



Commission on Human Rights
United Nations Development Programme



**PHI/02/011 – RIGHT TO DEVELOPMENT:
STRENGTHENING INSTITUTIONAL CAPACITIES
TO MAINSTREAM GENDER AND HUMAN RIGHTS**

CHR Reengineering Project

General Administrative Services

DESIGN REPORT

OCTOBER 2003

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EXECUTIVE SUMMARY

GENERAL ADMINISTRATIVE SERVICES

1 OBJECTIVES

- 1.1.1 The study involves the design of three systems under the general administrative services, indicating the definition of the system being covered, the specific reforms and design objectives of each system, the operating policies, the vertical compartmentalization for decision-making and the detailed processes involved.
- 1.1.2 The design of the general administrative system has the following objectives:
- To achieve the benefits of well-functioning records management system which must contain complete and comprehensive files that enable effective decision making; provide integrity and continuity; reduce duplication; and ensure speed, timeliness and quality in data generation
 - To establish and implement systematic mails and correspondence management processes and effectively monitor the flow of communication from the time of receipt to the time of dispatch
 - To achieve efficiency in the management of contracted janitorial and security services

2 DESIGN CONTEXT AND APPROACHES

- 2.1.1 The design of the general services system takes into consideration the following:
- Clear and systematic processes for records management are necessary to achieve efficiency, speed and timeliness*
- 2.1.2 The proposed design of the CHRP's records management system considers the important uses of records in achieving increased transparency, accountability and good governance, and the need to establish and adopt efficient processes for maintaining and preserving public sector records vital to sound management of resources.
- The setting of policy directions and appropriate procedures for managing the outsourcing of janitorial and security services, as well as mail distribution and collection, is similarly vital in the efficiency of general administrative operations of the CHRP.*

- 2.1.3 The CHRP contracts its requirements for janitorial and security services. Private contractors are selected and hired for the purpose generally through bidding processes to undertake daily, weekly and monthly maintenance of CHRP's premises, as well as provide security services to its different offices. The activity must effectively be managed to optimize the use of resources relative to the requirements for logistical support.

3 KEY REFORM MEASURES

- 3.1.1 The general administrative services system of the CHRP is designed to achieve efficiency, timeliness and speed. The reforms in the system are specifically indicated in the following:

Institutionalization of a unified records management system characterized by the presence of centrally developed policy guidelines, a central control and monitoring system in COMSEC for essential and important records and documents, and dispersed implementation of records management activities among CHRP offices for documents and files unique to their day-to-day operations

- 3.1.2 The Commission Secretary (COMSEC) as the central records management office of the CHRP will implement control functions in terms of policies, guidelines standards and programs, and through the use of records categorization and classification systems.
- 3.1.3 The COMSEC will also develop, monitor and review records management policies, standards and guidelines for formulation of appropriate measures which will be submitted to the Commission en Banc for consideration/approval implementation; disseminating information in relation to these functions; designing and implementing records systems; and appraising and disposing records in consultation with office managers and other officials concerned. The COMSEC will moreover maintain CHRP-wide files and archived records, while keeping records related to the operations of the Commission en Banc.
- 3.1.4 The maintenance of records which are used in daily operations of the CHRP offices will be the responsibility of said offices. The CHRP Offices, including ROs, will ensure the effective implementation of records management policies, guidelines and procedures, and see to it that no records are destroyed without authorization.
- 3.1.5 The provision of authentication services is also lodged in COMSEC. It will issue certifications on the authenticity of documents upon request, except personnel and property records, requisite certifications on which will be issued by GAO. Documents which are marked "confidential" may be retrieved based however on specific pertinent policies and guidelines to be identified by COMSEC and approved by the Commission en Banc.

Adoption of record categorization and classifications systems to standardize documents and records in various CHRP offices, institute a systematic handling of documents and records, and properly monitor their internal movements and status

- 3.1.6 The record categorization system
- 3.1.7 The record classification system will be operationalized through the use of office codes and control numbers. A specific office code will be assigned to each CHRP unit, which will be used in identifying the source or office of origin of incoming documents and the unit of destination of outgoing ones.
- 3.1.8 Any document that originates from or has been acted upon by a particular office must bear the office code, including the specific division where the document has been processed.
- 3.1.9 A control number is indicated/attached after the office code. All incoming and outgoing documents will be logged in a registry, using a standardized data-content-format.

Implementation of effective records retention and disposal systems in COMSEC through the conduct of systematic records inventory, survey and evaluation activities

- 3.1.10 Regular inventory of records and documents will be undertaken by COMSEC, to preserve those with have continuing value and to dispose of those which are no longer needed. The processes involved in these activities have been included in the report.

1

DESIGN CONCEPT, SCOPE AND APPROACHES

1 INTRODUCTION

- 1.1.1 The accomplishment of the objectives of the CHR rests not only on the effective functioning of its mission critical systems but also on the efficiency of operations of its administrative and financial management systems. The administrative systems are responsible for providing timely, adequate and appropriate logistical support to the different CHRP offices. The systems support the CHRP to undertake its tasks of planning, distributing and properly managing resources, to optimize the use of such resources in relation to needs, and to promote the welfare and continuing improvement in the working conditions of all CHRP staff.
- 1.1.2 These logistical services, which are commonly referred to as general administrative services, include records management, outsourcing of janitorial and security services, and mail and correspondence management, which are three main concerned being covered by this study.
- 1.1.3 This document covers the detailed design of the above components of the general administrative services system. It moreover presents the reform and design objectives for the system, design context and approaches, and the vertical compartmentalization of transactions.

