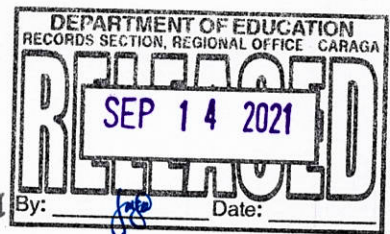




Republic of the Philippines
Department of Education
CARAGA REGION



September 14, 2021

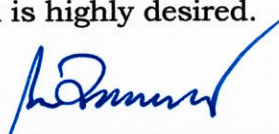
REGIONAL MEMORANDUM

No. 714, s. 2021

To: SCHOOLS DIVISION SUPERINTENDENTS
This Region

DRAFT DEPED CARAGA CONTEXTUALIZED RECORDS (CoRe) MANUAL

1. In order to provide adequate and proper documentation on policies, programs, projects, and transactions of the Organization for its efficient, effective, and economical operations, this Regional Office disseminates the draft DepEd Caraga Contextualized Records (CoRe) Manual for comments, corrections, and suggestions for improvement, as a means to address the different contexts of the field offices to suit the needs based on geographical location.
2. The draft CoRe Manual was crafted by the Regional and Division Records Officers, together with select School Registrars and School Records Custodians. It was then reviewed by the Regional Office Records Management Improvement Committee (RMIC). Specifically, the Manual aims the following:
 - a. To establish standard records management related processes among schools, division offices, and the Regional Office of DepEd Caraga;
 - b. To provide records officers and records custodians with a quick guide that operationalizes the laws, rules, and regulations pertinent to records management that are based on the context of DepEd Caraga; and
 - c. To institute legal basis for decision making related to records management.
3. Comments, corrections, and suggestions for the draft CoRe Manual shall be emailed to caraga@deped.gov.ph not later than September 28, 2021.
4. Immediate dissemination of this Memorandum is highly desired.


EVELYN R. FETALVERO, CESO IV
Director IV

Encls.: Draft CoRe Manual, Table for Comments, Corrections, and Suggestions

Reference: NONE

To be indicated in the Perpetual Index
under the following subjects:

MANUAL

POLICY

RECORDS MANAGEMENT

REC/mcao
09/14/2021



Address: J.P. Rosales Avenue,
Butuan City
Trunkline No: (085) 342-8207
Telefax No: (085) 342-5969
Email: caraga@deped.gov.ph



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DEPED CARAGA CONTEXTUALIZED RECORDS (CoRe) MANUAL POLICY

I. General Provisions

Section 1. Short Title – This Manual shall be known as the DepEd Caraga Contextualized Records Manual, CoRe Manual for brevity.

Section 2. Legal Bases of Promulgation and Related Policies – This Manual is promulgated in line with the following legal bases of promulgation and legal policies:

2.1. Executive Order No. 2, s. 2016, Freedom of Information

2.2. Republic Act No. 11032, Ease of Doing Business and Efficient Government Service Delivery Act of 2018

2.3. Republic Act No. 9470, National Archives of the Philippines Act of 2007

2.4. Republic Act No. 10173, Data Privacy Act of 2012

2.5. Republic Act No. 8792, Electronic Commerce Act of 2000

2.6. DepEd Order No. 98, s. 2009, Implementation of Administrative Service Operations Manual

2.7. DepEd Order No. 19, s. 2021, Revised Department of Education People's Freedom of Information Manual and Implementing Guidelines

2.8. DepEd Order No. 48, s. 2017, Policy and Procedural Guidelines on the Certification, Authentication and Verification of Basic Education School Records

2.9. DepEd Order No. 19, s. 2016, Guidelines on the Organizational Structures and Staffing Patterns of Stand-alone Integrated Public Senior High Schools (SHS)

2.10. DepEd Memorandum dated January 25, 2018, Compendium of DepEd Office Functions and Job Descriptions

2.11. DepEd Memorandum No. 140, s. 2016, Creation of Records Management Improvement Committee

2.12. DepEd Memorandum No. 133, s. 2016, National Inventory of Public Records

Section 3. Scope – This DepEd Caraga Contextualized Records (CoRe) Manual Policy shall apply to all the basic education public schools, 12 Schools Division Offices, and the Regional Office of DepEd Caraga Region.

Section 4. Language and Instruction – The language used in this Policy is English. The words expressed herein shall be understood in generic sense with exception to those which were specifically defined. Any uncertainty in the meaning of any provision of this

Manual shall be interpreted in favor of the mandates of DepEd. All laws of the Republic of the Philippines and other related rules and regulations shall be considered when decision making is necessary.

Section 5. Definition of Terms – In reference to those provided by laws, rules and regulations, the following terms are hereby defined as used in this Manual:

5.1. Active Records – Records in this phase of the life cycle are frequently used in the operations of the agency. These records are kept in current folders (electronic or physical) located in the office for easy access. The number of years a records type is considered active can be seen in the DepEd Records Disposition Schedule.

5.2. Agency Storage Area - It refers to a repository area, managed and operated by the Records Section of a certain agency, responsible for the maintenance and preservation of office records.

5.3. Archives – These are public records, papers, periodicals, books or other items, articles or materials, whether in the form of electronics, audio-visual, or print which by their nature and characteristics have enduring value, that have been selected for permanent preservation. Records with permanent retention are listed in the DepEd Records Disposition Schedule and National Archives of the Philippines General Records Disposition Schedule.

5.4. Data breach – It refers to the intentional or unintentional release of secured or confidential information to an untrusted environment.

5.5. Data Subject – It refers to an individual whose personal information is processed.

5.6. Digital or Electronic Record – It refers to the records that are generated with and used by information technology devices.

5.7. Document – It refers to recorded information regardless of medium and characteristics.

5.8. Financial Records – It refers to records created and maintained by the agency about their financial transactions and obligations.

5.9. General Records Disposition Schedule (GRDS) – It refers to a records control schedule, issued by the National Archives of the Philippines, governing the disposition of specified recurring records series common to all government agencies.

5.10. Inactive Records – These are records that are less frequently used but are required to be retained before destruction or disposal. These records may be located in a designated secondary storage area. The DepEd RDS identifies the inactive period of certain records types.

200 5.11. Inventory of Records – It refers to descriptive listing of the records
201 holding by records series indicating its specific location, inclusive dates, and
202 volume in cubic meters; conduct related activities to locate, identify, describe,
203 count, and measure all records in the office and storage area including all loose
204 and bound papers, microfilms, optical disks, and magnetic tapes and disks.
205

206 5.12. National Archives of the Philippines (NAP) – It refers to the government
207 agency mandated to create records management policies, guidelines and programs
208 and to oversee compliance of all government agencies.
209

210 5.13. Personal information – It refers to any information or opinion about a
211 particular individual including name, address, date of birth, staff or student
212 identification number, personal information pertaining to current and former
213 students, officials and personnel.
214

215 5.14. Physical Records – These are records, such as those printed in paper,
216 that can be touched and which take up physical space.
217

218 5.15. Records – It refers to information, whether in its original form or
219 otherwise, including documents, signatures, seals, texts, images, sounds,
220 speeches, or data compiled, recorded, or stored in written form, in film or negative,
221 or in any recording device, computer, or other electronic devices.
222

223 5.16. Records Disposal – It refers to the act of selling, landfill/burying, or any
224 other way of discarding valueless records. Disposal of official records shall always
225 have authority from the National Archived of the Philippines.
226

227 5.17. Records Disposition – It refers to the process which involves transfer of
228 non-current records from an office to a storage area, the preservation and transfer
229 of permanent records to the archives room, and the disposal of valueless records.
230

231 5.18. Records Disposition Schedule (RDS) – It refers to the listing of records
232 series, created by the Department of Education and approved by NAP, which shows
233 the period of time each records series shall remain in the office area (active), in the
234 storage area (inactive), and its preservation (archives) or destruction.
235

236 5.19. Retention Period – It refers to the specific period of time established and
237 approved by NAP as the life span of records, after which they are deemed ready for
238 permanent storage or destruction.
239

240 5.20. Sensitive Personal Information – It refers to an individual's race, ethnic
241 identity, marital status, age, color, and religious, philosophical or political
242 affiliations; information pertaining to an individual's health, education, genetic or
243 sexual life; or to any proceeding for any offense committed or alleged to have been
244 committed by such person, the disposal of such proceedings, or the sentence of
245 any court in such proceedings.
246

247 5.21. Valueless Records – It refers to all records that have reached the
248 prescribed retention periods and outlived the usefulness to the agency or the
249 government as a whole.

250 II. Objectives

251
252 Section 6. General Objectives – The DepEd Caraga Contextualize Records (CoRe)
253 Manual generally aims to raise the bar of records management practice by setting
254 standards relevant to the related laws, rules and regulations in order to provide
255 adequate and proper documentation on the policies, programs, projects, and
256 transactions of the organization for its efficient, effective, and economical operations.

257
258 Section 7. Specific Objectives – The specific objectives of the Contextualized
259 Records (CoRe) Manual shall be as follows:

260
261 7.1. To establish standard records management related processes among
262 schools, division offices, and the Regional Office of DepEd Caraga;

263
264 7.2. To provide records officers and records custodians with a quick guide that
265 operationalizes the laws, rules, and regulations pertinent to records management
266 that are based on the context of DepEd Caraga; and

267
268 7.3. To institute legal basis for decision making related to records
269 management.

270
271 III. Records Management Improvement Committee (RMIC)

272
273 Section 8. In compliance to Paragraph 3.4, Article 3 of the National Archives of the
274 Philippines (NAP) Circular No.1 dated January 20, 2019, which states that *Each agency*
275 *shall create a Records Management Improvement Committee (RMIC) as an advisory body*
276 *on the development of records management, the Chairman and members of which shall*
277 *be designated by the Head of Agency.*

278
279 Section 9. The Committee shall, among others, perform the following functions:

280
281 9.1. Implement a systematic Records Management Program in all phases of
282 records management, i.e. creation, maintenance, and disposition;

283
284 9.2. Identify and preserve documents which are of continuing value and
285 promptly dispose of those which are of continuing value and promptly dispose of
286 those which are of temporary upon the expiration of predetermined period;

287
288 9.3. Determine the retention period of the agency's records and formulate the
289 Records Disposition Schedule, subject to the approval of the agency head and the
290 final approval of the Executive Director of the NAP;

291
292 9.4. Develop policies and techniques for repairing damaged records and take
293 positive steps to prevent loss and unauthorized destruction of records; and

294
295 9.5. Establish a repository for storage of records which are no longer needed
296 by the agency, but which are not yet ready for disposal or a program to transfer
297 the records to the Records Management and Archives Unit.

Section 10. The Records Management Improvement Committee (RMIC) of the Regional Office is composed of the following:

Chairperson: Assistant Regional Director
 Vice Chairman: Head, Records Section
 Members: Chief, Curriculum and Learning Management Division
 Chief, Education Support Services Division
 Chief, Field Technical Services Division
 Chief, Quality Assurance Division
 Chief, Policy, Planning, and Research Division
 Chief, Human Resource Development Division
 Chief, Administrative Services Division
 Chief, Finance Division
 Head, Legal Unit
 Head, Information and Communications Technology Unit
 Head, Public Affairs Unit

Secretariat: Document Custodians of Functional Divisions

Section 11. The Records Management Improvement Committee (RMIC) of the Division Office is composed of the following:

Chairperson: Assistant Schools Division Superintendent
 Vice Chairman: Head, Records Unit
 Members: Chief, Curriculum Implementation Division
 Chief, School Governance and Operations Division
 Chief, Administrative and Finance Section
 Head, Legal Unit
 Head, Information and Communications Technology Unit

Secretariat: Records Unit, Division Office

IV. Roles and Functions of Records Officer, School Registrar, and School Records Custodian

Section 12. Roles and Functions of Regional and Division Records Office

Key Results Area	Objectives	Key Performance Indicators	Outputs
Records Management	To perform effectively and efficiently the records management cycles such as classification, filing, maintenance, and disposal of documents within the year.	100% of the documents received, maintained, classified, and released.	Correspondence received, maintained, and properly released on time.

	To establish, implement, and maintain a systematic and scientific records management (e-database)	100% of correspondence encoded and updated	Accessible and updated database
	To promptly process the authentication and certification of school records in accordance to DepEd and DFA guidelines	100% of documents authenticated and released	Certification Authentication and Verifications (CAVs) processed and released

Section 13. Duties and Responsibilities of Administrative Officer V in Regional Records Unit

Key Results Area	Duties and Responsibilities
Records Management System	• Establish, implement, and maintain a systematic and scientific records management system and control the creation, use, transmission, retention, maintenance, storage, retrieval, preservation, and disposition of operational records. • Implement means of recording or preserving information on paper, print, tape, scanning, micro fiche, or any transmitting medium as needed. • Implement policies and guidelines on records disposition to determine the ultimate fate of various records. • Assist in the preparation and maintenance of a continuing program for the management, preservation, and disposition of records. • Establish and maintain a configuration for a clean and orderly records storage room that will ensure safety and security of records, but easy access and retrieval as needed. • Verify and certify documents emanating from the Regional Office or documents in possession.
Receiving and Releasing	• Check and classify official issuances and communications for recording before release and/or filing to be able to properly track released documents. • Monitor critical documents received for the Regional Office for recording, routing, and tracking to be able to respond to management's queries on such documents.
Documentation Authentication and Verification	• Receive request for document authentication and verification as well as copy of the document then implement protocol for verifying and authenticating copies of documents and provide feedback to

	requesting entity by providing authenticated copies of documents or reason why document can't be authenticated. • Represent the agency in court to comply with subpoenas duce tecum.
Reporting	• Provide details and mechanics relevant to the schools division, for the process of conducting an annual inventory of records to determine physical condition of records and identify those for retention, maintenance, storage, preservation and disposition. • Prepare report on the conduct and findings of the annual inventory of records and submit recommendations for retention, maintenance, storage, preservation, and disposition.
Technical Assistance	• Conduct training/ orientation on records management to staff in the schools division, schools and learning centers. • Provide technical assistance and interventions to support effective records management in the schools and learning centers in the schools division.
Unit Performance	• Determine and implement the Records Unit's operational plans, identifies and acquires resource requirements. • Provide feedback on the performance of the Administrative Aide VI for Records.

