# 

**DEVELOPMENT OF A COLLECTIONS STRATEGY**

**FOR THE PROSPECTIVE DOST-STII ARCHIVE**

**IRENE S. ALIS-BRILLO**

**A CAPSTONE PROJECT**

**SUBMITTED TO THE SCHOOL OF LIBRARY AND INFORMATION STUDIES UNIVERSITY OF THE PHILIPPINES DILIMAN**

**UNIVERSITY OF THE PHILIPPINES SYSTEM**

**IN PARTIAL FULFILLMENT OF THE REQUIREMENTS**

**FOR THE DEGREE OF**

**MASTER IN ARCHIVES AND RECORDS MANAGEMENT**

**JUNE 2024**

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**UNIVERSITY OF THE PHILIPPINES**

**SCHOOL OF LIBRARY AND INFORMATION STUDIES**

**Master in Archives and Records Management**

**Irene S. Alis-Brillo**

**Development of Collections Strategy**

**for the Prospective DOST - STII Archive**

Adviser

**Asst. Prof. Jonathan D. Isip**

**School of Library and Information Studies**

**University of the Philippines Diliman**

June 2024

Capstone Project Classification:

**F**

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Irene S. Alis-Brillo

Student Name over Signature and Date

This capstone project entitled, "Development of Collections Strategy for the Prospective DOST-STII Archive", prepared and submitted by Ms. Irene S. Alis-Brillo in partial fulfillment of the requirements for the degree of Master in Archives and Records Management, is hereby accepted.

|  |  |
| --- | --- |
|  |  |
|  | **ASST. PROF. JONATHAN D. ISIP** |
|  | **Adviser** |

# 

Accepted as partial fulfillment of the requirements for the degree of Master in Archives and Records Management.

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|  |  |
|  | **ASST. PROF. RHEA ROWENA UBANA-APOLINARIO** |
|  | **DEAN** |

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20 January 2024

**Asst. Prof. Rhea Rowena Ubana-Apolinario**

Dean

School of Library and Information Studies

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Dear Asst. Prof. Ubana-Apolinario,

After having read the capstone project of Ms. Irene S. Alis-Brillo entitled “Development of Collections Strategy for the Prospective DOST-STII Archive” and after having made the necessary suggestions for improvement which were incorporated in the final draft, I recommend that this capstone project be accepted in partial fulfilment of the requirements for the Master of Library and Information Science.

Sincerely yours,

**ASST. PROF. DAN ANTHONY DORADO**

Reader

**BIOGRAPHICAL DATA**

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|  |  |  |
| Date of Birth | : | June 1984 |
|  |  |  |
| Place of Birth | : | Ballay, Kabayan, Benguet |
|  |  |  |
| Educational Attainment | : | Bachelor of Secondary Education |
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|  |  | La Trinidad, Benguet, 2004 |
|  |  |  |
| Work Experience | : | DOST-Science and Technology Information Institute  August 2017 – present |
|  |  |  |
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**ACKNOWLEDGEMENT**

The researcher would like to express its gratitude to the following people without whom this project would not be completed:

Mr. Richard P. Burgos, Director of the DOST-STII, for approving the conduct of this project, accepting the final output, and instilling renewed enthusiasm to push for its adoption within the institute.

Mr. Alan C. Taule, Chief of the Information Resources and Analysis Division, for his strong support in this endeavor and for assisting with editing the write-up. His insightful edits greatly improved the clarity and coherence of the work.

Ms. Arlene E. Centeno, Chief of the Finance and Administration Division, for her support in the conduct of this project and for instructing the HR Section to attend the project presentation and acceptance.

Ms. Lynderlitte M. Maglaque, Supervisor of the Library Services Section, for accommodating consultations and responding to messages despite her very busy schedule.

Dr. Enrico C. Paringit, Director of DOST- PCIEERD, for allowing the agency to be one of the key stakeholders and for endorsing three focal persons who have made significant contributions to the project’s scope and templates: Ms. Ena R. Conde, Administrative Officer V – Records Section of the Finance and Administration Division; Ms. Connie M. Roa, Administrative Officer V of the Finance and Administrative Division; and Mr. Mark Ivan C. Roblas, Supervising Science Research Specialist of the Information Group under the Office of the Deputy Director.

Ms. Luningning E. Samarita-Domingo, Director of DOST-National Academy of Science and Technology, for allowing the agency to participate in this project and endorsing Ms. Jereme Mapa, PTS 1, as the agency’s focal person for consultations. Ms. Mapa has greatly contributed to the development of the scope incorporating the scientific papers of Outstanding Young Scientists and Academicians.

Dr. Bernardo N. Sepeda, Executive Director of the DOST-National Research Council of the Philippines, for endorsing the proponent to the Library Section and MISPS for interviews and consultations.

Asst. Professor Dan Anthony Dorado, the capstone project reader, for taking the time to carefully review the write-up and provide valuable input. His deep understanding of the subject matter and meticulous attention to detail greatly enhanced the quality of the work.

Finally, Asst. Professor Jonathan D. Isip, the capstone project adviser, for his invaluable guidance and support. From the development of the project’s title to its execution, acceptance of the final output, and final approval of the write-up, his mentorship has not only led to the completion of this project but also fostered the proponent's personal growth and development. The support, valuable knowledge, and competence instilled through this project are eternally appreciated.

**DEDICATION**

"So do not fear, for I am with you; do not be dismayed, for I am your God. I will strengthen you and help you; I will uphold you with my righteous right hand." – Isaiah 41:10

The proponent would like to dedicate this capstone project to the following who have been instrumental in the success of this endeavor:

Foremost, the proponent would like to dedicate this project to the God Almighty, whose divine guidance and wisdom have been the cornerstone of this endeavor. The proponent is deeply grateful for the opportunity to undertake this project and for the divine intervention that led the right people to contribute to its success.

To the proponent’s daughter, Zarriah Mae, who has been a constant source of strength and inspiration;

To the proponent’s family, especially to her father who has instilled in her faith, courage, and determination in all her life’s endeavors;

To the DOST-STII Library Services Section, especially to Ms. Lynderlitte M. Maglaque, for constantly cheering on and pushing the proponent to finish this project;

and finally, to the proponent’s spiritual group at the Victory Parañaque Church, who prayed with her and kept her rooted in the Lord, especially during the conduct of this project.

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# CAPSTONE DETAILS

|  |  |  |
| --- | --- | --- |
| Project Name | : | Development of Collections Strategy for the Prospective DOST-STII Archive |
|  |  |  |
| Project Sponsor | : | DOST – Science and Technology Information Institute |
|  |  |  |
| Implementing Agencies | : | DOST – Science and Technology Information Institute |
|  |  |  |
| Lead Agency | : | DOST – Science and Technology Information Institute |
|  |  |  |
| Collaborating Agencies | : | N/A |
|  |  |  |
| Project Manager | : | Irene S. Alis-Brillo |
|  |  |  |
| Start Date | : | February 27, 2024 |
|  |  |  |
| End Date | : | June 7, 2024 |
|  |  |  |
| Project Duration | : | 3 months and 5 days |

# PROJECT CHARTER

## PROJECT SCOPE

### Background

The DOST – Science and Technology Information Institute (STII), under Executive Order No. 128 signed on January 30, 1987, was mandated to establish a library and a databank of Science and Technology in the country and make these resources accessible to its stakeholders such as researchers, academicians, policymakers, and the general public. These mandates are being processed and implemented by the STII’s technical divisions such as the Information Resources and Analysis Division (IRAD), and the Communication Resources and Production Division (CRPD) with the support of the Finance and Administrative Division (FAD) and Office of the Director (OD).

The IRAD is specifically tasked to establish a comprehensive library and databank, collecting invaluable Science and Technology (S&T) resources for stakeholders' access. Currently, the library is thriving in providing general S&T materials to its stakeholders. The library collections span from books, journals, and magazines to electronic materials from different publications, not necessarily from the DOST. As of now, IRAD has yet to embark on collecting evidential records encompassing the diverse DOST-produced outputs such as institutional publications, project terminal reports, and AV documentation of programs, projects, and activities as part of its databank mainly because there is no existing policy or standing order for the library to collect such. This deficiency was also underscored in the findings of the Department of Science and Technology - Internal Audit Service (DOST-IAS) during their comprehensive audit conducted in 2022. During the audit process, it came to light that several sought-after DOST-produced Science and Technology (S&T) resources, including project technical reports and research outputs, were notably absent from the DOST-STII Library's physical collection. Consequently, the DOST-STII Library has to redirect its clients to other libraries within the DOST system for access to vital resources. Moreover, the audit identified a critical need for the DOST-STII to realign its existing strategies to reaffirm its position as the central information resource center of the entire DOST System. This strategic recalibration entails the establishment of an Archive Unit tasked with the collection, organization, preservation, and conservation of the legacy of DOST's endeavors. Furthermore, it is imperative to extend this initiative to incorporate the papers and research outputs of Filipino scientists, thereby ensuring a comprehensive and inclusive archival framework.