2 CONTEXT OVERVIEW

- 2.1.1 Efficiency and effectiveness issues on general administrative services in CHRP are primarily indicated in its records management operations. Records management addresses the life cycle of records, which usually consists of three stages: creation or receipt, maintenance and use, and disposition. The CHRP creates, receives and maintains records and information on human rights situations that provide explanations that can assist it in making decisions and ensuring accountability to the general public.

THE EXISTING RECORDS SYSTEM OF CHRP IS DISPERSED AMONG OFFICES, EACH UNIT MAINTAINING ITS OWN SYSTEM.

- 2.1.2 The CHRP's current records management system is basically paper based and diffused to all offices. Each unit keeps its own respective files, which serve as a source of information needed in routine transactions. Records relating to the daily operations of the CHRP offices whether or not they have minimal administrative use

external to these offices are maintained in said offices. There is no unified system for records management, and no effective system of tracking documents, records and files. Each office has its own procedures for record keeping and retrieval.

- 2.1.3 Record keeping is a shared responsibility of the record creators, office managers, and records managers. While a dispersed responsibility to care for files and records unique to an Office's day-to-day operations is an element of a good records management system, there is on the other hand a need for a central management unit to implement control functions in terms of policies, guidelines standards and programs.

THERE IS A NEED FOR CENTRAL POLICY GUIDELINES AND PERFORMANCE MONITORING THAT WILL GUIDE THE CHRP's OPERATING UNITS IN THE IMPLEMENTATION OF SUCH POLICIES AND GUIDELINES

- 2.1.4 Under the new set-up of the CHRP, the Commission Secretary (COMSEC) is tasked with central records management functions. The COMSEC has relatedly the overall responsibility of developing, monitoring, and reviewing records management policies, standards and guidelines for consideration/approval by the Commission en Banc before implementation; disseminating information in relation to these functions; designing and implementing records systems; and appraising and disposing records in consultation with office managers and other officials concerned. The COMSEC likewise maintains CHRP-wide files and archived records, while keeping records related to the operations of the Commission en Banc.

- 2.1.5 The CHRP Offices, which are concerned with discrete functions and processes, are responsible for ensuring that adequate records of their respective activities are created and properly maintained. They are responsible for the implementation and effective operation of records management policies, procedures and records systems, and for insuring that no records are destroyed without authorization. Individual employees, as records creators, are on the other hand responsible for making and keeping complete and accurate records that adequately document the CHRP operations and activities.

- 2.1.6 The lack of clear and concrete policies and programs on records management in CHRP indicates the lack of proper attention to the real value of records as vital to operations and decision-making. Policies that must be developed by COMSEC must include those on responsibility and authority, filing methods and procedures, access to records, change of system and follow-up procedures, records creation, retention, disposal and protection of records from hazards and other sources of damage.

CLEAR AND SYSTEMATIC PROCESSES FOR RECORDS MANAGEMENT ARE NECESSARY TO ACHIEVE EFFICIENCY, SPEED AND TIMELINESS

- 2.1.7 The proposed design of the CHRP's records management system takes into consideration the important uses of records in achieving increased transparency, accountability and good governance, and the need to establish and adopt efficient processes for maintaining and preserving public sector records vital to sound management of resources.

- 2.1.8 CHRP records document decisions and activities/operations of the Commission and serve as bases for measuring its future activities and actions. They serve as benchmarks for formulating and evaluating policies, preserving the rule of law, managing finance and personnel, and protecting the rights of individuals. They provide the benefits of an institutional memory to the Commission. Records management in CHRP must thus be given true meaning by introducing and implementing proper systems of registering and maintaining information, and that information must be accurate, authentic and securely preserved.

THE SETTING OF POLICY DIRECTIONS AND APPROPRIATE PROCEDURES FOR MANAGING THE OUTSOURCING OF JANITORIAL AND SECURITY SERVICES, AS WELL AS MAIL DISTRIBUTION AND COLLECTION IS SIMILARLY VITAL IN THE EFFICIENCY OF GENERAL ADMINISTRATIVE OPERATIONS OF THE CHRP.

- 2.1.9 The CHRP outsources its requirements for janitorial and security services. Private contractors are selected and hired for the purpose generally through bidding processes to undertake daily, weekly and monthly maintenance of CHRP's premises, as well as provide security services to the different offices.
- 2.1.9 This arrangement on the contracting of housekeeping services which the CHRP has been adopting for its janitorial and security requirements is consistent with the General Provisions of the General Appropriations Act (GAA) that authorize departments and agencies of the national government to enter into service contracts with other government agencies, private firms or individuals and non-governmental organizations for services related or incidental to their respective functions and operations, whether on part-time or full-time basis. Service contracts may be entered into for professional consultancy and/or janitorial, security and other related services, whenever practicable and cost-effective for the government.

