

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

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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/>

QUICK
FACTS:
De La Salle
University
Libraries



The Learning Commons



5th >



- Chill at the 5th Preservation Room
- Technical Services (Acquisitions and Cataloging)

6th >



- Acquisitions (Receiving)
- Café@thelibrary
- CyberSpace
- Director's Office
- Exhibit Area
- Information Desk
- Instructional Media Services
- Library Lobby
- Systems Services

Find Your Way Around

11th v



Archives Collection

7th v



- ADB Collection - UNESCO Collection - ILO Collection
- Circulation Collection
- Computer workstations for use of electronic resources
- Discussion Rooms (7A-7F)/Meeting Room (HSH701)
- Individual Viewing Rooms (7G and 7H)
- Indoor/Outdoor Reading Areas and Indoor Gardens
- Maps and Globes
- Photocopying Station
- Reference Collection

10th >



- Filipiniana Collection
- Discussion Rooms (10A - 10H)
- Quiet Room

12th >



- Discussion Rooms (12A - 12H)
- Archives Collection
- Quiet Room
- Computers for e-Theses

13th



- American Studies Resource Center (ASRC)
- Audio Visual Room
- EDC Multipurpose Room
- European Documentation Centre (EDC)
- Ortigas Seminar Room
- Special Collections

7th mezzanine v



Circulation Collection

< 8th



Circulation Collection
Discussion Rooms (8A - 8H)

< 9th



- Indoor/Outdoor Reading Areas and Indoor Gardens
- Discussion Rooms (9A - 9H)

< 8th mezzanine



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

- National Archives of the Philippines Act of 2007.
- Establishment of Archives as a separate unit to plan, formulate and implement a records management and archival administration program.

R.A 10066

- National Cultural Heritage Act of 2009.
- 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.

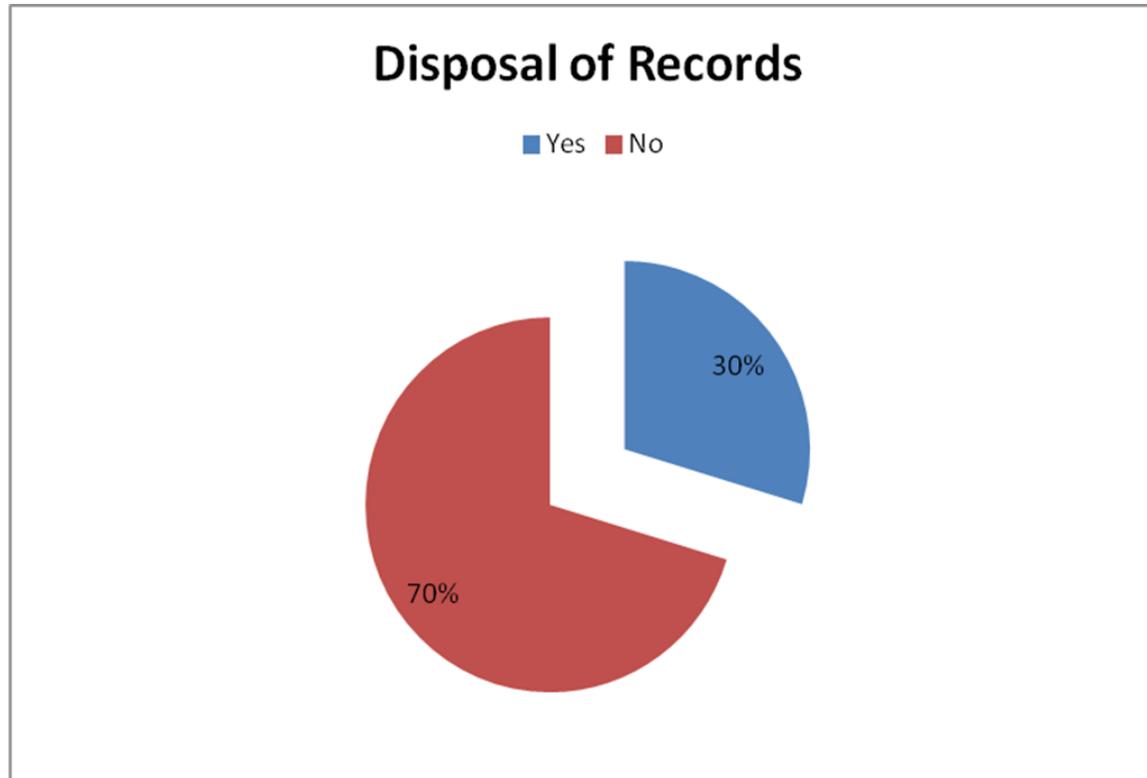
HOW TO DO IT?

