



**PAMBANSANG PUNONGHIMPILAN TANOD BAYBAYIN NG PILIPINAS**  
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**NHQ-PCG/CG-14**

**STANDING OPERATING PROCEDURES**  
**NUMBER 18-19**

**GUIDELINES IN THE PROPER DISPOSITION OF NON-CURRENT RECORDS**

**I. AUTHORITY:**

- a. Republic Act No. 9470, National Archives of the Philippines (NAP) Act of 2007
- b. Implementing Rules and Regulations (IRR) of RA9470

**II. REFERENCES:**

- a. NAP General Circular No. 1 Rules and Regulations Governing the Management of Public Records and Archives Administration, dated 20 January 2009
- b. NAP General Circular No.2 Guidelines on the Disposal of Valueless Records in Government Agencies, dated 20 January 2009

**III. PURPOSE:**

This SOP prescribes the guidelines on the systematic transfer of non-current records from office to storage area, identification and preservation of archival records and the destruction of valueless records.<sup>1</sup>

**IV. DEFINITION OF TERMS**

- a. **“Archival Value”** refers to the value attached to records that remain useful for the three (3) branches of the government and the general public because those records make government accountable to its citizens; provide evidence about public policies and programs; protect or verify individuals’ rights and entitlements; and provide information about the important people, issues, places, and events that make up the story of Philippines’ history.<sup>2</sup>
- b. **“Authority to Dispose of Records”** refers to written permission issued by the Executive Director of the NAP to government agencies for the destruction of valueless records.

- c. **“COA”** refers to the Commission on Audit.
- d. **“Disposal”** refers to the act of selling, landfill/burying, burning or any other way of discarding valueless records.<sup>345</sup>
- e. **“Disposition”** refers to the systematic sorting out of records in the office storage whereby those classified as valuable records are permanently preserved and those which are classified as valueless are disposed of.<sup>6</sup>
- f. **“ED, NAP”** refers to the Executive Director of National Archives of the Philippines.
- g. **“General Records Disposition Schedule (GRDS)”** refers to a records control schedule governing the disposition of specified recurring records series common to all government agencies issued by National Archives of the Philippines (NAP).
- h. **“Head of Office”** refers to the Unit Commander responsible for the performance of the personnel in a certain Office.
- i. **“Non-current records”** refers to files that dealt with completed or adjourned business not needed for action or reference in continuing agency transactions but have continuing research or historical value to the government and public.<sup>7</sup>
- j. **“Open Access Records”** refers to public records that have been in existence for at least thirty (30) years or have been transferred under the custody and control of the ED, and that are classified as open access records as referred to in section 30 and to which public access have not been prohibited under Section 31 of R.A 9470.
- k. **“Public Records”** refers to records, in any form, in whole or in part, created or received by a PCG office or unit in the conduct of its affairs, and have been retained by that office or unit as evidence or because of the information contained therein.<sup>8</sup>
- l. **“Records”** refers to information, whether in its original form or otherwise, including documents, signatures, seals, texts, images, sounds, speeches, or data compiled, recorded, or stored, as the case maybe
  - (1) in written form on any material; or
  - (2) on film, negative, tape, or other medium so as to be capable of being reproduced; or
  - (3) by means of any recording device or process, computer, or other electronic device or process.<sup>9</sup>
- m. **“Records Center/Storage Area”** refers to an intermediate repository in which non-current records of various government offices are stored until they can be destroyed or transferred to the NAP.

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- n. **"Records Custodians"** refers to any agency employee with responsibilities over a particular set of records.<sup>10</sup>
- o. **"Records officer"** refers to the PCG Officer responsible for overseeing the records management program and providing guidance on adequate and proper recordkeeping.
- p. **"Records Series"** refers to a group of related records arranged under a single unit or kept together as a unit because they deal with a particular subject, result from the same activity or have a special form.<sup>11</sup>
- q. **"Restricted access records"** refers to records which access has been restricted because there exists a legal impediment and/or standard or advice issued by the executive director that requires such public records to be withheld from public access.<sup>12</sup>
- r. **"Retention Period"** refers to the specific period of time prescribed in the NAP-GRDS as the life span of records, after which they are deemed ready for permanent storage or destruction.<sup>13</sup>
- s. **"Valueless Records"** refers to all records that have reached the prescribed retention periods and outlived the usefulness to the agency or the government as a whole

