



<b>QUALITY MANAGEMENT SYSTEM PROCEDURE</b>			
<b>RETENTION OF DOCUMENTED INFORMATION</b>			
Code : DAP-QP-02	Revision No. : 5	Effectivity: 16 August 2016	Page: 1 of 7

## 1.0 PURPOSE

This documented information aims to define and provide the controls needed on the use, maintenance and disposal of retained (inactive) documented information.

## 2.0 SCOPE

2.1 This procedure applies to all retained documented information needed for the implementation of DAP QMS as indicated in the Documented Information Disposal Schedule Matrix.

## 3.0 POLICY

It is the policy of the Academy to ensure that pertinent documented information are established, organized, maintained and disposed properly in accordance with the guidelines provided on retention of documented information.

## 4.0 DEFINITION OF TERMS

4.1 **Retained (Inactive) Documented Information** - refers to documented information in written form or any material – whether on film, negative, tape or other medium capable of being reproduced; or by means of any recording device or process, computer or other electronic device. This covers what ISO 9001:2008 “records”.

4.2 **Retention Period** - length of time a specific record must be kept within respective work areas of office before documented information are transferred to the Central Records Unit.

4.3 **Disposition Method** – refers to the manner of disposing records whether by destroying or deleting.

4.4 **Project Administrative Files** (refer to Documented Information Disposition Schedule)

4.5 **Project Code** – refers to a set of unique characters assigned to a project by the Finance Department (FD) of the Services Group.



<b>QUALITY MANAGEMENT SYSTEM PROCEDURE</b>			
<b>RETENTION OF DOCUMENTED INFORMATION</b>			
Code : DAP-QP-02	Revision No. : 5	Effectivity: 16 August 2016	Page: 2 of 7

- 4.7 **Project-Related Documented Information** – are documented information generated from the activities of the Academy’s project management system. These are categorized into project technical files and project administrative files.
- 4.8 **Project Technical Files** (refer to Documented Information Disposition Schedule)
- 4.9 **Records Custodian** – is a designated individual from each Center / Office held responsible for the collection, maintenance, filing and safekeeping of records.
- 4.10 **Records Disposition Schedule** – is a listing of records with its retention period and corresponding disposition method.
- 4.11 **Records Office** – is the office under the Corporate Operations and Strategy Management Office (COSMO) which serves as the central repository of archival records.
- 4.12 **Retention Period** – refers to the length of time / period a specific record should be kept or disposed.
- 5.0 RESPONSIBILITIES**
- 5.1 **Central Records Unit** – is responsible for the maintenance and disposition of inactive documented information.
- 5.2 **Designated Officers** – ensure that the data and information provided are sufficient as required in the relevant document or form.
- 5.3 **Quality Council** – ensures that the Records Custodian properly adheres to the requirements on the control of documented information.
- 5.4 **Project Managers (PM)** – ensure that active documented information relative to their projects are maintained properly.
- 5.5 **Records Custodian** – responsible for the proper collection, storage, protection, retrieval, retention, and disposition of relevant or active documented information.

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<b>QUALITY MANAGEMENT SYSTEM PROCEDURE</b>			
<b>RETENTION OF DOCUMENTED INFORMATION</b>			
Code : DAP-QP-02	Revision No. : 5	Effectivity: 16 August 2016	Page: 3 of 7

**6.0 PROPERTIES OF DOCUMENTED INFORMATION**

- 6.1 Documented information are legible, identifiable and easily retrievable.
- 6.2 Documented information can be in the form of any type of media such as hard copy or electronic files.
- 6.3 If necessary, documented information are reviewed and/or approved prior to use.
- 6.4 Documented information indicate the person/s who authorizes its use.

**7.0 PROCEDURE DETAILS**

<b>Key Activities</b>	<b>Responsibilities</b>
Collection and identification	Document Custodian
Review and/or approval of documented information, as appropriate	Concerned Designated Officer
Storage and protection	Document Custodian
Retrieval and retention	Document Custodian
Disposition of current / active documented information	Document Custodian
Maintenance and disposition of inactive documented information	Central Records Unit



<b>QUALITY MANAGEMENT SYSTEM PROCEDURE</b>			
<b>RETENTION OF DOCUMENTED INFORMATION</b>			
Code : DAP-QP-02	Revision No. : 5	Effectivity: 16 August 2016	Page: 4 of 7

