



26 May 2020

MEMORANDUM

Reference No. EBM 20-07

FOR : Deans, Directors, Heads of Units, Faculty, REPS, Staff, Information Officers and Privacy Focal Persons

SUBJECT : **UP DILIMAN RECORDS MANAGEMENT POLICY**

A sound records management practice is an invaluable component in the operations of any administrative office or academic unit. To achieve this, certain guidelines on the process of its creation until its disposal must be established.

To address this need, and pursuant to the UP Diliman Data Protection Officer's mandate to issue policies related to data privacy under Office of the Chancellor Memorandum No. MLT 19-073, the attached Records Management Policy is hereby promulgated.

(Sgd.) Elson Manahan
Data Protection Officer

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Data Privacy Legal Officer

University of the Philippines Diliman
Records Management Policy

The University of the Philippines Diliman recognizes that sound operations, decision making, and fulfillment of its functions is anchored, among others, in the existence of the necessary information. Consequently, the availability of this information depends on a sound records management practice.

Thus, to ensure the proper management and protection of information in units and offices; accountability and transparency in all its activities; and fulfillment of its mandate, this Records Management Policy is hereby adopted.

Chapter I. Preliminary Provisions

Section 1. Scope and Objectives – This Records Management Policy (*hereinafter referred to as “Policy”*) applies to all information and documents processed by the University of the Philippines Diliman academic units and administrative offices and UP Staff.

This Policy is promulgated in order to ensure the proper management, including the protection, of records of information and data in all University of the Philippines Diliman academic units and offices. This includes:

- a. Setting parameters on characterizing the information that is necessary for a unit or office to record;
- b. Providing guidelines in creating a system for the creation, collection, storage, use, retrieval, protection, retention, preservation and maintenance, and proper disposition of records in a unit or office;
- c. Ensuring the accuracy and integrity of these records;
- d. Defining the roles and responsibilities of the UP Staff in the proper records management of their respective unit.

Section 2. Definition of Terms – For the purposes of this Policy, the following definitions shall apply:

- a. **Archival Value** – refers to the value attached to records that remain useful for the three branches of the government; including constitutional offices, and the general public because those records make government accountable to its citizens; provide evidence about public policies and programs; protect or verify individuals’ rights and entitlements; and provide information about the important people, issues, places, and events that make up the story of Philippines’ history¹

¹ National Archives of the Philippines General Circular No. 4 on the Guidelines on the National Inventory of Records, dated November 28, 2012

- b. **Archive/Archives** – refers to (1) Public records, papers, periodicals, books or other items, articles or materials, whether in the form of electronic, audio-visual or print, which by their nature and characteristics have enduring value, that have been selected for permanent preservation; (2) The place (building/room/storage area) where archival materials are kept and preserved; and (3) An organization (or part of an organization) whose main function is to select, collect and preserve archival records and make such records available for public use.²
- c. **Disposal** – refers to the permanent destruction or deletion or physical or electronic documents;
- d. **Disposition Schedule** – refers to a listing of records by a unit showing the following:
 - i. The title or label of the particular record;
 - ii. Storage location;
 - iii. The period to remain in the unit or office;
 - iv. The period to remain in an off-site storage;
 - v. Destruction or manner of disposal; and
 - vi. Staff responsible for the record
- e. **Document** – refers to forms, templates, records, lists, tables, reports, issuances, invoices, receipts or other documents that contain personal information of individuals. Examples are enrollment forms, class lists, request forms, approval forms, vouchers, etc.
- f. **Personal Information** – refers to to any information whether recorded in a material form or not, from which the identity of an individual is apparent or can be reasonably and directly ascertained, or when put together with other information would directly and certainly identify an individual.³
- g. **Public Records** – refers to records or classes of records, in any form, in whole or in part, created, received, or have been retained by the University of the Philippines Diliman in the conduct of its affairs as evidence or because of the information contained therein.⁴
- h. **Records** – refers to information that are maintained by a unit or office, whether in its original form or not, including documents containing personal information as referred to in paragraph (e) of this section or otherwise,

² Section 4(c), Article I, AN ACT TO STRENGTHEN THE SYSTEM OF MANAGEMENT AND ADMINISTRATION OF ARCHIVAL RECORDS, ESTABLISHING FOR THE PURPOSE THE NATIONAL ARCHIVES OF THE PHILIPPINES, AND FOR OTHER PURPOSES or Republic Act No. 9470 (herein after referred to as R.A. No. 9470)

