



Funding the Republic

REPUBLIKA NG PILIPINAS
KAGAWARAN NG PANANALAPI
KAWANIHAN NG INGATANG-YAMAN
(BUREAU OF THE TREASURY)
Intramuros, Manila 1002



TREASURY OFFICE ORDER NO. 9-2019
29 May 2019

POLICIES AND GUIDELINES ON MANAGING DOCUMENTS AND CORRESPONDENCE

In the interest and exigency of the service and to ensure the proper maintenance and management of the Bureau of the Treasury's (BTr) highly valuable information, the following policies and guidelines on handling documents and correspondence using the Document Tracking System (DTS) shall be adopted.

I. BACKGROUND

The Document Tracking System was developed to automate the current process of the Bureau's Communications and Records Management Division (CRMD) and to keep track of the internal and external documents' movements. A central procedural system of document tracking and recording through digital means introduces increased security and authenticity concerning document status, and reduces the risk of human error or tampering in handling sensitive documents. The DTS also reduces the loss or misplacing of documents by effectively tracking or tracing the chain of custody and whereabouts of the document.

II. OBJECTIVE

This order is issued for the effective implementation of correct user procedures in utilizing the system to maximize its benefits - document security and authenticity both in content and in status.

III. SYSTEM SCOPE

- The system covers all external documents received by the bureau through any of the following modes:
 - a) Documents picked up by CRMD personnel from third parties;
 - b) Documents delivered by couriers;
 - c) Documents delivered directly to the BTr;
 - d) Documents received through fax machines and email; and
 - e) Mails collected from the post office.
- The system covers all internal documents that needs action.
- Documents that are excluded from DTS are the following:
 - a) Daily Time Record
 - b) Employee Information (201 Files)
 - c) External Application (Online Application)
 - d) Internal Application
 - e) Leave Application
 - f) Meeting / Proceeding Files (Agenda, Minutes, and Notices)
 - g) Official Business Authorization

- h) Personal Data Sheet (PDS)
- i) Petty Cash Voucher
- j) Requisition and Issue Slip / Requisition Issue Voucher
- k) Time Correction
- l) Trip Tickets

IV. DEFINITION OF TERMS

- Add Trace Button – Used for when the document has to go through an ordered/traced path of recipients from the Sender. For example, the Sender plans that the Document must go to Recipient A, then to Recipient B, and finally to Recipient C. Recipient B of the Document cannot forward the Document to anyone but the next Recipient C in the created document path. If the Document was not for Recipient B, he/she can return the document and only the Sender can correct the document path.
 - BTr Personnel - Officials, Employees, and Contract Personnel from the Central Office of the Bureau.
 - CRMD Personnel – Employees tasked to receive and release all incoming and outgoing documents for the BTr.
 - Document Archive – Documents that have not been modified for five consecutive years will be classified as archived, to be stored in the database but only accessible by Administrator until he/she restores the document if needed.
 - Email – stands for Electronic Mail.
 - External Application – Employee application forms and requirements submitted through email and walk-in application.
 - Expired Documents – Documents that have not been modified for five consecutive years.
 - External Documents – Sender or document origin is not from the BTr Central Office. This includes documents from BTr Regional and Provincial Offices, and email attachments from non-BTr sources.
 - Fax – Short for facsimile - is a telephonic transmission of scanned-in printed material (text or images), usually to a telephone number associated with a printer or other output device.
 - Forward Button – Used when the document is sent/forwarded only to immediate Recipient(s) and no one further. The Recipient(s) may also forward/send the document to any further and future Recipient(s).
 - Hard Copy – Physical copy of the document.
 - ICT – stands for Information and Communications Technology
 - Internal Application - Employee application forms and requirements submitted by BTr personnel.
 - Internal Documents – Sender or document origin is from the Bureau of the Treasury Central Office.
 - Originator - Source or creator of the document.
 - Recipient – Destination of the document.
 - Records Personnel – Document control officers assigned for each unit/office/division.
 - Reference Number – BTr's DTS barcode number.
 - Sender – Source or creator of the document.
 - SMS – stands for Short Message Service.
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- Updated Documents - Documents that are updated by adding new attachments such as signatures or newly signed pages, revisions, supplemental documents, and other attachments.

V. DOCUMENT TYPE/CLASSIFICATION

A. Based on Content

a) Administrative and Management Records

- Calendars / Schedule of Activities or Events (Officers of the Day)
- Clearances
 - Retirees
 - Study Leave
 - Travel Abroad
- Correspondence
 - Inquiries
 - Issuances
 - Letters
 - Memoranda
 - Plans
 - Treasury Circulars
 - Treasury Office Order
 - Treasury Personnel Order
- Gate Passes (Equipment borrowing)
- Manual of Operations
- Trip Tickets
- Job Orders (Request Query)

b) Budget Records

- Allotment Files
 - Advices of Allotment (AA)
 - Agency Budget Matrix
 - Obligation Requests / Slips (ALOBS)
 - Requests for Obligation and Allotment (ROA)
- Certification of Fund Availability

c) Financial and Accounting Records

- Bonding Files
 - Applications / Requests
 - Fidelity / Surety Bond
 - Indemnity for Issue of Due Warrant
 - Vouchers
 - Attachments
 - Bank Statements
 - Reports of Deposited National Collections
 - Debit/Credit Advices
 - Fund Transfer/Settlement Instructions
 - Billing Documents
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d) Human Resource/Personnel Management Records