3 DESIGN FRAMEWORK

- 3.1.1 The design of the records management system of the CHRP takes into considerations the following reform measures:

INSTITUTIONALIZATION OF A UNIFIED RECORDS MANAGEMENT SYSTEM CHARACTERIZED BY THE PRESENCE OF CENTRALLY DEVELOPED POLICY GUIDELINES, A CENTRAL CONTROL AND MONITORING SYSTEM IN COMSEC FOR ESSENTIAL AND IMPORTANT RECORDS AND DOCUMENTS, AND DISPERSED IMPLEMENTATION OF RECORDS MANAGEMENT ACTIVITIES AMONG CHRP OFFICES FOR DOCUMENTS AND FILES UNIQUE TO THEIR DAY-TO-DAY OPERATIONS

- 3.1.2 The Commission Secretary (COMSEC) as the central records management office of the CHRP will implement control functions in terms of policies, guidelines standards and programs, and through the use of records categorization and classification systems.

- 3.1.3 The COMSEC will also develop, monitor and review records management policies, standards and guidelines for formulation of appropriate measures which will be submitted to the Commission en Banc for consideration/approval implementation; disseminating information in relation to these functions; designing and implementing records systems; and appraising and disposing records in consultation with office managers and other officials concerned. The COMSEC will moreover maintain CHRP-wide files and archived records, while keeping records related to the operations of the Commission en Banc.
- 3.1.4 The maintenance of records which are used in daily operations of the CHRP offices will be the responsibility of said offices. The CHRP Offices, including ROs, will ensure the effective implementation of records management policies, guidelines and procedures, and see to it that no records are destroyed without authorization.
- 3.1.5 The provision of authentication services is also lodged in COMSEC. It will issue certifications on the authenticity of documents upon request, except personnel and property records, requisite certifications on which will be issued by GAO. Documents which are marked "confidential" may be retrieved based however on specific pertinent policies and guidelines to be identified by COMSEC and approved by the Commission en Banc.

ADOPTION OF RECORD CATEGORIZATION AND CLASSIFICATION SYSTEMS TO STANDARDIZE DOCUMENTS AND RECORDS IN VARIOUS CHRP OFFICES, INSTITUTE A SYSTEMATIC HANDLING OF DOCUMENTS AND RECORDS, AND PROPERLY MONITOR THEIR INTERNAL MOVEMENTS AND STATUS

- 3.1.6 The record categorization system will uniformly classify records and documents according to certain categories like "Administration", "Financial", "Legal", "Personnel", "Assistance", etc. These categories will be the basis for filing and storing records.
- 3.1.7 The record classification system will on the other hand be operationalized through the use of office codes and control numbers. A specific office code will be assigned to each CHRP unit, which will be used in identifying the source or office of origin of incoming documents and the unit of destination of outgoing ones. Any document that originates from or has been acted upon by a particular office must bear the office code, including the specific division where the document has been processed.
- 3.1.8 A control number is indicated/attached after the office code. All incoming and outgoing documents will be logged in a registry, using a standardized data-content-format.

IMPLEMENTATION OF EFFECTIVE RECORDS RETENTION AND DISPOSAL SYSTEMS IN COMSEC THROUGH THE CONDUCT OF SYSTEMATIC RECORDS INVENTORY, SURVEY AND EVALUATION ACTIVITIES

- 3.1.9 Regular inventory of records and documents will be undertaken by COMSEC, to preserve those with have continuing value and to dispose of those which are no longer needed. The processes involved in these activities have been included in the report.

4 SCOPE AND ORGANIZATION OF REPORT

4.1.1 This report contains the design of three systems under the general administrative services, indicating the definition of the system being covered, the specific reforms and design objectives of each system, the operating policies, the vertical compartmentalization for decision-making and the detailed processes involved which are likewise indicated in workflow charts.

4.1.2 The report is organized as follows:

PART 1 – DESIGN CONTEXT AND SCOPE, which provides for the general background of the study, including certain diagnostics of the CHRP systems that contributed to the systems design of covered areas under the general administrative services.

PART II – RECORDS MANAGEMENT, which presents the objectives, policies and detailed design of transactions of this study area which is aimed at instituting a systematic control of the creation, maintenance, use and disposition of records and documents.

Part III – CORRESPONDENCE MANAGEMENT AND MESSENGERIAL SERVICES, which reflects the objectives, policies and detailed design of transactions for managing mails and correspondence of the CHRP.

Part IV – MANAGEMENT OF OUTSOURCING OF SERVICES, which contains the objectives, policies and detailed design of managing the provision of janitorial and security services by contracting these services with private firms.

2

RECORDS MANAGEMENT

1 SYSTEM DEFINITION

- 1.1.1 The records management system of the CHRP is designed to achieve efficiency, timeliness and speed in generating information from the CHRP records system which are necessary in the operationalization of effective service delivery systems, and similarly vital in policy and program formulation, analyzing options, and monitoring and evaluation of the Commission's programs and projects.
- 1.1.2 The proposed system will provide for a reliable information base to support the whole operation of the CHRP, including internal administrative and financial management activities like manpower planning, budgeting and payroll administration.

