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Archives in an Academic Library: The Case of a Private University in the Philippines

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ABSTRACT

Records in the university archives are important sources of information for researchers and other stakeholders because these are created to preserve and conserve the institutional memory and the local cultural heritage. The study used the qualitative method of research to determine the status of the University Archives of Saint Mary's University (Philippines) in terms of: 1) scope, interpretation, and objectives; 2) functions of the University Archives; 3) structure and staffing pattern; 4) management of archival records; 5) transparency of transactions and access to information; (6) standards, inspection, reporting, and audit; 7) administration of University Archives; 8) miscellaneous provisions; 9) permanent buildings and; 10) amendments to implementing rules and regulations. A researcher-rated checklist was devised based on the Republic Act (RA) 9470 and was put into the context of a university archives. Moreover, document scanning was used to provide proof or pieces of evidence on the real status of the archives in the university library. Findings revealed that the University Archives showed compliance to most of the provisions of RA 9470 except for a few that needed stronger emphasis on the importance of compliance to standards. Archives continue to play its role in the academic and research community and that the archivists and librarian in-charge must innovate ways to be more relevant in the millennium age and even in a pandemic crisis like Covid-19.

Keywords: Archives in academic libraries, Archiving, Information storage and retrieval, Records management, Standards in archiving, University Archives.

Introduction

Archives is a repository of an institutional memory that contains important information about the parent organization and its various activities and developments. It is usually part of a larger organization such as a university, government, corporation, or another cultural heritage organization such as a library or museum (Tansey, 2016). Its primary role is to identify, acquire, and maintain records of enduring value. Also, it documents the process of institutional evolution by retaining both the evidence which shapes decisions and the decisions themselves (Society of American Archivists [SAA], 1999). University Archives (UA) then is considered an essential part of an academic institution. It exists within a library and is managed by an archivist or a librarian (Sampathkumar, 2015), and plays the role of a repository for the history and records of the historical significance of an institution (Sommer, 2014). The mission of the UA is to manage records of administrative, legal, financial, and historical value, and make them accessible to the users (Brown & Yakel, 1996). Unfortunately, these were simply taken for granted or ignored by some higher educational institutions in the Philippines.

Most university archives house official records and original manuscripts of the university. Even without having a broad collecting mandate, academic archivists find these as their primary duties, including the taking care of museum artifacts, rare books, and other special collections. These mandate them to perform the tasks in acquisition, appraisal, arrangement and description, and preservation, thus there is a need to have guides in organizing archives (Duranti & Franks, 2015).

In the Philippines, Republic Act (RA) No.9470, also known as the “National Archives of the Philippines (NAP) Act of 2007”, is an act to strengthen the system of management and administration of archival records, established for the NAP and for other purposes. Article 1, Section 2 mandates that:

The State shall give utmost priority for the safeguard, protection, and preservation of its public documents and records not only as fundamental instruments for efficient and effective governance but also as an essential tool for the preservation of the country's history and cultural memory.

Different organizations, public or private, should then give importance to records with essential value to the organization. As to the University Learning Resource Center (ULRC) of Saint Mary's University (SMU), it envisions to provide excellent and innovative services to nourish the quest for learning, the pursuit of intellectual growth, the concern for cultural heritage, and the need for information of its faculty and staff, students, and other customers. This statement explains the objective and role of the UA to preserve important records and cultural heritage resources of the university and to its parent organization, the Congregatio Immaculati Cordis Mariae (CICM). The ULRC Manual (2019) stipulated its intention to preserve and conserve documents and objects with informational, historical, research, and cultural value. However, the mechanisms on how to organize them are still on the verge because since its establishment there are no existing written policies and procedures.

RA 9470 applies to the NAP, the standards set can be used and customized by a private institution like university archives. Thus, the provisions of RA 9470 became the foundation of this study. It aimed to determine the status of SMU archival practices vis-a-vis the standards of RA 9470 in terms: a) scope, interpretation, and objectives; b) functions of the University Archives; c) structure and staffing pattern; d) management of archival records; e) transparency of transactions and access to information; f) standards, inspection, reporting, and audit; g) administration of University Archives; h) miscellaneous provisions; i) permanent buildings; and j) amendments to implementing rules and regulations; and to propose an action plan to improve the UA of SMU LRC.

Research Methodology

The study used the qualitative method of research to determine the status of the UA in terms of the ten (10) domains. A researcher-rated checklist was made based on the RA 9470 standards on archives and was put into the context of the archives of SMU. It was subjected to the examination of four (4) panel of experts in librarianship, and research in December 2019. The primary documentary evidences used were the annual reports, newsletters, handbooks, and manuals of the ULRC; and the circulars, memos, and manual of SMU. Document scanning and photo-documentations were also used to provide proof of evidences on the status of the SMU Archives. The interview was used to cross-check the data culled from documents.

Results and Discussions

1. The Status of the University Archives

1.1. The Scope, Interpretation, and Objectives. Records in archives are important resources for individuals, organizations, and the wider community because these are created in the course of the functions and activities of organizations. These records provide evidence of and information about the actions of their creators and the environment in which those actions occurred. They are also kept for medium-term and long-term management (Forde & Lewis, 2013). The term records and archives are interchanged but actually, records are applied to the output of individuals and organizations' current operational processes and activities while archives are usually reserved for those records that are also available for use for additional purposes, including historical and other research (Brown, 2014).