In the aspect of collection scope with the establishment of the Archive Unit, there will be a clear delineation of what the library and the archive will store. The library shall focus on building its collection on general S&T resources while the archive will build its collection on the DOST-produced outputs such as institutional publications, project terminal reports, AV documentation of programs, projects, and activities, and research papers of Filipino national scientists. At the moment, there is already a designated space for the Archive Unit.

In essence, the oversight in documenting the endeavors of the DOST and Filipino scientists constitutes a significant gap in the preservation and dissemination of knowledge, hindering the establishment of a robust institutional memory. It impedes historical reflection, inhibits informed decision-making, and hampers the exchange of ideas within the scientific community. Therefore, there exists an urgent need to enhance documentation and archival efforts, bridging this gap and ensuring the preservation of DOST’s scientific heritage for posterity. Crafting a comprehensive collection strategy encompassing policies, frameworks, workflows, and templates is essential to ensure proper documentation. Such measures will systematically capture and catalog invaluable scientific knowledge, facilitating its accessibility and longevity for the benefit of current and future generations.

### Statement of the Problem

Despite the explicit mandate of the DOST – Science and Technology Information Institute (STII) to establish a comprehensive library and databank of Science and Technology (S&T) resources, a critical gap exists in the systematic documentation of projects, programs, and activities undertaken by the DOST and its attached agencies, alongside the scholarly contributions of Filipino Scientists. This deficiency not only undermines the fulfillment of STII's core mission but also poses significant obstacles to the preservation and dissemination of scientific knowledge essential for national progress.

Therefore, there is a pressing need for a comprehensive collection strategy to systematically capture, catalog, and preserve the above-mentioned invaluable records. Such a strategy will encompass the formulation of policies, frameworks, workflows, and templates to ensure the efficient and effective documentation of DOST projects, programs, and activities, as well as the achievements of Filipino scientists. By doing so, the prospective DOST-STII Archive can bridge the existing gap in institutional memory, facilitate informed decision-making, foster national pride and identity, and lay the foundation for sustained progress and innovation in science and technology in the Philippines.

## PROJECT OBJECTIVES AND SUCCESS CRITERIA

The objectives of this project are:

1. To craft a comprehensive Collections Policy that will establish scope and priorities for collecting materials based on their significance, relevance, and value to the DOST-STII Archive.

Success Indicator: The Collections Policy should be representative of the key collections identified by stakeholders. The Collections Policy shall be deemed acceptable if its scope includes at least 85% of the identified collections.

1. To craft the appropriate appraisal framework that will provide a structured approach to selecting and managing archival collections.

Success Indicator: The appraisal framework must apply to all collections identified by the Collections Policy and should have been successfully tested on one stakeholder agency.

1. To create acquisition workflows, templates, modes, and core elements for controlled vocabulary tailored to the needs of the DOST-STII Archive.

Success Indicator: The workflows and controlled vocabularies have gained acceptance from key stakeholders.

At the end of the project, the Collections Strategy will be turned over to the DOST-STII for acceptance and possible adoption.

The project is limited to achieving its defined objectives and does not include pursuing additional tasks such as soliciting an Administrative Order from the Office of the DOST Secretary to designate the DOST-STII as the central repository and archive of S&T resources within the DOST System. Additionally, the project does not encompass conducting training sessions for DOST-STII personnel on implementing the output.

| **KEY PROJECT STAKEHOLDERS** | | |  |
| --- | --- | --- | --- |
| **Stakeholders name** | **Title/Role** | **Interest** | **Responsibilities** |
| Richard P. Burgos | Head of DOST-STII/ Approving Authority | Overseeing the preservation of DOST institutional memory. | Approves the conduct of the project and accept its the final output. |
| Alan C. Taule | Division Chief, DOST-STII IRAD/ Recommending Authority | Endorses the project and its deliverables to the head of the agency. | Recommend the project for acceptance to the Head of Agency. |
| Lynderlitte M. Maglaque | DOST-STII Library Section Supervisor/ Supervision Authority | Provide insights on the crafted scope, appraisal and acquisition templates during presentation. | DOST-STII focal person for consultations and pilot testing of appraisal and acquisition templates. |
| Jereme Mapa, Philippine | In-charge of Filipino National Scientists, Science Heritage Center, DOST-NAST | Provide insights on the crafted scope, appraisal and acquisition templates during presentation. | DOST-NAST (PSHC) focal person for consultations and presentation of the project deliverables. |
| Ena R. Conde, Connie M. Roa, Mark Ivan Roblas | Admin Officer V and Supervising SRS respectively, DOST-PCIEERD | Provide insights on the crafted scope, appraisal and acquisition templates during presentation. | DOST-PCIEERD focal persons for consultation and presentation of the project deliverables. |
| Research Information and Dissemination Division | Information officer III, DOST-NRCP | Provide insights on the crafted scope, appraisal and acquisition templates during presentation. | DOST-NRCP focal persons for consultation and presentation of the project deliverables. |
| Irene S. Alis-Brillo | Project Manager | Performs the overall implementation of the project and its deliverables. | Undertake the implementation of the project. |

### Project Structure and Governance

The project of Development of Collections Strategy for the DOST-STII Archive will be a joint endeavor between the project manager, the library supervisor, the division chief, and the head of the agency. Proper communication and coordination must be considered throughout the project. While the project manager (proponent) directs the overall preparation, implementation, and closure of the project, the head of the agency shall ensure not only that deliverables are turned over but also expected to further the cause of the institution even after this project has been concluded.

### Communication Approach

The project manager shall constantly coordinate, inform, and update concerned stakeholders on the progress, issues, and concerns of the project. This shall be done through text messages, FB messenger calls and chats, emails, phone calls, or personal approach (following health protocols) as what is appropriate or preferred for the situation.

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Stakeholder Name** | **Role** | **Contact Details** | **Preferred Communication** | **Engagement** | **Training Needs** |
| Richard P. Burgos | Project Sponsor | richard.burgos@stii.dost.gov.ph | Call, FB Messenger Chat or Call, Zoom, Email | As needed | Orientation of the deliverable towards the end of the project |
| Alan C. Taule | Project | alan.taule@stii.dost.gov.ph | Call, FB Messenger Chat or call, Zoom, Email | As needed | Orientation of the deliverable towards the end of the project |
| Lynderlitte M. Maglaque | Project Supervisor | lynderlitte.maglaque@stii.dost.gov.ph | Call, FB Messenger Chat or call, Zoom, Email | As needed | Orientation of the deliverable towards the end of the project |
| Jereme Mapa - Philippine Science Heritage Center | In-charge of Filipino National Scientists | [salinlahi@nast.dost.gov.ph/](mailto:salinlahi@nast.dost.gov.ph/) secretariat@nast.dost.gov.ph | Email, in-person | As needed | Orientation on the objective of the project |
| Ena R. Conde, Connie M. Roa, Mark Ivan C. Roblas | Funding agency for projects | pcieerd@pcieerd.dost.gov.ph | Email, in-person | As needed | Presentation of framework, workflow, and templates |
| Dr. Jaime C. Montoya | Funding agency for projects | info@pchrd.dost.gov.ph | Email, in-person | As needed | Presentation of framework, workflow, and templates |
| Bernardo N. Sepeda, Ed.D. (focal persons’ name withheld as requested) | Funding agency for projects | nrcpinfo@nrcp.dost.gov.ph | Email, in-person | As needed | Presentation of framework, workflow, and templates |

**PROJECT RISK ASSESSMENT**

High Level Timeframe

### 

|  |  |
| --- | --- |
| **Project Milestone** | **Estimated Date** |
| Completed interviews on collection scope with stakeholder | 2/27/2024 to 3/08/2024 |
| Collections Policy drafted | 3/15/2024 |
| Consultations done for the Collections policy | 3/22/2024 |
| Crafted Appraisal framework and templates | 4/19/2024 |
| Consultations done for appraisal framework and integration of feedbacks | 4/29/2024 |
| Identified acquisition methods, created acquisition workflow, and templates | 05/10/2024 |
| Consultations done for acquisition workflows, templates, and modes | 05/17/2024 |
| Developed custom metadata | 05/20/2024 – 05/24/2024 |
| Presentation done for the custom metadata | 05/24/2024 |
| Consultations done with the project adviser on the outputs | 05/26/2024 |
| Presented the project outputs to the key stakeholder (DOST-STII) | 05/29/2024 |
| Turnover of deliverables to the DOST-STII head of agency | 05/31/2024 |

### Project Methodology and Approach

This project will follow the Waterfall Approach, a traditional sequential model for project management where each phase builds upon the previous one, with little to no overlap between phases.

This project will have the following phases:

Phase 1. Planning – This involves identifying the scope and objectives of the Collections Strategy, possible risks and mitigations, budget allocation, and stakeholders to engage.