2 OBJECTIVES

- 2.1.1 The design of the records management system is aimed at achieving the following objectives

Reform Objectives

- To achieve the benefits of well-functioning records management system which must contain complete and comprehensive files that enable effective decision making; provide integrity and continuity; reduce duplication; and ensure speed, timeliness and quality in data generation
- To assist the CHRP in making informed policy and program decisions
- To enable the public assess the performance of the CHRP by providing administrative, fiscal and legal accountability and documenting rights and responsibilities

Design Objectives

- To ensure that the prerequisites of a good records management system are met following certain principles and procedures which are aimed at managing the whole document cycle; identifying valuable documents and ensuring the quality of information therein; securing and preserving valuable documents; and providing appropriate access to information as necessary

- To ensure that an effective collection and maintenance of CHRP's records for operational, evidential and historical purposes is undertaken, and that complete and accurate records are created of CHRP activities and operations by using efficient and effective processes possible

3 OPERATING POLICIES

- 3.1.1 It will be the policy of the CHRP to protect its information and allow the use, access and disclosure of such information as may be necessary for the interest of its clients and the general public. As such, an effective records management program will be established and operationalized in the different CHRP offices, which will be in accordance with appropriate plans, policies and procedures developed for the purpose.
- 3.1.2 A system of decentralized management of records in the different CHRP offices will be adopted, subject to policies, standards, guidelines, and rules prescribed for the purpose. However, CHRP-wide files shall be maintained centrally in the COMSEC.
- 3.1.3 The confidential nature of certain records must be observed. For example, employee's personnel records or 201 files are not open to the public. Requests to access 201 files of employees must be coursed through the GAO.
- 3.1.4 Official records will be filed and kept consistent with appropriate records management practices to ensure accessibility, safety against fire and other hazards, and to preserve their confidential nature where necessary. The appropriate guidelines for retention and disposal of records shall be prepared by COMSEC for full compliance by all offices concerned.

4 VERTICAL COMPARTMENTALIZATION

- 4.1.1 The decentralized records management system in CHRP will be undertaken not only by the COMSEC but all the administrative units in each of the CHRP offices both in the central office and the region.
- 4.1.2 The COMSEC as the central records unit of the CHRP will:
- Receive, register, dispatch and monitor the flow of communications coursed through it from time of receipt to dispatch
 - Provide and operate a central control and monitoring system for essential and important records to support the different activities and transactions of the CHRP
 - Maintain a central file scheme for current and non-current records
 - Provide necessary services relative to the documentary, reference and information requirements of the Commission en Banc, other CHRP officials and employees, and the general public

- Maintain and operate the CHRP archives containing disposed records and documents with historical or archival value
- Develop a record classifications system for the use of the administrative units in the different CHRP offices, including those in the regions
- Develop and implement records retention and disposition schedule
- Assist all CHRP offices in the management of their respective records.

4.1.3 The administrative units in each of the CHRP offices will:

- Receive, register, dispatch and monitor the flow of communications coursed through them from time of receipt to dispatch
- Maintain a continuing reporting linkage with the COMSEC to update the Commission en Banc, the Chairperson and other CHRP officials on the status of documents received and released
- Maintain their respective files for working documents necessary for the day-to-day operations of the CHRP offices
- Coordinate from time to time with the COMSEC on records retention and disposition and retirement of records from active files

4.1.4 The vertical compartmentalization of decision making on records management is indicated in Table 2-1.

**Table 2-1
VERTICAL COMPARTMENTALIZATION, RECORDS MANAGEMENT**

| Transaction | Office/ Regional Director | ED | CIC | Chair | CEB |
|--|---|---------------------|---------------------|---------------------|----------|
| Formulation of records management policies, rules, regulations, standards and guidelines | COMSEC prepares policies, rules, regulations, standards and guidelines, in consultation with other Offices COMSEC endorses | Endorses | Endorses | Endorses | Approves |
| Preparation and update of a records retention and disposal schedule | Offices prepare and recommend schedule and endorse COMSEC consolidates recommendations and endorses | Approves | - | - | - |
| Development and implementation of record management activities: | COMSEC manages CHRP-wide records and those on the operations of the CEB | Manages own records | Manages own records | Manages own records | - |

| Transaction | Office/ Regional Director | ED | CIC | Chair | CEB |
|--|---|----|-----|-------|-----|
| <ul style="list-style-type: none"> Storage, disposal/ageing, and protection Services, including official | Offices manage records unique to their respective day-to-day operations | | | | |
| Provision of authentication services | COMSEC implements | - | - | - | - |
| Operation of a unified tracking system and archiving | COMSEC implements | - | - | - | - |
| Management reporting | COMSEC prepares reports and distributes to key officials and other internal users | - | - | - | - |

5 CORE PROCESSES

- 5.1.1 An important step in effective records management system is to identify first the value of the documents. The movement of the documents from one CHRP unit or office to another must likewise be identified and suitable registration procedures developed. Appropriate procedures must be employed to manage each document from creation to disposal.
- 5.1.2 Thus, the appropriate registration information system for the CHRP must be one which ensures that its vital documents are adequately managed over time; that these documents can be retrieved quickly and with precision; and that the context in which CHRP documents were created and used is understood.
- 5.1.3 In setting policies, guidelines and standards on records management, the COMSEC may be guided by the following requisite procedures of a document registration system
- Determine the originator of the documents
 - Determine the owner or manager of the documents
 - Keep track of when the document was created and last modified (for each version)
 - Determine the status of a document in terms of draft, final etc. (for each version)
 - Identify the components of the document that are saved and managed as separate documents, and the relationship between those components
 - Ensure that the document's relationship to other similar documents is maintained
 - Ensure that a document is meaningfully titled and described in context, and classified

- Manage the document security with respect to access for different types of documents
- Ensure that the documents are properly stored

5.1.4 These include the use of a prescribed detailed format for certain documents

CENTRALIZED PLAN AND DECENTRALIZED SYSTEM

5.1.5 Consistent with the decentralized records control scheme, the administrative unit in each of the different CHRP offices undertakes records management services like receiving, releasing, documentation, information and reference requirements. Offices retain and maintain only their convenience files, or those that are unique to their operations and missions.