Section 14. Duties and Responsibilities of Administrative Aide VI in the Regional Records Unit

Key Results Area	Duties and Responsibilities
Records Management	• Receive, record, and file documents according to the recommended filing system. • Maintain cleanliness and orderliness of storage area for records to ensure daily safety and security of records and easy access and retrieval as needed. • Retrieve records requested by the AO V - Records Officer and keep track of the whereabouts of the original document.
Receiving and Releasing	• Receive and record all documents brought to the records office. • Release, route, or file non-routine critical documents as classified by the Records Officer.
Documentation Authentication and Verification	• Assist AO V - Records Officer in document authentication and verification following protocol for such.

	• Receive request for certifications and gathers the data required to prepare the certification for the approval of the AO V - Records Officer. • Prepare certifications for the signature of the appropriate management level.
Reporting	• Implement process for conducting and annual inventory of records and submit findings to AO V- Records Officer.
Administrative and Secretarial Support	• Coordinate training/ orientation schedules and logistics on records management to staff in the schools division, schools and learning centers. • Provide assistance and administrative support to training and conferences as assigned. • Prepare or encode into electronic format word documents and other presentation materials

Section 15. Duties and Responsibilities of the Administrative Officer IV in the Division Records Section

Ker Results Area	Duties and Responsibilities
Records Management System	• Establish, implement, and maintain a systematic and scientific records management system and control the creation, use, transmission, retention, maintenance, storage, retrieval, preservation, and disposition of operational records. • Implement means of recording or preserving of information on paper, print, tape, scanning, micro fiche, or any transmitting medium as needed. • Implement policies and guidelines on records disposition to determine the ultimate fate of various records. • Assist in the preparation and maintenance of a continuing program for the management, preservation, and disposition of records. • Establish and maintain a configuration for a clean and orderly records storage room that will ensure safety and security of records, but easy access and retrieval as needed.

	• Verify and certify documents emanating from the Schools Division Office or documents in possession.
Receiving and Releasing	• Check and classify official issuances and communications for recording before release and/or filing to be able to properly track released documents. • Monitor critical documents received for the Schools Division Office for recording, routing, and tracking to be able to respond to management's queries on such documents.
Documentation Authentication and Verification	• Receive request for document authentication and verification as well as copy of the document then implement protocol for verifying and authenticating copies of documents and provide feedback to requesting entity by providing authenticated copies of documents or reason why document can't be authenticated. • Represent the agency in court to comply with subpoenas duces tecum .
Reporting	• Provide details and mechanics relevant to the schools division, for the process of conducting an annual inventory of records to determine physical condition of records and identify those for retention, maintenance, storage, preservation and disposition. • Prepare report on the conduct and findings of the annual inventory of records and submit recommendations for retention, maintenance, storage, preservation, and disposition.
Technical Assistance	• Conduct training/ orientation on records management to staff in the schools division, schools and learning centers. • Provide technical assistance and interventions to support effective records management in the schools and learning centers in the schools division.

Section 16. Duties and Responsibilities of Administrative Aide VI in the Division Records Section

Key Results Area	Duties and Responsibilities
Records Management System	• Receive, record and file documents according to the recommended filing system. • Maintain cleanliness and orderliness of Records Storage Area that will ensure daily safety and security of records and easy access and retrieval as needed. • Retrieve records requested by the Records Officer and keeps track of the whereabouts of the original document.
Receiving and Releasing	• Receive and record all documents brought to the records office. • Release, route, or file non-routine critical documents as classified by the Records Officer.
Documents Authentication, Verification and Certifications	• Assist Records Officer in document authentication and verification following protocol for such. • Receive request for certifications and gathers the data required to prepare the certification for the approval of the Records Officer. • Prepare certifications for the signature of the appropriate management level.
Reporting	• Implement process for conducting and annual inventory of records and submit findings to Records Officer.
Technical Assistance	• Coordinate training/ orientation schedules and logistics on records management to staff in the schools division, schools and learning centers. • Assist Records Officer gather data on needs regarding records management and provide technical assistance and interventions to support effective records management in the schools and learning centers.

Section 17: Duties and Responsibilities of Senior High School Registrar

17.1. Receive, update, and maintain the records, reports, and documents of the school, its staff, and learners.

17.2. Manage and update the Learner Information System (LIS).

17.3. Ensure an efficient process of registration and enrollment.

364 17.4. Facilitate the process of releasing records of the school, staff, and
365 learners to the necessary institutions.

366
367 17.5. Report to the Assistant Principal for Operations and Learner Support
368 and/or Principal/School Head.

369
370 17.6. Process academic school records for Certification, Authentication, and
371 Verification (CAV).

372
373 17.7. Conduct annual inventory of records.

374
375 17.8. Facilitate request for disposal of valueless records.

376
377
378 Section 18. Duties and Responsibilities of School Records Custodian - Due to
379 absence of School Registrar item in some schools, the Schools Division Superintendent
380 shall issue an official designation order to school records custodians, indicating their
381 eligibility to claim service credits, when applicable, and their responsibilities as follows:

382
383 18.1. Receive, classify, record, and route incoming documents;

384
385 18.2. Record and release outgoing documents;

386
387 18.3. Maintain the security and safety of records on file of the School, its
388 personnel, and learners;

389
390 18.4. Conduct annual inventory of records;

391
392 18.5. Facilitate request for disposal of valueless records;

393
394 18.6. Process academic school records for Certification, Authentication, and
395 Verification (CAV); and

396
397 18.7. Indorse records to the School Head or the new records custodian upon
398 termination of the designation.

399
400 Section 19. Records Officers, School Registrars, and School Records Custodians
401 are expected to do the following activities:

402 19.1. Conduct regular orientation on Records Management;

403
404 19.2. Facilitate and consolidate Annual Inventory of Records;

405
406 19.3. Facilitate Annual Disposal of Valueless Records;

407
408 19.4. Facilitate Transfer of Records from Office storage to Archives Room; and

409
410 19.5. Turnover records to successor. (Rule 36, Article 57 of the
411 Implementing Rules & Regulations (IRR) of Republic Act (RA) 9470).

413 V. General Guidelines on Records Management as Mandated by Laws, Rules, and
414 Regulations

415 Section 20. Protection of Personal, Sensitive Personal, and Confidential
416 Information – In compliance with the Data Privacy Law, organizations shall comply with
417 the guidelines in protecting personal, sensitive personal, and confidential information.

418 20.1. High value shall be placed in protecting the privacy, confidentiality, and
419 security of personal and sensitive personal information. Official records shall be
420 protected against risks such as loss and unauthorized access, destruction, use,
421 modification, or disclosure.

422 20.2. Any entity who wishes to access records with personal and sensitive
423 personal information shall send a written request, stipulating the specific
424 information needed and the purpose of the request, and present a valid
425 identification card. The said request shall only be granted upon the approval of the
426 Regional Director/ Schools Division Superintendent/ School Head concerned and
427 the consent of the data subject. Request made through phone calls and text
428 messages shall not be granted.

429 20.3. For request made by a representative, she/he must present a special
430 power of attorney or an authorization letter and a valid identification card of both
431 the requestor and the representative.

432 20.4. Disclosure of records or information is based on the principles of
433 transparency, legitimacy of purpose, and proportionality.

434 20.5. Processing of personal information without the consent of the data
435 subject will only be allowed if doing so is necessary under the following
436 circumstances:

437 20.5.1. For fulfillment of a contract with the data subject or in order to
438 take steps at the request of the data subject prior to entering into a contract;

439 20.5.2. For compliance with a legal obligation to which the personal
440 information controller is subject;

441 20.5.3. For protection of vitally important interests of the data subject,
442 including life and health;

443 20.5.4. For responding to national emergency, for complying with the
444 requirements of public order and safety, or for fulfilling functions of public
445 authority which necessarily includes the processing of personal data for the
446 fulfillment of its mandate; or

447 20.5.5. For the purposes of the legitimate interests pursued by the
448 personal information controller or by a third party or parties to whom the
449 data is disclosed, except where such interests are overridden by fundamental
450 rights and freedoms of the data subject which require protection under the
451 Philippine Constitution.

452 20.6. Processing of sensitive personal and privileged information
453 without the consent of the data subject is prohibited, except on the following
454 situations:

455 20.6.1. The processing of the same is provided for by existing laws and
456 regulations: Provided, that such regulatory enactments guarantee the
457 protection of the sensitive personal information and the privileged
458 information: Provided, further, that the consent of the data subjects are not
459 required by law or regulation permitting the processing of the sensitive
460 personal information or the privileged information;

461 20.6.2. The processing is necessary to protect the life and health of the
462 data subject or another person, and the data subject is not legally or
463 physically able to express his or her consent prior to the processing;

464 20.6.3. The processing is necessary to achieve the lawful and
465 noncommercial objectives of public organizations and their
466 associations: Provided, that such processing is only confined and related to
467 the *bona fide* members of these organizations or their associations: Provided,
468 further, that the sensitive personal information are not transferred to third
469 parties: Provided, finally, that consent of the data subject was obtained prior
470 to processing;

471 20.6.4. The processing is necessary for purposes of medical treatment,
472 is carried out by a medical practitioner or a medical treatment institution,
473 and an adequate level of protection of personal information is ensured; or

474 20.6.5. The processing concerns such personal information as is
475 necessary for the protection of lawful rights and interests of natural or legal
476 persons in court proceedings, or the establishment, exercise or defense of
477 legal claims, or when provided to government or public authority.

478 20.7. Standard operating procedures on the processing of information, such
479 as processing of Certification, Authentication, and Verification (CAV) of academic
480 records and other school records, shall be followed.

481 20.8. All electronic confidential/personal information shall be protected via
482 firewalls, encryption and passwords. Physical documents containing such
483 information should be secured in a cabinet with lock.
484

485 20.9. Confidential and personal information of an employee should be
486 secured and shall not be disclosed to another employee without a good and lawful
487 reason.
488

489 20.10. All Employees shall refrain from leaving confidential and personal
490 information visible on their computer monitors and tables when they leave their
491 workstations.
492

493 20.11. All confidential information, whether contained on written documents
494 or electronically, should be marked as "confidential."
495

496 20.12. Ensure and maintain the confidentiality, integrity, availability, and
497 resilience of processing systems and services.
498

499 20.13. All confidential/personal information shall be disposed of properly and
500 shall follow NAP Guidelines and DepEd Records Disposition Schedule.
501

502 20.14. Before disposing unserviceable computers, coordinate with the ICT
503 and Asset Management Unit to ensure that data contained in the computer are
504 wiped out. Software programs or destruction of the hard drives may be done.
505

506 20.15. Get permission from the concerned personnel before passing on email
507 address or phone number to another organization or business.
508

509 20.16. Use of scratch paper as worksheets may be allowed provided that the
510 document does not contain personal, sensitive personal, and confidential
511 information and that proper disposal after its use is observed.
512

513 20.17. Handling of documents shall be within the sole authority of the
514 officially designated division and regional liaison officers. For schools and district
515 offices without officially designated liaison officers, records/documents for schools
516 and district offices shall be handled by their respective school heads and district
517 supervisors.
518

519 20.18. Only official DepEd emails shall be used in all official transactions.
520 Directory of DepEd Caraga Regional and Division contact details is attached in the
521 Annexes.
522

523 Section 21. Freedom of Information (FOI) – Pursuant to the Presidential Order,
524 there shall full public disclosure and transparency in the public service provided
525 however that it should be balanced with the provisions of the Data Privacy Law.

526 21.1. Standard Operating Procedure on handling request for information
527 shall be followed accordingly.

528 21.2. The FOI standard request form (see Annexes) shall be used for FOI
529 requests.

530 21.3. FOI requests that involve a small volume of material are considered as
531 simple request and shall be processed within three (3) working days. Those that
532 require resolution of complicated issues (complex request) shall be processed
533 within seven (7) working days. Highly Technical requests or those that require
534 highly technical or specialized knowledge shall be processed within twenty (20)
535 working days from the receipt of the request.

536 21.4. The Office shall have a designate Receiving Officer and Decision Maker.
537 The Receiving Officer, whose position is at least an Administrative Officer level,

initially evaluates the request and asks clarifications on the request. The Decision Maker, whose position is at least Division Chief level, shall approve or deny the request.

21.5. The release of information shall be balanced with the provisions of the Data Privacy Act.

Section 22. Ease of Doing Business – The law aims to increase efficiency in government processes by reducing processing time, eliminating red tape and bureaucratic practices.

22.1. The Schools, Division Offices, and the Regional Office shall identify their respective processes and categorize them as either simple, complex, or highly technical. Please see Annexes for classification.

22.2. A citizen's charter shall be posted at a conspicuous place in the school/office premises for the clients to see.

22.3. All the elements stipulated in the citizen's charter shall be strictly followed, such as the time frame, requirements, and payments.

Section 23. Management of Electronic/Digital Records – Just like the physical records, electronic/digital records shall be strategically transmitted, stored, and safekept for easy access and proper protection.

23.1. Electronic copy of Form 137 and other school forms may be allowed, provided that it is in conformity with the standard format, duly signed and approved by the School Head concerned whose signature ensures accuracy and reliability of all the contents therein. Provided further that the use of e-signature should have the prior consent of the School Head and the document bears a tracer (initials) of the personnel preparing the document at the bottom-left portion.

