



CHAPTER 14

FILES/RECORDS MANAGEMENT AND OTHER ADMINISTRATIVE FUNCTIONS

A good filing and records control program is one that stores, preserves and provides promptly the records needed by management and employees.

This chapter, likewise, discusses the management of LIBI resources (i.e., personnel, supplies and other properties) which play an important role in the day-to-day operation of the LIBI. Other activities performed by each Unit in accordance with the LIBI policies and procedures are also included.

1401 GENERAL GUIDELINES

A. FILING OF DOCUMENTS/RECORDS

1. LIBI shall maintain a controlled central repository of records, data and documents of each Unit.
2. The Records Custodian shall be assigned to handle the safekeeping of the files and shall monitor the inventories of all records/data/documents/reports and the provision of a copy of same to requesting units.
3. The personnel assigned to an account or program or project shall organize the filing of all documents related to his or her assignments.
4. Request form (**Exhibit 14.1**) shall be maintained to record borrowed or returned documents.
5. The Records Custodian shall handle the classification of existing documents as to its storage, labeling and handling in accordance with the existing guidelines (**Annex 14.1**).
6. Files/Records shall be maintained/filed per record series chronologically in descending order.
7. Files/Records folder of similar type or classification shall be stored/kept on the same filing cabinet, whenever possible, and arranged in alphabetical order.



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8. Each shelf on the file compactor shall be properly labeled to facilitate retrieval of records.

B. STORAGE, PROTECTION AND RETRIEVAL OF FILES/RECORDS

1. LIBI Board-approved Guidelines on Classification, Handling, Access and Disclosure of Information Assets shall be the binding documents which shall govern as uniform reference in handling information held by LIBI on its own behalf and those entrusted by its clients.
2. The Records Custodian shall, on a periodic basis (e.g., monthly, quarterly, annually), review all non-current records filed at the office or designated records storage area.

Non-current records shall be removed from the designated records storage area for subsequent transfer to the QPRMI.

3. The Records Custodian shall maintain a documentation of the official records maintained by LIBI. The documentation shall include, but not limited to, the inventory, transfer and retrieval of records.
4. Transfer of Non-Current Records
 - a. Transfer to QPRMI
 - 1) Non-current records for transfer to QPRMI shall be documented by accomplishing the RCTL (**Exhibit 14.2**) in three (3) sets which shall be evaluated and approved by the Unit Head. A list of records transferred to QPRMI shall be maintained for reference during retrieval and turn-over of duties and accountabilities.
 - 2) Only records series listed in the approved Guidelines on Classification, Handling, Access and Disclosure of Information Assets shall be accepted for storage at the QPRMI.

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- 3) Non-current records for storage at the QPRMI shall be placed in prescribed storage box, sealed, neither under-filled nor too tightly packed, and properly labeled in order to identify the owner, records series, period covered and classification.
 - 4) Each record box shall contain records with same disposal date for more economical use of storage space.
 - 5) File Box Number shall be assigned by QPRMI for every records box turned-in for further retention which shall be written on the RCTL, for reference.
 - 6) The three (3) copies of RCTL shall be distributed as follows:
 - First copy - RC (master transfer file arranged chronologically per Unit based on the assigned Unit Code)
 - Second copy - RC (part of the file arranged by disposal date irrespective of the office of origin)
 - Third copy - Unit's file copy (upon validation of the QPRMI)
- b. Transfer to Successor
- 1) LIBI personnel transferring, retiring or resigning shall, prior to the expiration of term of office, deliver/turn-over to his/her successor or, if there is none, to the Records Custodian, all records in his/her custody.
 - 2) If, as a result of organizational realignment or outsourcing, the Unit is dissolved, the designated Records Custodian shall, prior to the effectivity of dissolution, deliver/turn-over all records to the absorbing unit defined in the Special Order.

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- 3) The turn-over of records to successor, Records Custodian shall be documented by accomplishing the following applicable forms:
 - Records Inventory Form (**Exhibit 14.3**) which shall contain the comprehensive listings of all records holdings (by record series) by the LIBI whether held at the storage area or at the QPRMI.
 - Acknowledgement Receipt of Turn-over of Records (**Exhibit 14.4**) which shall be duly accepted by the successor/Records Custodian.

5. Records Retrieval at the QPRMI
 - a. LIBI as record owner, may temporarily or permanently retrieve any of its records stored in the QPRMI.
 - b. Records Custodian shall send a request for retrieval to QPRMI through letter-request, e-mail, fax or online inventory - bar coding system (**Exhibit 14.5**).
 - c. The retrieval of record boxes from the QPRMI shall be delivered within one (1) day reckoned from the receipt of the letter-request or e-mail by the Administrative Unit.

