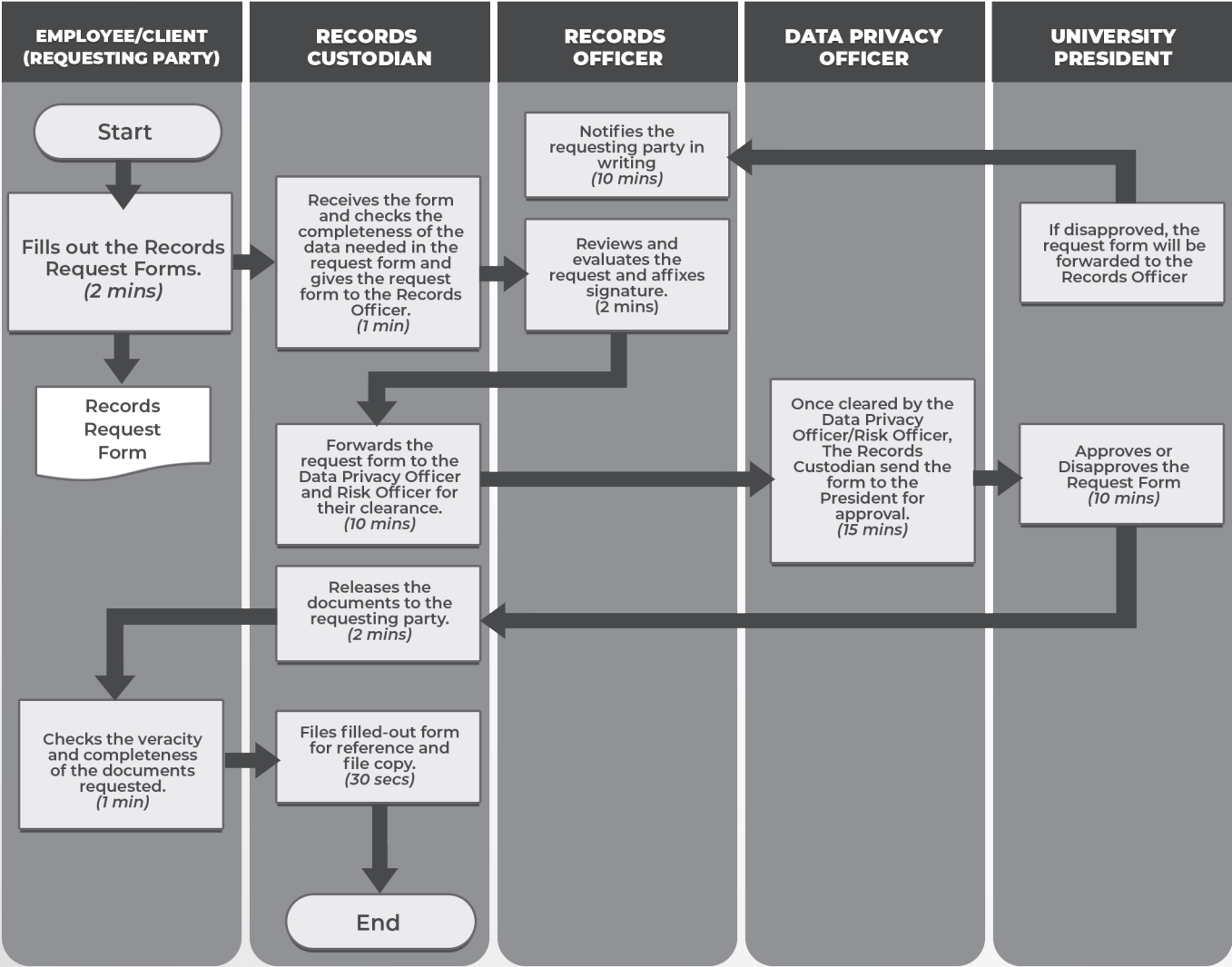




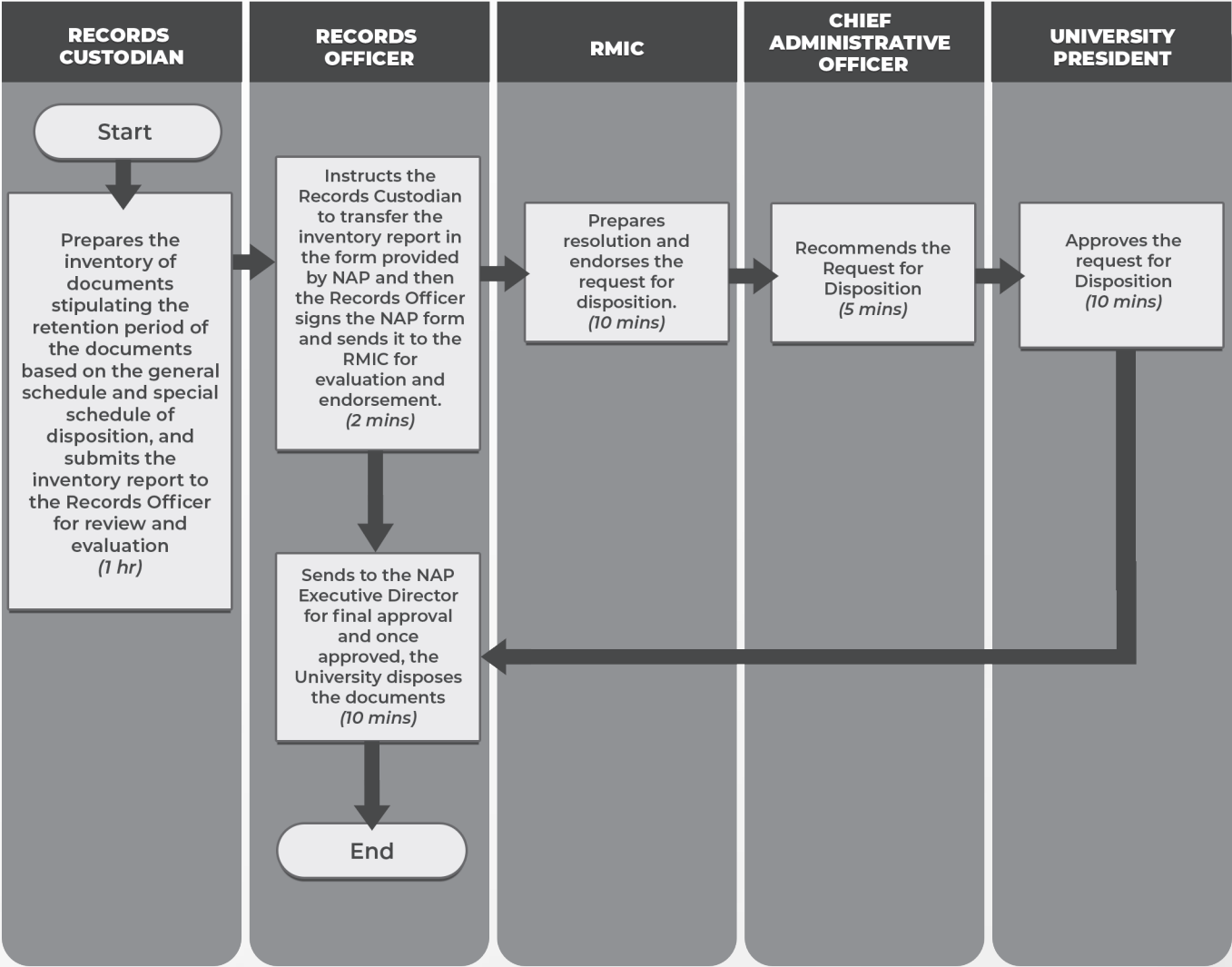
## Flowchart of Releasing of Requested Documents