The scope of the collection refers to the extent of the records or documents acquired as part of the UA. The basis of the scope of the collection is the RA 9470 Section 3, which states that:

This Act shall cover all public records with archival value, held by either government offices or private collections, and shall also cover archival and records management programs and activities in all branches of government, whether national or local, constitutional offices, GOCCs, government financial institutions, state universities and colleges, Philippine embassies, consulates, and other Philippine offices abroad.

Archival collections may include minutes of meetings, correspondences, announcements, university publications, reports, building plans, photographs, posters, drama productions, videos, audiotapes, personal papers, artifacts, theses and dissertations, and other materials that assist in providing documentation of the University's fulfillment of its teaching, research, and public service (Kenney, 2010).

Table 1. The Status of the University Archives on Scope, Interpretation, and Objectives

Items on Scope, Interpretation, and Objectives	Complied	Not Complied
1. The UA pursues, conserves, and promotes the Filipino cultural heritage and resources including the documentary records of Filipino culture, history, and governance.	✓	
2. The UA gives utmost priority to safeguard, protect, and preserve the university documents and records.	✓	
3. The UA covers all university and CICM records with information, research, or archival value.	✓	
4. The UA strengthens the existing system management of university records.	✓	
5. The UA defines the role of ULRC director and staff in-charge of developing university recordkeeping.	✓	

The UA of SMU is an essential part of the academic institution and its primary mission is to identify, acquire, and maintain records of enduring value showcasing the development of the institution. Thus, an institution like SMU must determine the range of its collection in line with its vision, mission, goals, and objectives. The provisions on how the SMU Archives contribute to promoting and safeguarding the Filipino cultural heritage, documentary records of Filipino culture, history, and governance are embedded in the vision of the University Learning Resources Center (ULRC):

Vision of the ULRC

Saint Mary’s University Learning Resource Center (SMU LRC) envisions providing excellent and innovative services to support the quest for learning, study, and research,

the preservation of cultural heritage resources, and preservation of institutional memory of the university.

The said provision stating that the UA should cover all the university and CICM records is explicitly mentioned in the mission, goals, and objectives of the ULRC:

Mission of the ULRC

Saint Mary's University Learning Resource Center is dedicated to:

1. provide the students, faculty, and staff with educational, cultural, and spiritual resources for local and global relevance and responsiveness,
2. offer excellent services to explore and pursue relevant, innovative, and breakthrough ideas through research and development with the use of learning resources that support and advance the various academic programs of the university; and
3. enhance the skills of the students, faculty, and personnel to become excellent and innovative Christian information users.

Goals of the ULRC

The main goal of the University Learning Resource Center (ULRC) is to provide learning resources that support and advance the various academic programs, the research and instructional needs of the faculty, the reading, information, and learning needs of the students and other clients. Consequently, the ULRC shall preserve the necessary records and cultural heritage resources of the university and its founding congregation.

Objectives of the ULRC

To attain its main goal, the ULRC has the following objectives:

1. to select and acquire books, periodicals, and other learning resources that serve as tools of instruction, research, and learning in the different subject areas covered by the various academic programs of the university.
2. to organize and preserve these learning resources to enhance information storage and retrieval.
3. to assist the readers in using these learning resources through circulation, reference, and information technology services;
4. to enhance the habit of reading and the independent, skillful, and intelligent use of the ULRC by the users.
5. to disseminate information which are relevant to the various course programs of the university.
6. to forge ULRC linkages or partnerships for development and cooperation on the common interest in ULRC matters.
7. to preserve relevant records and cultural heritage resources of the university and the CICM congregation.

The actual scope of the collection of SMU Archives ranges from: (1) university records such as handbooks, manuals, etc.; 2) SMU publications such as books, journals, etc.; 3)

photographs such as university activities, buildings, etc.; 4) realia such as certificates, trophies, etc.; 5) memorabilia such as souvenir items and invitations; to 6) rare books. Based on existing documents, the UA complied in terms of the standard provided by RA 9470 concerning the scope of the collection. Besides, managing records and archives is crucial for efficient and effective management of all organizations (Crockett, 2015). Therefore, strengthening the management systems of records is important. To date, the existing system of management of university records in SMU is based on the International Council of Archives ([ICA], 2016) standards on group, series, and item. The compliance to strengthen the system management program of the UA is illustrated in the records registry like the accession record.

The archival collections should be managed by professionals because archival management is not a set of functions that can be easily passed on to others (Tansey, 2016). For this reason, the archival records are housed in an organization and are taken care of by professional archivists. In SMU, the UA has an appointed librarian who performs the work of an archivist and with the supervision of the Library Director. This suggests that the provision on the role of Library Director and staff in-charge was complied with by the UA. The role of the Director is explicitly indicated in the Administrative and Employment Manual for Academic Personnel (2015, p.50):

2. Functions and Responsibilities

- a. Is responsible to the Vice President for Academic Affairs for the general management, administration, and supervision of all Saint Mary's University libraries;
- b. Formulates, revises, and administers general library policies, rules, and regulations;
- c. Supervises the organization of all learning resources, the efficient and effective use of the library resources, facilities, and services, and the maintenance of local databases for speedy access, retrieval, or delivery of information in coordination with the Director of the CICT;
- d. Plans for new library facilities and development of existing facilities;
- e. Spearheads the development of the library collections in coordination with the Deans and recommends the purchases of library materials to the Vice President for Academic Affairs;

1.2. The Functions of the University Archives. Archives contributes to the management of the institutional information resources in various formats (SAA, 1999). Its organization and management entail the description and arrangement of the archival materials to be able to locate it when you need it (Maidabino, 2010).

