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**RECORDS MANAGEMENT MANUAL**

This Manual is the property of PREMIUM CAPITAL HOLDINGS INC.

Revision No: 0

**Effective Date:**

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**REVISION HISTORY**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| Revision History | | | | | |
| Revision No. | Description of Change | Affected Page | Revision Date | Prepared By | Approved By |
| 0 | New Establishment | All | 23/06/21 | J. Bacay | FLTC |
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PCHI-CM-CMG-01F5

Rev. 0 22/06/21

1. **INTRODUCTION**

**SECTION: 1.0, 2.0**

**SUBJECT: INTRODUCTION & FRAMEWORK**

Records Management (RM) is the systematic control for the creation, maintenance, use, and recording of documents and records. It ensures that the documents are preserved and/or disposed in compliant with the standard.

Records Retention System (RRS) is an approach that establishes a timetable in maintaining the organization’s record prior disposing. This approach is documented in this manual.

File Management System (FMS) approach in which the records are placed in a storage with correct sequence for easy retrieval.

1. **FRAMEWORK**

CONTINUAL IMPROVEMENT

MANAGEMENT

MAINTENANCE

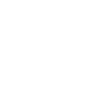
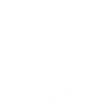
CONTROL

RETENTION PERIOD MAINTENANCE

FILING OF DOCUMENTS IN SEQUENCE

MONITORING OF ALL DOCUMENTS

CONTINUOUS IMPROVEMENT OF RECORDS MANAGEMENT AND DOCUMENTS FILED



1. **RECORDS MANAGEMENT PROCESS**

**SECTION: 3.0**

**SUBJECT: [MANUAL TITLE] PROCESS**

04

03

**REQUEST**

**FILE /CREATE / OBSOLETE / DISPOSE**

**BINDER NAMING**

**MASTER LIST UPDATE**

01

02

**MAINTENANCE**

1. **POLICY STATEMENT**

**SECTION: 4.0, 5.0, 6.0**

**SUBJECT: POLICY STATEMENT, PURPOSE, & SCOPE**

This manual shall apply to all documented information to define the documentation and numbering system on the activities affecting the quality system in accordance with the requirements of ISO Standard.

1. **PURPOSE**

For systematic control over the creation, maintenance/use of information and records and the disposition of records.

1. **SCOPE**

This also covers from the origination, revision, obsolete, for archival and disposal, receiving, acknowledging, and to control copies of internal/external documents by each department/division concerned.

1. **DEFINITION OF TERMS**

**SECTION: 7.0**

**SUBJECT: DEFINITION OF TERMS**

* 1. **Approving Authority** –responsible for approval of the created MOPP which refers to the Governance Committee (GovCom) and Executive Committee (ExeCom).Govcom refers to the Group Heads under the Holdings while Execom refers to the Business Units President/ Head.
  2. **Confidential Document** – refers to document with limited accessibility and usage to the public or other interested parties.
  3. **Controlled Copy** – is a copy of document coming from the master copy document that is subject to future revisions and is required to be updated.
  4. **Deliberation** – is a discussion regarding the created/revised MOPP with Reviewing and Approving Authority.
  5. **Discontinuance** – the condition of the document being discontinued as it may not be applicable to the proponent to any further extent.
  6. **External Documents** – legal documents, specifications, requirements and other written information from suppliers, clients, government and system standards which are not originated in PCHI.
  7. **Form** – is a type of [document](https://en.wikipedia.org/wiki/Document) used to gather/record/log data. It is a document (printed or electronic) with spaces in which to write or enter data.
  8. **Hard Copy** – refers to printed copy (tangible documents).
  9. **Internal Documents** – documents internally generated/originated in PCHI.
  10. **Manual of Operations, Policies, and Procedures (MOPP)** – is a document that needs to be registered containing the detailed policies and/or procedures of a specific process in the company.
  11. **Master Copy Document** – the first generation, high quality reproduction of the approved original copy. This document may either be internally or externally generated documents.
  12. **Process Owner** – refers to group/department/division in which the MOPP and form belongs.
  13. **Reviewing Authority** – responsible for final review of the created MOPP; also known as Policy Committee (PolCom). Polcom are composed of three Mancom members appointed to review Company MOPP’s and one member from IMS Division.

**SECTION: 7.0**

**SUBJECT: DEFINITION OF TERMS**

* 1. **Roll-out** – to officially launch or introduce a new document within an organization.
  2. **Soft Copy / e copy** – refers to unprinted documents stored in the computer or in any form of electronic media (intangible documents).