- Relief of Accountability (Clearance)
- Job Order Employment Contracts
- Personnel Folders (201 Files)
 - Appointment Documents:
 - Personal Data Sheet (latest)

e) Legal Records

- Certification or Request for Certification of No Pending Case
- Legal Opinions
- Memoranda of Agreement / Understanding
- Notice of Hearings
- Petitions
- Resolutions
- Special Power of Attorney
- Subpoena
 - Ad Testificandum
 - Duces Tecum

f) Procurement and Supply Records

- Annual Procurement Plan
- Bids and Awards Committee Files
 - Terms of Reference (TOR)
 - Pre / Post Qualifications
 - Resolutions
- Inspection and Acceptance Report
- Inventory and Inspection Report of Unserviceable Properties (IIRUP)
- PAR/ICS Property Acknowledgement Receipt/Inventory Custodian Slip
- Project Procurement Management Plan
- Property Transfer Report
- Purchase Orders / Purchase Requests
- Report on the physical count of Inventories
- Report on the physical count of Property Plant and Equipment
- Requisition and Issue Slip / Requisition Issue Voucher

g) Training Records

- Survey Evaluation Questionnaires
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B. Based on Security

- a) Confidential – document that is to be viewed and accessed only by specific recipient/s.
- b) Restricted - document that is to be viewed and accessed only by a specific group or division.
- c) Public - document that can be viewed and accessed by all central office officials, employees and contract personnel.

C. Based on Priority

- a) Critical – document requires immediate action and shall be forwarded immediately to the recipient/s.
- b) Urgent/Vital – document shall be forwarded to the recipient and acted upon within 30 minutes.
- c) Routinary – document can be forwarded to the recipient and acted upon within the day.

VI. PROCESS FLOW AND SYSTEM ACCESSIBILITY

• Process Flow

A. External Documents

a) Document Sender/Creator

- 1. Receive external document.
- 2. Verify if document has reference number.
 - a. If document has no reference number:
 - 1) Attach barcode sticker on the upper right side of the document.
 - 2) Scan the document using a document scanner.
 - 3) Log in to DTS.
 - 4) Create a transaction record.
 - 5) Attach the scanned document to the created transaction record.
 - 6) Input the document's barcode number using the barcode scanner.
 - 7) Save the transaction record.
 - 8) View transaction record.
 - 9) Send transaction record to the recipient(s) either through "Forward" or "Add Trace" button:
 - 10) Route hard copy of the document to the recipient/s.
 - b. If document has barcode number:
 - 1) Scan document using a document scanner.
 - 2) Log in to DTS.
 - 3) Search the document transaction record using its reference number.
 - 4) Manage the document. In the Document Review, select the necessary status: "For Review", "Approve", "Reject", "Needs Revision",

“Return”, “Document Disseminated”, and “Close”.

- 5) Pass the document to the recipient/s, if applicable. Send transaction record either through “Forward” or “Add Trace” button then route its hard copy.

b) Document Recipient

1. Receive hard copy of the document.
2. Log in to DTS.
3. Open transaction record of the document received.
4. Validate the attached barcode.
5. Acknowledge the document: “Receive” or “Return”.
6. Manage the Document. In the Document Review, select the necessary status: “For Review”, “Approve”, “Reject”, “Needs Revision”, “Return”, “Document Disseminated”, and “Close”.
7. Attach any supplemental document, if applicable.
8. Pass the document, if applicable. (“Forward” Button or “Add trace” Button).

B. Internal Documents

a) Document Sender/Creator

1. Attach barcode sticker on the upper right side of the document.
2. Scan the document using a document scanner.
3. Log in to DTS.
4. Create a transaction record.
5. Attach the scanned document to the created transaction record.
6. Input the document’s barcode number using the barcode scanner.
7. Save the transaction record.
8. View transaction record.
9. Send transaction record to the recipient(s) either through “Forward” or “Add Trace” button:
10. Route Physical copy of the document to the recipient/s.

b) Document Recipient

1. Receive hard copy of the document.
 2. Log in to DTS.
 3. Open transaction record of the document received.
 4. Validate the attached barcode.
 5. Acknowledge the document: “Receive” or “Return”.
 6. Manage the Document. In the Document Review, select the necessary status: “For Review”, “Approve”, “Reject”, “Needs Revision”, “Return”, “Document Disseminated”, and “Close”.
 7. Attach any supplemental document, if applicable.
 8. Pass the document, if applicable. (“Forward” Button or “Add trace” Button).
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- **System Accessibility**

- A. All BTr Central Office Officials, Employees and Contract Personnel with Active Directory (AD) account can access and use the system.
- B. DTS login credentials are the same as the Active Directory account login credentials. Sharing of login credentials is strictly prohibited and users are accountable to their accounts in accordance to MISS ICT Policy.
- C. Associated/appointed Records Personnel for each unit indicated in the Treasury Personnel Order will be automatically included in the list of Recipients. Those appointed personnel have the ability and will be accountable to receive the document on behalf of the original recipient.
- D. Records Personnel of each unit does not have the ability to manage/change the status (approve or make necessary adjustments) of the document on behalf of the recipient. However, records personnel may forward or pass the document, if needed.