Table 2. The Status of the Functions of University Archives

Items on the Functions of University Archives	Complied	Not Complied
1. The UA is established to store, preserve, conserve, and make available university archival collections.	✓	
2. The UA is primarily responsible for the implementation of its objectives.	✓	
3. The UA plans, develops, prescribes, disseminates, and enforces policies, rules, and general protection, use, storage, and disposition of university records.		✓
4. The UA facilitates the acquisition of a permanent room or building to house the archival collections.	✓	
5. The UA plans, formulates, and implements a records management and archival administration plan.		✓
6. The UA acquires records through transfer, donation, or any other means which, in the judgment of the ULRC director and staff in-charge, have enduring archival value.	✓	
7. The UA keeps a registry of all university records.	✓	
8. The UA accepts, stores, preserves, and conserves any university archival collections.	✓	
9. The UA identifies and makes copies of vital records that are essential to the continuous operation or reconstruction of an organization or offices during and after an emergency and also those records essential to the protection of rights and interests of the organization or offices.		✓

1.2.1. Selection of Archival Collection. Selection is a function performed by archival institutions designed to choose certain records or documents from the creator and placed in an archival repository for safekeeping (Duranti & Franks, 2015). In SMU, the UA appraises and identifies records and documents with an archival value which is part of its selection process. With this, the provisions on the functions and responsibilities of the staff in-charge in the selection of collection were complied with. The function is clearly defined in the ULRC Manual (2019) under the functions and responsibilities of the Technical Services Librarian:

**Special Assignment. Librarian In-Charge of the University Archives
Duties and Responsibilities:**

1. He is responsible to the Director for the supervision and organization of the section/s assigned to him;
2. He assists the Director in the collection development and supervision of cultural and archival records of the university, the CICM Mission, and local history.

1.2.2. Acquisition of Archival Collections. In the context of university archives, acquisition involves the formal transfer of ownership of archival material through donation or purchase from the creator. In SMU Archives, the provisions related to the acquisition of the UA collection were complied with. Although the acquisition process is not specifically mentioned in the functions and responsibilities of the staff in-charge, but it can be assumed that these are embraced in the functions and responsibilities of the Technical Services Librarian (ULRC Manual, 2019):

Special Assignment. Librarian In-Charge of the University Archives

Duties and Responsibilities:

1. He is responsible to the Director for the supervision and organization of the section/s assigned to him;
2. He assists the Director in the collection development and supervision of cultural and archival records of the university, the CICM Mission, and local history.

1.2.3. Archives Policies, Procedures, and Plans. The best archival function is to set programs that will ensure the identification, preservation, and accessibility of archives for years to come (Chute, 2000). These plans address an institution's framework that defines the methods used to reach their goals. The process of creating and implementing a policy is far more important and beneficial to the organization than the actual policy itself (Duranti & Franks, 2015). The policy is a broad understanding of ethics and procedures which influences how the organization operates. Furthermore, policies related to archival tasks such as acquisition, preservation, reference, and access define the institution's overall scope and responsibilities (Millar, 2010). Thus, crafting policies, procedures, and plans are essential for any organization or institution.

As shown in the ULRC Manual (2019), it is clear that the UA was established to house records and documents with archival interest as specified in its vision, mission, goals, and objectives. However, the management of the archives is still vague because of the absence of a written policy on the management of records. This indicates that the provisions on policies, plans, and programs for the UA collection management were not complied with. However, the provision that the UA is largely responsible for achieving its goals was complied with because the role of the archives in the university is clearly stated in the manual.

1.2.4. Physical Facilities. Archival facilities house collections with information, research, and archival value. These provide a proper environment for the preservation and organization of the materials acquired. Also, it is a place for the clients to safely access the collection. Morris (2009) emphasized that having a permanent secured archival storage will lessen the possibility of misfiling records or losing access to valuable information. These materials are irreplaceable because of their unique characteristics compared to the library collections. Therefore, these materials should be kept in a secured or separate facility. Thus, providing a secured room for the collection is a must for an archival institution like SMU Archives to protect and secure these valuable collections.

The ULRC Manual (2019) describes the buildings and sections occupied by the ULRC as rooms for the collection. One of these sections is the UA occupying one of the rooms on the 2nd floor of the Rev. Fr. John Van Bauwel Building. This is a section intended for the safekeeping of archival and cultural documents of the University and the CICM mission. Thus, the UA complied with the provision of a permanent room or building to house the archival collections.

1.3. The Structure and Staffing Pattern. Staffing is one of the management functions mainly concerned with proper arrangement and management of human resources in an

institution like a university. It is the responsibility of the top manager to directly deal with and select people to work for the organization. He is responsible for choosing the person for the right job, introducing new employees, train employees, develop their abilities, maintain morals, and protect their health and physical conditions (Kashyap, 2016).