5.1.6 The COMSEC on the other hand maintains and operates the CHRP's central files consisting of the records and documents which must be available and accessible to all CHRP offices, their clients and the general public. Records that must be kept in the COMSEC include CEB's minutes of meetings, agenda, agenda papers, attendance, resolutions/decisions, precedents and policies, including policy changes, instructions, and data references for decision-making purposes. The COMSEC likewise operates a monitoring system that keeps track of all documents being processed by the CHRP.

RECORDS CATEGORY, OFFICE CODES AND CONTROL NUMBER

5.1.7 A record categorization system will be adopted to uniformly classify records and documents according to certain categories like "Administration", "Financial", "Legal", "Personnel", "Assistance", etc. These categories will be the basis for filing and storing records.

5.1.8 A record classification system with the use of office codes will likewise be instituted to standardize the documents and records maintenance system in the CHRP; institute a systematic handling of mails and correspondence; and properly monitor the internal movement and status of documents. A specific office code will be assigned to each CHRP unit, which will be used in identifying the unit of destination of incoming documents, as well as the source or office of origin of outgoing documents.

5.1.9 The recommended office codes of the different CHRP organizational units are indicated in Table 2-2. Any document that originates from or has been acted upon by a particular office must bear the office code, including the specific division where the document has been processed. The code of the operating office is likewise reflective of the code for particular functional group, which are as follows:

- COOO – protection group
- DOOO – promotion group
- EOOO – linkages group

- F000 – administrative and financial services group

5.1.10 The code for each of the Offices of the Commissioners-In-Charge (CIC) has accordingly been patterned after these series so that the Office of the CIC for Protection has an office code of “CIC-COO”. For LIO, the office code is LIO-1COO, while that for AVO, it is AVO-2COO. The numbers “1” And “2” denote that the LIO and AVO are the first and second bureaus, respectively, of the protection group, as designated by the functional group code, “COOO”.

5.1.11 The Offices of the Commission en Banc and Executive Director are provided with distinct office codes, which are “A000” and “G000”, respectively. The Office of the Commission Secretary takes the code of the CEB. Hence, its office code is “COMSEC-1A00” with the two divisions under the office to have the codes “COMSEC –2A00” and “COMSEC – 3A00”.

**Table 2-2
OFFICE CODE OF CHRP OFFICES AND DIVISIONS**

| OFFICE CODE | | ORGANIZATIONAL UNIT |
|-------------|--------|--|
| CEB | - A000 | Commission en Banc |
| CIC | - B000 | Office of the Chairperson |
| CIC | - C000 | Office of the Commissioner-In-Charge for Protection |
| CIC | - D000 | Office of the Commissioner-In-Charge for Promotion |
| CIC | - E000 | Office of the Commissioner-In-Charge for Linkages |
| CIC | - F000 | Office of the Commissioner-In-Charge for Admin. & Finance |
| ED | - G000 | Office of the Executive Director |
| ED | - 1G00 | Management Support Division, Office of ED |
| ED | - 2G00 | Operations Support Division, Office of ED |
| COMSEC | - 1A00 | Office of the Commission Secretary |
| COMSEC | - 2A00 | General Records and Archives Division, Office of COMSEC |
| COMSEC | - 3A00 | Technical Services Division, Office of COMSEC |
| SDPO | - 1B00 | Strategic and Development Planning Office |
| SDPO | - 1B01 | Planning and Programming Division, SDPO |
| SDPO | - 1B02 | Performance Evaluation Division, SDPO |
| CRC | - 2B00 | Child Rights Center, Office of the Chairperson |
| AIHR | - 3B00 | Asian Institute of Human Rights, Office of the Chairperson |
| ISD | - 0B01 | Information Systems Division, Office of the Chairperson |
| LIO | - 1C00 | Legal and Investigation Office |
| LIO | - 1C01 | Investigation Division, LIO |
| LIO | - 1C02 | Legal Division, LIO |
| AVO | - 2C00 | Assistance and Visitorial Office |
| AVO | - 2C01 | Assistance and Visitorial Division, AVO |
| AVO | - 2C02 | Forensic and Medical Division, AVO |
| ERO | - 1D00 | Education and Research Office |