23.2. Transmission of School Record (softcopy/electronic copy/scanned copy) to receiving school through any medium of online facility is allowed provided that security of the document is ensured.

23.3. Except for legal and highly confidential documents, submission of routinary documents such as travel authority, Form 6, and accomplishment reports are allowed through electronic means (official email, Document Management System).

23.4. To ensure that documents have been received by the requestor, an acknowledgement receipt is asked through electronic means indicating the following information:

23.4.1. Date and Time Received

23.4.2. Name of Student (is applicable)

23.4.3. Types/Kinds of Documents Received

23.4.4. Name of Receiver

23.4.5. Remarks (Optional)

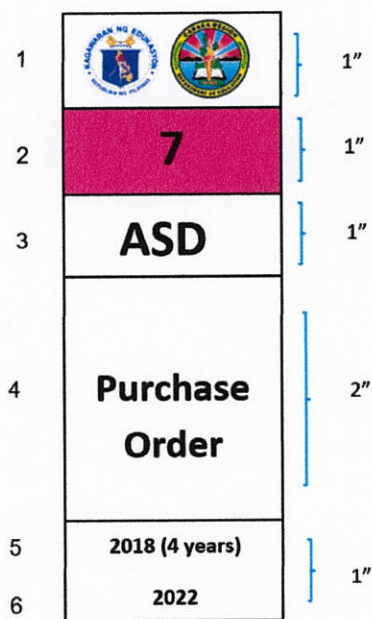
VI. Specific Records Management Guidelines

Section 24. Storage and Filing of Physical Records - Records shall be filed and labeled based on Functional Subject Alphabetic Classification Scheme (FSACS) for easy access and retrieval. The Records Disposition Schedule (RDS) is arranged based on FSACS and can be referred to for guidance.

Section 25. Standard Labeling Format – For easy access and retrieval as well as to aid inventory and disposal activities, a strategic standard labeling format shall be adopted.

25.1. Regional Office

25.1.1. Binder Folder and Filer



1. Organization's Seals
2. Binder/Filer Box Number
3. Division/Unit Code
4. Document Title/QR Code
5. Period Covered (Retention Period)
6. Year of Disposal

Binder Folder label color-coding:

- a. ASD- Pink
- b. CLM- Light Brown
- c. ESS- Green
- d. FIN- Red
- e. FTA- Peach
- f. HRD- Yellow
- g. PPR-Lavender
- h. QAD- Royal Blue
- i. QMS-Orange
- j. RDO-Gold
- k. ARD-Maroon
- l. DCC-Grey
- m. BAC-Light Green

Label Size: 2" x 6" (Binder Folder)
4" x 6" (Filer Box)

Binder Folder Color: Blue (General Records)
Red (Archives Records)

Font Style: Calibri, Bold

Filer Box Color: Blue (General Records)
Green (Archives Records)

Font Size: Depending on the number of words. Aesthetic value shall be considered.

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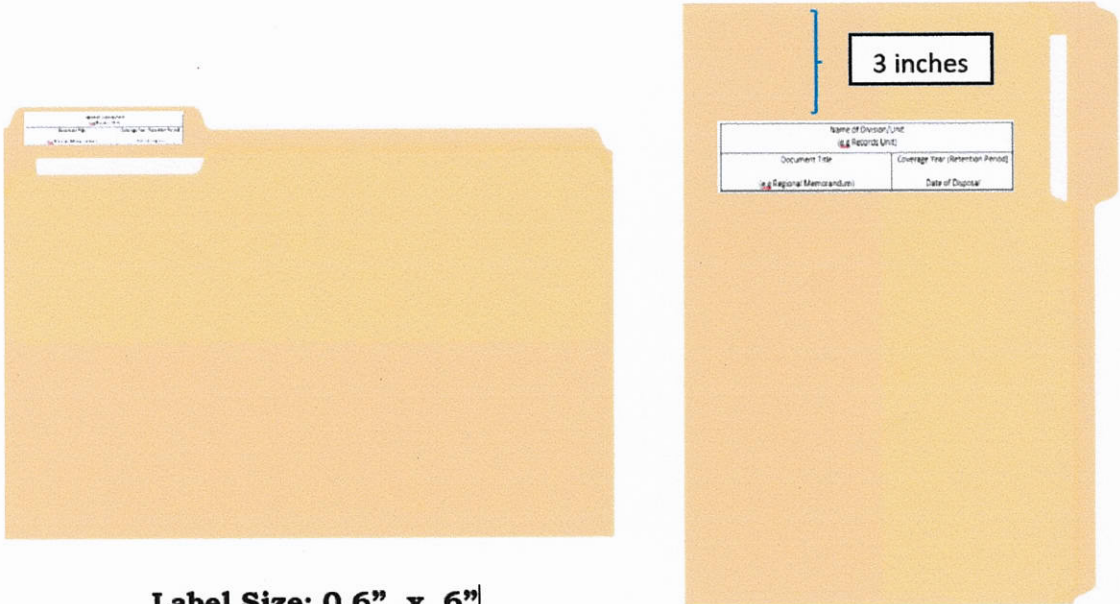
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25.1.2. Folder

Name of Division/Unit (e.g Records Unit)	
Document Title (e.g Regional Memorandum)	Coverage Year (Retention Period) Year of Disposal

Font Style: Calibri, Regular
Font Size: Depending on the number of words.
Aesthetic value shall be considered.



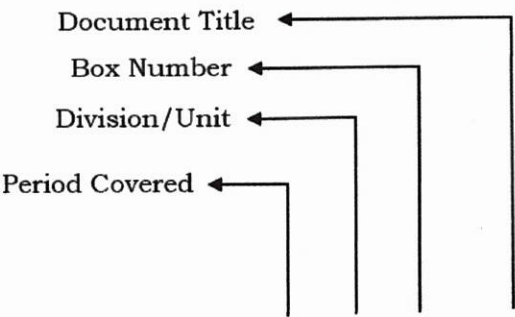
Label Size: 0.6" x 6"

Label Size: 3" x 5"

Folder Size: Legal

634

25.1.1. Archive Box



Only permanent records will be stored in the archives room.

Records for archiving must be placed in a sealed box, with duly accomplished inventory of records.

2018 – REC– 001 - Regional Memorandum

(Retention Period)

Year of Disposal

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Label Size: 6" x 7"
Font Style: Calibri, Bold
Font Size: Depending on the number of words.
Aesthetic value shall be considered.



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651

652 25.2.Division Offices

653 25.2.1. Document Binder

1

2

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4

5

6

 
OSDS-ASD
7
Purchase Order
2018 (4 years)
2022

- LEGEND:**
- 1. Organization’s Seals
 - 2. Functional Division and Section
 - 3. Binder Number
 - 4. Title of Record
 - 5. Coverage year (Retention Period)
 - 6. Date of Disposal

Dimension: 2” x 6”
Font: Bookman Old Style, Bold
Font Size: Depends on the number of words

654

DIVISION/ UNIT	COLOR NAME	COLOR
OSDS	RED	
ADS	PINK	
FIN	LIGHT GREEN	
LEG	LAVENDER	
ICT	ORANGE	
CID	SKY BLUE	
SGOD	YELLOW	

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25.2.2. Folder

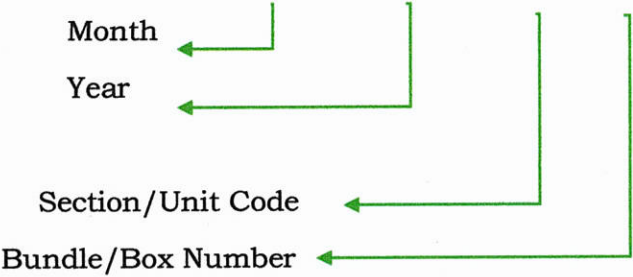
Font Style: Bookman Old Style, Bold
Font Size: Depends on the number of words. Aesthetic value shall be considered.
Dimension: 3” x 5”

 	
Functional Division – Unit/Section Name (e.g. SGOD – HRD)	
Title of Record (e.g. Activity Design)	Coverage (Month/Year) (e.g. January 2018)

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25.2.3. Other Archive Labelling

MM - YYYY - REC - 001



Font Style: Bookman Old Style, Bold
Font Size: Depends on the number of words. Aesthetic value shall be considered.

*Note: Ensure file contents are tied up or bundled properly with standard label.
Records for archiving must be placed in a sealed box or plastic container.*

681 25.3.Schools
682
683 25.3.1. Folder for School Forms

684
685 Tab

Grade Level/Name of Section and Adviser <i>(Font – Bookman Old Style, 12 pt, Bold)</i>	
Folder Title: (e.g. SCHOOL FORMS 1-12) <i>(Font – Bookman Old Style, 10 pt, Bold)</i>	Coverage Year (Retention Period): 2019-2020 (Permanent) <i>(Font – Bookman Old Style, 10 pt, Bold)</i>
	Year of Disposal: Permanent <i>(Font – Bookman Old Style, 10 pt, Bold)</i>

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 Republic of the Philippines Department of Education CARAGA REGION Schools Division Office of _____ District of _____ NAME OF SCHOOL Grade Level/Name of Section and Adviser <i>(Font – Bookman Old Style, 14pt, Bold)</i>	
Folder Title: (e.g. SCHOOL FORMS 1-12) <i>(Font – Bookman Old Style, 11pt, Bold)</i>	Coverage Year (Retention Period): SY 2019-2020 (2 years) <i>(Font – Bookman Old Style, 11pt, Bold)</i>
	Year of Disposal 2022 <i>(Font – Bookman Old Style, 11pt, Bold)</i>

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705 25.3.2. Folder for Other Documents

706 Tab

Folder Title: (e.g. Daily Time Record) (Font – Bookman Old Style, 10pt, Bold)	Coverage Year (Retention Period): 2020 (1 year) (Font – Bookman Old Style, 10pt, Bold)
	Year of Disposal: 2021 (Font – Bookman Old Style, 10pt, Bold)

707 Front

 Republic of the Philippines Department of Education CARAGA REGION Schools Division Office of _____ District of _____ NAME OF SCHOOL	
Folder Title (e.g. School Memorandum) (Font – Bookman Old Style, #10)	Coverage Year (Retention Period) (Font – Bookman Old Style, #10)
	Date of Disposal (Font – Bookman Old Style, #10)

708 Other Specifications:

Folder Type:	Pressboard Expanded File Folder
Tab Size:	1.5" x 5.5"
Tab Label Size:	1" x 5"
Front Label Size:	4" x 6"

709

710 25.3.3. Document Binder/Arch File and Filer Box

Organization's Seal
Binder/Arch/Filer/Box No.
Unit Code
Document Title
Period Coverage (Retention Period)
Date of Disposal

711

712 Label Size: 2" x 6" binder folder

713 2" x 6" arch file

714 4" x 6" filer box

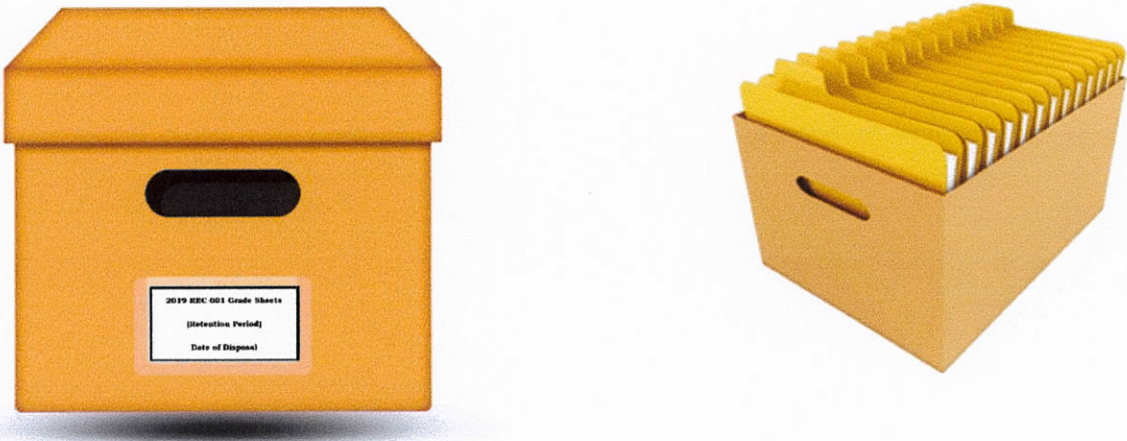
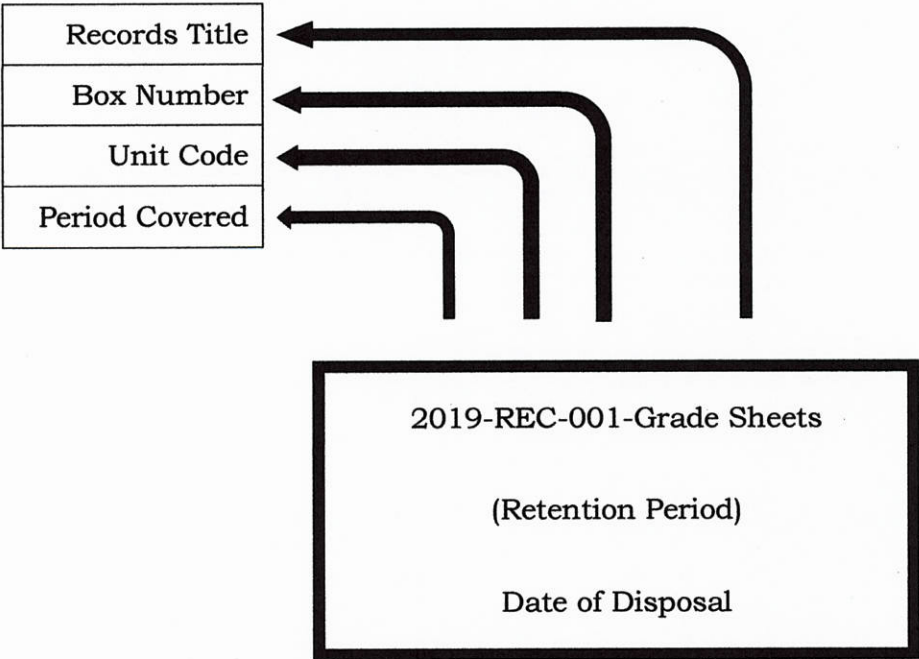
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25.3.4. Archive Box



737 Section 26. Storage Areas – To ensure safety and security of records stored in
738 storage areas, the following guidelines shall be considered.