6. Records that have security classification shall be treated in accordance with the Guidelines on Classification, Handling, Access and Disclosure of Information Assets (**Annex 14.1**).

7. Preservation of Permanent Records
 - a. Safekeeping and preservation of permanent records shall be the responsibility of the Administrative Unit through the Records Custodian unless officially transferred to the custody of QPRMI Administrator.
 - b. All permanent records shall be stored in appropriate repositories, subject to security and safety measures to preserve the integrity of the records.



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- c. There shall be no conservation/corrective techniques to be undertaken to rehabilitate deteriorated records without proper consultation and coordination with the Unit Head.

C. HANDLING OF INCOMING AND OUTGOING DOCUMENTS

1. The Administrative Unit shall maintain the record using Excel Files to monitor all incoming files.
2. Each LIBI Unit shall keep hard copy of all outgoing communications and documents.

D. MONITORING OF SUPPLIES AND EQUIPMENT

1. Inventory of supplies, equipment, semi-expendable and non-expendable properties of LIBI shall be conducted annually.
2. A monthly report of supplies used shall be prepared by the Administrative Analyst to properly monitor the consumption of supplies.
3. A Memorandum Receipt for Equipment, Semi-Expendable and Non-Expendable Property (**Exhibit 14.6**) shall be prepared by the Administrative Analyst to transfer the accountability on the said assets to the end-user.

E. TIMEKEEPING

1. Attendance of all personnel shall be monitored and records relative thereto shall be maintained pursuant to the existing guidelines of LIBI and as prescribed in LIBI's Personnel Manual (**Annex 14.2**).
2. LIBI shall maintain an attendance log sheet for all officers.
3. Personnel who will render OT, go on OB or on leave must secure an approval from the Immediate Supervisor/Unit Head.



F. PERFORMANCE ASSESSMENT

1. A Performance Planning session for LIBI, officers and staff shall be done prior to the start of each performance period using the PTWAR (**Exhibit 14.7**).
2. The rater (immediate supervisor) and the ratee shall discuss and clarify performance expectations from which the ratee's accomplishments shall be evaluated.

These performance expectations are measured through the identified KRAs (**Annex 14.3** – Employee Appraisal System) which shall include any one, a combination of, or all of the following performance measures, whichever is applicable:

- Quality
 - Efficiency
 - Timeliness
3. The rater shall write down critical incidents as observed, and the result of performance monitoring and interventions done with the ratee.

G. OTHER ADMINISTRATIVE ACTIVITIES

1. The Administrative Unit shall maintain and monitor the Accountable Forms of LIBI (e.g., Corporate Check, Purchase Order and Provisional Receipt).
2. The designated Compliance Coordinator shall handle the department's overall compliance monitoring and reporting requirements.
3. The Administrative Unit shall handle the preparation of payroll, on a semi-monthly basis, for both officers and employees.
4. Claims and other disbursement transactions shall be handled in accordance with the existing policies and procedures of the LIBI.
5. Preparation and submission of reports required by the Board of Directors and Management (e.g., Accomplishments Report, Plans and Programs,



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Annual Budget) shall conform to the policies/guidelines issued by the requesting unit.

**1402 DETAILED PROCEDURES****A. MAINTENANCE OF FILES/RECORDS**

PERSON/UNIT RESPONSIBLE	ACTIVITY
Administrative Assistant, Administrative Unit	<ol style="list-style-type: none"> 1. Sorts each file/record and classify the same accordingly 2. Labels each file/record properly 3. Files/Maintains the files chronologically in descending order

B. TRANSFER OF FILES/RECORDS TO QPRMI FOR STORAGE

PERSON/UNIT RESPONSIBLE	ACTIVITY
Transfer of Non-Current Record to QPRMI	
Administrative Assistant, Administrative Unit	<ol style="list-style-type: none"> 1. Uses the approved Guidelines on Classification, Handling, Access and Disclosure of Information Assets in determining the non-current records to be transferred to QPRMI 2. Lists down the records to be transferred capturing basic information of certain record, such as, but not limited to, records title, period covered, etc. depending on the needs of the unit in case of retrieval of records 3. Groups the files according to their records series 4. Places the records in the prescribed storage box neither under-filled nor too tightly packed 5. Accomplishes RCTL (Exhibit 14.2) each in three (3) copies and signs the certification and on the 'Prepared by' portion of the forms, respectively