#### V. **GENERAL REQUIREMENTS ON DISPOSAL OF VALUELESS RECORDS**

The Records Custodian or Records Officer, as the case may be, shall observe the following general requirements in dealing with PCG Records/Documents:

1. Use the GRDS, Agency Records Disposition Schedule (ARDS) if any, and/or specific laws and regulations in determining public records for disposal;
2. Ensure that only records with a disposal schedule are destroyed after the completion of its period for storage;
3. Ensure of records to be disposed have a number and subject/title as in the ARDS and GRDS;
4. Conduct periodic examination of agency files at least once a year to identify valueless records that can be requested for disposal;
5. Separate the records for disposal from those for further retention as suggested by the NAP;
6. Do not dispose any public records under administration and control without authority from the NAP;
7. Do not dispose any public records that are involved in any case until they are finally decided upon or settled; and



8. Do not dispose financial records that are subject of audit by the COA until they are post-audited and finally settled.

## VI. GENERAL POLICIES:

1. PCG personnel shall not remove non-current records from the office files for disposition purposes earlier than the period indicated in the GRDS for each records series. If there is good reason to retain a non-current record in the office files, it may be so retained for a longer period.<sup>15</sup>

2. Unless authorized in writing by the ED, NAP and CPCG, the following activities may not be undertaken:

- a) Transferring control of the public record to another government office;
- b) Transferring control of the public records to the ED, NA;
- c) Destroying the public record; or
- d) Selling the public record.<sup>1617</sup>

3. Each Office shall designate a qualified Records custodian (PC) for the purpose of implementing and overseeing the records management.

4. Each Office shall have appropriate shelves and cabinets and implement a records management to include utilization, maintenance, retention, storage, preservation of records and security measures.

5. Each Office shall regularly conduct an inventory of their records.

6. PCG personnel violating this rule shall be held administratively and criminally liable.

7. No PCG Personnel shall be allowed to resign or retire pending an investigation, criminal or administrative or pending prosecution against him/her.

8. Administrative proceedings for violation of this rule shall be handled by Coast Guard Internal Affairs Service (CGIAS) in accordance with the existing rules and regulations.

9. Penalties for Violation: PCG personnel committing any of the unlawful acts as mandated under this SOP shall punished by fine of:

**1<sup>st</sup> offense** – Not less than Fifty Thousand Pesos (PhP 50,000.00)

**2<sup>nd</sup> offense** – One Hundred Thousand Pesos Only (Php 100,000.00)

**3<sup>rd</sup> offense** – Two Hundred Thousand Pesos Only (Php 200,000.00)

To maintain an electronic archive/shelve (copy) whether the documents are valuable, less important and non-current records.

## VII. RESPONSIBILITIES:

The head of each office/units shall appoint the Records Custodian (RC) who shall see to it that the provisions of this SOP are strictly followed

in the disposition of non-current public records under his control. The Records Custodian must call the attention of higher headquarters to any issue involving the records under his/her control.

In addition, the RC shall determine the valueless records by checking their specific and authorized retention periods using the PCG RDS if any, the NAP-GRDS, and/or specific laws and regulations as the legal basis. The RC shall likewise supervise the segregation of valueless records and be responsible for their safekeeping until their actual disposal.

#### **VIII. PROCEDURE:**

1. At the beginning of every calendar year, the RC shall cause to be culled from the office files records that have reached their minimum retention periods. For this purpose, the RC shall refer to the GRDS.

2. The following shall be retained in the office files regardless of their retention periods:

- a. financial records that are still subject to post-audit by the COA,<sup>22</sup>
- b. records that are still relevant to an ongoing investigation or relevant to a case that has not been finally decided upon or settled;<sup>23</sup> and
- c. records that are still useful to the PCG.
- d. keep e-copy of signed memorandum, letters and directives etc,

3. The RC shall conduct inspection and evaluation of office records that have reached their minimum retention periods. For this purpose, the RC shall refer to the GRDS.