³ Sec. 3(g), AN ACT PROTECTING INDIVIDUAL PERSONAL INFORMATION IN INFORMATION AND COMMUNICATIONS SYSTEMS IN THE GOVERNMENT AND THE PRIVATE SECTOR, CREATING FOR THIS PURPOSE A NATIONAL PRIVACY COMMISSION, AND FOR OTHER PURPOSES or Republic Act No. 10173 (hereinafter referred to as the Data Privacy Act of 2012 or DPA of 2012).

⁴ Sec. 4 (w), R.A. No. 9470

signatures, seals, texts, images, sounds, speeches, or data compiled, recorded, or stored, as the case may be:

- i. In written form on any material;
 - ii. On film, negative, tape or other medium allowing its reproduction; or
 - iii. By means of any recording device or process, computer or other electronic device or process⁵
- i. **Records Disposition Schedule** – refers to the scheme used to determine the records of a unit or office that must to be retained, including the period of retention and storage location; and disposed, including the manner of disposition.
 - j. **Records Management System** – refers to the system that involves the capture and management, including the access, of records.
 - k. **Records Management** – refers to the the managerial activities involved with respect to records creation, records maintenance and use, transmission, retention and records disposition in order to achieve adequate and proper documentation of the policies and transactions of the government.⁶
 - l. **Records Lifecycle** – refers to the phases that a particular record passes through;
 - m. **Staff** – refers to University of the Philippines Diliman staff, including Research, Extension, and Professional Staff (REPS) UP contractual personnel, Non-UP contractual personnel, and retirees as well as UP Diliman Faculty, including visiting faculty;
 - n. **Units and Offices** – refers to University of the Philippines Diliman academic units and administrative offices;
 - o. **University of the Philippines Diliman (UP Diliman/University)** – refers to the University of the Philippines Diliman, an autonomous constituent university of the University of the Philippines System.

Chapter II. Records Management System

Section 3. Records Management System – Every unit or office is mandated to create a Record Management System. The System must be consistent with this Policy and other pertinent issuances by the UP Diliman Administration such as but not limited to, the Data Classification Policy⁷, UP Diliman Privacy Manual⁸.

⁵ Sec. 4(x), R.A. No. 9470

⁶ Sec. 4 (z), R. A. No. 9470

⁷ UP Diliman Data Classification Policy, Data Protection Team Memorandum Reference No. EBM 19-03, dated 2 January 2020

⁸ UP Diliman Data Privacy Manual, Data Protection Team Memorandum Reference No. EBM 19-02, dated 11 November 2019

Provided: That, the established Records Management System created by the unit or office must also be consistent with the following: National Archives of the Philippines Act of 2007 and the pertinent issuance of the National Archives of the Philippines and the Data Privacy Act of 2012 and pertinent issuances of the National Privacy Commission.

Section 4. Record Values Classification – It is incumbent upon every UP Diliman unit and office, as an instrumentality of the government, to keep all its public records. To achieve this, every unit and office is responsible for the adequate documentation of the conduct of its affairs, including the services and programs they are responsible for.⁹

Records have primary and secondary values. The primary value of a record is its operational value, meaning, these are records of the administrative, fiscal, and legal operations, or those that pertain to the fulfillment of the mandate of an office or unit.

The secondary value of a record, on the other hand, is its organizational value. This pertains to the value possessed by a record, by virtue of its contents, other than for the purpose for which it was created.¹⁰ Historical, research or informational, symbolic, and evidential values are examples of secondary or organizational values.

Section 5. Records Lifecycle – The lifecycle of a record has five (5) stages, each stage is composed of distinct events, *viz:*

- i. *Creation* – refers to the stage wherein the records are created and collected, captured, and classified, coded, and indexed.
- ii. *Storage and transmission* – refers to the stage wherein the records are stored or transferred to the proper storage devices and/or locations;
- iii. *Use and distribution* – refers to the stage wherein records are utilized by its users;
- iv. *Retention* – refers to the stage wherein records are, after undergoing inventory and appraisal, retained by an office or unit;
- v. *Disposal and destruction* – refers to the stage wherein records are, after undergoing inventory and appraisal, are disposed or destroyed by an office or unit.