1. **RESPONSIBILITIES**

**SECTION: 8.0**

**SUBJECT: RESPONSIBILITIES**

* 1. **Document Control Officer**
* Updated Records Management Manual, if needed
* Ensure that all filling of documents and records are compliant to Records Management Manual
  1. **Document and Records Control Officer**
* Implement the approved Records Management Manual
* Coordinate all document movement to Document Control Officer

1. **IMPLEMENTING GUIDELINES**

**SECTION: 9.0**

**SUBJECT: IMPLEMENTING GUIDELINES**

* 1. **General Guidelines**
     1. As a reference, only the latest issue of the International Standard ISO Quality Management System and government regulatory standards shall be used.
     2. All documents like forms, MOPP or Table of Organization (T.O.) shall be registered by Document Control Officer (DCO).
     3. Control of department / division internal and external documents and records shall be under the care of assigned department/ division DRC and to be monitored by DCO.
     4. All files shall be recorded at assigned Master List and updated master list of all documents shall be submitted to Holdings every quarter of the year.
     5. Original copies of forms, MOPP, and T.O shall be submitted to DCO for stamping “**MASTERCOPY**” and filing within three (3) working days upon approval. Photocopy shall be stamped with “**CONTROLLED COPY**”. Controlled copy / e-copy shall be retained to subsidiaries.
     6. Documents like non-conformance and audit reports are system records and shall not be subject for revision.
     7. All movement of hard copy of files such as obsolete or discontinued shall be recorded in Master List of Obsolete / Discontinued Documents and Records.
     8. Records Management of Subsidiaries shall be subjected to Audit by Holdings.
     9. For Forms, MOPP, and T.O, existing registered and filed copy shall be obsoleted first before registering and/or filing a new one.
     10. All approved forms and MOPPs shall be uploaded in Electronic Data Management System (EDMS).
     11. Official font style on documents shall be Arial size 12.
     12. **Document Structure:**

**SECTION: 9.0**

**SUBJECT: IMPLEMENTING GUIDELINES**

|  |  |  |
| --- | --- | --- |
| **Type of Document** | **Code** | **Level** |
| Quality Management System Manual | QM | 1 |
| System Procedures | SP | 2 |
| Operational Procedure (WI) | WI | 3 |
| Records/Plans/Lists/Data/References/Forms | F | 4 |

* 1. **MOPP Documentation**
     1. Requests for documentation whether for new establishment, revision, obsolete, and discontinuance shall be submitted to DCO with proper attachment such as draft. Request for documentation shall be saved in a different binder in line with the proper folder and file naming.
     2. Proper Monitoring of request for documentation shall be practiced.
     3. Manual, Policy, Procedure and/or Annex Template shall be used whichever is applicable in crafting MOPP.
     4. All description of revision shall be recorded in Revision History.
     5. Approval Matrix for new establishment and revised MOPPs

|  |  |  |  |
| --- | --- | --- | --- |
| **DEPARTMENT** | **REVIEWING AUTHORITY** | | **APPROVING AUTHORITY** |
| **Holdings** | **Subsidiaries** |
| CMG, Finance, Procurement, Asset Management, and others with Financial related concerns | Holdings Polcom | Polcom per Company and Proponent’s Group Head | Business Unit Head and CEO/Chairman |
| Operation, Admin, ICT, and other support services | **-** | Polcom per Company | Business Unit Head |

* + 1. Coding of documents shall be based on the coding of the last registered document.
    2. Roll-out of Forms and MOPPs shall be done by the Department Manager/Group Head within fifteen (15) days after its cascading and proof of roll-out meeting shall be sent to DCO.
  1. **Coding**

**SECTION: 9.0**

**SUBJECT: IMPLEMENTING GUIDELINES**

* + 1. Assigning of Document Control Code

1. **Manual of Operations, Policies, and Procedures (MOPP)**

WWW-XX-YYY-ZZ Series Number

Group/ Division/ Department Code

Manual (CM)/ Policy (CP)/

Procedure (SP) / Quality Manual (QM)

Company Code

Ex. **PCHI-CP-CMG-01**

**PCHI-SP-CMG-01**

**PCHI-CM-CMG-01**

1. **For procedures that are linked to a specific policy**

WWW-XX-YYY-ZZSPa Series Number

System Procedure Code

Control code of the linked MOPP

Ex. **PCHI-CP-CMG-01SP1**

1. **Form**

**For Permanent Form Control Code:**

WWW-XX-YYY-ZZFa Series Number

Form Code

Control Code of the linked Procedure

Ex. **PCHI-SP-CMG-01F1**

**SECTION: 9.0**

**SUBJECT: IMPLEMENTING GUIDELINES**

**For Temporary Form Control Code:**

XXX-TMP-YYY-Fa Series Number

Form Code

Group/Division/Department Code Code for Temporary Form

Company Code

Ex. **PCHI-TMP-CMG-F1**

1. Coding for Groups/Departments/Divisions shall form a three (3) letter such as:

Example:

