

The page features a white background with several dark green decorative elements. At the top, a thin horizontal line spans the width. In the top right corner, a large dark green triangle points downwards. In the bottom left corner, a large dark green triangle points upwards. Two parallel diagonal lines, each consisting of three thin green lines, cross the page from the top right to the bottom left. The Roman numeral 'III' is positioned on the left side, and the text 'RECORDS SECTION' is to its right.

# III

RECORDS SECTION

## THE RECORDS SECTION

The Records Section is primarily responsible for maintaining an efficient records management system for filing, retrieving, and archiving documents containing BOR policies and decisions, and the administrative issuances from the President. The following are the **duties and responsibilities** of the Records Staff:

### 1. Records Head

- 1.1 Supervises the management of both physical and electronic records;
- 1.2 Proposes and implements records management policies, classification systems, and records retention and disposal schedules in accordance with RA 9470 (National Archives of the Philippines Act of 2007);
- 1.3 Facilitates classification, filing, issuance, and disposal of documents/records;
- 1.4 Develops filing systems and maintains the upkeep of such to meet administrative, legal, and financial requirements which are used as reference materials for decision-making;
- 1.5 Responds to inquiries pertaining to OSU records;
- 1.6 Supervises the Records Officer in maintaining the records management system of OSU; and
- 1.7 Provides guidance and assistance on any records management concerns of other units/offices.

### 2. Records Officer

- 2.1 Provides administrative support to the Records Head such as filing and retrieving of records;
- 2.2 Follows records management policies set by the Records Head;
- 2.3 Scans and uploads accurate data of records information into the LaserFiche Document Management System; and
- 2.4 Stores physical records at the Records Room and electronic records in the LaserFiche.

## HOW TO MANAGE OSU RECORDS

The OSU records consist of BOR Matters (e.g., Minutes, reports, etc.) and the AOrders/EOs/MEMOs of the UP President and SU-BOR. These records provide the Board of Regents, UP Administration, students, researchers, and other stakeholders with information that will assist them in carrying out their functions and responsibilities. The records also serve to validate statements of policies and procedures that provide historical reference in tracing the developments of policies, decisions, issues, and other concerns in the University. The guidelines on Records Management are in compliance with the prescribed rules of the National Archives of the Philippines, Circular Nos. 1 and 2 (copy attached in Annex FF).

Moving towards an eOSU, the Records Section started using an electronic document management system called the LaserFiche in 2012.

## THE LIFE CYCLE OF OSU RECORDS

Following the R.A. 9470 provision, records submitted to the OSU Records Section undergo a life cycle or a series of procedures before the final phase of retention or disposal. All OSU records are subject to review at one or more stages of their lives. Due to the nature of OSU's mandate as the repository of records containing policies and decisions of the Board relevant to the functions of the University, **the OSU records are not subjected to file destruction.**

### 1. Inspecting the Records

An inspection is done to ensure that records for filing are complete, accurate, and authentic. The following protocols are done under the supervision of the Records Head:

- Examine whether enclosures/attachments mentioned are complete;
- Determine whether the document is original or a photocopy;
- Check completeness of action on the document; and
- Inspect the page sequence of records to be filed.

### 2. Classifying and Cross-Referencing the Records

Records are classified according to the File Classification Guide<sup>2</sup> (see Annex D). The Guide is a system of classifying file materials based on related grouping of subjects arranged functionally according to the activities and operations of an organization. The major end goal and aim of classifying is to enable full and easy retrieval of information.

For efficient retrieval of records, cross-references and secondary and/or tertiary subheadings are made as deemed necessary. Records are filed under a subordinate subject or subjects to indicate where the record referred to is filed. A cross reference is written in single or multiple forms of unprinted sheets of paper (see Annex E). Visible cards may also be used for ease and speed in finding the documents. Documents to be cross referenced are reproduced and labelled with a classification written on a clear portion of the record preferably in the upper right corner of the record and cross marked (/).

## GENERAL RULES FOR CROSS-REFERENCING

Review documents to determine the major and minor subjects based on the file classification guide. Determine if there is more than one subject or if it is related to the previous records.

### Classified by subject

Cross-reference under the name of the source of communication.

### Classified under more than one subject

Cross-reference under the prime subject that best serves the reference requirements. Cross-reference sheets are prepared and filed under the subordinate subjects.

### Classified under the name of an individual, organization, geographical location, department or branch office

No cross reference is made on the subject in the text of the record. When the subject is of sufficient importance to justify cross-referencing, the record is cross referenced by subject.

### Record contains a subject or name or title for the name or topic

Cross-reference under the prime name or subject. A permanent cross-reference is placed in the file under the synonymous name or topic to direct all references to the correct name and subject where records are filed.