Table 3. The Status of University Archives on Structure and Staffing Pattern

Items on Structure and Staffing Pattern	Complied	Not Complied
1. The UA is manned by a librarian appointed by the ULRC director.	✓	
2. The UA in charge establishes policies, standards, and guidelines related to university records management and archives administration plans.		✓
3. The UA in charge examines, identifies, and determines records of the university with permanent or enduring historical value.	✓	
4. The UA in charge directs and determines the mode of disposing of or destroying or authorizing the disposal or destruction of university records.		✓
5. The UA in charge takes suitable measures in preserving and conserving university archival collections.	✓	
6. The UA in charge acquires records with enduring archival value through transfer, donation, or any other means.	✓	
7. The UA in charge determines and establishes measures on access and usage of UA collections.	✓	
8. The UA in charge provides maintenance, security, and reports to the ULRC director.	✓	
9. The UA in charge establishes linkages with local and foreign organizations engaged in public records management and archives management administration.		✓
10. The UA in charge reviews or causes the review and re-assessment of any classified records which are in his/her custody.	✓	

1.3.1. Administration and Organizational Structure. An organizational structure is important for identifying employee roles and responsibilities in any type of organization as well as for creating communication channels between employees and the management. These roles are graphically illustrated by an organizational chart. Thus, institutions like universities should be guided by their organizational structure to avoid chaos in the duties and responsibilities in the organization. The provision on the status of the staff in charge of the UA was complied with. This structure is graphically illustrated in the organizational chart. On the other hand, organizational structure states that:

The University Learning Resource Center System is administered and supervised by full-time, qualified, and licensed librarians. The Director of the University Learning Resource Center is the overall head of the Center. He exercises general supervision of the learning resource centers, prepares and submits the annual operating and capital expenditures budget to the Vice-President for Finance, recommends book orders, makes or changes library policies, and prepares library development plans. He is directly in-charge of the internal administration and organization of the library system. He, therefore, exercises functions in planning, organizing, staffing, directing, coordinating, budgeting, and reporting. The Director of the University Learning Resource Center is appointed by the President of the University after consultation with the Administrative Board. He is directly responsible to the Vice-President for Academic Affairs for the general management, administration, and supervision of the Saint Mary's University Learning Resource Center System.

1.3.2. The Functions of Archives Personnel. An individual who carries the work of archivists should possess responsibility for the care and control of the materials. An archivist is employed to manage an archive defined by the institution to collect, access, preserve, conserve, and restore records of the institution. He is also responsible to make those records accessible to users following appropriate policies and procedures set by the aforementioned institution. Hence, a person who serves as the steward over the records should be ideally a professional and trained in records management, archival science, and preservation to maintain the authenticity of records. This indicates that the provisions on the general functions of the staff in-charge in the University were complied with. The appointed staff is a professional librarian who attended training on how to manage the archives with duties and responsibilities (ULRC Manual, 2019):

Special Assignment. Librarian In-Charge of the University Archives

Duties and Responsibilities:

1. He is responsible to the Director for the supervision and organization of the section/s assigned to him;
2. He assists the Director in the collection development and supervision of cultural and archival records of the university, the CICM Mission, and local history.
3. He directly supervises the services and the organization and development of the sections assigned to him.
4. He is responsible for the supervision of the Library Working Students (LWS) in his section.
5. He prepares, implements, and evaluates the action plan and collection development plan of the sections assigned to him.

6. He plans, implements and monitors/supervises the readers' services in his section in coordination, guidance, and assistance of the Readers' Services Librarian.
7. He assists and coordinates with the Reference Librarian in the conduct of ULRC orientation and related activities.
8. He assists and coordinates with the Readers' Services Librarian in the readers' services programs of the ULRC (e.g. instruction-related services and research-support services of the ULRC for the faculty and students).
9. He assists in the maintenance of the ULRC web page; contributes articles, etc. in the ULRC news bulletin;
10. He answers reference questions and inquiries from students and faculty and provides individual reading guidance.
11. He plans the publicity program and public relations activities of the ULRC including the planning of displays and exhibits, making community contacts, composing and editing miscellaneous printed publicity as well as displays within his section and/or the ULRC.
12. He assists students and researchers in conducting literature searches in the ULRC in connection with their research.
13. He conducts researches on SMU LRC.
14. He prepares statistics, monthly accomplishments, and annual reports in his section.
15. He is primarily responsible for the weeding and annual inventory of the sections under him.
16. He supervises the physical make-up and the security of his section.

According to Morris (2009), most professional archivists practicing today have Master's degrees in library and information science, with additional specialized training and courses completed in archives work. Also, they received training and degrees in both history and library science, and these individuals draw frequently upon their knowledge of both fields to do archival work. Hence, administrators assign librarians to manage the archives, assuming that they can perform the work of an archivist for the reason that they can save money.

On the other hand, the provision stating the responsibility of the UA in-charge in the establishment of policies, standards, and guidelines on records management was not complied with because of the absence of policy, procedures, and guidelines in managing records.