**Group/Division/Department Code**

Compliance Management Group CMG

Records Keeping Division RKD

Project Management Department PMD

Batching BAT

1. For Forms, coding shall be at the bottom left corner including the DCC, revision number and effectivity date.

**WWW-XX-YYY-ZZFa**

**Rev. R DD/MM/YY**

**a -** Series number

R - Revision Number

DD/MM/YY - Day/Month/Year of form effectivity

* 1. **Filing of Documents**

**SECTION: 9.0**

**SUBJECT: IMPLEMENTING GUIDELINES**

**Hard copy**

* + 1. MOPP shall have a stamped effectivity date to be done by DCO.
    2. DCO / DRC shall file the documents at assigned binder and change the Binder File Name if needed., refer to **Binder File Name Template or Binder File Name Template (Projects).**

**Location Code**

Location Code (Rack) = A

Binder / Folder No. = 1

= Location Code + Binder / Folder No.

= A1

* + 1. File Location and Binder number shall be recorded in Master List.
    2. For filing of hard copy, refer to **PCHI-AN-CMG-001 Filing Guidelines**.
    3. For other labeling:

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Particular | Small | Medium | Large | X Large |
| Font/Size/  Color | Arial 20  Bold black colored text | Arial 50  Black colored text | Arial 120  Black colored text | Arial 200  Black colored text |
| Usage/ Application | - Binders  - Folders  - Filing box | - Cabinets  - Storage of Records (e.g. boxes)  - Cubicle names  - Drawers | - Interior labels (e.g. Superintendent’s Office, Pantry areas)  - Office door Labels | - Exterior Labels  - Directional labels |

**E-copy**

**SECTION: 9.0**

**SUBJECT: IMPLEMENTING GUIDELINES**

* + 1. Folder/s shall be named depending on the type of file (e.g. Form, Policies, Procedures, etc.). File naming of soft copies shall reflect Document Control Code, Document Title, and Revision number.
    2. Inside the file type folder shall be a folder assigned per Company; and inside the Company folder shall be the folders covering all the respective departments involved.
    3. Correct file naming for folder/s shall be practiced.
    4. For forms, there shall be a different folder to separate editable forms from fillable forms.
    5. Non-Form documents which contain both editable and fillable (e.g. Excel, Word, PPT, etc) it shall both be saved under one (1) folder.
  1. **Retention Schedule**

**SECTION: 9.0**

**SUBJECT: IMPLEMENTING GUIDELINES**

* + 1. Retention period of documents shall be based on the Records Retention Schedule table

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **Type of Documents** | **Control** | **Retention Period (Active/Archive)** | | | | **Method of Disposal** |
| **Hardcopy** | | **Softcopy** | |
| **Active** | **Archive** | **Active** | **Archive** |
| Master copy of Manual, Policies, Procedures, WI, and Forms | DCO | 1 year | 3 years | Retained for reference | Retained for reference | Recycle/  Tearing/  Deletion |
| Technical specs., drawings and legal documents | Concerned Division/  Department | On Records Masterlist | 5 years | On Records Masterlist | 5 years |
| File 201 | PMG | 3 years | 5 years | 3 years | 5 years |
| Departmental Records | By Department | On Records Masterlist | 3 years or more | On Records Masterlist | 3 years or more |
| Finance records | Finance Group | On Records Masterlist | 10 years | On Records Masterlist | 1. years |

* + 1. Retention period and disposal method of the documents as stated in Records Retention Schedule table shall be recorded at Master list.
    2. Date of Transfer to inactive document is computed as:

= End of coverage date + active retention period

* + 1. Disposal date of document is computed as:

= Date of coverage + active retention period + inactive retention period

**Example:**

Creation / Coverage Date = January to December 2020

Active Retention Period = 2 years

Inactive Retention Period = 1 year

**Date of Transfer to Inactive Document**

**SECTION: 9.0**

**SUBJECT: IMPLEMENTING GUIDELINES**

= End of coverage date + active retention period

= December 2020 + 2 years

= January 2023 – will be the date of transfer

**Disposal Date**

= Date of coverage + active retention period + inactive retention period

= December 2020 + 2 years + 1 year

= January 2024 – will be the disposal date

* 1. **Vault**
     1. All original legal documents such as Acquisitions, Contracts, Land Titles, Permits & Licenses shall be filed and retained in the vault by Holdings Vault Custodian.
     2. Access shall be given to Authorized Personnel with proper approval from Authorized Approver.
  2. **Charge Out of Documents**
     1. Document Copy Request (DCR) shall be required before providing a copy to Requestor.
     2. In case e-copy is requested, copy of a document shall be retrieved through Electronic Document Management System (EDMS) by DRC / DCO.
     3. DCO / DRC / Vault Custodian shall record the details of file and borrower for monitoring purposes.
     4. Records due for return shall be monitored daily.
     5. DCO / DRC shall monitor controlled copies issued to their department and Requestors.
     6. DCO / DRC / Vault Custodian shall immediately retrieve controlled copies of a document once revision is cascaded and replace with revised controlled copy.
  3. **Document Obsoletion**