4. The RC shall make a list of the records that are due for disposition having reached the retention limits. The list shall indicate the following:

- a. the specific record series
- b. period covered
- c. volume
- d. authorized retention period<sup>24</sup>
- e. a remark identifying a record either as having Archival Value or Valueless
- f. comment

5. If the RC believes that certain records with Archival Value must be withheld from public access, he shall identify in his comment such records and specify the justifications for classifying the same under Restricted Access Records. His reasons may include any of the following:

- a. The record contains information that must be kept secret in the interest of national defense or security or the conduct of foreign affairs.
- b. The record contains information that would put the life and safety of an individual in imminent danger.

c. The record contains information that falls within the concept of established privilege or recognized exception as provided by law or settled policy or jurisprudence.

d. Such information, record or document compromises drafts or decisions, orders, rulings, policies, decisions, memoranda and the like.

e. Disclosure to the public would interfere with enforcement proceedings.

f. Disclosure would deprive a person of the right to a fair trial or an impartial adjudication.

g. The record would reveal the identity of a confidential source.

h. Disclosure would expose investigation techniques and procedures.

i. Prematurely disclosing the information would endanger the stability of financial institutions.

j. Prematurely disclosing the information would frustrate the implementation of a proposed official action.<sup>25</sup>

6. The District and Unit Commanders shall accomplish the Request for Authority to Dispose of Records (NAP Form No.3) in three copies, using as basis the information supplied by the RCs. District and Unit Commander may adopt or modify the recommendation of the RCs, particularly, as regards whether a record should be deemed valueless, with archival value, or be classified under Open Access or Restricted Access Records.<sup>26</sup>

7. The accomplished NAP Form No.3 shall be submitted to CPCG for endorsement to the ED, NAP.<sup>27</sup>

8. The RCs shall make available for inspection by NAP the valueless records requested for disposal.<sup>28</sup>

9. Upon issuance by the ED, NAP of the written Authority to Dispose, the Unit or District Commander concerned shall take note of the MODE (e.g. burning, burying) and DATE of disposal indicated therein.<sup>2930</sup> The Unit or District Commander concerned shall give notice to the PCG Resident Auditor, C,CGIF, CG-2 and CG-14 of the actual date of disposal.<sup>31</sup>

10. The disposal of valueless records shall be conducted strictly in accordance with the directions contained in the written Authority to Dispose issued by the ED, NAP and the accompanying written directive of CPCG.

11. In case the mode of disposal is by sale, the guidelines on Government Procurement shall be followed in the selection of the contracted buyer. A copy of the contract shall be submitted to NAP prior to the actual disposal.

The services of a NAP-accredited buyer may also be availed of thru submission of letter of availment to NAP.

12. If the ED, NAP directs the turn-over of records with Archival Value, the Unit or District Commander concerned shall coordinate with the NAP regarding the specifics of the delivery.

13. Actual disposal shall be witnessed by the C, CGIF or his representatives, CG-2 and CG-14, the Unit or District Commander concerned or his representative, and representatives from the NAP and COA. The Unit or District Commander concerned or their representatives shall receive from the representative of NAP the Certificate of Disposal. In case where the presence of the NAP representative is dispensed with, the Unit or District Commander present shall prepare the Certificate of Disposal in three (3) copies. The distribution of copies shall be as follows: PCG-Original copy; NAP-2<sup>nd</sup> copy; and COAS-3<sup>rd</sup> copy.]

**VIII. RESCISSION:**

The provision of existing rules and regulations that are inconsistent with the provisions of this SOP are hereby repealed or modified accordingly.


**IX. EFFECTIVITY:**

The SOP shall take effect immediately after approval.