Phase 2. Design and development - This phase is where workflows, templates, frameworks, and policies are drafted for appraisal, acquisition, access, and condition assessment.

Phase 3. Testing and Evaluation – This involves collaboration and consultation with the stakeholders to test and see the use and functionalities of the workflows, templates, frameworks, and policies.

Phase 4. Deployment – The toolkit will be turned over to the stakeholders for acceptance and possible adoption.

This project will utilize PAIMAS and toolkits such as Reviewing Significance 3.0 as reference for templates during development. PAIMAS, which stands for Producer-Archive Interface Methodology Abstract, will be used to identify, define, and provide structure to the relationships and interactions between the Producer/Creator and the Archive. This will become the basis for the workflows that will be created to guide the activities starting from the initial contact between the Producer or Creator of content until they are placed in the Archive.

On the other hand, Reviewing Significance 3.0 will guide how to evaluate the historical, cultural, social, and research value of materials for informed decision-making regarding acquisition, preservation, and access. By utilizing its criteria for assessing the significance of materials, the DOST-STII Archive can make informed decisions about which records to acquire and preserve based on their value to researchers, scholars, and other DOST stakeholders.

### Integrated Change Control

All requests for modifications or revisions on the first phase of the project -- identified deliverables, documents, objectives -- shall be reviewed by the project authorities upon its acceptance or rejection.

### Monitoring and Controlling

To review, analyze, and report the project progress, it is the responsibility of the project manager to monitor and control the processes based on the approved plan while ensuring compliance with the policies governing the institution where the project is being conducted.

### Processes and Procedures

The following phases outline how the project will be executed:

1. Initiation
   1. Task: Consultation with stakeholders on the scope and features of the collection strategy
   2. Task: Development of Project Plan
2. Drafting the Collections Policy
   1. Creation of Policy Outline
      1. Task: Identification of the scope of the collections policy
      2. Task: Writing of initial policy draft
      3. Task: Review and revision of policy draft
   2. Policy Finalization
      1. Task: Solicit feedback from key stakeholders through consultation
      2. Task: Finalization of policy documents incorporating stakeholders’ feedback

3. Creation of Appraisal Framework

3.1. Framework Development

3.1.1. Task: Definition of appraisal objectives

3.1.2. Task: Identification of appraisal criteria

3.1.3. Task: Definition of appraisal procedures

3.2. Documentation

3.2.1. Task: Creation of appraisal documentation templates

3.3. Review and Evaluation

3.3.1. Task: Assessment of the appraisal framework through pilot testing

3.3.2. Task: Make necessary adjustments based on the conducted evaluation

3.3.3. Task: Formalize the framework for a broader application

3.4. Finalization

3.4.1. Task: Solicit feedback from key stakeholders

3.4.2. Task: Revision of appraisal templates incorporating feedback from stakeholders

4. Creation of Acquisition Workflow and Metadata Vocabularies

4.1. Workflow Development

4.1.1. Task: Mapping out of acquisition process

4.2. Acquisition Workflow Development and Finalization

4.2.1. Task: Identification of acquisition methods

4.2.2. Task: Development of acquisition workflow

4.2.2. Task: Validation of methods and workflow with key stakeholders

4.2.3. Task: Revision of workflow incorporating feedback from key stakeholders

4.3. Metadata Vocabulary Development

4.3.1. Task: Identify requirements for metadata

4.3.2. Task: Develop custom metadata vocabularies

4.4. Finalization

4.4.1. Task: Presentation of metadata vocabularies to the key stakeholder

1. Closure
   1. Task: Presentation of outputs to one of the key stakeholders – DOST-STII’s Head of Agency, IRAD Division Chief, and Library Supervisor.
   2. Task: Submission of the Collections Strategy to the DOST-STII Head of Agency for acceptance.

### Schedule Management

#### TimeManagement

Time management will play a crucial role in the achievement of the project objectives and the success of the project.

*Baseline Gantt Chart*





### Project Budget Estimate

|  |  |
| --- | --- |
| **Expenses** | **Amount (PhP)** |
| Transportation expenses of the PM | PhP 3,000.00 |
| Food expenses during consultation with stakeholders | PhP 5,000.00 |
| Expenses for Token of Appreciation to Stakeholders | PhP 7,500.00 |
| Supplies and materials (printer ink, bond papers, mobile load, internet expenses) | PhP 3,000.00 |
| Miscellaneous expenses | Php 2,000.00 |
| **Total Expenses:** | **20,500.00** |
| **Contingency:** | **10% (2,050.00)** |
| **Total Project Expenses:** | **PhP22,550.00** |

### 

### Budget Assumptions

The following can affect the estimated budget of the project:

1. In case the number of consultations will increase or decrease.
2. In case there is an increase or decrease in the number of focal persons identified by the key stakeholders.

### 

### Risk

#### Risk Register and Action Plan

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Risk Description** | **Likelihood of Risk (unlikely, likely, very likely)** | **Impact if Risk Occurs**  **(low, medium, high)** | **Severity** | **Owner** | **Action Plan** |
| Resistance or indifference from target stakeholder | unlikely | high | unacceptable  risk high | Head of the Agency | Will need to scout for other agency |
| Change in organizational leadership | unlikely | high | unacceptable  risk high | DOST Central office | Explain and negotiate the significance of the project to the new head of the agency or supervisor |
| Scheduling conflict with stakeholders for consultation | likely | high | acceptable  risk high | Information Resources and Analysis Division | Plan and communicate consultation schedules well in advance, considering stakeholders' availability and preferences |
| Acts of God / Force Majeure | likely | high | unacceptable  risk high | Project manager | Plot reschedule dates |

### 

# PROJECT PROGRESS REPORT

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| **Inclusive Dates** | **Mar 4-8** | **Project name:** | | **Development of Collection Development Toolkit for the DOST-STII Archive** | | **Responsible Party:** | **PM** |
| **Deliverables completed this timeframe** | | | | | | | |
| 1. Development of Project Plan 2. Distributing of a survey questionnaire to the selected key stakeholders to identify the scope of collections | | | | | | | |
| **Deliverables planned next timeframe** | | | | | | | |
| 1. Identification of the scope of the collections policy 2. Writing of initial policy draft 3. Review and revision of policy draft | | | | | | | |
| **Issue to be resolved** | | | | | | | |
| 1. None | | | | | | | |
| **Original end date:** | | | **05/31/2024** | | **Costs to date:** | | **0** |
| **Expected end date:** | | | **05/31/2024** | | **Revised total:** | | **0** |

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| **Inclusive Dates** | **Mar 11 - 15** | **Project name:** | | **Development of Collection Development Toolkit for the DOST-STII Archive** | | **Responsible Party:** | **PM, PS** |
| **Deliverables completed this week (or other timeframe)** | | | | | | | |
| 1. Writing of initial policy draft | | | | | | | |
| **Deliverables Planned next week (or other timeframe)** | | | | | | | |
| 1. Identification of the scope of the collections policy based on the received answers of DOST and its attached agencies 2. Review and revision of policy draft 3. Presentation of policy draft to the DOST-STII as the key stakeholder and implementor | | | | | | | |
| **Issue to be resolved** | | | | | | | |
| 1. Unavailability of other DOST-attached agencies to answer the survey for the scope of the collections policy. | | | | | | | |
| **Original end date:** | | | **05/31/2024** | | **Costs to date:** | | **0** |
| **Expected end date:** | | | **06/05/2024** | | **Revised total:** | | **0** |

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| **Inclusive Dates** | **Mar 18 - 22** | **Project name:** | | **Development of Collection Development Toolkit for the DOST-STII Archive** | | **Responsible Party:** | **PM, PS** |
| **Deliverables completed this week (or other timeframe)** | | | | | | | |
| 1. Identification of the scope of the collections policy based on the received answers of DOST and its attached agencies 2. Presentation of policy draft to the DOST-STII as the key stakeholder and implementor | | | | | | | |
| **Deliverables Planned next week (or other timeframe)** | | | | | | | |
| 1. Finalization of policy documents incorporating DOST-STII focal person’s feedback 2. Acceptance of the scope of collection by the DOST-STII focal person through electronic mail 3. Identification of appraisal objectives 4. Identification of appraisal criteria | | | | | | | |
| **Issue to be resolved** | | | | | | | |
| 1. None | | | | | | | |
| **Original end date:** | | | **05/31/2024** | | **Costs to date:** | | **939.00** |
| **Expected end date:** | | | **05/31/2024** | | **Revised total:** | | **939.00** |

