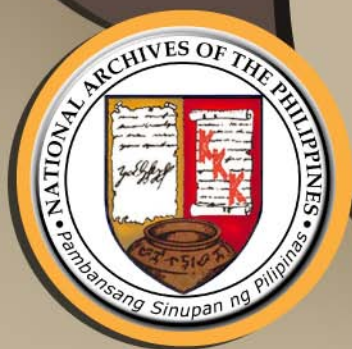


NATIONAL ARCHIVES OF THE PHILIPPINES
Pambansang Sinupan ng Pilipinas

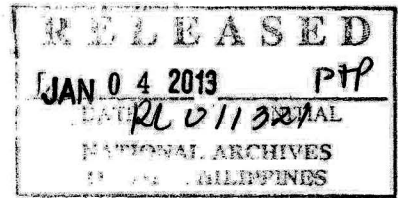


GUIDELINES ON NATIONAL INVENTORY OF RECORDS



NATIONAL ARCHIVES OF THE PHILIPPINES
Pambansang Sinupan ng Pilipinas

NAP GENERAL CIRCULAR No. 4
November 28, 2012



TO : HEADS OF ALL BRANCHES OF THE GOVERNMENT, CONSTITUTIONAL OFFICES, LOCAL GOVERNMENT UNITS (LGU), GOVERNMENT OWNED AND CONTROLLED CORPORATIONS(GOCC), GOVERNMENT FINANCING INSTITUTIONS (GFI), STATE/LOCAL UNIVERSITIES AND COLLEGES, PHILIPPINE EMBASSIES AND OTHER PHILIPPINE OFFICES ABROAD.

SUBJECT : GUIDELINES ON THE NATIONAL INVENTORY OF RECORDS

These guidelines are issued under the provisions of Republic Act 9470 otherwise known as the National Archives of the Philippines Act of 2007 and its Implementing Rules and Regulations.

In compliance with Article III, Section 15, the following guidelines on the National Inventory of Records are hereby issued for the guidance of all concerned.

All other issuances or parts thereof inconsistent with this Circular are hereby superseded and amended accordingly.

Victorino M. Manalo
VICTORINO MAPA MANALO
Executive Director



NATIONAL ARCHIVES OF THE PHILIPPINES
Pambansang Sinupán ng Pilipinas

**GUIDELINES ON NATIONAL INVENTORY
OF RECORDS**

**ARTICLE I
LEGAL BASIS, COVERAGE AND ADMINISTRATIVE
PROVISIONS**

Rule 1. RATIONALE

The National Archives of the Philippines (NAP) shall examine, identify and formulate policies regarding all public records of government agencies. It shall further classify and preserve those which are of permanent or enduring historical value. It shall advice on the creation, maintenance, storage, use and disposition of such records.

Pursuant to Article III Section 15 of Republic Act No. 9470 records officers/custodians of all government offices shall conduct an inventory of their public records and shall be mandated to keep the following data in their respective registry:

- (a) All public records under its custody;
- (b) All public records transferred to the NAP;
- (c) Public records disposed of with authority (Section 18 and 19 of R.A. 9470);
- (d) Data of deferred transfer of records (Section 21 of R.A. 9470); and
- (e) A public access register that contains information on:

- (1) Restrictions on public access to public records;
- (2) Prohibitions imposed on public access to public archives or protected records under the control of the Executive Director;
- (3) The grounds for the prohibitions and restrictions; and
- (4) The conditions agreed on as to public access for protected records transferred to the control of the Executive Director of NAP.

Rule 2. PURPOSE

The national inventory of records will allow the National Archives of the Philippines to create a List of Record Series of all government agencies throughout the country to strengthen the present system of records keeping while promoting a meaningful awareness among stakeholders of the importance and relevance of records and archives as significant aspects of Philippine cultural heritage.

A Public Access Registry will be established to provide public access to records of all government agencies. This registry will provide the basis for the National Records Management and Information System (NaRMIS).

