

 <p>LBP RESOURCES AND DEVELOPMENT CORPORATION 24TH Floor LBP Plaza 1598 M.H Del Pilar cor. Dr. J. Quintos St. Malate Manila</p>	<p>BROKERING SERVICES MANUAL</p> <p>Chapter 6: Files and Records Management</p>	Class Code: D
		Reference Code: OM-BS-6.0 Revision Number: 00 Date: Effective Nov. 20, 2018 Page 1 of 3

A. General Guidelines

1. Maintenance or retention of documents pertaining to brokering services shall be in accordance with the approved policies and procedures of the corporation on records retention.
2. All documents pertaining to the broker's commission of the company and the claims for referror's fee shall be filed by Business Development Analyst and turned-over to the Administrative Assistant for custody and records management.
3. The records custodian shall ensure that information is provided in a timely and efficient manner regardless of urgency of request and that vital information are archived for business continuity and recovery.
4. A database of all claims for referror's fee shall be maintained to:
 - Effectively monitor the status of claims for referror's fee
 - Determine the whereabouts of the submitted documents and/or stages of processing
 - Have readily available information on the status of referror's fee in case of queries

The paper copy of the monitoring database shall be made accessible to all personnel to ensure timely oral and written response to brokering services' clients and stakeholders.

B. Detailed Procedures

1. Document tracking database

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| Business Development Specialist | 1.1 | Prepares and updates the document tracking database pertaining to claims for referror's fee. |
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2. Filing of records

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| Business Development Specialist | 2.1 | Compiles the following records per referror fee transaction: <ul style="list-style-type: none"> • Receiving copy of the computation of referror's fee • Photocopy of the credit advice or disbursement order |
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- Referral Form
- Form 4/4A and Form 5/5A
- Letter to SPAD/Lending Center re: release of broker's commission, if any

2.2

Files in a folder for referror's fee released per quarter.

2.3

At the end of the quarter, turns over the file folder to the designated record custodian of the PMMS Dept.

Administrative Assistant or the designated record custodian of the unit

2.4

Maintains files in accordance with the corporation's policies and procedures in document retention.

C. Process Flow

The process flow for filing and maintaining the records pertaining to the corporation's brokering services is presented in Exhibit 6.1