### 3. Closing the Records

In compliance with RA 9470 (National Archives of the Philippines Act of 2007) and in keeping with the Basic Records and Archives Management, all records will be closed when they meet one of the two closure criteria:

- 3.1. Files of more than ten (10) years
  - No file will remain open for more than 10 years from the date of first filing. If the file is still live after 10 years, i.e., the subject or activity is on-going, the most recent document should be kept open and the old closed (e.g., cases, guidelines).
- 3.2. Files with a width of four (4) centimeters
  - Files should not be allowed to become too bulky, four (4) centimeters is the maximum width that allows the protective flap to lie easily over the top paper. Otherwise, a new file should then be opened.
  - Once a file has been closed it can still be accessed and issued to researchers/requestors. No document should be added to a closed file

### 4. Filing the Records

Records are filed both physically at the Records Room and electronically under the LaserFiche Document Management System. Physical records are converted into electronic format by scanning the document and filing it in its proper classification.

#### HOW TO FILE THE OSU RECORDS

- 4.1 Inspect and review documents for filing
- 4.1 Classify and label documents using the File Classification Guide
- 4.1 Scan the labeled documents.
- 4.2 Upload the scanned documents in LaserFiche Document Management System.
- 4.3 File physical documents in their respective folders stored at the OSU Records Section.

### 5. Scheduling the Retention and Disposal of Records

Record retention or disposition is the final phase in the life cycle of records. When the disposal arrangements for a file leads to the permanent preservation, the file will be removed from the OSU Records Section and transferred to the Archives Section of the UP Main Library.

If the record is required as reference after it has been archived, it can be retrieved as with any of the archival collections by accomplishing a prescribed form of the Archives Section of the UP Main Library. A copy of the inventory of documents sent to the archives is stored in the LaserFiche Document Management System.

Review of records for disposal or preservation is achieved by two methods:

#### 5.1 Automatic Review

A disposal schedule for disposing records has been developed which provides disposal instructions for all OSU records set out in the file classification scheme and is subject to an annual review. The disposal schedule sets out a predetermined disposal arrangements for all documents in classification scheme. It includes the following disposal options:

**Preserve:** File classified/selected for permanent preservation in the archives (determine which record needs to be retained, i.e., academic, fiscal, governance, administrative matters)

**Destroy:** File classified as having no continued value will be destroyed upon fulfilment of the destruction criteria based on the number of years; date in the future or a particular event, such as:

Table 1. Disposal Schedule

Classification	Position
Destroy +2	Destroy in five (5) years after closure
Destroy 2017	Destroy in 2017
Destroy @ IR	Destroy at first review

**Closure Review:** For some record series, it is difficult to determine the fate of the file prior to the creation of contents, which can sometimes be diverse in nature. In these circumstances, it is more appropriate that the records officer review the file at the time of file closure.

#### 5.2 File Review<sup>3</sup>

The Records Officer conducts a number of reviews throughout the document's lifetime. In the event that a document cannot be given a disposal instruction prior to opening, it can be reviewed upon closure. A document can be subjected to the three (3) possible reviews during its lifecycle. At each of the three reviews, different disposal options are available to the Records Officer.

DISPOSAL OPTIONS AT CLOSURE REVIEW

**Preserve:** Send to UP Main Library Archives Section

**First Review:** Review after 6 years

DISPOSAL OPTIONS AT FIRST REVIEW

**Preserve:** Send to UP Main Library Archives Section

**Second Review:** Review at a later date not exceeding 10 years after opening

**HOW TO STORE THE OSU RECORDS**

The OSU records are stored physically at the OSU Records Room and electronically in the computers of the Records Head and Records Officer. Meanwhile, inactive files or those rarely used and no longer referred to are transferred to the Archives Section of the UP Main Library once the retention period is reached. These records have served their purpose but they must be kept for legal purposes or for decision-making in the future.

There are two ways of storing OSU records:

**1. Storing Hard Copies of Records at the OSU Records Room**

The Records Room in OSU provides secure, controlled, and cost-efficient storage for the semi-current records, i.e., those which are frequently requested by researchers and stakeholders across units and campuses.

The Records Room has approximately eight (8) sq. meters of secured storage area for files managed by the Records Officers. Researchers and stakeholders may request for records anytime by accomplishing the Request Form (attached as Annex F). All requests are processed according to specified delivery runs.

The Records Room is equipped with secure storage facilities in which records are stored in a marked steel cabinet for easy access and retrieval.

**2. Storing Electronic Records Using the LaserFiche Document Management System**

The LaserFiche Document Management System is installed in the computers of the Records Head and Records Officer for document scanning and electronic filing. Scanned documents are filed in the system for easy search and retrieval.

**HOW TO ENSURE THE SECURITY OF THE OSU RECORDS**

OSU Records contain information which, if disclosed to someone with malicious intent, may cause damage to the University. In order to ensure security of records, only an authorized staff is allowed access and given permission to release records. The Records staff operate on a clear desk policy, removing all documents on top of the desks at the end of the working day and placing these in a designated and secured place in the Records Room.