Rule 3. OBJECTIVES

In accordance with the provisions of Republic Act No. 9470, the objectives of the national inventory of records are as follows:

1. To create a list of record holdings of respective government agencies/institutions.
2. To gather information on an agency's records management profile including information about its records officers/custodians, contact numbers and the like which would determine accountability in ensuring that the full range of records documenting the affairs of the government are maintained and preserved.
3. To identify government employees accountable/responsible for records management
4. To establish a Public Access Registry for all record holdings of the government including selected private institutions.
5. To update and establish General Records Disposition Schedule as well as Records Disposition Schedule for national offices, Local Government Units, state universities and colleges, government hospitals, and water districts.
6. To assist government agencies in establishing records management plan/manual.
7. To provide the basis for a National Records Management Information System on policies, rules, regulations, guidelines and procedures.
8. To provide public viewing on open access documents; access essential and reliable evidences of national information.
9. To standardize government records management systems.

Rule 4. SCOPE AND COVERAGE

The inventory shall cover all public records created, received and maintained in all branches of the government, whether national or local, constitutional offices, government owned controlled corporations, government financial institutions, state/local universities and colleges, Philippine embassies, consulates and other Philippine offices abroad. As needed, it shall also cover private archival collections.

ARTICLE II ACCESS TO INFORMATION AND MANNER OF INVENTORY

Rule 5. PUBLIC ACCESS TO INFORMATION

1. The inventory of public records will be posted in the NAP website to make it accessible and available to the public. A circular will be issued to publicize this Guidelines and the Inventory Form.
2. This inventory ensures full public accessibility to record holdings **except for:**
 - a. those records which must be kept secret in the interest of national security or the conduct of foreign affairs;
 - b. records which would put the life and safety of an individual in imminent danger and the disclosure of which would invade personal privacy;
 - c. records which fall within the parameters of established privilege or recognized exceptions

as may be provided by law or settled policy or jurisprudence;

3. Restricted records should still be listed in the inventory along with all information regarding the appropriate restrictions.

Rule 6. USEFULNESS OF INFORMATION TO THE PUBLIC

This inventory aims to assist researchers and other members of the public interested in specific records holdings in government agencies.

The inventory shall promote the awareness that government offices must keep records according to their prescribed disposition period and that the general public can access such records provided no restrictions have been indicated.

Rule 7. STEPS/PROCEDURES IN THE CONDUCT OF INVENTORY:

1. The Records Officer/Custodian of the concerned government office shall conduct the physical inventory of records. He or she shall:

Step 1. Identify all records by records series title or record series name including those records that cannot be classified/determined as official records whether located in the official file/repository or other storage areas.

Step 2. Identify the location of each record series including records not properly placed in the designated storage areas such as those

located in the stairways, unused restrooms and vehicles, etc.

Step 3. Approximate the volume of each record by cubic meter.

Step 4. Fill up the National Inventory Form (see attached) as follows:

1) Name of Office

The office where the inventory is being undertaken.

2) Department/Division

The department/division of the office.

3) Section/Unit

The administrative or operating section/unit of the office.

4) Telephone Number

The contact number of the person/employee in charge of files.

5) E-mail Address

It must be the official electronic mail of the office.

6) Address

The specific location of the office where the floor number, building, street, city/municipality and province are indicated.

7) Person In-charge of Files

The person/employee having control or custody of the records /files/documents.

8) Date Prepared

The date when the inventory of records was accomplished/finalized.

9) Record Series Title and Description

The entry for record series title shall be properly filled out. If the record is a substantive record or a record with archival value or one which could not be found in the General Records Disposition Schedule (GRDS), a brief description or definition of the records shall be noted in the remark column.

10) Period Covered/Inclusive Dates

Indicates the period covered by the record series from the earliest to the latest year when the records were created/received by the government agency.

11) Volume

The mass of the records should be computed and expressed in cubic meters. The formula for volume in cubic meters:

Volume = length x width x height (in meters)

12) Records Medium

The physical material in or on which information may be recorded such as paper, film, magnetic tape, electronic disk, etc.