1.3.3. Records Disposition. The National Archives of the Philippines defines records disposition as *"the systematic transfer of non-current records from office to the storage area, identification, and preservation of archival records and the destruction of valueless records"*. In

addition, the United States National Archives and Records Administration (2019) defined records disposition as a systematic concept that involves destruction and other steps, such as the transfer of permanent records to the Archives. SMU Archives has no evidence that record disposal is included in its operations. This shows noncompliance with the provision on the proper disposal and destruction of the non-essential records.

1.3.4. Linkages. According to Nanthagopan (2010), linkages focus on partnership with other organizations and it is an important part of management to strengthen its organization because they work together to attain common objectives. The SMU Archives shows noncompliance with the provision on linkages because no records or documents to show that the UA is engaged in a partnership with other organizations to develop its collection.

1.4. Management of Archival Records. Akmon, Zimmerman, Daniels, and Hedstrom (2011) believed that the collection, organization, and long-term preservation of resources are the main purposes of archives and archivists. The primary mission of college and university archives is to manage records with administrative, legal, financial, and historical value and make them accessible to the users (Brown & Yakel, 1996). Therefore, records management knowledge and skills are needed to have a systematic control of the collection.

Table 4. The Status of University Archives on the Management of Archival Records

Items on the Management of Archival Records	Complied	Not Complied
1. The University establishes a separate Archives records office/unit.	✓	
2. All the departments and offices of the university deposit at the UA a copy of important records produced by the departments or offices.	✓	
3. The UA develops a General Records Disposition Schedule (GRDS) that shall prescribe the disposition of university records.		✓
4. All university records are disposed of, destroyed with proper approval from the ULRC director and the supervising university vice president.	✓	

SMU Archives complied with the provision that archives should have a separate room for records, because of the existing room for UA. It also complied with the provision on how

these records are to be collected and deposited in the UA, because of the scope of records and documents received by the UA from different offices of the University and other creators. However, the provisions on General Records Disposition Schedule (GRDS) were not complied with because there are no records or reports showing that these activities were performed by the staff in-charge.

1.5. Transparency of Transactions and Access to Information. RA 9470, Article 73

states that:

The National Archives of the Philippines shall provide official information, records, or documents to any requesting public, subject to applicable fees and charges, except if: (a) such information, record, or document must be kept secret in the interest of national defense or security or the conduct of foreign affairs, subject to the policies and guidelines stipulated under Memorandum Circular No. 78, s. of 1964, as amended by Memorandum Circular No. 196, s. of 1968, Office of the President of the Philippines; and (b) such disclosure would put the life and safety of an individual in imminent danger; it would disclose information of a personal nature where disclosure would constitute a clearly unwarranted invasion of personal privacy.

Table 5. The Status of University Archives on the Transparency of Transactions and Access to Information

Items on the Transparency of Transactions and Access to Information	Complied	Not Complied
1. The UA protects and upholds the right of individuals, groups, and/or organizations to privacy including records, protocols, and policies against indiscriminate usage.	✓	
2. The UA provides official information, records, or documents to any requesting body subject to applicable fees.	✓	
3. Confidentiality encompasses all forms of communication that directly or indirectly lead to the disclosure of information on the identity or personal circumstances of any person, group, or organization.	✓	

These rules governed by law should be the Bible of any institution regarding the processing of information to avoid penalties and to protect the rights of each individual. Thus, institutions like universities should be cautious about the information being provided to the public or the requesting bodies and abide by the existing laws. SMU Archives collections are available upon request; thus, access is limited to the staff in-charge. They are for room use

only. This demonstrates that the provisions on the transparency of transactions and access to information were complied with.

1.6. On Standards, Inspection, Reporting, and Audit. Honing the professional skills such as: (a) establishing principles, policies, and procedures; (b) managing day-to-day operations; (c) caring for different types of archival materials; (d) enhancing outreach and public access; and (e) ensuring the growth and sustainability of the institution and its services can give archives practitioners better perspectives on archival procedures (Millar, 2010).

Table 6. The Status of University Archives on Standards, Inspection, Reporting, and Audit

Items on Standards, Inspection, Reporting, and Audit	Complied	Not Complied
1. A Records Management Program directed to the application of efficient and economical management methods and relating to the creation, utilization, maintenance, retention, preservation, and disposal of university records are established and administered by the UA.		✓
2. The UA in-charge conducts periodic inspection of the university records holdings.		✓

1.6.1. Records Management Program. Records management program ensures that records are created in an organized way, in manageable amounts, and appropriate format. Also, an effective records management program balances efficiency, cost-effectiveness, transparency, and risk (Seymour, 2017). According to Norris (2002), an effective records management program helps an organization get the most out of its records. This program can also help limit costs and the risks that can come with poorly managed records. RA 9470 states that:

A records management program directed to the application of efficient and economical management methods and relating to the creation, utilization, maintenance, retention, preservation, and disposal of public records shall be established and administered by the National Archives of the Philippines.

It is then a requirement that all institutions put archival collections under a records management program to maintain the efficiency and effectiveness of each record. SMU Archives shows noncompliance with the establishment of a records management program because of the absence of a written program for the management of records.