The OSU Records may also be subject to security classification to control access. The security classification is categorized by the SU-BOR. The following arrangements must be followed:

Table 2. Classified Records<sup>4</sup>

Classification	Available Descriptors	Access
Top Secret	Controversial	Subject to clearance of the President
Secret	Controversial	Subject to clearance of the President
Controversial/ Confidential	Controversial Discussion in progress at the BOR No BOR action yet (DEFERRED) Appeals (cases)	Records Officer/Chief of Records Section subject to clearance by the SU-BOR
Restricted	Contracts Confirmed by the BOR Contracts noted by the BOR	Records Officer subject to clearance by the Head of the Records Section
Unrestricted	Policy Matters approved by the BOR w/o issues/concerns General Governance Academic Matters Fiscal Matters	Records Officer subject to clearance by the Head of the Records Section  Can be released without clearance

**ROOM USE ONLY**

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**HOW TO REQUEST AND ACCESS THE OSU RECORDS**

OSU records may be accessed either physically through the Records Section or electronically through the OSU website. If the record needed is not available online, the requesting party may request document retrieval from the OSU Records Section.

**1. Requesting Records at the OSU Records Section**

- 1.1 All those requesting for copies of OSU records should accomplish a Records Request Form (See Annex F). The form is available at the Records Section or may be downloaded from the OSU website [osu.up.edu.ph](http://osu.up.edu.ph). Requests may be sent by facsimile to the Records Section, through fax number 920-68-97, or through e-mail at [osu@up.edu.ph](mailto:osu@up.edu.ph)

<sup>4</sup> Lifted from the Records Management Procedures Manual 2003 of the National Archives of Scotland ([www.nas.gov.uk](http://www.nas.gov.uk))

- 1.2 Upon receiving the request, the Records Officer locates the requested document by conducting a search using the LaserFiche Document Management System.
- 1.3 The Records Officer then reviews the document if it can be released immediately or if it requires approval from the SU-BOR for release.
- 1.4 The Records Officer retrieves the document from the specified location in the storage area or prints the requested document if the scanned copy is available in the LaserFiche.
- 1.5 The Records Officer stamps the document as “officially released to (name of requester)” then the document is signed by the Records Head and released upon clearance of the SU-BOR.

All requests must be picked-up from the Records Section during releasing schedule prescribed in Table 3. As of the last quarter of 2014, upon the instruction of the SU-BOR, documents can be sent electronically to the requesting party, subject to approval from the SU-BOR.

As of the last quarter of 2014, the SU-BOR has instructed that documents can be sent electronically to the requesting party, upon approval from the SU-BOR

- 1.6 All requests for documents made with the OSU Records Section are recorded in a logbook indicating the following data:
  - A. person who requested for the document (requesting party);
  - B. unit of the requesting party;
  - C. nature of document requested;
  - D. date requested;
  - E. date released;
  - F. person who received the document; and
  - G. person who released the document.

### PROCESSING TIME OF OSU RECORDS<sup>5</sup>

Documents stored at the Records Room are processed within four (4) hours upon receipt of the request. However, inactive files already stored at the Archives Section of the UP Main Library may take a longer time.

There are two (2) releasing runs every day (Monday to Friday):

Table 3. Schedule of Processing OSU Records

Time of Request	Time of Release
8:00 – 11:00 am	11:00 am – 4:00 pm same day
4:00 pm	10:00 am the following day

## 2. Accessing Records on the OSU Website

Individuals who inquire about BOR decisions may be instructed to visit the OSU website and do the following:

- 2.1 Go to the OSU website (osu.up.edu.ph).
- 2.2 Click the UP Gazette tab to browse through the issues per year. If the Gazette issue is unknown, use the Google Custom Search Bar located at the upper right side of the website.
- 2.3 Type the keyword/s of the document. Google Custom Search will display all related documents.
- 2.4 Select desired document.
- 2.5 To search for the keyword in the document, press ctrl+ f to launch the search bar.
- 2.6 Type the keyword on the search bar.
- 2.7 The result of the search will be highlighted.

### GUIDELINES ON REQUESTING AND RELEASING RECORDS

Requests for copies of records should be described in sufficient detail to enable the Record Section staff to retrieve the pertinent records.

Reasonable restrictions may be imposed upon general requests for confidential/sensitive/restricted records.

Requests for copies and requests for certified true copies of confidential/sensitive/restricted records should be made in writing (letter-request) addressed to the SU-BOR.

Records classified as confidential/sensitive/restricted are for ROOM USE ONLY and requires of the SU-BOR for access.

# CHART 11. THE PROCESS OF REQUESTING AND ACCESSING OSU RECORDS

Chart 11 explains the process of requesting and accessing OSU records