13) Restriction

Records are to be classified as **open access** or **restricted access** records. If the government office has no guidelines pertaining to the restrictions of its record holdings, all records of that office are considered open access. Restricted records shall be classified as confidential, secret and top secret records.

14) Location of Records

The location of records should be specified with such designations as office area, offsite or in NAP.

15) Time Value

Records shall be categorized as **temporary** or **permanent** records. Temporary records have a specific retention period and may be disposed of. Permanent records may not be disposed of as these should be retained for safekeeping.

16) Retention Period

If the time value of the records is temporary, the specific retention period should be indicated and checked against the GRDS, Agency RDS or against any other guidelines pertaining to the disposition of the specific record series. When the records' time value is permanent, there will be no limit to its retention period. If the records had no approved retention period, the Records Officer/Custodian shall make an appropriate proposal to the NAP about the suggested retention period.

17) Remarks

A brief description/explanation/history of the records series indicated in the inventory if not found in the Agency RDS/GRDS.

Step 5. Upon completion of the inventory of records, the properly filled up inventory form should be signed by the person who conducted the inventory and by her or his immediate supervisor.

Step 6. The accomplished inventory of records should be submitted to the National Archives of the Philippines for review and evaluation.

2. The NAP shall collate and prepare a summary/terminal report and, if necessary, conduct phone verification or ocular visits and inspections for those records found incompletely described especially if these are archival records.
3. The NAP shall produce a Public Access Registry which it shall circulate through publication.
4. The inventory of records shall be updated every year by the concerned government office and shall be submitted during the records management audit of the NAP.

ARTICLE III MISCELLANEOUS PROVISIONS

Rule 8. REPEALING CLAUSE

All orders, rules and regulations or part thereof, which are inconsistent herewith are hereby repealed or amended accordingly.

Rule 9. EFFECTIVITY

This Circular shall take effect fifteen (15) days after its publication in the Official Gazette.

GLOSSARY

1. *Archival Value* – refers to the value attached to records that remain useful for the three branches of the government; legislative, judiciary, executive, including constitutional offices, and the general public because those records make government accountable to its citizens; provide evidence about public policies and programs; protect or verify individuals' rights and entitlements; and provide information about the important people, issues, places, and events that make up the story of Philippines' history.
2. *Disposal* – refers to the act of selling, landfill, or any other way of discarding valueless records in accordance with the provisions of R.A. 9470
3. *Document* – refers to recorded information regardless of medium or characteristics.
4. *Government Agency/ Office* – refers to any public office, department, bureau, agency, and instrumentality, whether pertaining to the national government or local government unit.
5. *Inventory* – refers to a descriptive listing of the records holding by records series indicating its specific location, inclusive date and volume in cubic meter; conduct of related activities to locate, identify, describe, count, and measure all records in the office and storage areas including all loose and bound papers, microforms, optical disks, and magnetic tapes and disks.
6. *National Archives* – refers to the National Archives of the Philippines, which is established and strengthened under R.A. 9470.

7. *Open Access Records* – refer to public records that have not been prohibited for public access.
8. *Public Access Registry* – refers to public access register containing prohibition and restriction on the unauthorized disclosure and access of information in any public records.
9. *Private Archives/Collections* – refer to records belonging to private individuals and/or entities which are of archival value.
10. *Public Archives* – refer to public records that are under the custody and control of the Executive Director of NAP.
11. *Public Records* – refer to records or classes of records, in any form, in whole or in part, created or received by a government agency in the conduct of its affairs and which have been retained by that government agency or its successors as evidence or because of the information contained therein.
12. *Records* – refer to 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. (As defined by International Council on Archives)
13. *Records Custodian* – refers to any agency employee with responsibilities over a particular set of records. A records custodian must keep the Records Officer informed of any issues regarding the records in his/her custody.
14. *Records Management* – refers to the managerial activities involved with respect to records creation, records maintenance and use, transmission,

retention, and records disposition in order to achieve adequate and proper documentation of policies and transactions of government for its efficient, effective and economical operation.