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| **Inclusive Dates** | **Mar 25-29** | **Project name:** | | **Development of Collection Development Toolkit for the DOST-STII Archive** | | **Responsible Party:** | **PM, PS** |
| **Deliverables completed this week (or other timeframe)** | | | | | | | |
| 1. Finalization of policy documents incorporating DOST-STII focal person’s feedback 2. Identification of appraisal objectives | | | | | | | |
| **Deliverables Planned next week (or other timeframe)** | | | | | | | |
| 1. Acceptance of the scope of collection by the DOST-STII focal person through electronic mail 2. Identification of appraisal criteria | | | | | | | |
| **Issue to be resolved** | | | | | | | |
| 1. Unavailability of key stakeholder (DOST-STII) for acceptance of the scope of collections due to the holidays | | | | | | | |
| **Original end date:** | | | **05/31/2024** | | **Costs to date:** | | **0** |
| **Expected end date:** | | | **06/07/2024** | | **Revised total:** | | **0** |

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| **Inclusive Dates** | **Apr 01-05** | **Project name:** | | **Development of Collection Development Toolkit for the DOST-STII Archive** | | **Responsible Party:** | **PM, PS** |
| **Deliverables completed this week (or other timeframe)** | | | | | | | |
| 1. Acceptance of the scope of collection by the DOST-STII focal person through electronic mail 2. Identification of appraisal objectives and criteria | | | | | | | |
| **Deliverables Planned next week (or other timeframe)** | | | | | | | |
| 1. Definition of appraisal methodologies 2. Creation of appraisal documentation templates | | | | | | | |
| **Issue to be resolved** | | | | | | | |
| 1. None | | | | | | | |
| **Original end date:** | | | **05/31/2024** | | **Costs to date:** | | **0** |
| **Expected end date:** | | | **05/31/2024** | | **Revised total:** | | **0** |

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| **Inclusive Dates** | **Apr 08-12** | **Project name:** | | **Development of Collection Development Toolkit for the DOST-STII Archive** | | **Responsible Party:** | **PM, PS** |
| **Deliverables completed this week (or other timeframe)** | | | | | | | |
| 1. Definition of appraisal methodologies 2. Creation of appraisal documentation templates | | | | | | | |
| **Deliverables Planned next week (or other timeframe)** | | | | | | | |
| 1. Assessment and validation of the appraisal framework through pilot testing of the framework with DOST-STII 2. Make necessary adjustments, corrections, and revisions, based on the conducted pilot testing | | | | | | | |
| **Issue to be resolved** | | | | | | | |
| * + - 1. None | | | | | | | |
| **Original end date:** | | | **05/31/2024** | | **Costs to date:** | | **0** |
| **Expected end date:** | | | **05/31/2024** | | **Revised total:** | | **0** |

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| **Inclusive Dates** | **Apr 15-19** | **Project name:** | | **Development of Collection Development Toolkit for the DOST-STII Archive** | | **Responsible Party:** | **PM, PS** |
| **Deliverables completed this week (or other timeframe)** | | | | | | | |
| 1. Identification of acquisition methods | | | | | | | |
| **Deliverables Planned next week (or other timeframe)** | | | | | | | |
| 1. Assessment and validation of the appraisal framework and template through pilot testing at the DOST-STII 2. Revisions and finalization of appraisal framework and template based on the conducted pilot testing. 3. Presentation of the revised appraisal templates to the key stakeholder (DOST-STII) 4. Development of acquisition workflow | | | | | | | |
| **Issue to be resolved** | | | | | | | |
| 1. Unavailability of focal person of the DOST-STII for the pilot testing. Activity is rescheduled for April 23, 2024. | | | | | | | |
| **Original end date:** | | | **05/31/2024** | | **Costs to date:** | | **0** |
| **Expected end date:** | | | **06/07/2024** | | **Revised total:** | | **0** |

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| **Inclusive Dates** | **Apr 22 - 26** | **Project name:** | | **Development of Collection Development Toolkit for the DOST-STII Archive** | | **Responsible Party:** | **PM, PS** |
| **Deliverables completed this week (or other timeframe)** | | | | | | | |
| 1. Assessment of the appraisal framework and template through pilot testing at the DOST-STII 2. Revisions and finalization of appraisal framework and template based on the conducted pilot testing 3. Sending of the revised appraisal templates to the key stakeholder (DOST-STII) focal person via email for acceptance 4. Development of acquisition workflow | | | | | | | |
| **Deliverables Planned next week (or other timeframe)** | | | | | | | |
| 1. Consultation with the DOST-STII Procurement Team for the procurement process. 2. Consult with key stakeholders (DOST-NAST, DOST-NRCP, DOST-PCEEIRD) on the policy documents, appraisal framework and templates, acquisition methods, and acquisition workflow. | | | | | | | |
| **Issue to be resolved** | | | | | | | |
| None | | | | | | | |
| **Original end date:** | | | **05/31/2024** | | **Costs to date:** | | **1,775.00** |
| **Expected end date:** | | | **05/31/2024** | | **Revised total:** | | **1,775.00** |

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| **Inclusive Dates** | **Apr 29- May 3** | **Project name:** | | **Development of Collection Development Toolkit for the DOST-STII Archive** | | **Responsible Party:** | **PM, PS** |
| **Deliverables completed this week (or other timeframe)** | | | | | | | |
| 1. Consultation with the DOST-STII Procurement Team for the procurement process 2. Presentation of the policy documents, appraisal framework and templates, acquisition methods, and validation of acquisition workflow to key stakeholders (DOST-NAST, DOST-NRCP, DOST-PCEEIRD) | | | | | | | |
| **Deliverables Planned next week (or other timeframe)** | | | | | | | |
| Revision and finalization of policy documents, appraisal framework and templates, acquisition methods, and acquisition workflow based on the feedback received from the key stakeholders | | | | | | | |
| **Issue to be resolved** | | | | | | | |
| 1. None | | | | | | | |
| **Original end date:** | | | **05/31/2024** | | **Costs to date:** | | **13,300.00** |
| **Expected end date:** | | | **05/31/2024** | | **Revised total:** | | **13,300.00** |

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| **Inclusive Dates** | **May 6-10** | **Project name:** | | **Development of Collection Development Toolkit for the DOST-STII Archive** | | **Responsible Party:** | **PM, PS** |
| **Deliverables completed this week (or other timeframe)** | | | | | | | |
| Revision and finalization of policy documents, appraisal framework and templates, acquisition methods, and acquisition workflow based on the feedback received from the key stakeholders  Identification of required metadata | | | | | | | |
| **Deliverables Planned next week (or other timeframe)** | | | | | | | |
| Presentation to DOST-STII of the revised policy documents, appraisal templates, acquisition methods, and acquisition workflows based on the received feedback from key stakeholders  Development of custom metadata vocabularies | | | | | | | |
| **Issue to be resolved** | | | | | | | |
| 1. Unavailability of DOST-STII focal person for the presentation of the revised policy documents encompassing appraisal and acquisition documents. | | | | | | | |
| **Original end date:** | | | **05/31/2024** | | **Costs to date:** | | **0** |
| **Expected end date:** | | | **06/07/2024** | | **Revised total:** | | **0** |

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| **Inclusive Dates** | **May 13-17** | **Project name:** | | **Development of Collection Development Toolkit for the DOST-STII Archive** | | **Responsible Party:** | **PM, PS** |
| **Deliverables completed this week (or other timeframe)** | | | | | | | |
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| **Deliverables Planned next week (or other timeframe)** | | | | | | | |
| Presentation to DOST-STII of the revised policy documents, appraisal templates, acquisition methods, and acquisition workflows based on the received feedback from other key stakeholders   1. Revision and finalization of policy documents, appraisal templates, acquisition methods, and acquisition workflows based on the received feedback from key stakeholders 2. Continuation of metadata vocabularies development | | | | | | | |
| **Issue to be resolved** | | | | | | | |
| 1. Unavailability of DOST-STII designated alternate focal person for the presentation of the revised policy documents encompassing appraisal and acquisition documents. | | | | | | | |
| **Original end date:** | | | **05/31/2024** | | **Costs to date:** | | **0** |
| **Expected end date:** | | | **06/07/2024** | | **Revised total:** | | **0** |

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| **Inclusive Dates** | **May 20-24** | **Project name:** | | **Development of Collection Development Toolkit for the DOST-STII Archive** | | **Responsible Party:** | **PM, PS** |
| **Deliverables completed this week (or other timeframe)** | | | | | | | |
| 1. Perusal of the revised policy documents, appraisal templates, acquisition methods, and acquisition workflows based on the received feedback from other key stakeholders by the Chief of the Information resources and Analysis Division (IRAD) of the DOST-STII and the designated focal person via email 2. Revision and finalization of policy documents, appraisal templates, acquisition methods, and acquisition workflows based on the received feedback from key stakeholders | | | | | | | |
| **Deliverables Planned next week (or other timeframe)** | | | | | | | |
| 1. Development of custom metadata vocabularies (continuation) 2. Development of template for the Required Set of Metadata (RSoM) | | | | | | | |
| **Issue to be resolved** | | | | | | | |
| 1. None | | | | | | | |
| **Original end date:** | | | **05/31/2024** | | **Costs to date:** | | **0** |
| **Expected end date:** | | | **06/07/2024** | | **Revised total:** | | **0** |