VII. POLICIES

A. Confidential and Restricted Documents

- Confidential and Restricted documents, if not properly sealed upon receipt, shall be placed in a sealed envelope and shall be marked "CONFIDENTIAL" or "RESTRICTED"
- Confidential and Restricted documents shall be delivered directly to the addressee of the documents.

B. Critical and Urgent/Vital Documents

- Critical and Urgent/Vital Documents shall be given utmost priority in recording and delivery.

C. Document Barcoding

- One (1) transaction record shall have only one (1) unique barcode number.
 - Creating a transaction record requires the scanning of barcode numbers.
 - All internal documents should have its own barcode number. Any subsequent action to that document should carry the barcode of the original entry.
 - Any Document originating from an external transaction will always be considered external even when the actions taken are for an internal document, and vice versa.
 - Any new attachments for an Updated Document will be scanned and attached to the original document to avoid multiple barcodes for supplemental documents. This also applies to External Documents received by CRMD that will be also routed internally.
 - Any external documents in response to an internal document shall have to indicate its reference number and be associated or attached to main internal document to continue the tracking.
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- The sender shall give instructions to external document recipients to include the reference number upon responding to an internal document.

D. Document Formatting

- Default format for the files to be uploaded in the system are either PDF, JPEG, or PNG.

E. Document Retention

- Documents that have not been modified for five consecutive years will be archived by the system.
- Deleting a document record is prohibited. In case of erroneous or redundant records, a higher level of approval is required to delete such entries.

F. Document Scanning

- Documents with more than five (5) pages are considered bulky. Hence, only the first five (5) pages will be scanned and uploaded to the DTS.

G. Documents received through Fax/email

- Document received by BTr Personnel/Unit/Division through Fax or email is considered an internal document and shall be recorded in the DTS as an internal transaction.

H. Documents without Proper Addressee

- Documents addressed to the BTr without a named recipient shall be recorded accordingly and delivered to the Office of the Treasurer of the Philippines (OTOP) for proper action.

I. Notification

- Accountable persons with pending documents will receive an SMS and email notification from the system every after 3 days until any action has been taken. Documents tagged as "Urgent" will have an SMS and email notification every 24 hours until the document has been managed.
 - System Administrator and Document Originator will receive an email notification upon expiration of the document.
 - BTr Technical Administrator will receive an SMS notification when server run into a critical error.
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J. Personal Documents

- CRMD shall have a mailbox where Personal Documents will be placed.
- CRMD shall inform the recipient to pick up their personal documents at the mailbox.

K. Procurement of Supplies


- Barcode ribbons and barcode stickers shall be requested from Properties and Supplies Management Division (PSMD). The request form together with the empty ribbon and sticker roll shall be submitted first to Hardware Maintenance Division (HMD) for recording.
- Services shall provide barcode stickers to their respective divisions.
- CRMD shall provide barcode stickers to the Office of the Treasurer (OTOP) and the Offices of the Deputy Treasurer of the Philippines (ODTOP).

VIII. GENERAL GUIDELINES

- CRMD personnel are allowed to open sealed documents except those that are classified as confidential.
 - CRMD Receiving Personnel will classify the document while Scanning Personnel will scan and associate the document to the index created by the Receiving Personnel.
 - CRMD personnel shall note the mode of receiving external documents in the remarks section of the document record in the DTS.
 - If a document does not have a date, the default date will be the date of the receipt thereof.
 - Recipient who received a misrouted document has the responsibility to re-route the document to the proper recipient or to the CRMD.
 - If the recipient is on leave, the records officer shall re-route the document to another recipient or return it to the sender for proper action.
 - If document has to be forwarded to more than one (1) recipient, hardcopy and barcode has to be reproduced and reprinted respectively according to the number of recipients.
 - Before receiving the document, the Records Officer shall scan the barcode number to validate the document through the system.
 - External documents received by CRMD in bulk will be forwarded to the recipient using only one barcode number. Recipient will assess and forward the document or group of documents to their respective recipients using new barcode numbers under internal transaction.
 - Project proposals received as external documents will be scanned and attached to their original internal transactions.
 - CRMD personnel shall record the barcode numbers of all requests for travel authority before sending out the document to ensure tracking in case the signed travel authority returns to the bureau without its supporting documents.
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IX. EFFECTIVITY

Treasury Office Order Nos. 16-2017 and 4-2019 are hereby repealed.
This order shall take effect immediately.


ROSALIA V. DE LEON
Treasurer of the Philippines

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