1.6.2. Records Management Audit. RA 9470 defines this as the “*periodic inspection of the records holdings of government offices, whether national or local, for purposes of identifying and incorporating records series that are not yet included in the agency RDS*”. This means the archives staff is responsible for reviewing documents from the originating office to ensure that all records with archival interest are received by the UA. SMU Archives does not have this kind of activity; thus, the provision on the periodic inspection of the university records holdings was not complied with.

1.7. Administration of University Archives. When it comes to proper administration, one must determine the access status of the collection. These can be classified as open or restricted. Table 7 revealed that the UA complied with the provisions on access to the archival records particularly on opening or replicating protected records under the custody of the UA. These materials are available upon request or for room use only. However, the provision on the classification of records existing for 30 years or more was not complied with because no evaluation has been made to determine how long these records have been acquired.

Table 7. The Status of University Archives on Access to Archival Records

Items on Access to Archival Records	Complied	Not Complied
1. University records in existence for 30 years or more are classified as open access records or restricted access records.		✓
2. In classifying the access status of university records, the UA in-charge considers the following:		
a. there are good reasons to restrict public access to university records, having regard to any relevant standard or advice issued by the ULRC director; or	✓	
b. there exists a legal impediment that requires such university records to be withheld from public access.	✓	
4. The UA in-charge may subject to the condition that he/she deems appropriate authorize copying of a university archive that is an open access record.	✓	
5. Accessing or replicating a protected record which is under the control and custody of the UA is deemed prohibited.	✓	
6. The UA determines the period for which public access to university records may be restricted.	✓	

1.8. Miscellaneous Provisions. The core functions of archivists in the University of Lethbridge include the acquisition, selection, and appraisal of official and non-official records, their arrangement and description, storage, and maintenance, conservation and preservation, access, and reference. Kenney (2010) emphasized the materials to be added in the collections such as minutes of meetings, correspondences, announcements, university publications, reports, building plans, photographs, posters, drama productions, videos, audiotapes, personal papers, artifacts, theses and dissertations, and other materials that assist in providing documentation of the University's fulfillment of its teaching, research and public service.

Table 8. The Status of University Archives on Miscellaneous Provisions

Items on Miscellaneous Provisions	Complied	Not Complied
1. All agreements and contracts entered into by the UA remain in full force and effect unless otherwise terminated, modified, or amended.	✓	
2. Donations and legacies to the UA are declared in the University Learning Resource Center (ULRC) inventory.	✓	
3. The ULRC director has the authority to reorganize the structure of the UA.	✓	

The provision regarding the agreements and contracts entered into by the UA was not technically complied with because no available records showing that there were agreements and contracts made. On the other hand, since donations and legacies to the UA are declared in the University Learning Resource Center (ULRC) inventory, such provision is complied with because all materials acquired are included in the OPAC which is reflected in the Destiny Library Management System and the accession record of the UA.

1.9. Permanent Buildings. According to ICA (2016), the archive is accountable for its holdings and must have proper procedures in handling and in maintaining storage facilities. These should be organized and managed for safety; therefore, ICA provides three rules to be followed by the staff of all archival institutions such as: 1) all storage areas must be secured; 2) once materials have been accessioned and placed in storage, they must be removed only

according to the policy set; and 3) there must be no smoking, eating, or drinking in storage areas.

Table 9. The Status of University Archives on Permanent Building

Items	Complied	Not Complied
1. All university vital records are kept in facilities maintained by the UA.	✓	
2. Persons who are responsible for maintaining an office or offices wherein university records are created or kept establish safeguards against damage, removal, or loss of records.	✓	
3. The UA is the central depository for the reports, publications, rules, and regulations of the university.	✓	
4. The UA has a separate room and facilities being developed to conserve and safeguard all permanent and other vital university records in its custody.	✓	
5. The UA establishes the friends of the UA, a non-profit, non-government, and non-sectarian organization.		✓

The University Archives is accountable for safeguarding the acquired university records; thus, to protect these collections, a permanent and separate room was established to house the UA collection. This room is located on the 2nd floor of the Rev. John Van Bauwel Building, Saint Mary’s University. This indicates that the provisions on how these records are kept were complied with. In addition, the item indicating the responsibility of the staff in charge of the university records was complied with because this is one of the duties and responsibilities of the staff in-charge of the UA.

However, it can be deduced from the table that the provision on the establishment of friends of the UA was not complied with because no records supporting an established linkage with other organizations.

1.10. Amendments to Implementing Rules and Regulations. Rules and regulations implemented in the ULRC were reviewed and revised by the Director. Before its dissemination, all changes and revisions made by the Director should have been approved by the supervising

Vice President. This shows compliance with the amendments to the implementing rules and regulations. RA 9470 Article 138 states that:

The National Archives of the Philippines may amend or modify these rules as may be necessary; Provided that such shall be done in consultation with National Historical Institute, National Commission on Culture and the Arts, The National Library, Department of Interior and Local Government, Department of Finance, Department of Education, Civil Service Commission, and the Committee on Education and Culture of both Houses of Congress.

Table 10. The Status of Archives on the Amendments to Implementing Rules and Regulations

Items on the Amendments to Implementing Rules and Regulations	Complied	Not Complied
1. For any amendment to become fully effective, the approval of the director of ULRC and supervising vice president is mandatory.	✓	

2. A Proposed Action Plan for the University Archives

Considering the salient findings of this study, a proposed organizational plan to enhance the management of the UA was crafted.