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PERSON/UNIT RESPONSIBLE	ACTIVITY
Administrative Assistant, Administrative Unit	6. Forwards the RCTL and the listing of records for turn-over to Head, Administrative Unit for review and approval
Head, Administrative Unit	7. Validates RCTL and the list, and signs on the 'Approved by' portion of the RCTL 8. Returns the documents to Administrative Assistant, Administrative Unit for submission to QPRMI
Administrative Assistant, Administrative Unit	9. Upon receipt of the approved RCTL, performs the following: a. Labels the storage box with the following information: 1) Unit Code/Name (Records' Owner) 2) Period Coverage 3) Record's Classification b. Properly seals the storage box with packaging tape c. Safekeeps the list of records for unit's reference 10. Submits the approved RCTL to QPRMI
Retrieval and Return of Record Box at the QPRMI	
Administrative Assistant, Administrative Unit	1. Prepares request to QPRMI for retrieval of record box 2. Forwards the same to Head, Administrative Unit for approval
Head, Administrative Unit	3. Reviews and approves the request for retrieval of record box



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PERSON/UNIT RESPONSIBLE	ACTIVITY
Administrative Assistant, Administrative Unit	4. Sends the request through e-mail, fax or online inventory – bar coding system (Exhibit 14.5)

C. SAFEKEEPING OF BACK-UP FILES (SOFT COPY)

PERSON/UNIT RESPONSIBLE	ACTIVITY
IT Specialist II/IT Risk Analyst, Administrative Unit	<ol style="list-style-type: none"> 1. Conducts regular back-up of Database/ Microsoft files in external storage device 2. Labels each device properly and classifies the same accordingly 3. Keeps the device cabinet with lock 4. Forwards the device to LIBI-Forex Division for safekeeping

D. HANDLING OF ALL INCOMING AND OUTGOING DOCUMENTS

PERSON/UNIT RESPONSIBLE	ACTIVITY
Receipt of all incoming documents	
Administrative Analyst, Administrative Unit	<ol style="list-style-type: none"> 1. Checks the document/s to ensure that the same is addressed correctly, duly signed and noted by authorized signatory, whenever applicable 2. Validates the contents of the courier envelope and/or attachments indicated on the document, if any 3. Returns the documents to messenger or courier if not properly addressed and/or in case of incomplete contents, informs the LBP Units immediately



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PERSON/UNIT RESPONSIBLE	ACTIVITY
Administrative Analyst, Administrative Unit	4. Indicates the date received on the document thru dater machine 5. Scans all the incoming documents and sorts the per Account Team of Marketing Unit 6. Records documents received from various LBP Units using Excel File and forwards the same to respective AO/Team concerned
Transmittal of all outgoing documents	
Messenger, Administrative Unit	1. Checks the completeness of the document and attachments, if any, and ensures that same are duly signed by authorized signatory/ies 2. Sorts and inspects the accuracy of transmittal letters/outgoing documents addressed for various LBP Units 3. For documents addressed to LBP LUs/ Branches, attaches the corresponding authorized Courier Slip (Exhibit 14.8) to the documents
Messenger, Administrative Unit	4. Forwards documents directly addressed to various LBP HO Units concerned <i>Note: The messenger shall ensure that the transmittal letter is duly acknowledged by the receiving LBP HO Units.</i>


E. CONTROL/SAFEKEEPING OF SUPPLIES AND EQUIPMENT

PERSON/UNIT RESPONSIBLE	ACTIVITY
Monitoring, procurement and safekeeping of supplies	
Administrative Analyst, Administrative Unit	1. Reviews the availability of supplies monthly 2. Fills-out Agency Procurement Request Form (Exhibit 14.9) to request for the replenishment of Common-Use Supplies/items from DBM-PS or Canvass Sheet (Exhibit 14.10) for items/supplies not available in the DBM-PS based on the approved Annual Procurement Plan 3. Signs the same and forwards to the Administrative Head and President and CEO for authorization/signature
Head, Administrative Unit and President and CEO	4. Checks Agency Procurement Request Form/ Canvass Sheet and signs the same 5. Forwards the same to Head, Accounting Unit for signature and certification as to availability of funds
Head, Accounting Unit	6. Checks the availability of fund and signs the documents 7. Forwards the same to Accounting Unit personnel concerned for preparation of DV and CC
Administrative Analyst, Administrative Unit	8. Upon pick-up/receipt of purchased items from DBM-PS/supplier, keeps the supplies in the stock room with lock 9. Maintains a stock inventory system to monitor purchase and issuance to personnel through Withdrawal Slip (Exhibit 14.11)