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| **Inclusive Dates** | **May 27-31** | **Project name:** | | **Development of Collection Development Toolkit for the DOST-STII Archive** | | **Responsible Party:** | **PM, PS** |
| **Deliverables completed this week (or other timeframe)** | | | | | | | |
| 1. Development of custom metadata vocabularies 2. Development of template for the Required Set of Metadata (RSoM) | | | | | | | |
| **Deliverables Planned next week (or other timeframe)** | | | | | | | |
| Presentation of the custom metadata vocabularies to the DOST-STII  Presentation of Collections Strategy to the DOST-STII Head of Agency for acceptance | | | | | | | |
| **Issue to be resolved** | | | | | | | |
| 1. None | | | | | | | |
| **Original end date:** | | | **05/31/2024** | | **Costs to date:** | | **0** |
| **Expected end date:** | | | **06/07/2024** | | **Revised total:** | | **0** |

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| **Inclusive Dates** | **June 3-7** | **Project name:** | | **Development of Collection Development Toolkit for the DOST-STII Archive** | | **Responsible Party:** | **PM, PS** |
| **Deliverables completed this week (or other timeframe)** | | | | | | | |
| Presentation of the custom metadata vocabularies to the DOST-STII   1. Presentation of Collections Strategy to the DOST-STII Head of Agency for acceptance | | | | | | | |
| **Deliverables Planned next week (or other timeframe)** | | | | | | | |
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| **Issue to be resolved** | | | | | | | |
| None | | | | | | | |
| **Original end date:** | | | **05/31/2024** | | **Costs to date:** | | **16,835.00** |
| **Expected end date:** | | | **06/07/2024** | | **Revised total:** | | **16,835.00** |

# PROJECT TERMINAL REPORT

## ABSTRACT

This project aimed to craft a collections policy that would provide a clear framework and guidelines for the appraisal, acquisition, and management of archival materials in the prospective DOST-STII Archive. The Department of Science and Technology – Science and Technology Information Institute (DOST-STII) initiated the establishment of the archive as part of its ongoing commitment to fulfilling its mandate to establish a comprehensive library and databank of Science and Technology (S&T) resources in the country. This archive aimed to preserve the substantive organic records of the Department of Science and Technology (DOST) and its attached agencies, ensuring these resources remained accessible for as long as possible, benefiting current and future generations.

The proponent initiated a Collections Strategy development project to ensure that they conducted all processes and transactions in the prospective archive accordingly, incorporating all stakeholders' valuable input. In essence, this project represented a critical step towards enhancing documentation and archiving efforts within the DOST, thereby bridging the gap in institutional memory and ensuring the preservation of DOST's scientific heritage for current and future generations, leaving a lasting legacy for all.

The methodology of this project included consultation and incorporation of stakeholder feedback, recognizing the invaluable role of each participant. It began with distributing a survey form through a Google Form to all members of the DOST's Science and Technology Information Network of the Philippines (SciNet-Phil), composed of DOST and its attached agencies. The survey form allowed the agencies to identify the records they possessed that had lasting archival value. 72.2% (13) of the 18 attached agencies responded to the survey. Following this, the proponent sought authorization from the head of DOST-STII to conduct consultations with specific DOST agencies, such as DOST-NAST, DOST-NRCP, and DOST-PCIEERD, based on the nature of their records and stakeholders. Once approved, they sent formal requests for consultations electronically to these agencies. Upon receiving positive responses, they scheduled the consultation dates. During these sessions, the project proponent presented the policy documents encompassing appraisal and acquisition, its workflow, and necessary documentation templates such as the Deed of Donation. They documented valuable stakeholder suggestions and feedback and actively integrated them into the workflow and templates, ensuring a collaborative and inclusive approach.

Finally, the proponent presented the refined workflow, templates, and comprehensive policy to the DOST-STII team, composed of the agency head, IRAD's Officer-in-Charge, and the Library Section's Officer-in-Charge. After thorough deliberation, the agency head accepted the Collections Strategy, recognizing its value and potential as foundation of the prospective DOST-STII Archive. IRAD's Officer-in-Charge further endorsed this acceptance through a formal letter. This acceptance showed the key stakeholders' confidence in the project's success and future implementation.

## ABBREVIATIONS

ASTI - Advanced Science and Technology Institute

DoD – Deed of Donation

DOST – Department of Science and Technology

DRMP – Disaster Risk Management Plan

FNRI - Food and Nutrition Research Institute

FPRDI - Forest Products Research and Development Institute

ITDI - Industrial Technology Development Institute

MIRDC - Metal Industry Research and Development Center

NAST - National Academy of Science and Technology

NRCP - National Research Council of the Philippines

PAGASA - Philippine Atmospheric, Geophysical and Astronomical Services Administration

PCAARRD - Philippine Council for Agriculture, Aquatic, and Natural Resources Research and Development

PCHRD - Philippine Council for Health Research and Development

PCIEERD - Philippine Council for Industry, Energy, and Emerging Technology Research and Development

PHIVOLCS - Philippine Institute of Volcanology and Seismology

PNRI - Philippine Nuclear Research Institute

PSHS - Philippine Science High School System

PTRI - Philippine Textile Research Institute

RIC-CM – Records in Context Conceptual Model

RIC-O – Records in Context Ontology

RSoM – Required Set of Metadata

S&T – Science and Technology

SEI - Science Education Institute

STII – Science and Technology Information Institute

TAPI - Technology Application and Promotion Institute

## PROJECT EXECUTION REPORT

### Project Scope

The Project Charter outlined the project's scope, objectives, and limitations. Initially, the proponent conducted a stakeholder analysis by distributing a survey via a Google Form to determine the scope of the collections from DOST and its attached agencies. Of the 18 attached agencies, 72.2% responded, providing the types of records held by the 13 agencies. Soon after, the proponent also consulted with DOST-NAST, DOST-NRCP, DOST-PCIEERD, and DOST-STII to validate the scope of the collections policy.

Table 1 shows the answers provided by the respondents in the Google form and during the consultation:

|  |  |
| --- | --- |
| **Name of DOST-attached Agency:** | **Types of Records identified by the DOST attached Agencies** |
| DOST-FNRI | * Agency publications * Research papers of agency personnel * Project Reports * Terminal Reports * AV documentations of projects, programs, and activities |
| DOST-FPRDI | * Agency publications * Research papers of agency personnel * Project Reports * Terminal Reports * Budgetary/ Finance documents * AV documentation of projects, programs, and activities * Scientific Papers of Filipino National Scientists * Scientific Papers of S&T fellows |
| DOST-ITDI | * Agency publications * Research papers of agency personnel * Project Reports * Terminal Reports * AV documentation of projects, programs, and activities * Scientific papers of Filipino National Scientists |
| DOST-MIRDC | * Agency publications * Research papers of agency personnel |
| DOST-NAST - Technical Services Division | * Agency publications * Project Reports * Terminal Reports * Budgetary/ Finance documents * AV documentation of projects, programs, and activities * Scientific Papers of Filipino National Scientists and Outstanding Young Scientists * Scientific Papers of Academicians * Pamphlets * Brochures |
| DOST-NRCP | * Agency publications * Bulletins |
| DOST-PCAARRD | * Agency publications * Project reports * Terminal Reports |
| DOST-PCHRD | * Agency publications * Project reports * Terminal Reports * Photographs * Annual reports * Brochures * Leaflets * Souvenir programs |
| DOST-PCIEERD | * Agency publications * Project reports * Terminal Reports * Budgetary/ Finance documents * AV documentation of projects, programs, and activities * Websites of DOST-attached agencies * Social Media pages of DOST-attached agencies * Broadcast channels of DOST-attached agencies |
| DOST-PNRI | * Agency publications * Research papers of agency personnel * Project reports * Terminal Reports * AV documentations of project, programs, and activities * Scientific papers of S&T fellows * Scientific papers of experts |
| DOST-SEI | * Agency publications * Research papers of agency personnel * Project reports * Terminal Reports * Budgetary/Finance documents * AV documentations of project, programs, and activities |
| DOST-STII | * Agency publications * AV documentations of project, programs, and activities * Scientific papers of national scientists * Scientific papers of S&T fellows * Scientific papers of experts * Results of scientific research funded by DOST * DOST Legal documents and policy statements |
| DOST-TAPI | * Scientific papers of Filipino National Scientists * Scientific papers of S&T fellows * Scientific papers of experts |

Table 1. Shows the Respondents' Answers

Table 2 maps and aligns the types of records identified by stakeholders to the scope of collection identified by the proponent.