| OFFICE CODE | | ORGANIZATIONAL UNIT |
|-------------|--------|---|
| ERO | - 1D01 | Research Division, ERO |
| ERO | - 1D02 | Education Division, ERO |
| IMO | - 2D00 | Instruments Monitoring Office |
| IMO | - 2D01 | Treaties Monitoring Division, IMO |
| IMO | - 2D02 | Standards and Special Concerns Division, IMO |
| GCO | - 1E00 | Government Cooperation Office |
| GCO | - 1E01 | Government Partnership Division, GCO |
| GCO | - 1E02 | Legislative and Program Division, GCO |
| NCSMCO | - 2E00 | NGO, Civil Society and Media Cooperation Office |
| NCSMCO | - 2E01 | Linkages Division, NCSMCO |
| NCSMCO | - 2E02 | Media Relations Division, NCSMCO |
| GAO | - 1F00 | General Administration Office |
| GAO | - 1F01 | Personnel Division, GAO |
| GAO | - 1F02 | General Services Division, GAO |
| FMO | - 2F00 | Financial Management Office |
| FMO | - 2F01 | Budget and Cash Administration Division, FMO |
| FMO | - 2F02 | Accounting Division, FMO |
| RO | - H001 | Regional Office I – Ilocos |
| RO | - H002 | Regional Office II – Cagayan |
| RO | - H003 | Regional Office III - Central Luzon |
| RO | - H004 | Regional Office IV – Southern Tagalog |
| RO | - H005 | Regional Office V – Bicol Region |
| RO | - H006 | Regional Office VI – Western Visayas |
| RO | - H007 | Regional Office VII – Central Visayas |
| RO | - H008 | Regional Office VIII – Eastern Visayas |
| RO | - H009 | Regional Office IX – Western Mindanao |
| RO | - H010 | Regional Office X – Northern Mindanao |
| RO | - H011 | Regional Office XI – Southern Mindanao |
| RO | - H012 | Regional Office XII – Central Mindanao |
| RO | - H013 | Regional Office XIII - CARAGA |
| RO | - H014 | Regional Office – CAR |
| RO | - H015 | Regional Office – NCR |

5.1.12 All documents and records must bear a control number. The control number will indicate the date and the reference number for immediate identification and tracking. It will start on the first working day of the current year. The control number will be attached to/indicated after the office code. All incoming and outgoing documents will be logged in a registry using a standardized data-content format.

- 5.1.13 Upon receipt, the central records unit in COMSEC stamps the date of receipt and indicates the code number, source, type and date of communication, subject matter, office code, type and date of action, destination, date released and remarks, using Form 1 – Registry (Annex A).
- 5.1.14 The central records unit prepares a weekly summary report, using Form 2 –Summary of Weekly Report (Annex B) to monitor the status of pending assignments. This report will be regularly submitted to the Executive Director, Commissioner In-Charge and the Chairperson.
- 5.1.15 The following data in Table 2-3 are some of the basic types of documents, records, files and communications which must be kept by each of the CHRP central offices, the Regional Offices to keep similar and records and files that are distinctively used in their operations.

**Table 2-3
BASIC DATA FILES OF CHRP OFFICES**

| Office | Records/Documents Kept |
|----------------------------------|--|
| Legal and Investigation Office | Policies, standards, procedures and guidelines and operating plan and programs |
| | Action documents on requests and referrals for legal assistance and investigation |
| | Legal advisories |
| | Clearance for military personnel that they have not committed human rights violations |
| | Related statistics and relevant data |
| | Monitoring and evaluation reports |
| | Inter-office communications |
| | Accomplishment reports |
| Assistance and Visitorial Office | Policies, standards, procedures and guidelines and operating plan and programs |
| | Action documents on requests for financial assistance and forensic services |
| | Reports on jail visits, conditions of inmates, issues and recommended measures |
| | Inter-office communications |
| | Related issuances, legal fiats, statistics and any relevant data |
| | Monitoring and evaluation reports |
| | Accomplishment reports |
| Education and Research Office | Policies, standards, procedures and guidelines and operating plan and programs |
| | Comprehensive communication plan |
| | Action documents on assistance to clients and consultation activities with public and private institutions |
| | Studies on local and international experiences and best practices |
| | Methodologies for improving cooperation efforts |

| Office | Records/Documents Kept |
|---|---|
| | HR public information program Certification for military personnel that they have undergone a training program on HR Inter-office communications Related issuances, legal fiats, statistics and any relevant data Monitoring and evaluation reports Accomplishment reports |
| Instruments Monitoring Office | Policies, standards, procedures and guidelines and operating plan and programs Exception reports, situationers, sectoral/thematic conditions, regional situations, etc. Advisories, comments, case reports, recommendations on ratification/non-ratification of treaties, international and local inquiries, and related action documents Inter-office communications Related issuancs, legal fiats, statistics and any relevant data Monitoring and evaluation reports Accomplishment reports |
| Government Cooperation Office | Policies, standards, procedures and guidelines and operating plan and programs Project documents- concept papers, methodologies, implementation strategies, list of participants, milestones, progress reports, resources, etc. Memoranda of agreement/understanding with government institutions Inter-office communications Related studies and experiences in both public and private organizations Action documents on requests and inquiries Related issuances, legal fiats, statistics and any relevant data Monitoring and evaluation reports Accomplishment reports |
| NGO, Civil Society and Media Cooperation Office | Policies, standards, procedures and guidelines and operating plan and programs Project documents- concept papers, methodologies, implementation strategies, list of participants, milestones, progress reports, resources, etc. Memoranda of agreement/understanding with non-government organizations, civil society and the media Related studies and experiences in both public and private organizations Inter-office communications Action documents on requests and inquiries Related issuances, legal fiats, statistics and any relevant data Monitoring and evaluation reports Accomplishment reports |