739
740 26.1. Storage in office area

741
742 26.1.1. Records stored in office areas should primarily be those that are
743 required for frequent use (active records).

744
745 26.1.2. Only files or records in active use should be kept near the desks.

746
747 26.1.3. Other active files or records but not regularly used should be
748 stored securely in a filing cabinet, drawers, or shelves.

749
750 26.2. Secondary Storage Area

751
752 26.2.1. The management should designate a secondary storage area for
753 inactive records waiting for retention period to be reached.

754
755 26.2.2. Office records custodians shall implement a routinary
756 procedure to monitor the retention periods of the records stored in the area.

757
758 26.2.3. Safety and security of records shall be ensured at all times.
759 Systematic database of records shall be available for easy access and
760 retrieval.

761
762 26.3. Archives Room

763
764 26.3.1. The management should designate an archives room for archive
765 (permanent and vital) records.

766
767 26.3.2. Resources such as shelves, cabinets, document binders, and
768 other related supplies, equipment, and facilities shall be available for the
769 purpose.

770
771 26.3.3. Systematic database of records shall be available for easy
772 access and retrieval.

773
774 26.3.4. Safety and security of records shall be ensured at all times. The
775 records officer/custodian shall facilitate transfer of permanent and archival
776 records to the archives room.

777
778 Section 27. Preservation of Physical Records – Records, specially those with
779 permanent retention period, shall be preserved and protected for they play a
780 significant role in the official functions of the organization.

781
782 27.1. Handling

783
784 27.1.1. Avoid using acidic adhesive tapes.

785
786 27.1.2. Avoid using metal fasteners, staple wires, and paper clips.

787
788 27.1.3. Use acidic-free, permanent, or alkaline papers for documents
789 of vital importance.

790
791 27.1.4. Avoid laminating documents.

792
793 27.1.5. Put pouches of silica gel crystals in box files or archival boxes
794 to absorb humidity within the box.

795
796 Section 28. Environment

797
798 28.1. Any local area used for records storage must be:

799 28.1.1. Free from pests;

800
801 28.1.2. Free from molds;

802
803 28.1.3. Free from dampness or leaks that may cause molds to grow
804 on records and damage them;

805
806 28.1.4. Located away from Comfort room, water pipes, powerhouse,
807 septic tank;

808
809 28.1.5. Secured from unauthorized access;

810
811 28.1.6. Has functional fire extinguisher; and

812
813 28.1.7. Monitored regularly to ensure desirable conditions.

814
815 Section 29. Inventory of Records – Section 15, Article III of RA 9470 mandates
816 government offices to regularly conduct inventory of public records under their
817 possession.

818
819 29.1. Inventory of records shall be used for turn-over of records to successor,
820 records management audit (Rule 53, Article 87-88 of IRR), and guide in the
821 absence of the records officer/custodian.

822
823 29.2. The Records Officer/custodian shall initiate the conduct of annual
824 inventory of all records, covering the entire organization/office/school.
825 Consequently, he/she requires submission of annual inventory report from
826 functional divisions/units/sections/offices for consolidation.

827
828 29.3. NAP Form 1 (Inventory of Records) or DepEd National Records Inventory
829 Form shall be used to ensure comprehensive and accurate entries.

830
831 29.4. Inventory of Records is done every first quarter of the year.

832
833 Section 30. Disposal of Valueless Physical Records – Records are already
834 considered valueless once they reach their retention period. Only authorized disposal of
835 valueless records shall be conducted following the guidelines set by the NAP.

837 30.1. All disposal and destruction of official records should have prior written
838 authority from the Executive Director of the National Archives of the Philippines
839 (NAP).
840

841 30.2. Disposal of valueless records shall be done in the manner approved by
842 NAP.
843

844 30.3. Recycling of used papers (e.g., use as scratch papers) is not prohibited,
845 provided that they do not hold personal, sensitive personal, and confidential
846 information to avoid data breach.
847

848 30.4. Records that are still involved in any case or subject for audit by the
849 Commission on Audit (COA) shall not be disposed or destructed.
850

851 30.5. NAP Form 3 (Request for Authority to Dispose of Records) shall be
852 prepared in three (3) copies and be sent to NAP, together with the agency's letter
853 request for disposal of valueless records.
854

855 30.6. Request for disposal should be made on the second quarter of the year,
856 after the conduct of annual inventory of records on the first quarter.
857

858 Section 31. Disposal of Damaged Public Records - Disposal of permanent
859 public records and public records that have not yet reached their retention period
860 shall only be authorized for disposal upon submission to NAP the following:

861 31.1. Official report with photo documentation pertaining to the non-usability
862 of the records, the extent of damage done, and the cause/s of the damage;
863

864 31.2. NAP Form No. 3 (Request for Authority to Dispose of Records) will be
865 prepared in three (3) copies and properly filled-out with the specific record series,
866 period covered and volume of the damaged public records, approved and signed by
867 agency officials concerned;
868

869 31.3. A Certification that the damaged records are already post-audited and
870 by the Commission on Audit and are already settled. For records pertaining to
871 cases and investigations, the Office shall make a written Certification that they are
872 already decided upon or settled; and
873

874 31.4. If expediency demands and upon the order of the Executive
875 Department, an official report from NAP Representative upon the conduct of an
876 actual physical inspection and evaluation of the damaged public records will be
877 provided.
878

879 Section 32. Storage of Digital/Electronic Records – Just like physical records,
880 electronic/digital records shall also be safekept and retrieved easily when needed.
881

882 32.1. Electronic files follow many of the same file identification and labeling
883 guidelines as paper files. Records are organized by folder indicating the Document
884 Type which acts as the primary classification. Each Document Type contains sub-

folders per year (period covered). Each sub-folder contains the individual documents labeled according to subject.

32.1.1. For School Forms

Document Type

School Year

Curriculum/Program (*if applicable*)

Grade Level

Section

32.1.2. Other Documents

Document type

Year

32.2. Digital/electronic records shall also be classified in the same way as physical records are classified, following the Functional Subject Alphabetic Classification Scheme (FSACS).

32.3. As with the physical records, retention period of digital records shall also follow the provisions of Records Disposition Schedule and General Records Disposition Schedule.

32.4. Disposal of Digital/Electronic records shall follow the same procedure as that of the physical records. Disposal or destruction of such shall be done in a manner approved by the NAP.

32.5. To ensure the ongoing protection of digital records, the office must require efficient and effective means for maintaining, handling, and storing digital records –both active and inactive – over time.

Section 33. Safety and Security of Digital/Electronic Records

33.1. Employees should have access to official directories.

33.2. Strong passwords shall be utilized.

33.3. To preserve the integrity and originality of files to be released, format should be in PDF or 'read only'.

33.4. Ensure that records are stored in a secured records keeping system.

33.5. Shared folders using network drives or shared drives may be utilized for collaboration provided that security of the documents will be ensured.

927 33.6. Office policies and procedures on the management of information
928 technology programs and systems shall be in place.

929
930 33.7. Electronic recordkeeping systems should include adequate system
931 controls such as password protection.

932
933 33.8. Electronic records should be protected from accidental or intentional
934 alteration and from deletion.

935
936 33.9. Only authorized personnel should be permitted to create, capture or
937 delete electronic records.

938
939 33.10. Electronic records should be accessible and retrievable in a timely
940 manner throughout their retention period.

941
942 33.11 Employees should be trained and oriented on how to use the records
943 management systems.

944
945 33.12. User support should be available for troubleshooting when issues on
946 the use of the systems arise.

947
948 Section 34. Electronic/Digital Signature – Electronic and digital signature are
949 now being used widely in transacting online or with electronic means. Thus, guidelines
950 shall be set and followed to ensure legitimacy and security of signatures.

951
952 34.1. Both electronic and digital signatures are considered personal
953 information under the Philippine *Data Privacy Act*. The use of electronic/signature
954 is valid provided that it has consent from the signatory.

955
956 34.2. If an entity holds and processes data associated with electronic or
957 digital signatures of persons, then that entity shall need to comply with the
958 provisions of the Data Privacy Act and its Implementing Rules and Regulations.

959
960 34.3. An electronic signature on the electronic document shall be equivalent
961 to the signature of a person on a written document if that signature is proved by
962 showing that a prescribed procedure, not alterable by the parties interested in the
963 electronic document is present.

964
965 34.4. Digital signatures use encryption/decryption technology on which an
966 electronic signature solution is built. Digital signature encryption secures the data
967 associated with a signed document and helps verify the authenticity of a signed
968 record. It can be verified through the following:

969
970 34.4.1. The document or message sender (signer) shares the public key
971 with the end user(s);

972
973 34.4.2. The sender, using his/her private key, attaches the encrypted
974 signature to the message or document; and
975

34.4.3. The end user decrypts the document and verifies the signature, which lets the end user know that the document is from the original sender.

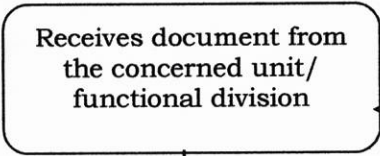
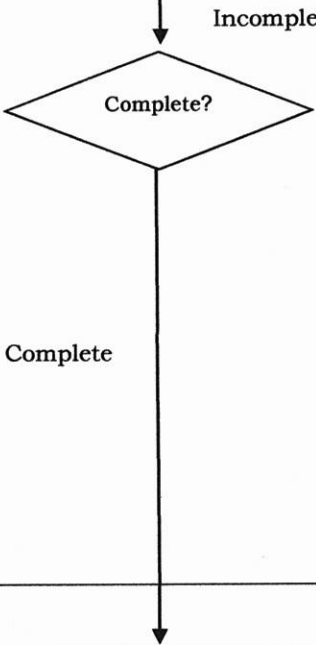
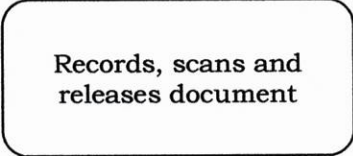
VII. Standard Operating Procedures

Section 35. Records Processes in the Regional Office

35.1. Incoming Documents

FLOWCHART	RESPONSIBLE PERSON	DETAILS	INTERFACE DOCUMENT
Receives, checks, classifies and stamps document ↓	Administrative Officer V/ Administrative Assistant I	The Administrative Officer V /Administrative Assistant I receives, checks and classifies the type of document and stamps "RECEIVED". Document received through email will be directly recorded in the DTS.	Received document marked with date and time received and signature of the receiving officer
Records details of the document to the DTS ↓	Administrative Officer V/ Administrative Assistant I	The Administrative Officer V /Administrative Assistant I records the details of the document and may upload the scanned copy in the DTS.	E-copy may be uploaded in the DTS
Routes document to the concerned unit	Administrative Officer V/ Administrative Assistant I	The Administrative Officer V /Administrative Assistant I routes the document to the concerned unit for action together with the DTS. <i>Document received through email will be forwarded to the email address of the recipient.</i> cc: ord_caraga@deped.gov.ph	Transmittal of the routed document and DTS

35.2. Outgoing Documents

FLOWCHART	RESPONSIBLE PERSON	DETAILS	INTERFACE DOCUMENT
	Administrative Officer V/ Administrative Assistant I	The Administrative Officer V/Administrative Assistant I receives the hard copy of the document and the DTS from the concerned unit.	DTS and Hard copy of the document
	Administrative Officer V/ Administrative Assistant I	The Administrative Officer V/Administrative Assistant I checks the completeness of the document as to enclosures, signature/s, and compliance to standard format. If incomplete/non-compliant, the document will be returned to the concerned unit.	Complete document Return Slip
	Administrative Officer V/ Administrative Assistant I	The Administrative Officer V/Assistant I records the details, scans, uploads the scanned copy in the DTS and releases the document.	Electronic and Hard copies of document, DTS, and Masterlist of Outgoing Documents

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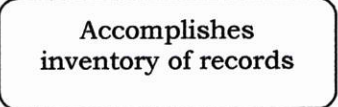
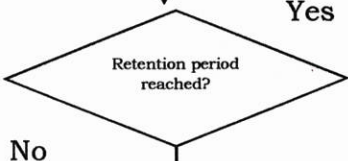
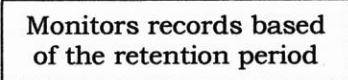
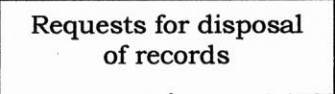
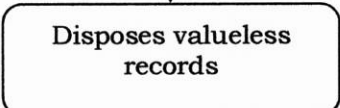
35.3. Retrieval and Use of Records