|  |  |
| --- | --- |
| **Types of Records** | **Scope of Collections** |
| * Agency publications * Bulletins * Annual reports * Brochures * Leaflets * Souvenir programs * Websites of DOST-attached agencies * Social Media pages of DOST-attached agencies * Broadcast channels of DOST-attached agencies | * DOST-produced or funded publications documenting actions, decisions, and procedures of and within the DOST System. |
| * Project reports * Terminal Reports | * Project records documenting the outcomes and progress of various initiatives of the DOST-attached agencies for the Filipino people. |
| * AV documentations of project, programs, and activities * Minutes of meetings * Photographs * Websites of DOST-attached agencies * Social Media pages of DOST-attached agencies * Broadcast channels of DOST-attached agencies | * Documentation of events, programs, and activities of DOST and its attached agencies, including but not limited to photographs, videos, slides, and minutes of meetings. |
| * Scientific Papers of Filipino National Scientists and Outstanding Young Scientists * Scientific Papers of Academicians * Scientific papers of S&T fellows * Scientific papers of experts | * Scientific papers authored by Filipino National Scientists, Academicians, S&T Fellows, Outstanding Young Scientists (OYS), and S&T Experts. |
| * Results of scientific research funded by DOST | * Results of scientific research conducted or funded by the DOST, including publications and reports. |
| * DOST Legal documents and policy statements | * Statements of policies, guidelines, and regulations governing the department's operations and interactions with the public. |
| * All relevant types of records | * Records covered by the Freedom of Information Bill. |

Table 2. Mapping the types of records to the scope of collections identified in the Collections Strategy

Through the interview and consultation, DOST-NAST recommended adding the collection of the scientific papers of Outstanding Young Scientists and Academicians which the proponent integrated in the scope. Also, the proponent included DOST-PCIEERD’s recommendation of adding DOST websites, social media pages, and broadcast channels of DOST and its attached agencies in the scope.

Among the identified types of records, the proponent excluded the research papers of agency personnel unrelated to their role in the agency and the budgetary or finance records in the scope of collection since these were not significant to the DOST's fulfillment of its mandates. Research papers on agency personnel unrelated to their roles do not qualify as substantive record of the agency. The budgetary or finance documents, on the other hand, are kept by the records owners in each agency to comply with established records management practices and legal and regulatory requirements.

After the integration of the stakeholder's recommendations, the proponent sent the documents via electronic mail to the DOST-STII's focal person, who validated and accepted them. This marked the start of the crafting of the appraisal criteria, methodologies, and templates. The proponent based the appraisal method and template on the Reviewing Significance 3.0 and validated them through pilot testing in the DOST-STII's existing collection transferred from the DOST-PCAARRD. These records, chosen for the pilot test, had not undergone appraisal before their acceptance in the library for the prospective DOST-STII Archive. After a successful pilot test, the proponent integrated the feedback from the focal person to simplify the framework and template. The revised framework and template were then sent to the DOST-STII focal person, who accepted the final framework and template.

The proponent then developed the acquisition framework, methodologies, templates, and workflow. She identified three acquisition methods: internal transfer, donation, and purchase. Referring to RA9184 for the purchase method, she consulted the DOST-STII's procurement team to ensure they followed the government procurement process.

Upon completing the acquisition framework, methodologies, templates, and workflow, she scheduled a presentation with DOST-NAST, DOST-NRCP, and DOST-PCIEERD to present all completed processes. She showed the policy documents, including the appraisal framework and its templates, acquisition methods, workflow, and templates.

During the presentation, one of the focal persons of DOST-PCIEERD recommended using the template of the existing Deed of Donation of DOST-STII for donations received from external stakeholders to ensure uniformity. Consequently, the proponent requested the existing template of the agency's Deed of Donation and used it as a pattern for the Archive's Deed of Donation. After the successful presentation, the key stakeholders expressed their acceptance of the presented documents and the integration of their recommendations.

Subsequently, she developed the required metadata vocabularies for the archive. Utilizing the Records in Context Conceptual Framework and Ontology as the primary references for this process, she identified the metadata entities such as Agent (person, group, position, or mechanism), Record Resource (record or record set), Event or Activity, Mandate, Instantiation, Date, and Place. She presented the required metadata to DOST-STII, who accepted it after deliberations.

Upon completing all the deliverables, the proponent presented the Collections Strategy to DOST-STII's head of agency, with the presence of the IRAD Officer-in-Charge and the Library Services Section Officer-in-Charge for final perusal and acceptance. After careful deliberation, the officials accepted the Collections Strategy, and the IRAD's Officer-in-Charge endorsed it with a formal letter.

### Project Plan and Framework

This project followed the phases outlined in the "Project Methodology and Approach" on page 12 and "Process and Procedures" on page 13 of the "Project Charter." The proponent adhered to the Waterfall Approach and PAIMAS for all the tasks involved in crafting and executing this project. This ensured that the project's deliverables followed a structured methodology and were completed sequentially, instilling confidence in the project's systematic approach. She started from the planning tasks until the closure. To start, the proponent identified five DOST-attached agencies as the key stakeholders of this project: DOST-NAST, DOST-NRCP, DOST-PCHRD, DOST-PCIEERD, and DOST-STII. The primary consideration in choosing these key stakeholders is the type of their records and stakeholders. The key stakeholders of DOST-NAST are the Filipino National Scientists, OYS, Academicians, and experts. The DOST-NRCP provides funding for research covering all fields of science (life science, applied science, and social science), and they keep the research data and results. The DOST-PCHRD provides funding for health-related research and projects with an established consortium of academies. They collect records relating to the projects they funded and the outputs of their consortia, such as co-publications. The DOST-PCIEERD funds emerging technology-related projects and conducts programs on technology adoption. They collect terminal and project reports documenting the execution of these projects and programs that impacted the Filipino people crucial to the establishment of the DOST institutional memory. The DOST-STII, where the proponent is affiliated, was mandated to establish a library and a databank of science and technology resources, making this agency the primary stakeholder and implementor of this project. To successfully conduct the consultation and presentation of the project outputs to the previously mentioned agencies, the proponent sought authority from the head of the DOST-STII agency. Upon receiving the signed formal letter addressed to the other four chosen stakeholders, the proponent sent this through electronic mail. Despite the unfortunate lack of response from one of the chosen skey stakeholders, the proponent expressed gratitude for the participation of the other four key stakeholders, emphasizing their importance in the project.

During the conduct of this project, a situation arose where the focal person of the DOST-STII, Ms. Lynderlitte M. Maglaque, was unexpectedly affected by an illness, preventing her from participating. To ensure continuity, the proponent acted, seeking and receiving permission from the Division Chief to designate an alternate focal person, Ms. Nelly Ngangay. The planned initial in-person presentation of the policy documents, encompassing appraisal and acquisition documents integrated with the recommendations of other key stakeholders for final perusal and acceptance of the DOST-STII focal person, was done through email. The Division Chief promptly made his inputs in the shared document via Google. Ms. Ngangay, the acquisition and technical librarian designated to replace Ms. Maglaque, was promptly provided with the necessary workflow, acquisition methods, and templates through electronic mail. The proponent integrated her recommendation to include the statement of DOST-STII’s mandate in the Deed of Donation into the document, and she expressed her acceptance of the acquisition methods and their templates.

The project was closed following the specified task, and Mr. Burgos, the agency head of the DOST-STII, accepted the Collections Strategy.

### Project Schedule Management

This project was initially scheduled to be completed in 3 months and took an additional five days to finish. This deviation from the original timeline, as outlined in the 'Baseline Gantt Chart' of the 'Project Charter' on page 16, was influenced by several events. The slight delay in the project's completion did not significantly impact the project timeline, and the team still met all project deliverables within the revised schedule.

In Week 2, only six out of the 18 DOST-attached agencies responded to the survey form sent through the official group chat of the DOST-ScINet. This scenario prompted the proponent to reschedule the identification of the scope of collections for the following week. Recognizing the need for additional support, the proponent contacted her supervisor, who was crucial in encouraging other agencies to respond to the survey form. As a result, the number of agencies that responded to the survey increased to 13 the following week, making it a reasonable number to provide the scope of collections for the prospective archive.

In Week 4, the focal person of the DOST-STII was unavailable due to the holidays, prompting the proponent to reschedule the acceptance of the scope of collections for the following week, which affected the project timeline, pushing the end date to a later date. However, upon resuming office hours the following week, the focal person took immediate action and positively responded to the proponent's email, seeking her acceptance of the scope of collections. This proactive approach helped mitigate the delay's impact on the project's timeline.

In Week 5, in addition to seeking acceptance for the scope of collections, the proponent was able to finish identifying appraisal objectives and criteria, putting the project schedule back to its original timeline.

In Week 7, a conflict with the focal person's schedule led to the postponement of the pilot testing with DOST-STII. However, demonstrating a proactive approach, the proponent initiated the identification of acquisition methods, effectively utilizing the time while waiting for the rescheduled consultation set for the following week, April 23, 2024. By April 23, the proponent successfully presented the appraisal templates and conducted the pilot testing. The DOST-STII focal person recommended simplifying the template, which the proponent integrated. The proponent sent the simplified appraisal framework and template to the focal person through electronic mail, and upon review, she expressed her acceptance. This successful resolution of the scheduling conflict highlights the project's ability to adapt and maintain progress despite unforeseen circumstances.