| Office | | Records/Documents Kept |
|------------------------|----------------|---|
| General Office | Administration | Policies, standards, procedures and guidelines and operating plan and programs |
| | | Personal Services Itemization (staffing pattern of each office) |
| | | Plantilla |
| | | Service records |
| | | 201 files of personnel |
| | | Payrolls |
| | | Training courses and seminars |
| | | Retirement records |
| | | Records of leave credits and availments |
| | | Annual equipment procurement program |
| | | Supplies availability inquiries/reports on supplies and materials issued |
| | | Acknowledgment receipts for equipment/records of property accountability |
| | | Report on the physical count of inventory/Inspection and Inventory Report on Unserviceable Property |
| | | Waste Material Report |
| | | Administrative circulars, office orders, directives |
| | | Inter-office communications |
| | | Action documents on requests and inquiries |
| | | Related issuances, legal fiats, statistics and any relevant data |
| | | Monitoring and evaluation reports |
| Accomplishment reports | | |
| Financial Office | Management | Policies, standards, procedures and guidelines, and operating plan and programs |
| | | Approved budget |
| | | Obligation/cash/ allotment program |
| | | Disbursement vouchers to cover payments |
| | | Financial records of cash transactions, receipts, safekeeping and disbursements of funds |
| | | Loan application transmittals |
| | | Remittance of checks and other pertinent documents |
| | | Purchase Requests/Purchase Orders |
| | | Books of accounts (journals and ledgers) |
| | | Financial statements (balance sheet, statement of income and expenses, statement of cash flows, trial balances) |
| | | Statements of allotments and obligations |
| | | Statements of income and expenses |
| | | Notice of Cash Allocations |
| | | Report of Collections and Deposits |
| | | Report of disbursements |
| | | Schedule of accounts payables/receivables |
| | | Registries (allotments, obligations, NCAs, etc) |
| General payroll | | |

| Office | Records/Documents Kept |
|---|---|
| | Travel forms and documents Inter-office communications Action documents on requests and inquiries Related issuances, legal fiats, statistics and any relevant data Monitoring and evaluation reports Accomplishment reports |
| Strategic Planning and Development Office | Operating plans and programs of all offices Policies, standards, procedures, guidelines, and programs Policy recommendations/program proposals HR systems design and tools Research studies Performance reports of all offices Inter-office communications Action documents on requests and inquiries Related issuances, legal fiats, statistics and any relevant data Monitoring and evaluation reports |
| Executive Director | Operations reports Policy recommendations Comments/endorsements of policies, programs and projects Inter-office communications Action documents on requests and inquiries acted upon by the Executive Director Related issuances, legal fiats, statistics and any relevant data Monitoring and evaluation reports Accomplishment reports |
| Commission Secretary | Administrative Orders, Resolutions, Office Orders, Circulars, Instructions, Agenda and Minutes of Board meetings Communications contained in memoranda and letters CHRP-wide reports Records for archival purposes |
| Information Systems Division | Information Systems Strategic Plan Research studies on IT and related documents Inter-office communications Action documents on requests and inquiries Related issuances, legal fiats, statistics and any relevant data Accomplishment report |

RECORDS MAINTENANCE, RETRIEVAL, STORAGE AND AUTHENTICATION

- 5.1.16 The COMSEC, in coordination with the different CHRP offices, operates and maintains a central file station/records unit for document holdings, maintenance, retrieval and storage. It will also serve as the central reference service for the CHRP clients and the public.
- 5.1.17 The central records unit in COMSEC provides authentication services. It issues certifications on the authenticity of documents upon request. GAO will on the other hand certify personnel and property records. Documents which are marked "confidential" will be handled based on specific pertinent policies and guidelines to be prescribed by the Commission en Banc.

RETENTION AND DISPOSITION SCHEDULE

- 5.1.18 The central records unit COMSEC conducts a regular inventory of all CHRP records and documents preparatory to their disposal, consistent with the records retention and disposition schedule previously prepared by COMSEC based on the recommendations of the different offices and approved by the Executive Director. The attached Record Inventory Worksheet (Attachment C) may be used for the purpose.
- 5.1.19 The central records unit, upon consultation with the different CHRP offices identifies and preserves documents of continuing value from those which are already for disposal. It then prepares a report on the matter to be submitted to the COMSEC for approval and implementation of the recommended disposal actions.
- 5.1.20 The COMSEC submits to the Executive Director, Executive Director, Commissioner-In- Charge, Chairperson and the Commission en Banc periodic reports on the retention and disposition of records.

3

CORRESPONDENCE MANAGEMENT AND MESSENGERIAL SERVICES

1 SYSTEM DEFINITION

- 1.1.1 The proposed system will provide for the processes in the management of mails and correspondence of the CHRP, providing it with fast and efficient storage and retrieval of information to support its decision-making functions.
- 1.1.2 The proposed system includes operating policies and transactions on messengerial services to achieve efficiency in the delivery and collection of CHRP's mails and correspondences.

2 OBJECTIVES

- 2.1.1 To achieve speed and facility in the delivery and collection of mails and correspondences of the CHRP supportive of the conduct of its mission-critical functions and the exercise of decision-making authority of the key officials
- 2.1.2 To establish and implement systematic mails and correspondence management processes
- 2.1.3 To effectively monitor the flow of communication from the time of receipt to the time of dispatch

3 OPERATING POLICIES

- 3.1.1 All incoming and outgoing correspondence and mails will be coursed through the central records unit in COMSEC for proper logging and coding, before each will be transmitted to officials/offices concerned for appropriate action.
- 3.1.1 For purposes of identification, the office code and control number system for records management will be used in the assignment of incoming mails and correspondence, to indicate their destination in terms of the service involved or the intended user of the information contained in the communication. The office code-control number system will likewise be used to indicate the office/organizational unit responsible for the action taken on the request.