FLOWCHART	RESPONSIBLE	DETAILS	INTERFACE DOCUMENT
Receives <i>and checks</i> filled-out requisition slip ↓	Administrative Officer V/ Administrative Assistant I	The Administrative Officer V/ Assistant I receives the requisition slip accomplished by the borrower and checks completeness of entries and legitimacy of request.	Accomplished Requisition Slip/Online requisition
Retrieves requested records from the file ↓	Administrative Officer V/ Administrative Assistant I	The Administrative Officer V/Administrative Assistant I retrieves the requested records from the file.	Accomplished Requisition Slip/Online requisition and requested record
Records the borrowed records in the charged-out form ↓	Administrative Officer V/ Administrative Assistant I	The Administrative Officer V and Administrative Assistant I records the borrowed records in the charge-out slip	Accomplished Charge-out Slip/Online charge-out
Releases requested records to the borrower	Administrative Officer V/ Administrative Assistant I	The Administrative Officer V/ Administrative Assistant I releases the records to the requesting party. A follow-up slip shall be issued to the borrower if it is not returned within the day except for legal/personnel matters which require 15 days.	Follow-up slip/Online notification

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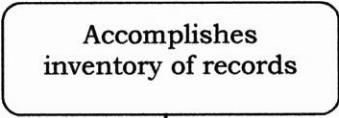
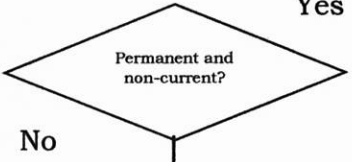
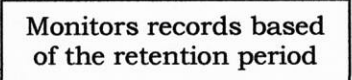
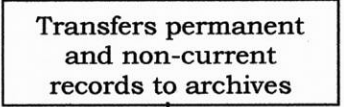
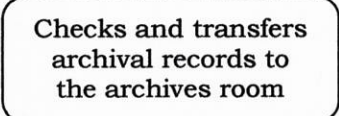
35.4. Records Disposal

FLOWCHART	RESPONSIBLE PERSON	DETAILS	INTERFACE DOCUMENT
	All RO Personnel, headed by document custodians per FD	Inventory of records is conducted by all personnel and are consolidated by the document custodians. Retention periods are identified based on DepEd Records Disposition Schedule and NAP General Records Disposition Schedule	NAP Form 1
	Document Custodians	Records are classified whether or not they have already reached the retention period or not.	NAP Form 1
	Document Custodians	Records that have not reached the retention period will be properly stored at the Functional Division storage are and are regularly monitored.	NAP Form 1
	Document Custodians and Records Officer	The document custodians prepare NAP Form 3 and submit the same to the Records Officer. The Records Officer consolidates the request and submits request to the NAP for approval.	Letter Request NAP Form 3
	NAP representative COA representative DepEd representative	Disposal of the records will be facilitated by the NAP representative. Representatives from COA and DepEd will also observe the disposal.	Certificate of Disposal

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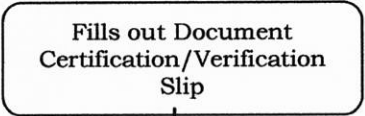
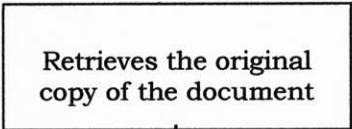
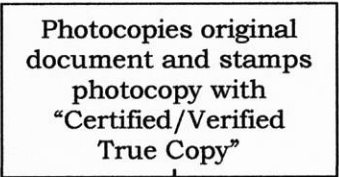
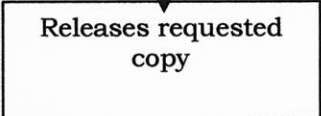
35.5. Archiving

FLOWCHART	RESPONSIBLE PERSON	DETAILS	INTERFACE DOCUMENT
	All RO Personnel, headed by document custodians per FD	Inventory of records is conducted by all personnel and are consolidated by the document custodians. Retention periods are identified based on DepEd Records Disposition Schedule and NAP General Records Disposition Schedule.	NAP Form 1
	Document Custodians	Records are classified whether or not they have already reached the retention period or not.	NAP Form 1
	Document Custodians	Records that have not reached the retention period will be properly stored at the Functional Division storage are and are regularly monitored.	Non-permanent and current records
	Document Custodian in Functional Divisions and Records Officer	Records for transfer on archives room will be encoded in the database and transmitted to the Records Unit.	Records for Archival, Transmittal and Archives Database
	Records Officer	Transferred records will be checked vis-à-vis the database and transmittal submitted.	Records for Archival and Archives Database

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35.6. Certification/Verification of Originality of Document

FLOWCHART	RESPONSIBLE PERSON	DETAILS	INTERFACE DOCUMENT
	Requesting Party	Client fills-out all the necessary information for the certification/verification of records.	Online / Hardcopy Request Slip for Certification/Verification of Document
	Records Officer	Records Officer identifies whether the request is for Certification or Verification.	Online / Hardcopy Request Slip for Certification/Verification of Document
	Records Officer	Records officer shall only authenticate documents under her custody. The personnel who keeps the original document under his/her custody can certify originality of document.	Original copy of the requested document
	Records Officer	For documents not in the custody of the Records Office, requesting party shall present the original copy.	Original copy and photocopy of the requested document
	Records Officer	Documents are released by the Records Officer to the requesting party.	Certified/Verified True Copy of the requested document

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35.7. Freedom of Information

FLOWCHART	RESPONSIBLE PERSON	DETAILS	INTERFACE DOCUMENT
Fills out DepEd FOI Request Form	Requesting Party	The requesting party fills out all the necessary information in the form. The requesting party submits the request form and presents a valid government issued ID for identification. The request may also be sent through email or mail.	DepEd FOI Request Form with valid ID
Receives request form, logs Information and Issues Receiving Copy	Receiving Officer	The Receiving Officer stamps the request as "Received" and inputs requested information in the FOI and Document Tracking System and issues receiving copy and reference number. If incomplete, ask requesting party to provide complete information. If requested information is not in the custody of the Office, requesting party shall be advised accordingly. If requested information is already posted and available online, requesting party shall be informed and provided the link. If requested information is substantially similar or identical to previous request of the same requester, request shall be denied, informing the client the reason for denial.	DepEd FOI Request Form FOI Tracking System DTS
Forwards request to the Decision Maker	Receiving Officer	The Receiving Officer forwards the request to the Decision Maker within one working day from its receipt.	DepEd FOI Request Form DTS

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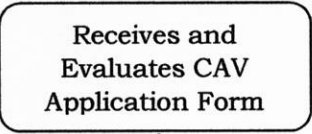
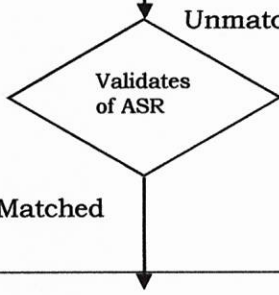
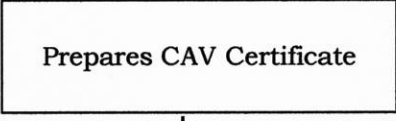
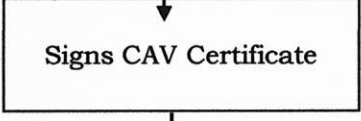
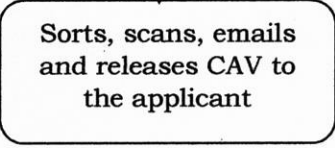
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FLOWCHART	RESPONSIBLE PERSON	DETAILS	INTERFACE DOCUMENT
<pre>graph TD; A((A)) --> D{Grants/ Denies request}; D -- Granted --> C[Routes the Request Letter to the Concerned Chief]; D -- Denied --> B[Informs and Sends Letter of Denial to the requesting party];</pre>	Decision Maker	The Decision Maker assesses and clarifies the request if necessary to grant or deny.	DepEd FOI Request Form
Informs and Sends Letter of Denial to the requesting party	Decision Maker Receiving Officer	In case of denial of the request wholly or partially, the FOI RO shall, within three days, notify the requesting party of the denial in writing.	Letter of Denial
Routes the Request Letter to the Concerned Chief	Decision Maker	Upon approval of the requested information from the FOI Decision Maker, the request shall be forwarded to the functional division or unit concerned.	DepEd FOI Request Form DTS
Provides Requested Information and Submits the Same to the Decision Maker for Signature	Concerned Office Decision Maker	The concerned office prepares the requested information and forwards it to the Decision Maker for approval. Once signed, it is forwarded to the Receiving Officer for releasing	DepEd FOI Request Form Requested Information DTS
Logs approved request and releases the same to the Requesting Party	Receiving Officer	The Receiving Officer logs the request in the OFI tracking system, stamps the document "Released" and releases it to the requesting party.	DepEd FOI Request Form Requested Information FOI and Document Tracking System

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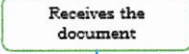
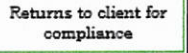
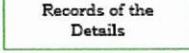
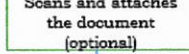
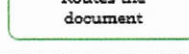
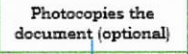
35.8. Certification Authentication and Verification (CAV) of Academic School

FLOWCHART	RESPONSIBLE PERSON	DETAILS	INTERFACE DOCUMENT
	Administrative Officer V/ Records Personnel	The Administrative Officer V/Records Personnel receives and evaluates the CAV Application Form.	Filled-out CAF
	Administrative Officer V/ Records Personnel	The Administrative Officer V/ Records Personnel validates the school records attached to the CAV Application Form against the records on file in the Regional Office. If matched, proceed to the next step. If unmatched, advise the applicant on other courses of actions he/she may take.	Validated ASR CAV Return Slip
	Administrative Officer V/ Records Personnel	The Administrative Officer V/ Records Personnel prepares the CAV Certificate, check its completeness and accuracy, and affix initial in the CAV Certificate.	CAV Certificate
	RD/ARD/Chief	The RD/ARD/Chief signs the CAV, signifying approval	CAV Certificate and Supporting ASR
	Administrative Officer V/ Records Personnel	The Administrative Officer V/ Records Personnel sorts, scans, emails, seals and releases the envelope containing the approved CAV with the attachments to the applicant. Scanned copy is simultaneously sent to the DFA official email address.	Sealed envelope containing approved CAV and attachments Logbook

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Section 36. Records Processes in the Division Offices

36.1. Incoming Documents

Flowchart	Person Responsible	Details	Timeline	Interface Document
	Records Personnel	The Records Personnel receives the document and checks completeness/validity	2 mins.	received communication
 Yes No	Records Personnel	stamp "received," mark the date and time and affix signature. If No, the Records Personnel shall return the document to the client for compliance.	3 mins.	
				
	Personnel	The Records Personnel will then record the details of the recived document in the DMS/Logbook.	5 mins	received communication
 Yes No		If there is a DMS, the Records Personnel may upload the scanned copy of the communication and prints acknowledgement receipt.	5 mins	e-copy of document received acknowledgment receipt
	Records Personnel			
				
	Records Personnel	In the absence of DMS, the Records Personnel may photocopy the document and file the same.		Logbook Received Communication
	Records Personnel	The Records Personnel will route the communication to the action office.	5 mins	

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36.2. Outgoing Documents

Flowchart	Person Responsible	Details	Timeline	Interface Documents
	Records Personnel	The Records Personnel receives document for release from the concerned unit/office and checks its completeness	3 mins	Approved Documents
	Records Personnel	If incomplete, the document will be returned immediately to the concerned office. If complete, the Records Personnel stamps "released," marked with date and affixed with signature.	3 mins	Document for release
	Records Personnel	The Records Personnel will record the details of the documents in the DMS /Database/logbook and indicated the manner of dispatch (email, courier, handcarry, etc.).	5 mins	Document for release Logbook/DMS/ Database
	Records Personnel	The Records Personnel releases the document and retains file copy	5 mins, Released within the cut-off (for courier and delivery)	Stamped document
	Records Personnel	Retained copy shall be file following the FSACS and other filing guidelines	3 mins	File copy

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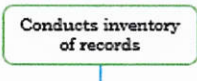
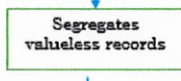
36.3. Access and Retrieval of Records

Flowchart	Responsible Person	Details	Timeline	Interface Document
	AO IV	AO IV receives request to access records	1 min.	letter request or filled-out request form
	AO IV	If confidential, the Admin. Officer IV will forward it to the higher approving authority. If not, the Admin. Officer IV will assess its legitimacy and its purpose.	5 mins.	Letter Request or Filled-out request form SPA Valid IDs
	Admin. Aide VI Admin. Officer IV	If the request is disapproved, the requesting party will be notified	5 mins	Letter of disapproval/ Letter request stamped "not granted/denied"
	Admin. Aide VI	If approved, the Admin. Aide VI will retrieve requested records on file.	15 mins.	Requested records on file
	Admin. Aide VI	The Admin. Aide VI will record the details of retrieved records in the Borrower's Log/ Logbook.	5 mins	hard copy of records borrower's log/logbook
	Admin. Aide VI	The Admin. Aide VI will release the requested record after the requesting party affixes his name and signature.	3 mins.	hard copy of records logbook

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36.4. Records Disposal

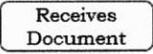
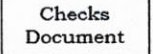
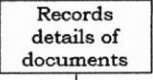
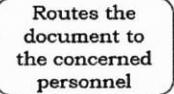
Flowchart	Person Responsible	Details	Timeline	Interface document
	All Concerned Employees	All concerned employees shall conduct inventory of records in their respective possessions. The list will be consolidated by the administrative assistants/records custodians of each office/division/unit	First Quarter	NAP Form 1
 No	Administrative assistants/records custodians of each office/division/unit	The administrative assistants/records custodians of each office/division/unit identifies the documents that reached the retention period	1 week	NAP Form 1
 Yes	Administrative assistants/records custodians of each office/division/unit	Valueless records awaiting for disposal are segregated, sealed, labeled and signed	3 days	Valueless Records
 Comply NAP's recommendation	AD V	AD IV prepares letter request with attached filled-out NAP Form 3 for signature of SDS	20 mins	NAP Form 3 Letter Request
 Yes	AD IV	If request is disapproved, the AD IV must comply the recommendations/findings as indicated in the Records Management Analysis Report If request is approved, AD IV prepares Activity proposal for the disposal and sends letter to COA representative		Records Management Analysis Report
	AD IV, NAP, COA and DepEd Representative	Dispose records as witness by NAP and COA representatives and DepEd AD V	1-2 days	Certificate of Disposal of Records Records Management Analysis Report Authority to Dispose of Records