In Week 10, the proponent forwarded an email containing attachments of the policy documents, which included the appraisal and acquisition frameworks, workflow, and templates integrated with the other key stakeholders' recommendations, to the DOST-STII focal person and IRAD's Division Chief for final perusal. A link to the Google Drive folder was also provided to make it easier for them to write their inputs. Despite the unforeseen circumstance of Ms. Lynderlitte Maglaque's hospitalization, the Division Chief stepped in, reviewed the documents, and added his comments to the shared file, showcasing the project's commitment to quality and thoroughness. The proponent still decided to extend the review period by another week (Week 11), hoping for feedback from the focal person. Unfortunately, due to the severity of her condition, the focal person could not review the documents. Therefore, the proponent sought the advice of IRAD's Division Chief to designate Ms. Nelly A. Ngangay to replace Ms. Maglaque for the time being, which the Division Chief agreed to. The proponent then informed Ms. Ngangay about this, and the relevant documents were sent to her via email for her review and recommendations. After integrating her inputs to include the mandate of the DOST-STII in the deed of Donation, she expressed her acceptance of the policy documents, highlighting the importance of stakeholder involvement and feedback in the project's success.

Table 3 demonstrates the changes of the schedule to accomplish the project’s deliverables:

|  |  |  |  |
| --- | --- | --- | --- |
| TASK | Scheduled Date | Actual Date | Remarks |
| Initiation | | | |
| Consultation with DOST-STII as key stakeholder on the scope and features of the collection strategy | February 26 – March 1, 2024 | February 26 – March 1, 2024 |  |
| Development of Project Plan | February 28 – March 5, 2024 | February 28 – March 5, 2024 |  |
| Planning | | | |
| Identification of the scope of the collections policy | March 4 – 8, 2024 | March 11 – 15, 2024 | The completion of this task was extended for another week to allow other DOST-attached agencies to answer the survey form |
| Writing of initial policy draft | March 11-15, 2024 | March 11-15, 2024 |  |
| Execution | | | |
| Presentation of policy draft to the DOST-STII as the key stakeholder and implementor | March 18-22, 2024 | March 18-22, 2024 | The responses of the 13 DOST-attached agencies were incorporated in this policy draft |
| Finalization of policy draft incorporating DOST-STII focal person’s feedback | March 25-29, 2024 | March 25-29, 2024 |  |
| Acceptance of the scope of collection by the DOST-STII focal person through electronic mail | March 25 – 29, 2024 | April 01 – 05, 2024 | This task was rescheduled to a later date due to the holidays |
| Identification of appraisal objectives | April 01 – 05, 2024 | March 25 – 29, 2024 | This task was done earlier while the proponent waits for the focal person’s acceptance of the scope |
| Identification of appraisal criteria | April 01 – 05, 2024 | April 01 – 05, 2024 |  |
| Definition of appraisal methodologies | April 08 – 12, 2024 | April 08 – 12, 2024 |  |
| Creation of appraisal documentation templates | April 08 – 12, 2024 | April 08 – 12, 2024 |  |
| Assessment and validation of the Appraisal framework and template by the DOST-STII | April 15 – 19, 2024 | April 22 – 26, 2024 | The DOST-STII focal person was unavailable due to a conflict of schedule on the scheduled date, so the task was forwarded to a later date. |
| Identification of acquisition methods | April 22 – 26, 2024 | April 15 – 19, 2024 | This task was forwarded while the proponents wait for the rescheduled assessment |
| Revision of appraisal templates incorporating feedback from stakeholders | April 15 – 19, 2024 | April 22 – 26, 2024 | This was rescheduled pending the completion of assessment and validation |
| Sending of the revised appraisal templates to the key stakeholder (DOST-STII) focal person via email for acceptance | April 22 – 26, 2024 | April 22 – 26, 2024 |  |
| Identification of acquisition methods | April 29 – May 03, 2024 | April 15-19, 2024 | Due to the unavailability of DOST-STII’s focal person for the pilot testing of appraisal templates, this task was completed earlier than scheduled. |
| Development of acquisition workflow | May 06 – 10, 2024 | April 22 – 26, 2024 | This was rescheduled earlier pending the acceptance of DOST-STII focal person for the appraisal framework and templates |
| Consultation with the DOST-STII Procurement Team for the government procurement process | April 29 – May 03, 2024 | April 29 – May 03, 2024 |  |
| Presentation of the policy documents, appraisal framework and templates, acquisition methods, and validation of acquisition workflow with key stakeholders (DOST-NAST, DOST-NRCP, DOST-PCEEIRD) | April 29 – May 03, 2024 | April 29 – May 03, 2024 |  |
| Revision and finalization of policy documents, appraisal framework and templates, acquisition methods, and acquisition workflow based on the feedback received from the key stakeholders | May 06 – 10, 2024 | May 06 – 10, 2024 |  |
| Presentation to DOST-STII of the revised policy documents, appraisal templates, acquisition methods, and acquisition workflows based on the received feedback from key stakeholders | May 06 – 10, 2024 | May 20 – 24, 2024 | This task was rescheduled due to unforeseen circumstance of the DOST-STII focal person critical to the scheduled timeframe of the project |
| Revision and finalization of policy documents, appraisal templates, acquisition methods, and acquisition workflows based on the received feedback from key stakeholders | May 06 – 10, 2024 | May 20 – 24, 2024 | This was affected by the rescheduling of previous task |
| Identification of required metadata | May 06 – 10, 2024 | May 06 – 10, 2024 |  |
| Development of Custom metadata | May 20 - 31, 2024 | May 20 - 31, 2024 |  |
| Presentation of custom metadata vocabularies to the DOST-STII | May 27 – 31, 2024 | June 07, 2024 | The schedule was affected by the rescheduled previous tasks |
| Closure | | |  |
| Presentation of outputs to the Key Stakeholders - Library Supervisor, Division Chief, and Head of Agency | May 29, 2024 | June 7, 2024 | The schedule was affected by the rescheduled previous tasks |
| Submission of the Collections Strategy to the DOST-STII for acceptance | May 31, 2024 | June 7, 2024 | The schedule was affected by the rescheduled previous tasks |

Table 3. The Changes of Schedule from the Scheduled Date to Actual Date of Accomplishment

### Project Costing

This portion covers the actual expenses of the project.

|  |  |  |  |
| --- | --- | --- | --- |
| **Description** | **Planned budget** | **Actual Amount** | **Remarks** |
| Transportation expenses of the PM | 3,000.00 | 500.00 | Mode of transportation was back ride |
| Food expenses during consultation with stakeholders | 5,000.00 | 4,635.00 | Discount vouchers were utilized |
| Expenses for Token of Appreciation to Stakeholders | 7,500.00 | 10,500.00 | Each of the 7 focal persons was given a token worth P1,500.00 each |
| Supplies and materials (printer ink, bond papers, mobile load, internet expenses) | 3,000.00 | 1,200.00 | The DOST-STII allowed the use of its printer and bond papers lessening the expenses |
| Miscellaneous expenses | 2,000.00 | 00.00 | No miscellaneous expenses were incurred |
|  |  |  |  |
| **Total** | **20,500.00** | **16,835.00** |  |

The decrease in the total budget primarily occurred because the DOST-STII allowed the proponent to use its printer and other supplies as part of its show of support.

### Project Team

The following individuals have generously helped accomplish the project:

* Richard P. Burgos, Director (agency head) of the DOST-STII, approved the conduct of this project and accepted the final output.
* Alan C. Taule, IRAD Division Chief, helped edit the project report and endorsed the acceptance of this project's final output.
* Lynderlitte M. Maglaque, Supervisor and Head Librarian of the Library Services Section played a crucial role as the focal person for consultations in the DOST-STII. Her valuable input on the scope and archival processes presented was instrumental in the project's success.
* Jereme Mapa, PTS 1 of DOST-NAST, was the focal person of DOST-NAST. She shared her time and input on the scope and helped the proponent understand the acquisition process they use in the library.
* Ena Conde, Connie Roa, and Mark Ival Roblas, focal persons for DOST-PCIEERD, gave their inputs on the scope of the collection and acquisition templates, especially on the Deed of Donation.
* DOST-NAST focal persons (names withheld due to their request) gave their input and recommendation to include a monitoring system for the usage of the archival collections once the DOST-STII decides to create an archive management system.
* Nelly A. Ngangay, SRS II of the DOST-STII, graciously stepped in and provided her expertise on the acquisition process and templates instead of Ms. Lynderlitte M. Maglaque, who unfortunately experienced unexpected hospitalization.
* Marievic N. Narquita, IRAD's Officer-in-Charge, signed the endorsement of acceptance of the final output to the DOST-STII head of agency in place of Mr. Taule.
* Arjay C. Escondo, Library Services Section Officer-in-Charge, sat during the presentation and supported the endorsement of the agency head's acceptance of the final output.