- ▶ 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

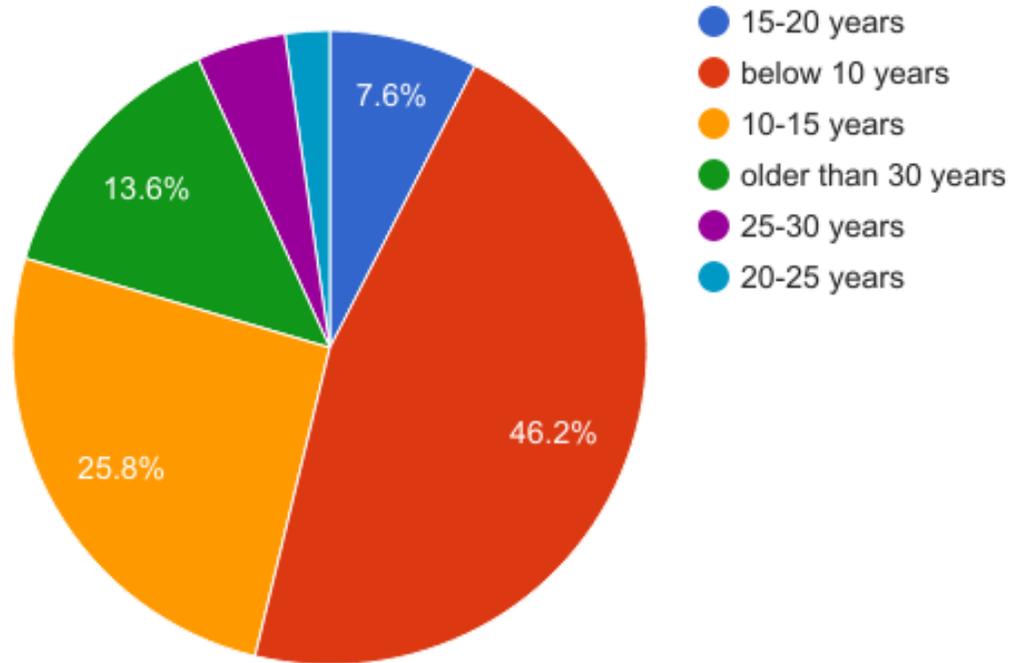
- ▶ In brief, the DLSU Archives has in its holdings:
 - ▶ Documents: over 11,000 (in boxes)/ approx. 5,500 linear feet
 - ▶ Records: over 62,000 (bound in volumes)
 - ▶ Memorabilia, paintings and artifacts: over 400 (objects)
- ▶ Records/materials are transferred to Archives without proper appraisal.