15. *Records Management Audit* – refers to the periodic inspection of the records holdings of government offices, whether national or local for purposes of identifying and incorporating records series that are not yet included in the agency RDS.
16. *Records Office* – refers to an organizational unit responsible for planning, developing, prescribing, disseminating and enforcing policies, rules and regulations and coordinating agency-wide records management program.
17. *Records Officer* – refers to the employee responsible for overseeing the records management program and providing guidance on adequate and proper recordkeeping.
18. *Records Series* – refers to a group of related records arranged under a single unit, label or kept together as a unit because the records deal with a particular subject, result from the same activity or have a related special form.
19. *Restricted Access Records* – refers to records which access have been restricted because there exists a legal impediment and/or standard or advice issued by the ED that requires such public records to be withheld from public access.
20. *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/archiving or destruction.

PROCEDURAL/INSTRUCTIONAL GUIDE:

(1) NAME OF OFFICE

The office where the inventory is being undertaken.

(2) DEPARTMENT/DIVISION

The department/division of the office.

(3) SECTION/UNIT

The administrative or operating section/unit of the office.

(4) TELEPHONE NUMBER & (5) EMAIL ADDRESS

The contact number of the person/employee in charge of files. Email address must be the official electronic mail of the office.

(6) ADDRESS

Indicate the specific address of the office such as floor number, building, street, city/municipality and province.

(7) PERSON IN CHARGE OF FILES

The person/employee having control or custody of the records/files/documents.

(8) DATE PREPARED

The date when the inventory of records had been accomplished.

(9) RECORDS SERIES TITLE AND DESCRIPTION

The entry of record series title shall be properly filled out. If the records are not listed in the General Records Disposition Schedule (GRDS) or in the Agency Records Disposition Schedule (RDS), a brief description or definition of the records shall be noted in the remark column. (e.g. for substantive record: Batch Control Sheets – are lists of taxpayers). Include other records that may not be in the records series enumerated above.

(10) PERIOD COVERED/ INCLUSIVE DATES

Indicate the period covered by the record series from the earliest to the latest year when the records are created/received by the government agency. (e.g. 1990 – 2011). Note gaps.

(11) VOLUME

The mass of the records should be computed and expressed in cubic meters. The formula for volume in cubic meters: Volume = length x width x height (in meters). In case the bulk of the records could be counted by sacks, box, bundles or wherever the records are stored, then it should be indicated in the inventory list. (e.g. 2 cu.m. – 50 bundles)

(12) RECORDS MEDIUM

The medium of the records should be specified - whether the records are in paper format, microfilm, electronic, cd/dvd, maps, drawings, computer printout or in any forms. (e.g. for Notarial records: Paper & microfilm)

(13) RESTRICTION

Records are to be classified as open access or restricted access records. If the government office has no guidelines pertaining to the restrictions of its record holdings, all records of that office are considered open access. Restricted records shall be classified as confidential, restricted, secret and top secret records. (e.g. for 201 Files: Confidential)

(14) LOCATION OF RECORDS

The location of records should be specified with such designations as office area, offsite or in NAP. (e.g. Room 617 Vault 1 Cabinet 2a)

(15) TIME VALUE

Records shall be categorized as temporary or permanent records. Temporary records have a specific retention period and may be disposed of. Permanent records may not be disposed of as these should be retained for safekeeping. (e.g. for Vouchers: Temporary; Check Register: Permanent)

(16) RETENTION PERIOD

If the time value of the records is temporary, the specific retention period should be indicated and checked against the GRDS, Agency RDS or against any other guidelines pertaining to the disposition of the specific record series. When the records' time value is permanent, there will be no limit to its retention period. If the records had no approved retention period, the Records Officer/Custodian shall make an appropriate proposal to the NAP and approved by the supervisor about the suggested retention period. (e.g. for Vouchers that have approved retention period: 10 years; Batch Control Sheets that has no approved retention period: Suggested – 10 years)

(17) REMARKS

State a brief description/explanation/history of the records series if not found in the Agency RDS/GRDS.