Flowchart of Releasing of Confidential Documents



Flowchart of Disposition of Documents



ANNEX A

NATIONAL ARCHIVES OF THE PHILIPPINES <i>Pambansang Sinupan ng Pilipinas</i>  RECORDS INVENTORY AND APPRAISAL		AGENCY				ORGANIZATIONAL UNIT					TELEPHONE NO.:	
		ADDRESS				PERSON-IN-CHARGE OF FILES					DATE PREPARED	
RECORDS SERIES TITLE & DESCRIPTION	PERIOD COVERED	VOLUME IN CUBIC METER	LOCATION OF RECORDS	FREQUENCY OF USE	DUPLICATION	TIME VALUE T / P	UTILITY VALUE Adm / F / L / Arc	RETENTION PERIOD			DISPOSITION PROVISION	
								Active	Storage	Total		

LEGEND:  
TIME VALUE:    T - Temporary            P - Permanent  
UTILITY VALUE:    Adm - Administrative    F - Fiscal    L - Legal    Arc - Archival

PREPARED BY:

\_\_\_\_\_

Name and Position

ASSISTED BY:

\_\_\_\_\_

NAP Records Management Analyst

APPROVED BY:

\_\_\_\_\_

Chief of the Division/Department



## ANNEX B

NATIONAL ARCHIVES OF THE PHILIPPINES <i>Pambansang Sinupan ng Pilipinas</i>  <b>RECORDS DISPOSITION SCHEDULE</b>		1. AGENCY NAME: CAGAYAN STATE UNIVERSITY			
		2. ADDRESS: CARITAN SUR, TUGUEGARAO CITY, CAGAYAN			
3. SCHEDULE NO.:		4. DATE PREPARED:			
5. ITEM NO.	6. RECORD SERIES TITLE AND DESCRIPTION	7. RETENTION PERIOD			8. REMARKS
		Active	Storage	Total	

**IMPORTANT:** Pursuant to Section 18, Article III, RA 9470 s. 2007, "No government department, bureau, agency and instrumentality shall dispose of, destroy or authorize the disposal or destruction of any public records, which are in the custody or under its control except with the prior written authority of the executive director."

Page 1 of 3 Pages

NAP Form No. 2 2008	
<b>9. Prepared by:</b>  <div style="border-bottom: 1px solid black; margin-bottom: 5px; width: 80%; margin-left: 0;"></div> <div style="text-align: center; margin-bottom: 10px;">Name</div> <div style="border-bottom: 1px solid black; margin-bottom: 5px; width: 80%; margin-left: 0;"></div> <div style="text-align: center;">Position</div>	<b>11. Recommending Approval:</b>  <div style="border-bottom: 1px solid black; margin-bottom: 5px; width: 80%; margin-left: 0;"></div> <div style="text-align: center; margin-bottom: 10px;">Name</div> <div style="border-bottom: 1px solid black; margin-bottom: 5px; width: 80%; margin-left: 0;"></div> <div style="text-align: center;">Position</div>
<b>10. Assisted by:</b>  <div style="border-bottom: 1px solid black; margin-bottom: 5px; width: 80%; margin-left: 0;"></div> <div style="text-align: center; margin-bottom: 10px;">Name</div> <div style="border-bottom: 1px solid black; margin-bottom: 5px; width: 80%; margin-left: 0;"></div> <div style="text-align: center;">Position</div>	<b>12. Approved:</b>  <div style="border-bottom: 1px solid black; margin-bottom: 5px; width: 80%; margin-left: 0;"></div> <div style="text-align: center; margin-bottom: 10px;">Name</div> <div style="border-bottom: 1px solid black; margin-bottom: 5px; width: 80%; margin-left: 0;"></div> <div style="text-align: center;">Position</div>
<p><b>This Records Disposition Schedule</b></p> <p> <input type="checkbox"/> is being returned for improvement / correction  <input type="checkbox"/> is being recommended for approval         </p> <div style="border-bottom: 1px solid black; margin-bottom: 5px; width: 80%; margin-left: 0;"></div> <div style="text-align: center; margin-bottom: 10px;">Chairman</div> <div style="text-align: center;">Records Management Evaluation Committee</div> <div style="border-bottom: 1px solid black; margin-bottom: 5px; width: 80%; margin-left: 0;"></div> <div style="text-align: center;">Date</div> <div style="text-align: right; margin-top: 20px;"> <b>APPROVED:</b>   <div style="border-bottom: 1px solid black; margin-bottom: 5px; width: 80%; margin-left: auto;"></div> <div style="text-align: center; margin-bottom: 10px;">Executive Director</div> <div style="border-bottom: 1px solid black; margin-bottom: 5px; width: 80%; margin-left: auto;"></div> <div style="text-align: center;">Date</div> </div>	