FINDINGS – Records Management Practice



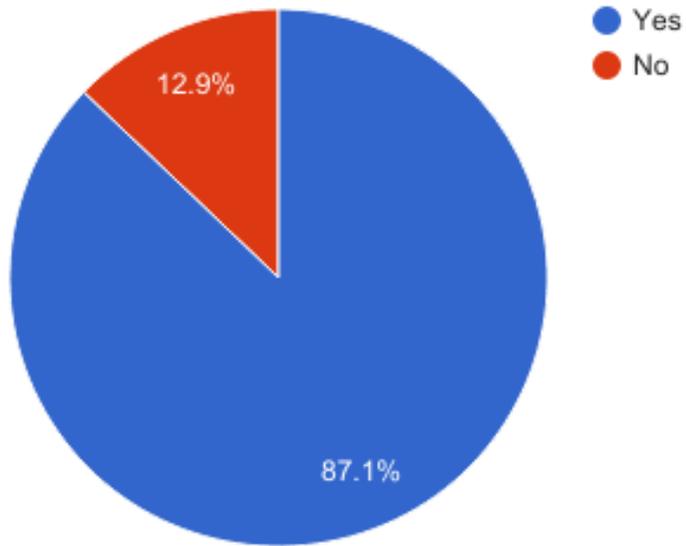
FINDINGS – Records Management Practice

Age of Records