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PERSON/UNIT RESPONSIBLE	ACTIVITY
Monitoring of office equipment, furniture and fixtures	
Administrative Analyst, Administrative Unit	<ol style="list-style-type: none"> 1. Validates the list of properties from Accounting Unit against inventory on hand 2. Coordinates with Accounting Unit the reconciling items, if any
Administrative Analyst, Administrative Unit	<ol style="list-style-type: none"> 3. Labels the properties with the Property Tag (Exhibit 14.12) 4. Assists COA personnel in the conduct of inventory 5. Issues and maintains an up-to-date Memorandum Receipt for Equipment, Semi-Expendable and Non-Expendable Property (Exhibit 14.6) for each employee acknowledging receipt of item/s
Receipt of requested office equipment, furniture and fixtures	
Administrative Analyst, Administrative Unit	<ol style="list-style-type: none"> 1. Upon delivery of requested property/ies, checks the description (i.e., property number, serial number, quantity) against the Purchase Order (Exhibit 14.13)/Invoice Receipt (Exhibit 14.14)/Requisition Issue Voucher (Exhibit 14.15) 2. Acknowledges receipt of same by signing on the Invoice Receipt 3. Labels each item with the corresponding property tag sticker (Exhibit 14.12), if any 4. Safekeeps copy of receiving document/s 5. Prepares Memorandum Receipt and have it signed by the end-user/s, if applicable



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PERSON/UNIT RESPONSIBLE	ACTIVITY
Oversee the repair of defective office equipment, furniture and fixtures	
Administrative Analyst, Administrative Unit	<ol style="list-style-type: none"> 1. Requests repair of defective equipment, furniture and fixtures from supplier or vendor 2. In case the repair cannot be made by the supplier or vendor in the premises of LIBI, prepares Gate Pass (Exhibit 14.16) indicating the complete specification of the defective equipment/furniture/fixtures to pull-out the property for repair 3. In case there is a need for the replacement of parts, prepares the RIV (Exhibit 14.15) 4. Signs the same and forwards to Head, Administrative Unit for approval and signature
Head, Administrative Unit	<ol style="list-style-type: none"> 5. Reviews the document and signs the same 6. Returns the signed document to Administrative Analyst, Administrative Unit for transmittal
Administrative Analyst, Administrative Unit	<ol style="list-style-type: none"> 7. Forwards the request to supplier or vendor and monitors the repair

**F. TIMEKEEPING**

PERSON/UNIT RESPONSIBLE	ACTIVITY
MAR	
Administrative Analyst, Administrative Unit	1. Routes the MAR (Exhibit 14.17) to all regular personnel of the department
All Personnel Concerned	2. Affixes initials/signature on the MAR and returns the same to Administrative Analyst, Administrative Unit for safekeeping
Authority to Render OT	
Personnel Concerned	1. Fills-out the Authority to Render OT (Exhibit 14.18) and forwards to Immediate Supervisor/Unit Head concerned for initials
Immediate Supervisor/Unit Head Concerned	2. Affixes initials beside the time indicated in the 'Authorized OT Time' column 3. Returns the same to personnel concerned
Personnel Concerned	4. After rendition of OT, fills-out the Authority to Render Overtime (OT)/Approved OT Exemption form (Exhibit 14.19) 5. Affixes signature and forwards the same to Immediate Supervisor/Unit Head concerned for signature
Immediate Supervisor/Unit Head Concerned	6. Affixes initials/signature on the 'Approved by' portion 7. Forwards the same to Administrative Unit personnel concerned after the rendition of OT for reference in the preparation of payroll