Rationale. Archives play an important role in universities for it contributes to the management of the institution's information resources in all media and formats. To fulfill these roles, the archives identifies, acquires, and maintains records of enduring value that showcase the development of the institution and ensure its continued existence (SAA, 2019). In fact, over the decades, UA have experimented with various approaches to recording their institutions, ranging from writing evaluation policies to developing record management systems to experimenting with functional analysis and other models of evaluation (Cox, 2008). The effective records management program can help an organization get the most out of its records (Norris, 2002) thus, it is important to have a management program to maintain the value of each record. Furthermore, RA 9470 states that:

The State shall give utmost priority for the safeguard, protection, and preservation of its public documents and records, not only as fundamental instruments for efficient and effective governance but also as essential tools for the preservation of the country's history and cultural memory.

These records with the enduring value held by different organizations, local or international including colleges and universities, shall be transferred to a government repository for proper management, control, and regulation of record disposition.

In SMU, its UA preserves and promotes records and documents with archival interest particularly records and documents produced by the institution, CICM Mission, and the Province of Nueva Vizcaya. However, since it was established, there is no definite plan for the organization of the collections. Therefore, the main goal of this project is to present a clear picture of how the UA collections are structured.

Objectives. This organizational plan aims to: (1) support the quest for learning, study and research, the preservation of cultural heritage resources, and the preservation of the institutional memory of the university; (2) know and understand the nature of archives; (3) identify effective strategies on the UA management; (4) strengthen partnership with other organizations to enhance the UA collection; (5) develop a functional plan for a records management system; and (5) comply with the relevant laws and regulations.

Priorities. The following are the main concerns of the UA in the year 2021-2023:

Crafting of UA Policy Manual. A policy manual is an integral part of SMU because it directs the members of the community in their daily operations. Its creation is the first step towards having an organized UA since through this manual, one can perform the task efficiently and this will serve as the basis for UA's management.

Organization of Collection. The main purpose of organizing the UA collections is to improve the storage and retrieval of information.

Physical Facilities. Considering the security of the UA collections and the vast records obtained by the UA, frequent inspection should be carried out on the UA storage space as well as the equipment used to store the collections.

Staff. One of the advantages of well-organized archives is the expertise, knowledge, and ability of the individual who will handle the UA, so a full-time employee to manage the UA is ideally a trained professional or an archivist.

Access. The rapid technological transition of today's environment affects the services of various organizations or institutions. Thus, it is necessary to follow the tracks to cope with the trends. The UA should consider how these collections can be viewed online to cater to the users' needs and this is the main reason why the archival collection be included in the Online Public Access Catalog.

Table 11. A Proposed Action Plan for the University Archives S.Y. 2020-2023

Key Result Area	Objectives	Tactical Activities	Persons Involved	Target Date	Output/ Outcome
1. Scope, Interpretation, and Objectives	To propose objectives for the UA.	1. Propose a committee to craft objectives. 2. Evaluate the existing objectives. 3. Review the scope of the collection 4. Craft new objectives 5. Finalize the scope of the collection for approval.	ULRC Director & Staff in-charge Quality Circle in the UA	S.Y. 2020-2021	New UA objectives
2. Functions of the University Archives					
2.1. Selection	To propose a selection policy for the UA.	1. Make a necessary review of the scope of the UA which will serve as the basis for a proposed selection policy. 2. Present the proposed selection policy for approval.	ULRC Director & Staff in-charge	S.Y. 2020-2021	A copy of the proposed selection policy
2.2. Acquisition	To propose an acquisition policy	1. Review the acquisition activities of the ULRC and use it as a basis for the proposed acquisition policy. 2. Craft the acquisition policy. 3. Submit the proposed acquisition policy for approval.	ULRC Director, Staff in-charge, Head of Offices & Administrators	S.Y. 2020-2021	A copy of a proposed acquisition policy
2.3. Policies, Procedures, and Plans	To comply with the standards for the management of records	1. Propose policies and procedures in collecting, organizing, and preserving archival materials based on accepted standards, including disaster plan. 2. Submit the proposed policies, procedures, and plans for approval	ULRC Director & Staff in-charge	S.Y. 2020-2021	Well-defined UA policy manual