A records life cycle has an active and inactive phase. The former refers to when the records are created and used or accessed frequently by a unit in relation to its functions. The latter on the other hand refers to the records are no longer regularly or often required by the unit or office in relation to its functions.

⁹ Art. 35, Rule 22, Republic Act No. 9470 Implementing Rules and Regulations

¹⁰ International records Management Trust, Glossary of Terms, http://www.irmt.org/documents/educ_training/term%20modules/IRMT%20TERM%20Glossary%20of%20Terms.pdf

Chapter III. Records Management Process: Creation and Capture, Classification and Storage

Section 6. *Records Creation and Capture.* – Records creation and capture is the first step in the Records Management Process wherein a record is made, received, or collected and thereafter captured in a records management system.¹¹

In evaluating whether there is a need to create and capture a record, the unit or office must determine and evaluate its operational and organizational value.

In identifying these values, units and offices are to refer to their respective mandates and the University of the Philippines' mandate as the national university.¹² The cost of the creation and capture and its maintenance must also be considered.

After the creation and capture of a record, a brief description of the same should be recorded in the records management system.

Records capture is an action or series of actions that results in the storage of a record in a record management system.¹³

Section 7. *Records Classification, Coding, and Indexing* – Classification refers to both the physical and intellectual arrangement of a unit or office's records in accordance with a particular scheme. Reference to the UP Diliman Data Classification Policy¹⁴ may be made to aid the unit or office in classifying their records.

Coding, refers to the assignment of identifiers or distinctive labels reflecting the classification of a particular record.

Indexing, facilitates the access to a record through the assignment of identifiers to describe it.

Section 8. *Storage and Handling* – It is incumbent upon the unit or office to provide a proper storage device and/or location for their records.

Provided: That, the storage devices and/or locations cannot be accessed by unauthorized staff in order to protect the records and data contained therein.

Provided, further: That, the storage conditions and handling methods employed by the unit or office will not impair the access of authorized persons to the records.

Chapter IV. Records Management Process: Inventory, Appraisal, and Disposal

Section 9. *Inventory* – Records inventory is the listing of all the records created, received, and maintained by a unit or office, its location, usage, and other pertinent information.

¹¹ Ibid.

¹² Under Republic Act No. 9500

¹³ See Note 12.

¹⁴ See Note 10

An inventory is preparatory step to crafting a Records Disposition Schedule. Through this process, the unit or office will be able to identify the records that may be disposed, and those that may still be kept in storage, whether onsite or off-site.

Units and offices, pursuant to the mandate of the National Archives of the Philippines, are enjoined to regularly conduct an inventory of their records.¹⁵

Section 10. Appraisal – Appraisal is the process of examining a record held by a unit or office in order to determine its value for future use, for whatever purpose, and the period the said value will remain.¹⁶ Units and offices are mandated to conduct a regular appraisal of their records.

Section 11. Disposition – Disposition collectively refers to the retention, disposal or destruction, or transfer of records pursuant to a Records Disposition Schedule.

Section 12. Disposal – The disposal or permanent deletion of records may be done through shredding, burning, pulping, or any other means to ensure that it is impossible to reconstruct the information contained therein.

Section 13. Records Disposition Schedule – A Records Disposition Schedule is scheme used by a unit or office to determine its records that must to be retained, including the period of retention and storage location; and disposal, including the manner of destruction.

UP Diliman units and offices must ensure that no data contained in the records will be exposed or subject to unauthorized access or use when the same are disposed.

Section 14. Documentation – Units and offices may pattern their respective inventory sheets and appraisal forms provided by the National Archives of the Philippines

Chapter V. Maintenance and Use of Records

Section 15. Maintenance – It is incumbent upon every unit or office to ensure that the records they hold be kept safe from destruction and unauthorized access and use, loss, theft, or destruction. To this end, the access to the records must be concretely defined, based on their classification under the UP Diliman Data Classification Policy.¹⁷

Section 16. Records Access and Usage – While units and offices are responsible to ensure that the records are kept safe from unauthorized access and use, loss, theft, or destruction, the same must not likewise hamper the accessibility of the same.

It bears stressing that only authorized staff may have access to the records. *Provided, however:* That any requested information contained in the records must be subject to the Data Privacy rules and regulations adhered to by the University.