## ANNEX C



NAP Form No. 3 Revised 2012		Accomplish in 3 copies	
<div style="border: 1px solid black; padding: 5px;"> <p style="text-align: center; margin: 0;"><b>NATIONAL ARCHIVES OF THE PHILIPPINES</b> <i>Pambansang Sinupan ng Pilipinas</i></p> <p style="text-align: center; margin: 0;"><b>REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS</b></p> </div>		<div style="border: 1px solid black; padding: 5px;"> <p><b>AGENCY NAME:</b> CAGAYAN STATE UNIVERSITY</p> <p><b>ADDRESS:</b> CARITAN SUR, TUGUEGARAO CITY, CAGAYAN</p> <p><b>TELEPHONE NUMBER:</b></p> </div>	
<b>DATE:</b>		<b>PERIOD COVERED:</b>	
<b>GRDS/ RDS ITEM NO.</b>	<b>RECORD SERIES TITLE AND DESCRIPTION</b>	<b>PERIOD COVERED</b>	<b>RETENTION PERIOD AND PROVISION/S COMPLIED (if Any)</b>
<b>LOCATION OF RECORDS:</b>		<b>VOLUME IN CUBIC METER:</b>	
<b>PREPARED BY:</b> (Name & Signature)		<b>POSITION:</b>	
<p><b>CERTIFIED AND APPROVED BY:</b></p> <p style="text-align: center;">This is to certify that the above mentioned records are no longer needed and not involved nor connected in any administrative or judicial cases.</p> <p style="text-align: center; margin-top: 20px;">_____ Name and Signature of Agency Head or Duly Authorized Representative</p>			



## ANNEX D

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STATE  
UNIVERSITY



	Republic of the Philippines <b>CAGAYAN STATE UNIVERSITY</b> University Records Office Andrews Campus, Tuguegarao City	CSU-RO FORM 001
<b>RECORDS REQUEST FORM</b>		
		Date: _____
Control Number: _____		
Requesting Party: _____		Campus: _____
Position/Designation: _____		
Purpose: _____		
By completing this form, I give permission for my data to be held in CSU, and agree that it may process personal data relating to me for its legitimate interest as an academic institution.		
(Please check the record/s requested for)		
<input type="checkbox"/> APPOINTMENT PAPER <input type="checkbox"/> DIPLOMA <input type="checkbox"/> POSITION DESCRIPTION FORM (PDF) <input type="checkbox"/> PERSONAL DATA SHEET (PDS) <input type="checkbox"/> S.O./MEMO/TO <input type="checkbox"/> OFFICIAL TRANSCRIPT OF RECORDS (OTR) <input type="checkbox"/> AUTHENTICATION OF _____ <input type="checkbox"/> CERTIFICATION OF _____ <input type="checkbox"/> OTHERS _____		
Requested By: _____	Noted By: _____	Approved By: _____
Applicants Signature/Date _____	University Records Officer/Date _____	Chief Administrative Officer Officer/Date _____