- 3.1.3 Mails and correspondence in sealed envelopes and containers personally addressed to any CHRP officials will be opened only by such official or by his/her authorized representative. If such have been found out to be official in nature they must be turned over to the COMSEC (central records unit) for proper assignment to the office which have the jurisdiction over its subject matter.
- 3.1.4 Incoming correspondence needing action will immediately be registered and delivered within 24 hours upon receipt. Signed communication will likewise be dispatched within 24 hours from time of receipt. The GAO will dispatch outgoing official communications other than legal documents such as subpoenas. The Office of the Executive Director will dispatch subpoenas and similar legal documents through the Process Server assigned in that office. Documents released through fax machine or e-mail will provide the official file with a copy of the fax transaction report.
- 3.1.5 The enhancement of the document tracking system of the COMSEC into a computer-based system will be given priority in the implementation of the Information Systems Strategic Plan of the CHRP to achieve efficiency in information generation and maintenance.

4 VERTICAL COMPARTMENTALIZATION

- 4.1.1 The management of mails and correspondence is a responsibility of the COMSEC, GAO and the Office of the Executive Director. The vertical compartmentalization of transactions under the mail management and messengerial services system is indicated in Table 2-3.

**Table 2-3
VERTICAL COMPARTMENTALIZATION, MAILS AND CORRESPONDENCE MANAGEMENT**

| Transaction | Office/ Regional Director | ED | CIC | Chair | CEB |
|--|--|---|----------|----------|----------|
| Formulation of policies, rules, regulations, standards and guidelines | COMSEC prepares policies, rules, regulations, standards and guidelines, in consultation with other Offices COMSEC endorses | Endorses | Endorses | Endorses | Approves |
| Processing and handling of incoming and outgoing communications and correspondence | COMSEC receives all correspondence and registers their release and dispatch. GAO provides messengerial services for all official mails not requiring the services of process server | Provides messengerial services for subpoenas and related legal documents not requiring the services of process server | - | - | - |
| Management reporting | COMSEC prepares reports and distributes to key officials and other internal users | - | - | - | - |

5 CORE PROCESSES

- 5.1.1 The office code and control number will be used in the assignment of incoming and outgoing mails and correspondence. The number may be used as a point of reference for inquiry of information. The number will be remained in use until action has been taken on the correspondence, and the records have been disposed of.
- 5.1.2 Mails and correspondences are part of the records of the offices concerned. The processes for records management will be followed for handling mails and correspondences.
- 5.1.3 The central records unit, before dispatching any document, sees to it that the communication is complete as to signature, enclosure and other requirements. The document to be dispatched is then sent either to GAO or the Office of the Executive Director for delivery.

4

MANAGEMENT OF OUTSOURCING OF SERVICES

1 SYSTEM DEFINITION

- 1.1.1 The system will provide for the processes of managing the provision of janitorial and security services through outsourcing scheme.
- 1.1.2 For janitorial services, the usual responsibilities of the contractor include supplying the necessary labor, cleaning equipment, materials and supervision for the daily upkeep and maintenance of the different CHRP offices. For security services, on the other hand, the responsibilities of the contractor include rendering and providing necessary services to protect and safeguard the properties of the CHRP.

2 OBJECTIVES

- 2.1.1 Ensure that housekeeping services for maintaining cleanliness and security of the different CHRP offices are adequately provided.
- 2.1.2 Achieve efficiency in the management of contracted services for janitorial and security functions.

3 OPERATING POLICIES

- 3.1.1 The outsourcing of janitorial and security services will be in accordance with existing applicable laws, and pertinent accounting and auditing rules and regulations.
- 3.1.2 GAO will ensure that private janitorial and security services are delivered to the full compliance of the contract executed for the purpose and the satisfaction of the service requirements of the CHRP.

4 VERTICAL COMPARTMENTALIZATION

- 4.1.1 The vertical compartmentalization of the transactions and process in outsourcing janitorial and security services is indicated in Table 2-4

**Table 2-4
VERTICAL COMPARTMENTALIZATION, MANAGEMENT OF OUTSOURCING OF JANITORIAL
AND SECURITY SERVICES**

| Transaction | Office/ Regional Director | ED | CIC | Chair | CEB |
|---|---|----------|----------|----------|----------|
| Formulation of policies, standards and guidelines | GAO prepares policies, guidelines and standards GAO endorses | Endorses | Endorses | Endorses | Approves |
| Processing of service contract | COMSEC receives and reviews proposals from private service contractors and endorses Bids and Awards Committee (BAC) reviews private contractors' proposals and recommends awards FMO processes payments based on perfected contract | Endorses | Endorses | Approves | - |
| Monitoring and evaluation of performance | GAO monitors activities of contractor and presents issues and recommendations | - | - | - | - |
| Management reporting | GAO prepares regular reports | - | - | - | - |

5 CORE PROCESSES

- 5.1.1 GAO sends/advertises invitation to bid and prepares a comparative abstract of prices and services offered. The Bids and Awards Committee (BAC) in CHRP evaluates bids and abstract of prices and services and decides on winning bids. It prepares recommendation for consideration and approval of the Chairperson. The BAC thereafter sends notice to the winning bidder/s for signing of contract. The Chairperson signs the contract.
- 5.1.2 GAO regularly checks on/monitors the compliance with of the contractor with the conditions stipulated in the contract and prepares reports on the matter.

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Inventory Taken By : _____

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