Key Result Area	Objectives	Tactical Activities	Persons Involved	Target Date	Output/ Outcome
2.4. Physical Facilities	To protect the archives collections and make the section attractive to the researchers	1. Acquire the following: (a) shelves covered with glass to protect the collections; (b) additional filing cabinet to store the incoming collections; (c) sofa and other pieces of furniture that fit the limited space of the section; and (d) installation of an air-conditioning unit for the section.	ULRC Director, Staff in-charge, Head of Offices & Administrators	S.Y. 2022-2023	Secured and organized UA
3. Structure and Staffing Pattern					
3.1. Organizational Structure	To identify the relevant and specific tasks of the UA staff	1. Review the duties and responsibilities of the UA staff. 2. Make revisions on the duties and responsibilities of the UA staff.	ULRC Director, Staff in-charge & Administrators	S.Y. 2021-2022	A copy of the job descriptions of all staff
	To hire a full-time archivist to manage the UA	1. Make a request indicating the need for a full-time staff	ULRC Director & Administrators	S.Y. 2021-2022	Hired or appointed full-time staff
	To update knowledge and skills of the UA staff in archiving	1. Attend local, regional, national, or international seminars or workshops. 2. Attend seminars or workshops related to archiving.	ULRC Director, Staff in-charge & Administrators	S.Y. 2020-2023	Competent staff
3.2. Records Disposition	To craft General Records Disposition Schedule (GRDS)	1. Review the records management standards as a basis for crafting GRDS. 2. Submit the proposed GRDS for approval	ULRC Director, Staff in-charge & Administrators	S.Y. 2021-2022	A copy of GRDS
	To improve the collection	2. Assess the collection for retention or withdrawal	ULRC Director & Staff in-charge	S.Y. 2021-2022	List of weeded collections
3.3. Linkages	To strengthen the partnership with other organizations	1. Identify the organizations for possible linkage in archiving. 2. Forge Memorandum of Agreement to bind the agreement.	ULRC Director, Staff in-charge,	S.Y. 2021-2023	A copy of the forged linkage
4. Management of Archival Records	To comply with the accepted standards and other laws and regulations for the management of archives and records	1. Determine standards and laws and regulations in the Philippines relevant to the management of archives. 2. Craft policy, procedures, and plans based on the standards.	ULRC Director/Staff in-charge	S.Y. 2021-2022	
5. Transparency of Information and Access to Information	To protect the rights of individuals or the data subject and	1. Comply with Data Privacy Act 2. All activities and transactions of the UA	Marian community	S.Y. 2020-2023	Reports on compliance with the Data Privacy

Key Result Area	Objectives	Tactical Activities	Persons Involved	Target Date	Output/ Outcome
	to maintain the reliability of the UA	should be done with the knowledge of the ULRC Director, the supervising Vice President, and the Marian community			Act
6. Standards, Inspection, Reporting, and Audit					
6.1. Records Management Program	To propose a records management program for the UA	1. Convene a committee to help in crafting a records management program based on the standards. 2. Present the proposed records management program for approval.	ULRC Director, Staff in-charge & Administrators	S.Y. 2020-2021	
6.2. Records Management Audit	To identify records or documents in the University to be transferred to the UA	1. Coordinate with the different units of the University for possible transfer of records. 2. Determine the records with archival value. 3. Write a letter indicating that all heads of offices in the University should initiate depositing records and documents with archival value at the UA. 4. Initiate the transfer of materials from the originating office to the UA.	ULRC Director, Staff in-charge, Head of Offices & Administrators	S.Y. 2021-2022	Numbers of collections added in the UA UA collection inventory
7. Administration of University Archives	To identify the loan terms of the UA collections	1. Evaluate the value of records or documents. 2. Identify records for public and restricted access. 3. Update the OPAC for the copy category of the material.	ULRC Director & Staff in-charge	S.Y. 2021-2022	A copy of UA borrowing procedures
8. Miscellaneous Provisions	To forge a Memorandum of Agreement (MOA) on the acquisition of documents within and outside of the university.	1. Create a MOA based on the acquisition policy of the UA. 2. Inform and agree with the partner organizations about the terms and conditions embedded in the MOA.	ULRC Director, Staff in-charge & Professional Organizations	S.Y. 2021-2023	A copy of MOA
9. Permanent Building	To provide secured and spacious archives	1. Make a plan requiring secured and a more spacious area. 2. Submit for approval	ULRC Director, Staff in-charge & Administrators	S.Y. 2022-2023	Spacious and secured archives
10. Amendments to Implementing Rules and Regulations	To comply with standards, rules and regulations of the UA	1. Inform the community about the implementation of the standards, rules, and regulations of the UA.	ULRC Director, Staff in-charge & Administrators	S.Y. 2021-2022	Published UA Rules and Regulations

Conclusions and Recommendations

Archivists, records managers, and librarians need to manage the records, manuscripts, and objects that are of informational, historical, research, and cultural value to the parent organization. They are responsible for the organization and management of collections entrusted to them. Hence, the need to understand the nature of archives and manuscripts is a must which is the foundation of the archival philosophy. The University Archives showed compliance in most of the provisions. However, the provisions not complied were: 1) planning, developing, prescribing, disseminating, and enforcing policies, rules and general protection, use, storage, and disposition of university records; 2) planning, formulating, and implementing records management and archival administration; 3) identifying and making copies of vital records for protection of rights and interests of organization or offices; 4) establishing policies, standards, and guidelines related to university records management and archives administration plans; 5) determining the mode of disposal of or destruction or authorizing the disposal or destruction of university records; 6) establishing linkages with local and foreign organizations; 7) developing General Records Disposition Schedule; 8) conducting periodic inspection of the university records holdings; and 9) classification as open access records or restricted access records of 30 years or more in existence; and establishing the friends of the UA. To mitigate these shortcomings, it is recommended that: a) they should convene a group to craft the UA policy manual; b) there should be effective communication flow between the UA staff and the heads of offices; c) they should strengthen the partnership with different units of the University for transfer of collections; d) there should be a full-time professional archivist to man the archives; e) the staff in-charge should be updated on archiving systems through attendance to seminars, trainings, or workshops; and f) the proposed action plan be implemented.

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