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	Republic of the Philippines <b>CAGAYAN STATE UNIVERSITY</b> University Records Office Andrews Campus, Tuguegarao City	CSU-RO FORM 001
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Requested By: _____	Noted By: _____	Approved By: _____
Applicants Signature/Date _____	University Records Officer/Date _____	Chief Administrative Officer Officer/Date _____





## ANNEX E

CAGAYAN  
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	Republic of the Philippines <b>CAGAYAN STATE UNIVERSITY</b> University Records Office Andrews Campus, Tuguegarao City <b>RECORDS REQUEST FORM</b>	<div style="border: 1px solid black; padding: 2px; display: inline-block;">CSU-RO FORM 002</div>
		Date: _____
Control Number: _____		
Requesting Party: _____		
Position/Designation: _____		Campus: _____
Purpose: _____		
<p>The document being requested is a strictly confidential communication to and solely for the use of the requesting party. Any dissemination, circulation, reproduction or other use in reliance upon this information by other persons or entities other than the intended recipient without the University's President prior written consent is STRICTLY PROHIBITED.</p>		
<p><b>(Please check the record/s requested for)</b></p> <p> <input type="checkbox"/> MEMORANDUM OF AGREEMENT      <input type="checkbox"/> LAND TITLES      <input type="checkbox"/> BOARD RESOLUTIONS  <input type="checkbox"/> DECISION/RESOLUTION OF THE COURTS/DISCIPLINARY BOARD  <input type="checkbox"/> STATEMENTS OF ASSETS, LIABILITIES AND NET WORTH (SALN)  <input type="checkbox"/> CONTRACTS ENTERED INTO BY CSU AND OTHER GOVERNMENT AND NON-GOVERNMENT OFFICES                 </p>		
Requested By: _____		
Applicants Signature/Date		
Endorsed by:  <b>ATTY. NORMAN CLARENCE LASAM</b> <i>Data Privacy Officer</i>	Recommended by:  <b>AR-JAY L. PANDO</b> <i>OIC-Records Officer</i>	Approved by:  <b>URDUJAH G. ALVARADO, PhD, CESO II</b> <i>University President</i>
	Republic of the Philippines <b>CAGAYAN STATE UNIVERSITY</b> University Records Office Andrews Campus, Tuguegarao City <b>RECORDS REQUEST FORM</b>	<div style="border: 1px solid black; padding: 2px; display: inline-block;">CSU-RO FORM 002</div>
		Date: _____
Control Number: _____		
Requesting Party: _____		
Position/Designation: _____		Campus: _____
Purpose: _____		
<p>The document being requested is a strictly confidential communication to and solely for the use of the requesting party. Any dissemination, circulation, reproduction or other use in reliance upon this information by other persons or entities other than the intended recipient without the University's President prior written consent is STRICTLY PROHIBITED.</p>		
<p><b>(Please check the record/s requested for)</b></p> <p> <input type="checkbox"/> MEMORANDUM OF AGREEMENT      <input type="checkbox"/> LAND TITLES      <input type="checkbox"/> BOARD RESOLUTIONS  <input type="checkbox"/> DECISION/RESOLUTION OF THE COURTS/DISCIPLINARY BOARD  <input type="checkbox"/> STATEMENTS OF ASSETS, LIABILITIES AND NET WORTH (SALN)  <input type="checkbox"/> CONTRACTS ENTERED INTO BY CSU AND OTHER GOVERNMENT AND NON-GOVERNMENT OFFICES                 </p>		
Requested By: _____		
Applicants Signature/Date		
Endorsed by:  <b>ATTY. NORMAN CLARENCE LASAM</b> <i>Data Privacy Officer</i>	Recommended by:  <b>AR-JAY L. PANDO</b> <i>OIC-Records Officer</i>	Approved by:  <b>URDUJAH G. ALVARADO, PhD, CESO II</b> <i>University President</i>







Republic of the Philippines

**Cagayan State University**

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