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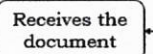
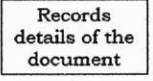
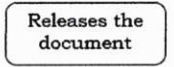
Section 37. Records Processes in Schools

37.1. Incoming Documents

FLOWCHART	RESPONSIBLE PERSON	DETAILS	TIMELINE	INTERFACE DOCUMENT
	Records In-charge	The records in-charge receives the communication.	3 mins	Received documents
	Records In-charge	The records in-charge checks the completeness and validates the correctness of information.	3 mins	Received documents
	Records In-charge	If yes, proceed to recording of communication. If no, return to the concerned person.	2 mins	Received documents
	Records In-charge	The records in-charge stamps "RECEIVED", places his/her initial and time received. He/she then records the details of the communication.	2 mins	Records Logbook/Database
	Records In-charge	The records in-charge routes the communication to the concerned personnel for action.	15 mins.	Transmital of the routed communication/ Acknowledgment receipt

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37.2. Outgoing Documents

FLOWCHART	RESPONSIBLE PERSON	DETAILS	TIMELINE	INTERFACE DOCUMENT
	Records In-charge	The records in-charge receives documents for release from the concerned personnel and checks its completeness.	3 mins.	Document for release
	Records In-charge	If complete, proceed to recording. If incomplete, return to the concerned personnel.	3 mins.	Document for release
	Records In-charge	The Records In-charge stamps "RELEASED", affixes his/her initial, and records the document. He/she reproduces the document and keeps a file copy.	5 mins.	Record logbook/Database, Document
	Records In-charge	The Records In-charge releases the approved documents to the concerned client.	3 mins.	Record logbook, Document

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37.3. Certification/Verification of Originality of a Document

FLOWCHART	RESPONSIBLE PERSON	DETAILS	TIMELINE	INTERFACE DOCUMENT
Receives the request form	Records In-charge	The records In-charge receives the request form (electronic or hard copy), checks completeness of entries, and validates purpose of request.	3 mins.	Request Form
Searches and Evaluates the Learner's Academic School Record	Records In-charge	The records In-charge searches the academic school records of the learners, checks and validates the correctness and completeness of the information.	15 mins.	Learner's Academic School Records
Photocopies of the ASR	Records In-charge	The records In-charge will prepare the document.	10 mins.	Certified/Verified document
Stamps and Signs Document	Records In-charge	The records in-charge will stamp "Certified True Copy" or "Verified True Copy" and affix his/her signature.	5 mins.	Certified/Verified document
Records the Document	Records In-charge	The records in-charge will record the document to the logbook.	2 mins.	Records logbook
Releases the Document	Records In-charge	The records officer will release the document through electronic or hard copy.	10 mins.	Certified/Verified document

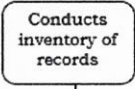
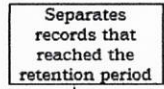
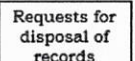
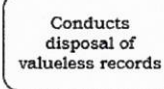
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37.4. Filing/Storage/Archiving

FLOWCHART	RESPONSIBLE PERSON	DETAILS	TIMELINE	INTERFACE DOCUMENT
Sorts and classifies records	Records In-charge	The records incharge sorts the records according to their document type and retention period and files them.	5 mins	Hard copies of the records
Files and stores records	Records In-charge	The records incharge stores the records in container. Regularly updates entries and maintains back up files of all important documents soft and hard copy.	15 mins	Complete document, electronic copy
Keeps records secure	Records In-charge	The records incharge makes sure that records are stored properly to prevent from destruction. Records should also be secured from unauthorized access.	Year-round	Designated permanent place for safekeeping

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37.5. Records Disposal

FLOWCHART	RESPONSIBLE PERSON	DETAILS	TIMELINE	INTERFACE DOCUMENT
	All concerned employees	All concerned employees conducts inventory of records in their possession. The list will then be consolidated per office/department to be submitted to the school records custodian/registrar. Guidelines set by the Department of Education Records Disposition Schedule (RDS) and National Archives of the Philippines General Records Disposition Schedule (GRDS) shall be followed	Every 1st Quarter of the year	NAP Form 1, RDS, GRDS
	Records In-charge, Records custodians per office/department	Details of records that are already due for disposal will be logged using NAP form 3 and submits the duly accomplished form to the School records custodian/registrar.	Every 1st Quarter of the year.	NAP Form 3
	School Records custodian/ Registrar	The records incharge consolidates the NAP form 1 and NAP Form 3 from the offices/departments and prepares letter request to be submitted to the NAP.	Every 2nd Quarter of the year.	Letter Request, NAP Form 3
	School Records custodian/ Registrar	If yes, proceed to disposal following the guidelines set by NAP. If no, return records to the storage area.	As scheduled by NAP	Letter of Information Schedule from NAP
	School Records custodian/ Registrar, School Head representative from NAP, COA, and DepEd	Disposal of the records will be observed by the NAP Representative, COA Representative, School Head, Records In-charge, and DepEd Office Representative.	As scheduled by NAP	NAP Form 6 (Certificate of Disposal)

37.6. Certification Authentication and Verification (CAV) of Academic School Records

FLOWCHART	RESPONSIBLE PERSON	DETAILS	TIMELINE	INTERFACE DOCUMENT
Receives and reviews Request Form	Records custodian/Registrar	The records In-charge receives the request form (electronic or hard copy) and checks the completeness of entries.	5 mins.	CAV Form "1" (Request Form)
Retrieves the Academic School Records	Records custodian/Registrar	The records In-charge retrieves the academic school records requested by the applicants.	15 mins.	Academic School Records
Available?	Records custodian/Registrar	If available, proceed to evaluation of ASR. If not available, check availability of records in the Schools Division Office (SDO) concerned through School Referral Form.	5 mins.	CAV Form "2" School Referral Form to Division Office
Checks accuracy of Records	Records custodian/Registrar	The records In-charge checks and validates the accuracy of the information in the ASR.	10 mins.	Academic School Records
Matched?	Records custodian/Registrar	If matched, proceed to next step. If unmatched as to name / date of birth / place of birth, clarify the discrepancy/ies with the applicant and inform the client to present duly authenticated Birth Certificate issued by the Philippine Statistics Authority (PSA). If unmatched records persist, indorse the applicant to the Legal Unit of the Regional Office for proper disposition.	30 mins.	CAV Form "3" Indorsement for Correction of Entries in the Academic School Records
Prepares documents for Approval	Records custodian/Registrar and School Head	The records In-charge prepares the ASR and Certification then affixes his/her signature. The school head will review the accuracy and veracity of the ASR and request form then affixes signature for approval.	35 mins.	CAV Form "4" Certification of Enrollment/ Completion/ Graduation CAV Form "5" School Transmittal to the Regional Office
Releases documents	Records custodian/Registrar and School Head	The records custodian/registrar will release the approved ASR, Certification and transmittal in sealed envelope. The school head shall immediately inform the RO about the CAV request duly thru email, text message, fax.	3 mins.	CAV Form "6" List of Approved CAV request
Records and maintains file copy of the released CAV	Records custodian/Registrar	The records In-charge records the documents to be released duly acknowledged by the applicant.	10 mins.	Records Logbook and file copy

VIII. Effectivity – This CoRe Manual shall become effective after final approval from the Regional Director and shall take effect immediately.

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Directory of Regional and Division Offices

Office	Email Address
Regional Office	caraga@deped.gov.ph
Agusan del Norte Division	agusan.norte@deped.gov.ph
Agusan del Sur Division	depedagusandelsur@deped.gov.ph
Bayugan City Division	deped.bayugan@gmail.com
Bislig City Division	bislig.city@deped.gov.ph
Butuan City Division	butuan.city@deped.gov.ph
Cabadbaran City Division	cabadbaran.city@deped.gov.ph
Dinagat Islands Division	dinagat.islands@deped.gov.ph
Siargao Division	siargao@deped.gov.ph
Surigao City Division	surigao.city@deped.gov.ph
Surigao del Norte Division	surigao.delnorte@deped.gov.ph
Surigao del Sur Division	surigaodelsur.division@deped.gov.ph
Tandag City Division	tandag.city@deped.gov.ph

**List of Documents that WILL NOT pass through Records Office
for Receiving and Releasing**

The following are the documents that are not required to be received and released in the Records Office and should be given directly to the concern office for an immediate action:

REGIONAL AND DIVISION LEVEL RECORDS

Legal Records

- Administrative Decisions (With respect to Cases/Opinions/Decisions/Resolutions/Orders)
- Cases (Administrative, Civil/Criminal)
- Complaints/Grievances (Actions Taken on the Complaints, Counter Affidavits and/or Answers, Investigation Reports)
- Rejoinders
- Resolutions
- Corrections of Name/Birthdate (Personnel, Students)
- Deeds (Acquisition of Books/Teaching Aids and Vehicles) Donations, Sale
- Contracts of Services (Contract Records including Correspondences/Related Papers)
- Memoranda of Agreement/Understanding
- Other Legal Records

SCHOOL LEVEL RECORDS

Advisory

- Excuse Letter

Library

- Book Cards
- Borrowers Card, etc.

Supply/Property Office

- SF3-Books Issued and Returned
- Acknowledgment Receipts
- Inventories and Inspection Reports, etc.

Finance Office

- MOOE

- PTA Liquidation Reports, etc.

Clinic

- SF8 – Learners Basic Health and Nutrition Report
- Student's Health Card
- Deworming Form 1
- Personnel's Health Card

Guidance Office

- Learner's Needs
- Progress & Achievement Cardex
- Parent/Guardian Communication Cardex
- Student's Disciplinary Actions

Annex 3

List of Active Records Stored in the Records Office

The following are the records in their active phase that need to be stored and properly kept in the Records Office and make such records readily available upon legitimate request:

REGIONAL AND DIVISION LEVEL RECORDS

ITEM NO.	RECORD SERIES TITLE AND DESCRIPTION	RETENTION PERIOD			REMARKS
		Active	Storage	Total	
	<u>ADMINISTRATION & MANAGEMENT</u>				
3	AUTHORITIES TO TRAVEL • Employees • Officials • Teachers/Principals/Asst. School Division Superintendents/Division Superintendents	2 years		2 years	
8	CERTIFICATIONS • Certifications, Authentications and Verifications (CAV)	1 year		1 year	
9	CHARTS • Organizational/Functional • Process Flow	PERMANENT		PERMANENT	
11	CREATION OF DIVISION AND DISTRICT OFFICE RECORDS	PERMANENT		PERMANENT	
13	OUTGOING COMMUNICATIONS/ CORRESPONDENCES • Non-Routine • Routine	2 years		2 years	To be filed with appropriate records series After acted upon
14	DIRECTIVES/ISSUANCES • Issued by the Head of Agency documenting policies, procedures, standards, rules and regulations, programs of the agency	PERMANENT		PERMANENT	

	• Issued by the Head of Agency reflecting routinary information	2 years		2 years	
15	DIRECTORIES OF PERSONNEL/SCHOOL OFFICIALS • Advisories • Bulletins • Circulars	2 years		2 years	After superseded
17	Lists Officials (Local/National)	1 year		1 year	After updated
18	MANUALS	PERMA NENT		PERMA NENT	
25	SPECIMEN SIGNATURES	PERMA NENT		PERMA NENT	

SCHOOL LEVEL RECORDS

ITEM NO.	RECORD SERIES TITLE AND DESCRIPTION	RETENTION PERIOD			REMARKS
		Active	Storage	Total	
1	SF1 (School Register)	Permanent		Permanent	
2	SF2 (Learner Daily Attendance Report)	2 years		2 years	
3	SF4 (Monthly Learner Movement and Attendance Report)	2 years		2 years	
4	SF5 (Report on Promotion and Level of Proficiency)	Permanent		Permanent	
5	SF5A (End of Semester and School Year Learner Status)	Permanent		Permanent	
6	SF5B (List of Learners with Complete SHS Requirements)	Permanent		Permanent	
7	SF6 (Summarized Report on Promotion and Level of Proficiency)	Permanent		Permanent	
8	SF9 (Learner's Progress Report Card)	Permanent		Permanent	
9	SF10 (Learner's Permanent Academic Record) with PSA Birth Certificate	Permanent		Permanent	
10	Certificate of Recomputed Final Grade	Permanent		Permanent	
11	Basic Education Enrolment Form with Affidavit of Undertaking	2 years		2 years	
12	Child Mapping Tool (Survey)	1 year		1 year	
13	Diploma	Permanent		Permanent	
14	Certificate of Graduation	Permanent		Permanent	
15	Certificate of Completion	Permanent		Permanent	
16	Good Moral Certificate (Graduating Students Only)	1 year		1 year	

17	Yearbook/Souvenir Program	Permanent		Permanent	
18	Certificate of Honor Student	Permanent		Permanent	
19	Ranking/List of Honor Students	3 years		3 years	After graduated
20	Class Record with Summary of Quarterly Grades	Permanent		Permanent	
21	Summary of Final Grades and Average	1 year		1 year	
22	Student's Test Papers	Permanent		Permanent	
23	NCAE Results	1 year		1 year	After graduated
24	NAT Results	2 years		2 years	After graduated
25	Copy of Student's Disciplinary Action	5 years		5 years	
26	Copy of Anecdotal Records	2 years		2 years	
		5 years		5 years	

Note:

Other offices shall transfer permanent records in the Archives Room provided they submit accurate inventory with transmittal/indorsement.