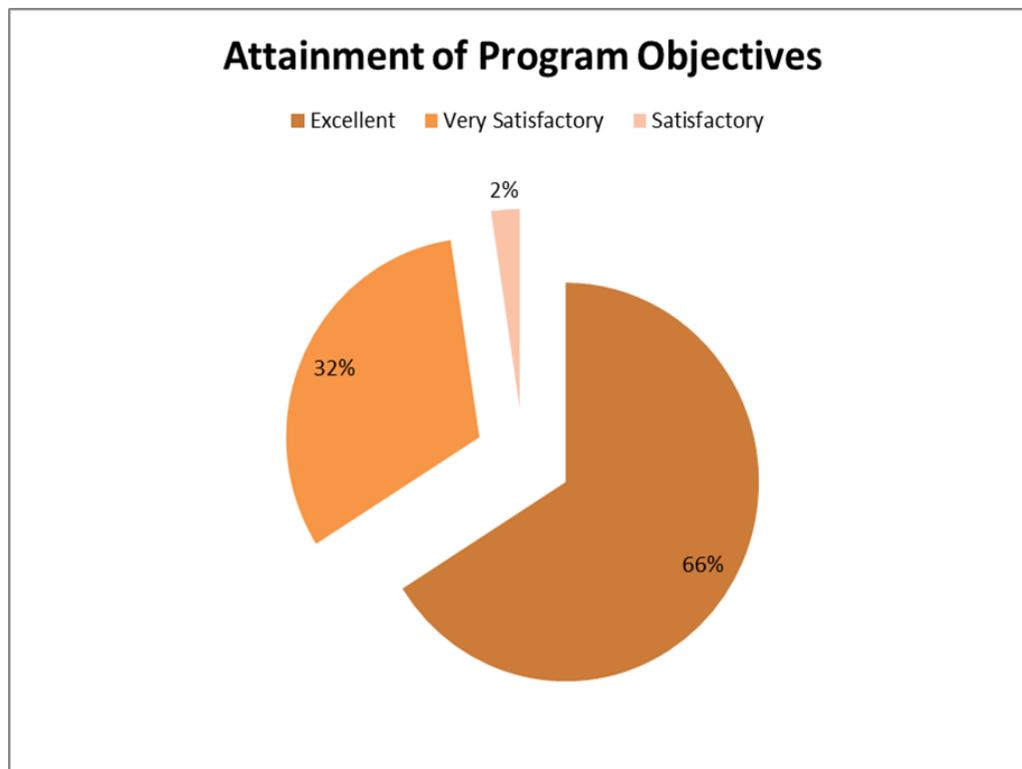


FINDINGS – Records Management Practice

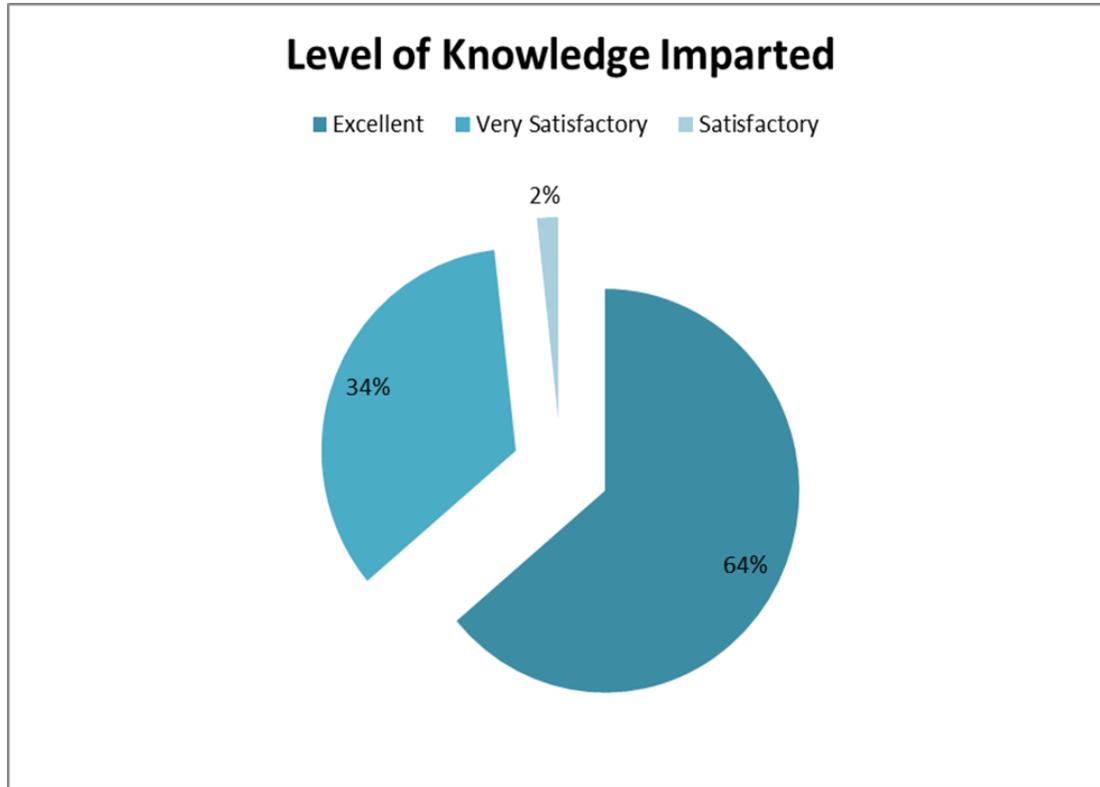
Presence of Record Managers in DLSU Offices