**BY COMMAND OF ADMIRAL HERMOGINO:**

OFFICIAL:

**EDUARDO D FABRICANTE**  
**COMMO** **PCG**  
Chief of Coast Guard Staff

  
**LIEZEL B BAUTISTA**  
**CDR** **PCG**  
Coast Guard Adjutant  
08/10/2019



## Legal Bases

- <sup>1</sup> Rule 2, Definition, Article II, Definition of Terms, "Records Disposition", NAP General Circular No.2
- <sup>2</sup> Article 8, Rule 5 Definition of Terms
- <sup>3</sup> Article 8 (i), Rule 5, Definition of Terms, IRR RA 9470
- <sup>4</sup> Rule 2, Definition, Article II, Definition of Terms, "Disposal", NAP General Circular No.2
- <sup>5</sup> Section 4 (g), Definition of Terms, RA 9470
- <sup>6</sup> Section 4(h), Definition of Terms, RA 9470
- <sup>7</sup> Rule 2, Definition, Article II, Records and Archives Terminology, "Non-current Records"
- <sup>8</sup> Section 4 (w), Definition of Terms, Article I, General Provision, RA 9470
- <sup>9</sup> Section 4 (x), Definition of Terms, article General Provision, RA 9470
- <sup>10</sup> Section 8 (hh), Rule 5, Definition of Terms, IRR RA 9470
- <sup>11</sup> Rule 2, Definition, Article II, Definition of Terms, "Records Series", NAP General Circular No.1
- <sup>12</sup> Section 4 (aa), Definition, Article I, General Provisions, RA 9470
- <sup>13</sup> Article 8 (rr) Rule 5, Definition of Terms, IRR RA 9470
- <sup>14</sup> Article 8 (vv), Definition of Terms, IRR RA 9470
- <sup>15</sup> Section 7.2, General Records Disposition Schedule, Rule 7, Records Disposition, Article III, Records Management and Archives Administration, NAP General Circular No. 1
- <sup>16</sup> Article 47, Rule 31, Authority for the Disposition of Public Records
- <sup>17</sup> Rule 3.6, Rule 3, General Requirements, Article III, General Requirements on Disposal of Valueless Records, NAP General Circular No.2
- <sup>18</sup> Section 40, Offenses and Section 41, Penalties for Violations, Article VI, Miscellaneous Provisions, RA 9470
- <sup>19</sup> Rule 14, Offenses and Rule 15, Penalties, Article V, Offenses and Penalties, NAP General Circular No.2
- <sup>20</sup> Article 123, Rule 67, offenses, Title IX, Offenses and Penalties, IRR RA 9470
- <sup>21</sup> Article 124 to 126, Rule 68, Penalties for Violations, Title IX, Offenses and Penalties, IRR RA 9470
- <sup>22</sup> Rule 3.8, Rule 3, General Requirements, Article III, General Requirements on Disposal of Valueless Records, NAP General Circular No.2
- <sup>23</sup> Rule 3.7, General Requirements, Article III, General Requirements on Disposal of Valueless Records, NAP General Circular No.2
- <sup>24</sup> Rule 5.1, Rule 5, Request for Authority to Dispose, Article IV, Disposal Procedures, NAP General Circular No.2
- <sup>25</sup> Rule 13.1 to 13.6.2, Rule 13, Limitation of Access to Public Information, Article IV, Public Access, NAP General Circular No.1
- <sup>26</sup> Rule 5.1, Rule 5, Request for Authority to Dispose, Article IV, Disposal Procedures, NAP General Circular No.2
- <sup>27</sup> Rule 5.2, Rule 5, Request for Authority to Dispose, Article IV, Disposal Procedures, NAP General Circular No.2
- <sup>28</sup> Rule 6.1, Rule 6, Evaluation of Disposable Records, Article IV, Disposal Procedures, NAP General Circular No.2
- <sup>29</sup> Rule 7.1, Rule 7, Authority to Dispose, Article IV, Disposal Procedures
- <sup>30</sup> Rule 8.2, Rule 8, Notification of Actual Disposal, Article IV, Disposal Procedures
- <sup>31</sup> Rule 8.2, Rule 8, Notification of Actual Disposal, Article IV, Disposal Procedures
- <sup>32</sup> Rule 8.1.1, Rule 8, Notification of Actual Disposal, Article IV, Disposal Procedures, NAP General Circular No.2

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