List of Identified Routine and Non-Routine Communications

REGIONAL AND DIVISION LEVEL RECORDS

Routine Communications:

1. Programs/Invitations
2. Letter Requests/Correspondence
3. Communications that are of ordinary interest
4. Communications that require ordinary action and do not need reply
5. Communications intended for information dissemination only

Non-routine Communications:

1. Legal Documents
2. Financial Documents
3. Communications with historical value
4. Communications classified as "Top Secret", "Secret", "Restricted", or "Confidential"
5. Vital Documents (land tiles, deed of donation, deed of sale, memorandum of agreements)

SCHOOL LEVEL RECORDS

Routine Communications

1. Requests
 - a. Good Moral Certificate
 - b. Enrolment Certificate
 - c. Certificate of Graduation
 - d. Certificate of Completion
 - e. Certificate of Honor Student
 - f. Diploma
 - g. Reconstruction of Diploma (for CAV purposes)
 - h. Yearbook
 - i. NCAE Result
 - j. English as Medium of Instruction
 - k. NAT Results
 - l. SF10
 - m. Request for CAV (CAV Form 1)
2. Mails/emails
 - a. Answers / Replies to Requests

Non-Routine Communications

1. Correspondence to and from Stakeholders
2. Legal Documents
3. Financial Documents

Note:

Non-routine mails and communications should be given priority and be routed to the concerned offices with proper acknowledgement.

**List of Records Stored in the Records Office with Personal
and Sensitive Personal Information**

The following records that have personal and sensitive information:

REGIONAL AND DIVISION LEVEL RECORDS

1. Certifications

- Certifications, Authentications and Verifications (CAV)
 - Certificates of Graduation
 - Diplomas
 - Student Report Cards (Form 137)
 - Special Orders

2. Authorities to Travel

3. Copy of Released Documents (Transfer documents, Communications, Reports)

SCHOOL LEVEL RECORDS

1. SF 1 (School Register)
2. SF5 (Report on Promotion and Level of Proficiency)
3. SF5A (End of Semester and School Year Learner Status)
4. SF9 (Learner's Progress Report Card)
5. SF10 (Learner's Permanent Academic Record) with PSA Birth Certificate
6. Certificate of Recomputed Final Grade
7. Basic Education Enrolment Form with Affidavit of Undertaking
8. Learner's Needs, Progress and Achievement Card ex (or Anecdotal Record)
9. Parents/Guardians Communication Cardex
10. Records of Student's Disciplinary Actions
11. Child Mapping Tool
12. Diploma
13. Certificate of Completion
14. Class Record with Summary of Quarterly Grades
15. Summary of Final Grades and Average
16. NCAE Results
17. NAT Results
18. Personnel Records

**List of Records in the Records Office that Can Be Readily
Released to the Requesting Party**

REGIONAL AND DIVISION LEVEL RECORDS

1. Directives/Issuances

- Executive Orders
- Proclamations
- Administrative Orders
- Office Memoranda
- General Circulars
- Office Circulars
- Office Orders
- Special Orders
- Department Orders
- General Memorandum
- Circulars Office Memorandum
- Circulars/ Office Memorandum
- Orders
- Bulletins

Note: Provided that above documents do not contain confidential information

**2. Authorities to Travel (provided that it is released to the concerned personnel
or his/her authorized representative)**

- Employees
- Officials
- Teachers/Principals/Asst. School Division Superintendents/Division
Superintendents

SCHOOL LEVEL RECORDS

1. Good Moral Certificate
2. Certificate of Enrolment
3. Certificate of Graduation
4. Certificate of Completion
5. Certificate in English as a Medium of Instruction
6. Diploma
7. Certificate of Honor Student
8. Yearbook
9. NCAE Result
10. NAT Result

11. SF9 (Learner's Progress Report Card)
12. SF10 (Learner's Permanent Academic Record)

Note: Provided that it is released to the owner or his/her authorized representative.

**Classification of Records Processes Based on Ease of Doing Business
and Anti-Red Tape Laws**

REGIONAL AND DIVISION OFFICE

Simple Transactions

- Request for Certification/Verification of Document
- Request for Copy of Directives/Issuances and Travel Authority

Complex Transaction

- Application for Certification, Authentication, and Verification of School Records

SCHOOL LEVEL

Simple Transactions

- Request for School Records and Honorable Dismissal
- Request for Certification/Verification of Document

Complex Transaction

- Application for Certification, Authentication, and Verification of School Records

Request Form (Region/Division)

REQUEST FORM



Republic of the Philippines
Department of Education
CARAGA REGION
Division _____

Date of Request: _____
Date Released: _____
Control No. _____

Name of Employee: _____ Representative: _____
Contact No. _____ School/Station/Office _____

Document to be requested: (Please check any of the following)

☐ Travel Authority
☐ Directives/Issuance
No. and/or Title: _____
☐ Others (Please specify) _____

Purpose: (Please check any of the following)

☐ Ranking/Promotion
☐ Transfer of School/Division
☐ Travel Abroad
☐ Other (Please specify) _____

Signature Over Printed Name
Employee/Representative

Note: If request is done through representative, there should be a written authorization and Identification Card

Request Form (School)

REQUEST FORM



Republic of the Philippines
Department of Education
CARAGA REGION

Division_____

School_____

School Address_____

Date of Application: _____

Date Release: _____

Control No. _____

Name of Learner: _____

Representative: _____ Relationship: _____

Contact No. _____

School Last Attended: _____ Grade: _____ Section: _____

Present School: _____ School Address: _____

School Record to be requested :(Please check any of the following)

- ☐ Form I38
☐ Form 137
☐ Good Moral
☐ Diploma
☐ Others(Please specify) _____

Purpose :(Please check any of the following)

- ☐ Local Employment
☐ Transfer of School
☐ Registration for LRC
☐ Employment Abroad
☐ Travel Abroad
☐ Others (Please specify) _____

 Signature Over Printed Name
 Applicant/Representative/Teacher

Note: If request is done through representative, there should be a written authorization, proof of filiation, Identification Card

ANNEX A

CAV FORM 1 – REQUEST FORM – SCHOOL (RF)

Republic of the Philippines
 Department of Education
 Region _____
 Division _____

Control No.: _____
 Date of Application: _____
 Date of Release: _____

School Name : _____
 School ID: _____

REQUEST FORM FOR ACADEMIC SCHOOL RECORDS

NAME OF LEARNER : _____

DATE & PLACE OF BIRTH : _____

SCHOOL YEAR LAST ATTENDED / GRADUATED : _____

PRESENT ADDRESS : _____

CONTACT NO. : _____

PURPOSE: (Please check any of the following):

- | | | |
|--|---|--|
| ☐ EMPLOYMENT ABROAD | ☐ FIANCE VISA | ☐ STUDENT VISA |
| ☐ SEAMAN'S BOOK/SRC | ☐ TOURIST VISA | ☐ DESCENDANT'S VISA |
| ☐ MIGRATION ABROAD | ☐ REIMBURSEMENT OF EDUCATIONAL
ALLOWANCE/ TUITION FEES OF
CHILDREN OF OFWs | |
| ☐ SUCH OTHER PURPOSE AS MAYBE REQUIRED BY THE DFA | | |

Signature Over Printed Name
 (Applicant / Representative)

ANNEX B

CAV FORM 2 - SCHOOL REFERRAL TO DIVISION OFFICE

Republic of the Philippines
Department of Education
Region _____
Division _____
School Name _____

1st Indorsement

Date _____

Respectfully forwarded to the Schools Division Superintendent, Division of _____, requesting for assistance in securing a certified true copy of *School Form 18 (now School Form 5)* for reconstruction of Form 137 in relation to the herein attached request of Name of Learner, who claims to be a graduate of / student in Name of School during the School Year _____. The said record, despite diligent search, is not available in this Office.

For the preferential appropriate action of the Schools Division Superintendent.

Signature Over Printed Name
(School Head/Principal)

Attached: as stated.

ANNEX C

**CAV FORM 3 - INDORSEMENT FOR CORRECTION OF ENTRIES IN THE ACADEMIC
SCHOOL RECORDS**

Republic of the Philippines
Department of Education
Region _____
Division _____
School Name _____

1st Indorsement
Date _____

Respectfully forwarded to the Regional Director, DepEd Regional Office _____,
(address) _____ (Attention: Attorney IV, Legal Unit) requesting for
assistance in the Correction of Entries in the Academic School Records of Name of
Learner, a graduate of / student in Name of School during the School Year _____

For ready reference and perusal, attached are the following documents / records:

1. Certificate of Live Birth (issued by Philippine Statistics Authority);
2. Affidavit of Discrepancy;
3. Affidavit of two (2) Disinterested Persons;
4. Form-137; and
5. Diploma

For the preferential appropriate action of the Regional Director.

Signature Over Printed Name
(School Head/Principal)

Attached: as stated.

ANNEX D

CAV FORM 4 – CERTIFICATION OF ENROLMENT / COMPLETION / GRADUATION

Republic of the Philippines
Department of Education
Region _____
Division _____
School Name _____

CERTIFICATION OF ENROLMENT / COMPLETION / GRADUATION

TO WHOM IT MAY CONCERN:

This is to certify that, based on available records in this school, the following information pertaining to Name of Learner with Learner Reference Number _____ appear:

- () enrolled in Grade ____ during the School Year ____
- () completed Grade ____ during the School Year ____
- () satisfactorily graduated from Elementary / Secondary Course for the School Year _____ as prescribed by the Department of Education*.

This certification is issued on _____ upon the request of Name of Learner in connection with his / her application for Certification, Authentication and Verification.

Signature Over Printed Name
(School Head/Principal)

**If graduated from secondary course in private school, indicate Special Order Number and date.*

ANNEX E

CAV FORM 5 – SCHOOL TRANSMITTAL TO THE REGIONAL OFFICE

Republic of the Philippines
Department of Education
Region _____
Division _____
School Name _____

1st Indorsement
Date _____

Respectfully forwarded to the Regional Director, DepEd Regional Office _____,
(address) _____, the herein request of Name of Learner for
Certification, Authentication and Verification (CAV) of his / her Academic School
Records.

For ready reference and perusal, attached are the following
documents/records marked (✓) below properly enclosed in sealed envelope:

- () Certification of Completion/Graduation
- () Certification of English as Medium of Instruction
- () Form -137
- () Diploma

For the preferential appropriate action of the Regional Director.

Signature Over Printed Name
(School Head/Principal)

Attached: as stated.

ANNEX F

CAV FORM 6 - LIST OF APPROVED CAV REQUEST

Republic of the Philippines
Department of Education
Region _____
Division _____
School Name _____

CONTROL NO.	NAME	DATE OF APPLICATION	DATE OF TRANSMITTAL

xxxx nothing follows xxxx

Prepared by:

Signature Over Printed Name
(School Records Custodian/Registrar)

Submitted by:

Signature Over Printed Name
(School Head/Principal)

ANNEX G

**CAV FORM 7 – CERTIFICATION OF NON-AVAILABILITY OF ACADEMIC
SCHOOL RECORDS IN THE DIVISION OFFICE**

Republic of the Philippines
Department of Education
Region _____
Division _____

CERTIFICATION

TO WHOM IT MAY CONCERN:

This is to certify that after due verification, there is no available records on file in this Office of the requested Academic School Records (ASR) of Name of Learner.

Issued this ____ day of ____, 20__ for whatever legal purpose it may serve.

Signature Over Printed Name
(Division Certifying Officer)

ANNEX H

**CAV FORM 8 - RETURN INDORSEMENT OF SCHOOLS DIVISION OFFICE
TO THE SCHOOL**

Republic of the Philippines
Department of Education
Region _____
Division _____

**2nd Indorsement
Date**

Respectfully returned to Name of School Principal, Name of School, address of school, the attached *School Form 18 (now School Form 5)* in connection with the request for Academic School Records (ASR) of Name of Learner, a graduate of / student in that school.

For the preferential appropriate action of the School Principal.

Signature Over Printed Name
(Division Certifying Officer)

Attached: as stated.

ANNEX I

CAV FORM 9 – CERTIFICATION OF DISCREPANCY / IES

Republic of the Philippines
Department of Education
Region _____
Division _____

CERTIFICATION

TO WHOM IT MAY CONCERN:

This is to certify that, based on the duly verified School Form 18 (now School Form 5) on file in this Office, copy attached, the discrepancy / ies marked (✓) below has / have been noted in the Academic School Records (ASR) of Name of Learner that school:

() Name: _____
() Date of Birth: _____
() Place of Birth: _____
() School Year of Attendance: _____

Issued this _____ day of _____, 20__ for whatever legal purpose it may serve.

Signature Over Printed Name
(Division Certifying Officer)

Attached: as stated.