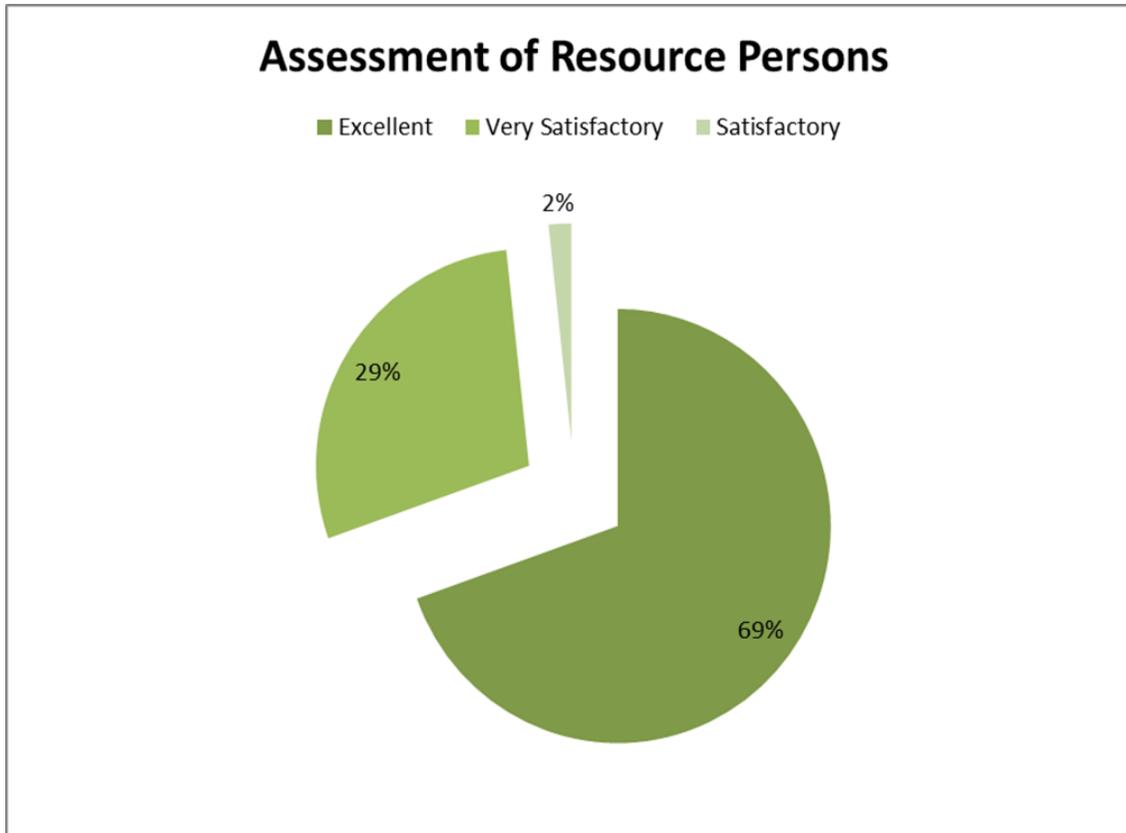
FINDINGS – Records Management Workshop



FINDINGS – Records Management Workshop



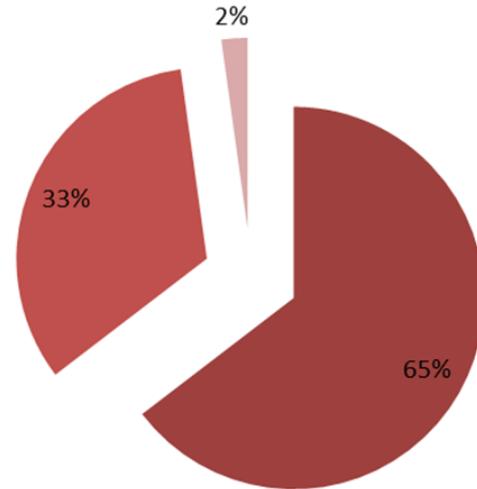
FINDINGS – Records Management Workshop



FINDINGS – Records Management Workshop

Assessment of Program Design and Management

■ Excellent ■ Very Satisfactory ■ Satisfactory



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”



No.	RECORD NAME	Retention Period
	<u>ADMINISTRATIVE RECORDS</u>	
	Action Work Plans (and similar)	3 years after implemented
	Attendance report	
	- seminars	1-2 years
	- recollection / retreat	
	- outreach attendance	
	Audio Recordings	
	- Oral history	Permanent
	Calendar of activities	1-3 years
	Certificates	
	- Accreditations	Permanent
	- Recognitions	Permanent
	- Incorporation	Permanent
	- Concessionaires Health Charts	10 years
	- Membership Organizations (AUN/ALU)	Permanent

Proposed Records Retention and Disposition Schedule

<p>Circulars</p> <p>Correspondence</p> <p>Forms and other information materials</p> <ul style="list-style-type: none"> - Brochures/Leaflets/Pamphlets - Admission forms / requirements 	<p>Permanent</p> <p>Permanent</p> <p>1-3 years</p> <p>1 year</p> <p>6 months</p>
<p><u>RESEARCH PROJECTS</u></p> <p>Research materials</p> <ul style="list-style-type: none"> - Questionnaires - Photo documentation <p>Research Project Contracts</p> <p>Research Proposals</p> <ul style="list-style-type: none"> - Research Team Contracts - Documents required to be part of the research team - Feasibility / Research studies - Work modules / workbooks 	<p>-3 years</p> <p>PERMANENT if IMPLEMENTED</p> <p>Permanent</p> <p>1-3 years</p> <p>PERMANENT if implemented</p>

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