**SECTION: 9.0**

**SUBJECT: IMPLEMENTING GUIDELINES**

**Hard Copy**

* + 1. Document Owner shall request for document obsoletion to DRC / DCO.
    2. DCO/DRC shall assign a separate binder / box for inactive documents.
    3. Archiving box shall use a binder file template as a box label, refer to **Box Filing Template**.

**E-copy**

* + 1. All e-copy of inactive document shall be filed separately in “Archived” folder with **“OBSOLETE”** stamp.
  1. **Document Disposal**
     1. Requestor shall request for document and/or record disposal to DRC / DCO after they reached their specified maintenance/active period.
     2. Retention period shall be applied on each discontinued and obsoleted document and record prior to disposal.

1. **ADMINISTRATION**

**SECTION: 10.0, 11.0, 12.0, 13.0**

**SUBJECT: ADMINISTRATION, DEVIATION FROM THE POLICY, AMENDMENTS OR REVISION, & EFFECTIVITY**

The Compliance Management Group is directed to manage, implement and monitor compliance to all the provisions stipulated in this policy.

1. **DEVIATION FROM THE POLICY**

Any deviation from this policy shall be subject to disciplinary action based on the Employees Code of Conduct with the endorsement of the Compliance Management Group Head to the People Management Group unless otherwise such deviation will be approved by the CEO/Chairman.

1. **AMENDMENTS OR REVISION OF POLICY**

Any amendment or revision of this policy shall be subject to the approval of the President upon the endorsement of the Compliance Management Group Head.

1. **EFFECTIVITY**

This policy shall take effect fifteen (15) days after email cascading by Compliance Management Group (CMG) and shall remain enforced unless revoked by the undersigned. Effectivity Date: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

1. **REVIEW**

**SECTION: 14.0, 15.0, 16.0 & 17.0**

**SUBJECT: REVIEW, INTERPRETATION, REPEALING CLAUSE & RECORDS GENERATED**

This policy will be on year-to-year basis unless there is a reason to modify, revise or supersede this policy before the end of the year.

1. **INTERPRETATION**

The Managements’ thrust is by giving proper guidance to its officers and employees handling critical tasks in the management and controls of this policy and in the execution of his/her job responsibilities as directed by its immediate line of command and/or by the President and CEO/Chairman.

1. **REPEALING CLAUSE**

All other policies, memorandums, minutes, memos, and letters issued before which are inconsistent with provisions of this policy are deemed waived, vacated, repealed, or modified accordingly.

1. **RECORDS GENERATED**
   1. PCHI-CM-CMG-01F1 Documented Information Change Request
   2. PCHI-CM-CMG-01F2 Company Manual Template
   3. PCHI-CM-CMG-01F3 Company Policy Template
   4. PCHI-CM-CMG-01F4 Procedure Template
   5. PCHI-CM-CMG-01F5 Revision History
   6. PCHI-CM-CMG-01F6 Documented Information Change Request Log
   7. PCHI-CM-CMG-01F7 Master List of Internal Documents
   8. PCHI-CM-CMG-01F8 Master List of Quality Records
   9. PCHI-CM-CMG-01F9 Master List of External Documents
   10. PCHI-CM-CMG-01F10 Document Distribution and Retrieval Form
   11. PCHI-CM-CMG-01F11 Document Copy Request
   12. PCHI-CM-CMG-01F12 Charge Out Monitoring
   13. PCHI-CM-CMG-01F13 Acknowledgment Form
   14. PCHI-CM-CMG-01F14 Master List of Obsolete and Discontinued Documents and Records
   15. PCHI-CM-CMG-01F15 Document and Record Disposal Form
   16. PCHI-CM-CMG-01F16 Binder File Name Template
   17. PCHI-CM-CMG-01F17 Binder File Name Template (Projects)
   18. PCHI-CM-CMG-01F18 Box Filing Template
   19. PCHI-CM-CMG-01F19 Annex Template
2. **REFERENCES**

**SECTION: 18.0**

**SUBJECT: REFERENCES**

* 1. AN-CMG-01 Filing Guidelines
  2. CM-IMS-01 Electronic Data Management System Manual