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PERSON/UNIT RESPONSIBLE	ACTIVITY						
Application for Leave							
All Personnel Concerned	1. Fills-out the Application for Leave Form (Exhibit 14.20) 2. Affixes signature on the form and forwards the same as follows for approval and signature: <table border="1" data-bbox="735 725 1394 909"> <tr> <td>Rank and File</td> <td>Administrative Head</td> </tr> <tr> <td>Unit Head</td> <td>President and CEO/ General Manager</td> </tr> <tr> <td>President and CEO/ General Manager</td> <td>Chairman of the Board</td> </tr> </table>	Rank and File	Administrative Head	Unit Head	President and CEO/ General Manager	President and CEO/ General Manager	Chairman of the Board
Rank and File	Administrative Head						
Unit Head	President and CEO/ General Manager						
President and CEO/ General Manager	Chairman of the Board						
Head, Administrative Unit/President and CEO/General Manager/ Chairman of the Board	3. Approves and signs the Application for Leave Form 4. Forwards the same to Administrative Unit personnel concerned for reference in the preparation of payroll						
Authority to Go on OB							
All Personnel Concerned	1. Fills-out the OTISA Form (Exhibit 14.21) 2. Affixes signature on the form and forwards the same to Immediate Supervisor/Unit Head concerned for checking and signature						
Unit Head Concerned	3. Affixes signature on the 'Requested by' portion and forwards the same as follows for approval and signature: <table border="1" data-bbox="735 1637 1394 1749"> <tr> <td>Rank and File</td> <td>Administrative Head</td> </tr> <tr> <td>Unit Head</td> <td>President and CEO/ General Manager</td> </tr> </table>	Rank and File	Administrative Head	Unit Head	President and CEO/ General Manager		
Rank and File	Administrative Head						
Unit Head	President and CEO/ General Manager						
Head, Administrative Unit/President and CEO	4. Affixes signature on the 'Approved by' portion 5. Forwards the approved/signed OTISA to Administrative Unit personnel concerned for reference in the preparation of payroll						



G. OTHER ADMINISTRATIVE ACTIVITIES

PERSON/UNIT RESPONSIBLE	ACTIVITY
Monitoring and Safekeeping of Accountable Forms	
Administrative Analyst, Administrative Unit	<ol style="list-style-type: none"> 1. Reviews the availability of accountable forms and requests for reprinting/replenishment, if necessary 2. Sends the PO to supplier 3. Upon delivery, keeps the accountable forms in the stock room with lock and records the same in Office Supplies Inventory 4. Prepares monthly schedule of accountable form (Exhibit 14.22) for monitoring <p><i>Note: Upon pick-up of the Corporate Checks from LBP Makati Business Center – Ayala Branch, the Administrative Unit Head shall keep the same in the cabinet with lock and maintain a logbook for monitoring of same.</i></p>
Processing of Payroll	
IT Analyst Administrative Unit	<ol style="list-style-type: none"> 1. Generates timesheet report by downloading IN/OUT transaction from the biometric device
Head, Administrative Unit	<ol style="list-style-type: none"> 2. Based on the generated timesheet report, checks the tardiness and leave to be deducted to the accrued sick leave and vacation leave 3. Computes the salary of each employee including OT, leave without pay and the corresponding deductions (i.e., SSS, Withholding Tax, PhilHealth, HDMF) 4. Prepares the Payroll Register (Exhibit 14.23) and forwards the same to Financial Account Specialist I for checking
Accounting Unit	<ol style="list-style-type: none"> 5. Receives Payroll Register from the Financial Account Specialist I to effect the corrections



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PERSON/UNIT RESPONSIBLE	ACTIVITY
Administrative Unit	6. Returns the corrected Payroll Register for signature and preparation of Disbursement Voucher
Compliance Monitoring and Reporting	
Compliance Coordinator	1. Helps ensure that the new laws, rules, regulations, policies and guidelines are appropriately disseminated and discussed by the Head with all supervised responsible personnel 2. Assists in the conduct of Compliance Risk Assessment and preparation of Compliance Action Plans based on LBP Compliance Manuals 3. Assists in the correction of compliance breaches, if any 4. Acts as control center of LIBI's Compliance Risk Assessment and of laws, rules, policies and guidelines pertinent to the operation
Compliance Coordinator	5. Assists in the assessment of compliance training needs and recommends participation of personnel to trainings and seminars 6. Provides inputs to the Compliance Program 7. Submits reports [e.g., Compliance Monitoring Report (Exhibit 14.24)] to the Regulatory Compliance Department as prescribed in the Compliance Manual

**0903 INTERNAL CONTROLS**

1. Compliance Officer and Alternate Compliance Officer shall be officially designated by the Board of Directors.
2. All boxes for storage at the QPRMI shall be properly labeled and sealed prior to transmittal.
3. Handling/safekeeping of files/records shall be in accordance with the approved Guidelines on Classification, Handling, Access and Disclosure of Information Assets (**Annex 14.1**).
4. An excel file record for all incoming and outgoing documents shall be maintained for proper monitoring.
5. A Memorandum Receipt for property shall be signed by the end-users and kept updated at all times.
6. The Administrative Analyst and Messenger shall ensure proper distribution/dissemination of all outgoing correspondences.
7. All required reports shall be prepared and submitted within the prescribed period.
8. Payroll and related remittances required by law such as withholding tax, SSS, PhilHealth and HDMF contributions shall be approved in accordance with CASA.