On Building Records Retention and Disposition – Philippine Experience on Establishing Guideline and Schedules

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Manila, Philippines
QUICK FACTS:
De La Salle University
2401 Taft Avenue, Manila
1004 Philippines

- Founded: 1911 by the Brothers of Christian Schools
- Type: Private, Catholic University
- Academic Calendar: Three (3) terms per year
- Programs Offered: Doctoral, Master’s, Bachelor’s, Diploma, Certificate
- Colleges and Schools: Eight (8)
- Academic Departments: Thirty Six (36)
- Research Centers: Eleven (11)
- Teaching Academic Staff: 1,121
- Undergraduate Students: 13,861
- Graduate Students: 4,661

(Data as of February 2017) [http://www.dlsu.edu.ph/inside/](http://www.dlsu.edu.ph/inside/)
QUICK FACTS:
De La Salle University Libraries
QUICK FACTS:
De La Salle University Archives

- Established, July 3, 1968 by Br. H. Gabriel Connon
- 1973 - The College Archivist housed the collection in the old Library.
- 1975 - District Archives was transferred to the Provincial House in Greenhills.
- 1989 - Separation of Archives from Library was approved by Br. Andrew Gonzales, FSC.
- 2013 - Archives was transferred to its present location - 11th and 12th floor of the Learning Commons.
On Records Management...

R.A. 9470
- Establishment of Archives as a separate unit to plan, formulate and implement a records management and archival administration program.

R.A. 10066
- Calls for protection, preservation, conservation and promotion of all forms of heritage, whether tangible or intangible.

ISO 15489-1:2016
- Presented records management policies and procedures to ensure appropriate attention and protection is given to all records.
WHAT WE WANT TO ACHIEVE?

- Enable the different sectors in the academic community to develop an understanding on the importance of records and their role in the University's history.

- Create a proposed records and retention disposal schedule for proper management of records.
HOW TO DO IT?

- Assessment of the current status of the DLSU Archives.
HOW TO DO IT?

- Conduct a University-wide records management training workshop.
  - July 22-23, 2016; 65 participants
  - September 23-24, 2016; 77 participants
HOW TO DO IT?

- Conduct a University-wide records management training workshop.
  - Raise awareness on the role of the Archives as custodian of institution’s memory;
  - Develop an understanding on the importance of records and their role in the University’s history;
  - Identify the records being created by Departments/Offices;
  - Propose a records and retention disposal schedule (RRDS);
  - Propose a Transfer Policy for the Archives.
HOW TO DO IT?

- Conduct a University-wide records management training workshop.
  - Key resource speakers -
    - Philippine Records Management Association, Inc.;
    - National Commission for the Culture and the Arts - National Committee on Archives.
FINDINGS

In brief, the DLSU Archives has in its holdings:

- Documents: over 11,000 (in boxes)/ approx. 5,500 linear feet
- Records: over 62,000 (bound in volumes)
- Memorabilia, paintings and artifacts: over 400 (objects)

Records/materials are transferred to Archives without proper appraisal.
FINDINGS - Records Management Practice

Disposal of Records

- Yes (70%)
- No (30%)
FINDINGS - Records Management Practice

Age of Records

- 15-20 years: 46.2%
- below 10 years: 25.8%
- 10-15 years: 13.6%
- older than 30 years: 7.6%
- 25-30 years: 1.2%
- 20-25 years: 0%
FINDINGS - Records Management Practice

Presence of Record Managers in DLSU Offices

- Yes: 87.1%
- No: 12.9%
FINDINGS - Records Management Workshop

Attainment of Program Objectives

- Excellent: 66%
- Very Satisfactory: 32%
- Satisfactory: 2%
FINDINGS - Records Management Workshop

Level of Knowledge Imparted

- Excellent: 64%
- Very Satisfactory: 34%
- Satisfactory: 2%
Assessment of Resource Persons

- Excellent: 69%
- Very Satisfactory: 29%
- Satisfactory: 2%
FINDINGS - Records Management Workshop

Assessment of Program Design and Management

- Excellent: 65%
- Very Satisfactory: 33%
- Satisfactory: 2%
FINDINGS

- “More workshop / training regarding to records management and archives.”
- “Thanks for coming up with this kind of training/workshop. I hope you can come up for the restoration seminar.”
- “I could only hope that these could be relayed to other offices in all De La Salle institutions. Esp. DLSZ.”
- “Help us in proper managing of office records. Very helpful in organizing our records from permanent to disposal of records. Congratulations to the organizers.”
- “There should be a follow-up seminar after 6 mos. to ensure the application on what we have learned in the training workshop. Thanks for the good job.”
- “It should be a mandatory training to all staff.”
# Proposed Records Retention and Disposition Schedule

**Table 1. Partial Records Retention and Disposition Schedule**

<table>
<thead>
<tr>
<th>No.</th>
<th>RECORD NAME</th>
<th>Retention Period</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td><strong>ADMINISTRATIVE RECORDS</strong></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Action Work Plans (and similar)</td>
<td>3 years after implemented</td>
</tr>
<tr>
<td></td>
<td>Attendance report</td>
<td></td>
</tr>
<tr>
<td></td>
<td>- seminars</td>
<td>1-2 years</td>
</tr>
<tr>
<td></td>
<td>- recollection / retreat</td>
<td></td>
</tr>
<tr>
<td></td>
<td>- outreach attendance</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Audio Recordings</td>
<td></td>
</tr>
<tr>
<td></td>
<td>- Oral history</td>
<td>Permanent</td>
</tr>
<tr>
<td></td>
<td>Calendar of activities</td>
<td>1-3 years</td>
</tr>
<tr>
<td></td>
<td>Certificates</td>
<td></td>
</tr>
<tr>
<td></td>
<td>- Accreditations</td>
<td>Permanent</td>
</tr>
<tr>
<td></td>
<td>- Recognitions</td>
<td>Permanent</td>
</tr>
<tr>
<td></td>
<td>- Incorporation</td>
<td>Permanent</td>
</tr>
<tr>
<td></td>
<td>- Concessionaires Health Charts</td>
<td>10 years</td>
</tr>
<tr>
<td></td>
<td>- Membership Organizations (AUN/ALU)</td>
<td>Permanent</td>
</tr>
<tr>
<td>Proposed Records Retention and Disposition Schedule</td>
<td></td>
<td></td>
</tr>
<tr>
<td>---------------------------------------------------</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Circulars</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Correspondence</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Forms and other information materials</td>
<td></td>
<td></td>
</tr>
<tr>
<td>- Brochures/Leaflets/Pamphlets</td>
<td></td>
<td></td>
</tr>
<tr>
<td>- Admission forms / requirements</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Permanent</strong></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

| **Research Projects**                             |
| Research materials                                |
| - Questionnaires                                  |
| - Photo documentation                             |
| -3 years                                          |
| PERMANENT if IMPLEMENTED                           |

| Research Project Contracts                        |
| Research Proposals                                 |
| - Research Team Contracts                          |
| - Documents required to be part of the research team|
| - Feasibility / Research studies                    |
| - Work modules / workbooks                          |
| 1-3 years                                          |
| PERMANENT if implemented                           |
RECOMMENDATIONS

- A series of sessions on records management should be mapped out each academic year.
RECOMMENDATIONS

- Offices/ Departments should assign and identify a permanent key person/position designated as records officer who will be responsible for records management at their area of responsibility.
RECOMMENDATIONS

- A Technical Working Committee is suggested to be created to enable further review of the proposed scheme of records retention and disposal schedule.
Thank you