¹⁵ See Note 1

¹⁶ See Note 13

¹⁷ See Note 10

Units and offices are to maintain a tracking system in order to monitor the movement of their respective records. In addition thereto, access logs must be provided in order to keep track as to who had accessed their respective record storages and the purpose thereof.

Chapter VI. Records Retention

Section 17. *Records Retention* – Records retention involves the preservation and maintenance of records for the continuous use of a unit or office. Records may be retained in the office or unit managing the same, or in a separate repository.¹⁸

Records may be retained by an office or unit either temporarily or permanently. Temporary retention of a record means that the unit or office shall keep it for a limited or particular period only, thereafter, it will be disposed in accordance with this policy and the National Archives of the Philippines General Circular No. 3 on the Guidelines on the Establishment and Use of the General Records Disposition.

The permanent retention of a record on the other hand, means that the record shall be preserved in perpetuity.

Active records or current records are those that are regularly used by a unit or office in the performance of its duties and responsibilities. Non-current records on the other hand, are those that are no longer regularly used by the unit or office in its operations. The latter kind, however, are or may still be used for research or possesses archival value.¹⁹

Valueless records are those that have reached the given retention period and has already reached the end of its value to UP Diliman or the government as a whole.²⁰

The fact of whether a record will be retained temporarily or in perpetuity must be indicated in the Records Disposition Schedule.

Chapter VII. University of the Philippines Diliman and Compliance with Republic Act No. 9470

Section 18. *UP Diliman Central Records Office* – The UP Diliman Central Records Office shall be established for the following purposes:

- a. Plan, formulate and implement a records management and archival program for the creation, utilization, maintenance, retention, storage, preservation, conservation and disposal of public records including the adoption of security measures and vital records protection program for the University;²¹

¹⁸ See Note 13

¹⁹ Sec. 20(a)(2), Article III, R.A. No. 9470

²⁰ National Archives of the Philippines General Circular No. 1 on the Rules and Regulations Governing the Management of Public Records and Archives Administration, dated January 20, 2009.

²¹ As mandated by Sec. 13, Article III, R. A. No. 9470

- b. Serve as a liaison with the National Archives of the Philippines;²²
- c. Develop, in coordination with the National Archives of the Philippines, and oversee the University's Records Management Program.

A records management program aims to direct provide for the methods for the creation, utilization, maintenance, retention, preservation, and disposal of the University's records;²³

- d. Develop a Records Disposition Program that will be applied to all UP Diliman units and offices. The University's Records Disposition Program shall be subject to the approval of the National Archives of the Philippines;²⁴
- e. Designate and manage the University's Records Center, which shall serve as the repository for all of the University units' or offices' non-current records before their transfer to the National Archives;
- f. Establish a Records Management Improvement Committee for the constant improvement of the University's records management practices;
- g. Ensure the University's compliance with the laws and issuances of the National Archives of the Philippines and other pertinent rules and regulations issued by the competent authority on records management; and
- h. Other related functions.

The University of the Philippines Diliman Central Records Office shall be headed by a Records Officer or an Archivist, subject to the applicable policies and guidelines provided by the Civil Service Commission.

Section 19. Records Officer – Every unit and office shall appoint one of their regular staff as a Records Officer. In the absence of an appointment, the Privacy Focal Person of the unit or office shall be the default Records Officer.

The appointed records officer shall have the following duties and responsibilities, *to wit*:

- a. File and classify their respective unit or office's records. In the classification of the records, the Records Officer shall work with the unit or office's respective Privacy Focal Person in order to ensure that the classification of the records are in line with the UP Diliman Data Classification Policy;
- b. Classify and appraise the records for inventory and disposition;

²² Art. 33, Rule 21, Republic Act No. 9470 Implementing Rules and Regulations

²³ Sec. 84, Rule 51, Republic Act No. 9470 Implementing Rules and Regulations

²⁴ Sec. 16, Art. III, R.A. No. 9470

- c. Ensure the preservation of the records held by their respective office or unit. To this end, the Record Officer shall coordinate with the University Archives to ensure that proper preservation methods are employed;
- d. Coordinate with the UP Diliman Central Records Office with respect to the implementation of the University's Records Management Program in their respective units or offices;
- e. Maintain confidentiality with dealing with the unit, office, or University's records and
- f. Perform other related functions.