## 7.1 COLLECTION AND IDENTIFICATION

- 7.1.1 All offices of the Academy maintain their documented information in accordance with the Academy's documented information management system.
- 7.1.2 Documented information are identifiable through any type of media such as hard copy or electronic file.
- 7.1.3 For easy identification and retrieval, project-related documented information shall be labeled using the following format:

For technical files:

Project code (unique code assigned by FD)  
Project title  
"Technical Files"  
Project Duration  
PERMANENT

For administrative files:

Project code  
Project title  
"Administrative files"  
Project duration  
Disposal date

- 7.1.4 Documented information are collected upon availability from their source for appropriate filing by the Document Custodian or concerned process owner. Only marking pens are used on documented information. Pencil markings should be avoided and may be considered unofficial.



<b>QUALITY MANAGEMENT SYSTEM PROCEDURE</b>			
<b>RETENTION OF DOCUMENTED INFORMATION</b>			
Code : DAP-QP-02	Revision No. : 5	Effectivity: 16 August 2016	Page: 5 of 7

7.1.5 In case of erasure or correction, the corrected data bears the initials of the person who corrected it.

For example: ~~6312~~- 7564 ADK

7.1.6 Every Project Manager is responsible for the creation, collection and identification of all documented information related to his/her project and which shall constitute a project folio. Each project folio shall constitute the administrative and technical files filed in separate folders.

7.1.7 Administrative files are considered non-permanent, hence are in custody of the PM and are maintained only up to 2 years upon end of the project.

7.1.8 Project technical files are considered permanent, and as a matter of policy, are turned over and archived at the Central Records Unit. However, PMs may keep a copy of the project technical files at most 2 years.

7.1.9 Project administrative files and technical files of a project are considered active while the project is being implemented and up to 2 more years upon project end. Hence, while active, these files shall be under the custody of the concerned PM.

7.1.10 In case of transfer within or separation from the Academy of the concerned PM within above-cited period, the PM shall turn over all project-related documented information to the Center Custodian.

## **7.2 REVIEW AND APPROVAL OF DOCUMENTED INFORMATION**

7.2.1 Some documented information require the signature of authorized individuals. The reviewer ensures that said documented information are legible and contain sufficient information as basis for its endorsement or approval. Hence, some documented information without the signature of approving authorities may be treated "unofficial".



<b>QUALITY MANAGEMENT SYSTEM PROCEDURE</b>			
<b>RETENTION OF DOCUMENTED INFORMATION</b>			
Code : DAP-QP-02	Revision No. : 5	Effectivity: 16 August 2016	Page: 6 of 7

### **7.3 STORAGE AND PROTECTION**

7.3.1 Documented information are kept in appropriate locations to minimize physical deterioration, damage, and loss. As such, records may be protected in accordance with the following:

- Use of expanded folders, protective sheets and/or ring binders;
- Stored in shelves or steel cabinets to prevent from deterioration;
- Regular back up of e-files; and,
- Access restriction, through password to prevent from unauthorized use.

### **7.4 RETRIEVAL AND RETENTION**

7.4.1 To ensure easy retrieval, filing cabinets, shelves, boxes, folders and envelopes are labeled according to the established filing system. Likewise, a Documented Information Disposition Schedule is maintained.

7.4.2 Documented information, borrowed by other offices or workgroups, are traced using logbooks or log sheets.

### **8.0 DISPOSITION OF CURRENT/ACTIVE DOCUMENTED INFORMATION**

8.1 Active records are disposed by destroying or deleting, if electronic files.

### **9. MAINTENANCE AND DISPOSITION OF INACTIVE DOCUMENTED INFORMATION**

9.1 Maintenance and disposal are done in accordance with the Records Disposition Schedule

9.2 PMs are required to turn over/submit to the Records Office all project folios.

9.3 All project related documented information must be properly labeled prior to submission / turn-over to the Central Records Unit.



<b>QUALITY MANAGEMENT SYSTEM PROCEDURE</b>			
<b>RETENTION OF DOCUMENTED INFORMATION</b>			
Code : DAP-QP-02	Revision No. : 5	Effectivity: 16 August 2016	Page: 7 of 7

**10.0 REFERENCES:**

- 10.1 RA 9470 National Archives of the Philippines Act
- 10.2 ISO 9001:2015 Clause 7.5 Documented Information
- 10.3 MC-2012-006 Access to Project-related Information
- 10.4 OO-2012-002 Information Control and Access
- 10.5 OO-2016-01 Establishing Central Repository of Institutional Records and Documents