ANNEX J

CAV FORM 10 – REQUEST FORM (RF) FOR ALS A&E AND PEPT RATINGS

Republic of the Philippines
Department of Education
Region _____
Division _____

Control No. : _____
Date of Application: _____
Date of Release: _____

REQUEST FORM FOR RESULTS OF RATING ON:

- () Alternative Learning Systems Accreditation & Equivalency Test
() Philippine Educational Placement Test

NAME OF LEARNER: _____

DATE OF BIRTH: _____

PLACE OF BIRTH: _____

PRESENT ADDRESS: _____

CONTACT NO.: _____

DATE OF EXAMINATION: _____

PLACE OF EXAMINATION: _____

PURPOSE: (Please check any of the following):

- ☐ EMPLOYMENT ABROAD ☐ FIANCE VISA ☐ STUDENT VISA
☐ SEAMAN'S BOOK/SRC ☐ TOURIST VISA ☐ DESCENDANT'S VISA
☐ MIGRATION ABROAD ☐ REIMBURSEMENT OF EDUCATIONAL
ALLOWANCE/ TUITION FEES OF
CHILDREN OF OFWs
☐ SUCH OTHER PURPOSE AS MAYBE REQUIRED BY THE DFA

Signature Over Printed Name
(Applicant / Representative)

ANNEX K

**CAV FORM 11 – CERTIFICATION OF NON-AVAILABILITY OF RATING
(A&E / PEPT)**

Republic of the Philippines
Department of Education
Region _____
Division _____

CERTIFICATION

TO WHOM IT MAY CONCERN:

This is to certify that after due verification, there is no available records on file in this Office of the requested Results of Rating on () Alternative Learning Systems Accreditation and Equivalency Test () Philippine Educational Placement Test of Name of Learner.

Issued this _____ day of _____, 20__ for whatever legal purpose it may serve.

Signature Over Printed Name
(Division Records Officer)

ANNEX L

CAV FORM 12 – CERTIFICATION OF RATING (A&E / PEPT)

Republic of the Philippines
Department of Education
Region _____
Division _____

CERTIFICATION

TO WHOM IT MAY CONCERN:

This is to certify that, after due verification, the following information marked
(√) below pertaining to Name of Learner, appear in the records of this Office:

() he / she passed the Alternative Learning Systems Accreditation and
Equivalency (ALS A & E) Test for Elementary / Secondary Level administered
on _____; and he / she has the competencies comparable to that of a
Elementary / Secondary graduate in the formal school system and as such, is
eligible to enter secondary / tertiary education.

() he / she took the Year Philippine Educational Placement Test (PEPT)
given at _____ with Examinee Number _____ which indicate
that he / she has met the basic academic requirements of Year Level in the
Elementary / Secondary Level; and he / she, therefore, is eligible for
admission to Year Level subject to the satisfaction of other school admission
requirements.

Issued this _____ day of _____, 20__ for whatever legal purpose it may
serve.

Signature Over Printed Name
(Schools Division Superintendent)

ANNEX M

CAV FORM 13 - DIVISION OFFICE TRANSMITTAL TO THE REGIONAL OFFICE

Republic of the Philippines
Department of Education
Region _____
Division _____

1st Indorsement
Date

Respectfully forwarded to the Regional Director, DepEd Regional Office _____,
(address) _____, the herein request of Name of Learner for
Certification, Authentication and Verification (CAV) of Academic School Records.

For ready reference and perusal, attached are the following
documents/records marked (✓) below properly enclosed in sealed envelope:

- () Certification of Results of Rating
 () ALSA&E
 () PEPT

() Diploma

() Form 137

() Others: _____

For the preferential appropriate action of the Regional Director.

Signature Over Printed Name
(Schools Division Superintendent)

Attached: as stated.

ANNEX N

CAV FORM 14 - LIST OF APPROVED CAV REQUEST

Republic of the Philippines
Department of Education
Region _____
Division _____
School Name _____

CONTROL NO.	NAME	DATE OF APPLICATION	DATE OF TRANSMITTAL

xxx nothing follows xxx

Submitted by:

Signature Over Printed Name
(Schools Division Superintendent)

ANNEX O

CAV FORM 15 - CAV APPLICATION FORM

Republic of the Philippines
Department of Education
Region _____

Control No.: _____
Date of Application: _____

CAV APPLICATION FORM

NAME OF LEARNER: _____
DATE OF BIRTH: _____
PLACE OF BIRTH: _____
PRESENT ADDRESS: _____
CONTACT NO.: _____
NAME OF SCHOOL: _____
ADDRESS OF SCHOOL: _____

PURPOSE: (Please check any of the following):

- ☐ EMPLOYMENT ABROAD ☐ FIANCE VISA ☐ STUDENT VISA
☐ SEAMAN'S BOOK / SRC ☐ TOURIST VISA ☐ DESCENDANT'S VISA
☐ MIGRATION ABROAD ☐ REIMBURSEMENT OF EDUCATIONAL
ALLOWANCE/ TUITION FEES OF
CHILDREN OF OFWs
☐ SUCH OTHER PURPOSE AS MAYBE REQUIRED BY THE DFA

Signature Over Printed Name
(Applicant / Representative)

(TO BE FILLED-UP BY THE REGIONAL OFFICE)

Requirements	Graduates		Undergraduates	
	Public	Private	Public	Private
1. Student Permanent Record (Form 137)	☐	☐	☐	☐
2. Diploma	☐	☐	☐	☐
3. Certificate of Completion / Graduation	☐	☐	☐	☐
4. Special Order	☐	☐	☐	☐
5. Certificate of Accreditation (for PAASCU Accredited Schools)	☐	☐	☐	☐
6. Transmittal	☐	☐	☐	☐
7. ALS A&E / PEPT	☐	☐	☐	☐
a. Certification from BEA	☐	☐	☐	☐
b. Rating	☐	☐	☐	☐
c. Certification from Division Office	☐	☐	☐	☐
8. Passport Size Picture (2 pcs.)*	☐	☐	☐	☐
9. Documentary Stamp	☐	☐	☐	☐

* If the applicant is not the learner himself / herself

ANNEX P

CAV FORM 16 - CAV FORM

Republic of the Philippines
Department of Education
Region _____

ATTACH PASSPORT
SIZE ID PICTURE

CERTIFICATION, AUTHENTICATION AND VERIFICATION

DATE: _____
CAV No.: _____
Series of 20 _____

TO WHOM IT MAY CONCERN:

This is to certify that, based on duly verified available records on file, the following information pertaining to Name of Learner appear, to wit:

() he / she completed the academic requirements of the Department of Education for graduation from the course _____ in the School Year _____ in Name of School, as evidenced by herein attached marked (v) below:

- () Student Permanent Record (Form 137)
- () Diploma
- () Certification of Special Order

() he / she completed the academic requirements of the Department of Education for Grade ____ / Year Level ____ of the Elementary / Secondary course _____ in the School Year _____ in Name of School, as evidenced by herein attached Student Permanent Record (Form 137).

() he / she passed the Alternative Learning Systems Accreditation and Equivalency (ALS A & E) Test for Elementary / Secondary Level administered on _____ and he / she has the competencies comparable to that of a Elementary / Secondary graduate in the formal school system and as such, is eligible to enter secondary / tertiary education as evidenced by herein attached Certification of Rating and Diploma.

() he / she took the Year Philippine Educational Placement Test (PEPT) given at _____ with Examinee Number _____ which indicate that he / she has met the basic academic requirements of Year Level in the Elementary / Secondary Level and he / she, therefore, is eligible for admission to Year Level subject to the satisfaction of other school admission requirements as evidenced by herein attached Certificate of Rating.

This Office further certifies the veracity and authenticity of the attached records herewith, and issued in connection with the application of Name of Applicant for _____ purposes.

Signature Over Printed Name
(Regional Director)

Not valid without official seal,
with erasure or alteration



Republic of the Philippines
Department of Education
 CARAGA REGION
CAV CHECKLIST OF REQUIREMENTS

For Graduates:

1. Indorsement (CAV Form 5) – 1 original copy
2. Diploma – 1 Original (or Reconstructed) and 2 Certified True Copies signed by the School Head/Registrar/Records Custodian
3. Form 137 – 1 Original and 2 Certified True Copies signed by the School Head/Registrar/Records Custodian
4. Certification of Enrollment/Completion/Graduation (CAV Form 4) – 1 Original and 2 Certified True Copies signed by the School Head/Registrar/Records Custodian.
5. Special Order (3 Certified True Copies, for PRIVATE schools only)
6. I.D. Picture (3 pcs passport size with white background)
7. Documentary Stamp (1 pc)
8. Long brown Envelope (1 pc)

For Non-graduates:

1. Indorsement (CAV Form 5) – 1 original copy
2. Form 137 – 1 Original and 2 Certified True Copies signed by the School Head/Registrar/Records Custodian
3. Certification of Enrollment/Completion/Graduation (CAV Form 4) – 1 Original and 2 Certified True Copies signed by the School Head/Registrar/Records Custodian
4. I.D. Picture (3 pcs passport size with white background)
5. Documentary Stamp (1 pc)
6. Long brown Envelope (1 pc)

For ALS A&E Test and PEPT:

1. Indorsement (CAV Form 13) - 1 original copy
2. Diploma/Certification from BEA - (Original and 2 Certified True Copy)
3. Certificate of Rating from BEA - (Original and 2 Certified True Copy)
4. Certification from Division Office (CAV Form 12) - (Original and 2 Certified True Copy)

In case of Representative:

1. Special Power of Attorney (SPA)
2. Photocopy of 1 valid ID of applicant and representative with signature

In case of Minor Applicant:

1. Birth Certificate of the minor applicant (If filed by the parent)
2. Birth Certificates of the minor applicant and the brother/sister (If filed by the brother/sister of legal age)
3. Court Order (If filed by the legal guardian)

Reference: DepEd Order No. 48, s. 2017



Address: J.P. Rosales Avenue,
 Butuan City
 Trunkline No: (085) 342-8207
 Telefax No: (085) 342-5969
 Email: caraga@deped.gov.ph



Document Control No:
 DepEdRO13-F-REC-017/R3/6-7-2021

NAP Form 1 – Records Inventory and Appraisal

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 METERS	LOCATION OF RECORDS	FREQUENCY OF USE	DUPLICATION	TIME VALUE T / P	UTILITY VALUE Adm / F / L / Arc	RETENTION PERIOD Active Storage Total			DISPOSITION PROVISION

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

DepEd National Records Inventory Form

[illegible]

NAP Form 3 – Request for Authority to Dispose of Records

NAP Form No. 3
Revised 2012

Accomplish in 3 copies

NATIONAL ARCHIVES OF THE PHILIPPINES <i>Pambansang Sinuport ng Pilipinas</i>		AGENCY NAME:	
REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS		ADDRESS:	
DATE:		TELEPHONE NUMBER:	
GRDS/ RDS ITEM NO.	RECORD SERIES TITLE AND DESCRIPTION	PERIOD COVERED	RETENTION PERIOD AND PROVISION/S COMPLIED (if Any)
LOCATION OF RECORDS:		VOLUME IN CUBIC METER:	
PREPARED BY: (Name & Signature)		POSITION:	
CERTIFIED AND APPROVED BY: This is to certify that the above mentioned records are no longer needed and not involved nor connected in any administrative or judicial cases. Name and Signature of Agency Head or Duty Authorized Representative			

DepEd Freedom of Information Request Form

This document may be reproduced
and is NOT FOR SALE

Reference Number:

Date of Request:

DEPED FREEDOM OF INFORMATION REQUEST FORM

Pursuant to Executive Order No. 2, s. 2016
(as of November 2016)

Please read the following information carefully before proceeding with your application. Use blue or black ink. Write neatly and in BLOCK letters. Improper or incorrectly filled out forms will not be acted upon. Tick or mark boxes with "X" where necessary. Note (*) denotes a MANDATORY field.

A. Requesting Party

1. Title (e.g. Mr, Mrs, Ms, Miss)

2. Given Name/s (Including M I) *

3. Surname *

4. Residential Address (Apt/House Number, Street, City/Municipality, Province) *

5. Organization/Company/School *

6. Landline/Fax

7. Mobile *

8. Email *

9. Type of ID Given * (Please ensure your IDs contain your photo and signature)

☐ Passport

☐ Driver's License

☐ SSS ID

☐ Postal ID

☐ Voter's ID

☐ School ID

☐ Other/s: _____

B. Requested Information

10. Title of Document/Record Requested *
(Please be as detailed as possible)

11. Purpose *

C. Declaration

Privacy Notice: Once deemed valid, the information entered in this form will be used to deal with your application as set out in the Freedom of Information Executive Order No. 2. If the Department gives you access to a document, and if it contains no personal information about you, the document will be published online, along with your name and the date you applied, and, if another person or company will use or benefit from the documents sought, the name of that person or entity.

The DepEd shall respond to your request as soon as practicable but not exceeding fifteen (15) working days from receipt hereof, unless extended depending on the nature of request, and when it requires extensive search, or affected by any fortuitous event.

By accomplishing this form, I declare that:

- The information provided in the form is complete and correct;
- I have read the Privacy Notice;
- I have presented the requirements needed.

I understand that it is an offense to give misleading information about my identity, and that doing so may result in a decision to refuse to process my application.

Signature over Printed Name *

D. FOI Receiving Officer [INTERNAL USE ONLY]

Name

Decision Maker Assigned to Application (print name)

The request is recommended to be:

☐ Approved

☐ Denied

If Denied, please tick the Reason for the Denial

☐ Invalid Request

☐ Incomplete

☐ Data already available online

Date Request Finished (DD/MM/YYYY)

RO Signature

Date of Signature (DD/MM/YYYY)

ACKNOWLEDGMENT RECEIPT

This serves as an acknowledgment that your Freedom of Information (FOI) request was received by this office as set out in the Executive Order No. 2, s. 2016. Rest assured that the collected personal information is utilized solely for documentation purposes and shall be forwarded to the concerned office/s of the Department for appropriate action and/or response in compliance with the Data Privacy Act of 2012. Please be reminded that your FOI request will be acted upon by the assigned officer or employee within the prescribed timelines of

Name of Requesting Party

Signature over Printed Name of Receiving Officer

Reference Number

Date

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Table for Comments, Corrections, and Suggestions

Line Number	Comments, Corrections, or Suggestions

Prepared by:

Noted by:

Approved by:

Division Records Officer

RMIC Chairperson

Schools Division Superintendent