# CONCLUSION AND RECOMMENDATIONS

## RESULTS AND DISCUSSION OF ACCOMPLISHMENTS PER OBJECTIVE

The capstone project successfully achieved its primary objectives, significantly contributing to the development and enhancement of the Collections Strategy for the DOST-STII Archive.

The first objective was to craft a comprehensive Collections Policy that would establish the scope and priorities for collecting materials based on their significance, relevance, and value. Based on the survey responses from 13 attached agencies, and consultation with four (4) selected agencies, of the Department of Science and Technology (DOST), the Collections Policy successfully included 96% of the identified collections. However, 4% of the collections were excluded, including the recommendations of DOST-PCIEERD to include digital documentations of DOST websites, social media pages, and broadcast channels, as these collections require specialized policies. The input provided by DOST-NAST to include scientific papers of OYS and Academicians were also incorporated in the scope.

The second objective focused on creating an appropriate appraisal framework to provide a structured approach to selecting and managing archival collections. The appraisal framework was tested at the DOST-STII, with results indicating that the identified appraisal criteria are well-suited to the specific needs of the DOST-STII Archive. After the successful testing of the framework with the DOST-STII, the proponent presented this framework, including the appraisal criteria and template, to the other identified key stakeholders of this project, namely DOST-NAST, DOST-NRCP, and DOST-PCEEIRD.

Two women sitting at a table with a computer

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Figure 1. The proponent with Ms. Mapa, DOST-NAST focal person

Figure 1 shows the proponent during her presentation and consultation with Ms. Mapa, the designated focal person of the DOST-NAST, on April 30, 2024. During this consultation, Ms. Mapa provided background to the proponent on their library's acquisition process. She also informed the proponent that, for the prospective DOST-STII Archive to collect scientific papers of National Scientists, OYS, Academicians, and experts, they needed to send a formal letter to the Chairperson of the NAST Executive Council. This information was beneficial to the DOST-STII Archive. After the proponent presented the appraisal documents, Ms. Mapa expressed acceptance.

A group of people sitting in cubicles

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Figure 2. The proponent during her presentation and consultation with DOST-NRCP.

Figure 2 shows the proponent with the designated focal persons DOST-NRCP on April 30, 2024, during the presentation and consultation of policy documents. Following their request, the proponent withheld the names of these focal persons. In the course of the presentation of the appraisal documents, the focal persons informed the proponent of the availability of their agency’s Library Management System (LMS) and Scientific Knowledge Management System (SKMS), where digital copies of their agency’s publications are stored and accessed that they are willing to link in the prospective archive’s website when available. As their designation as focal persons does not provide them with any decision-making authority, they opted not to express acceptance nor refusal of the presented appraisal documents.

A group of people sitting at a table

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Figure 3. The proponent with the designated focal persons of DOST-PCIEERD

Figure 3 shows the proponent with the designated focal persons DOST-PCIEERD on April 30, 2024, during the presentation and consultation of policy documents, namely, Ms. Ena R. Conde, Ms. Connie Roa, and Mr. Mark Ivan Roblas. During the presentation of the appraisal documents, they understood the value of conducting significance assessment to records before they are transferred to the archive.

The third objective was to create an acquisition workflow, templates, modes, and core elements for a controlled vocabulary tailored to the needs of the DOST-STII Archive. The proponent presented the acquisition workflow, modes or methods, and templates to the key stakeholders to evaluate their suitability. During the presentation, DOST-PCIEERD recommended using the existing legal format of the Deed of Donation used by the DOST-STII as a legally binding document for resources donated by external stakeholders, which the Collections Policy adopted. They also recommended crafting a Disaster Risk Management Plan (DRMP) for the prospective DOST-STII Archive. This recommendation was reflected in the recommendations of this project. After presentation and deliberation, the three designated focal person expressed their positive support to the policy documents and the establishment of the DOST-STII Archive as a whole.

For the DOST-STII, as the target implementor of this project, the acquisition workflow, its modes or methods, templates, and the controlled vocabularies were presented to the head of agency, IRAD’s Officer-in-Charge, and Library Services Section Officer-in-Charge at DOST-STII on June 7, 2024. Figure 4 shows the proponent during her presentation. At this point, she presented the contents of the whole Collections Strategy emphasizing the recommendations gathered from the other key stakeholders.

A group of people sitting at a table

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Figure 4. The proponent with Director Richard P. Burgos, Arjay C. Escondo, and Marievic Narquita

Finally, after careful deliberation, the overall Collections Strategy document was turned over and accepted by the head of agency of the DOST-STII through a formal letter.

## CONCLUSIONS

In conclusion, the capstone project successfully achieved its objectives, laying a solid foundation for the systematic and strategic development of the prospective DOST-STII Archive. The collections policy, effective appraisal framework, practical acquisition workflows, and controlled vocabularies collectively enhance the DOST-STII Archive's capability to manage and preserve significant archival records. The high inclusion rate of identified collections in the Collections Policy demonstrates good stakeholder engagement and alignment with archival priorities. Successfully testing the appraisal framework ensures that archival materials are selected and managed with a structured and practical approach.

Finally, the head of the agency's acceptance of the final output, which includes the whole document on the Collections Strategy for the prospective DOST-STII Archive, signifies the willingness and support of the agency in the future implementation of the collections policy and in the establishment of the prospective archive as a whole. Management support is crucial in advocating for the higher management of the DOST system to approve the DOST-STII Archive and allocate the resources needed to implement the Collections Strategy.

## RECOMMENDATIONS

Based on the results of the capstone project, the following recommendations are proposed:

1. The DOST-STII adopts the Collections Strategy and allocates funding for its implementation, including the provision of preservation infrastructure to support the long-term preservation of the archives.
2. The DOST-STII will develop a Disaster Risk Management Plan to identify possible risks for the archives and mitigating factors to lessen the effect of these risks.
3. Developing an access policy for segmented types of users or clients is recommended for those who wish to continue with the project. This activity will require more engagement with stakeholders and a longer duration.
4. Generally, it is recommended for all institutions to craft a Collections Policy for their archive to provide a clear and structured framework for the acquisition, management, preservation, and accessibility of archival materials. The policy is crucial to provide direction and clarity, ensure consistency in all processes, compliance with existing laws and regulations, and enhance efficiency in the execution of all the processes and guidelines governing the archive.

These recommendations are made to ensure sustainability and replicability of the project by other institutions, and continuous enhancement of archival practices to meet the evolving needs of the institution and the broader archival community.

# REFERENCES

## REFERENCES

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# 

# APPENDICES

## A document with signature on it Description automatically generatedAppendix A: Stakeholder Commitment

## Appendix B: Consent Forms

Participant Information and Consent Form

Study Title and Researcher Details

Title: Development of Collections Strategy for the Prospective DOST-STII Archive

Researcher: Irene S. Alis-Brillo Contact Information: irene.brillo@stii.dost.gov.ph

Degree and Programme: Master in Archives and Records Management

Supervisor: Contact Information:

Data Processors (including transcribers, secretaries, field workers):

You are being invited to take part in a capstone project.

Before you decide whether or not to participate, it is important that you understand why the research is being done and what it will involve. Please read the following information carefully.

What is the purpose of the study?

This project aims to develop a comprehensive collection strategy to bridge the existing gap in DOST’s institutional memory, facilitate informed decision-making, foster national pride and identity, and lay the foundation for sustained progress and innovation in science and technology in the Philippines. This project will have a duration of three months, from March to May 2024.

Why have I been chosen?

You have been chosen as one of the key stakeholders because you are part of the agency that will benefit from the output.

Most of the time, I will be scheduling consultations with you throughout the duration of the project.

Do I have to take part?

Participation in the study is completely up to you. You do not need to take part if you do not want to. If you do take part in the study, you may also decline to answer a question or withdraw fully. You do not need to give a reason for declining or withdrawing.

As previously mentioned, this study will close on May 29, 2024. After this date, you will be unable to withdraw or update any responses you have submitted or provided.

What will happen to me if I take part?

If you will take part, questions will be on the processes that you do or want to do in the DOST-STII Archive Unit, including the policies that you want to implement, workflows that you want to use, and frameworks that you want to adopt to fully operationalize the unit.

Will my taking part in this study be kept confidential?

Your information will be processed following the UP Data Privacy Policy and in compliance with the Data Privacy Act of 2012 (RA 10173). Assurances of confidentiality are strictly adhered to. However, the researcher may be legally compelled to disclose participant information in a court of law or to contact relevant authorities should evidence of wrongdoing or potential harm be uncovered.

What will happen to the project data and the results of the research?

<explain the data analysis, with particular attention to processes involving classification and anonymisation>

<explain storage and retention mechanisms>

<explain the appropriate legitimate basis for processing the information under RA10173>

<explain that the thesis is available to the public and accessible via the UP SLIS Library>

<explain if you plan to submit the work to a conference or journal>

Processed data sets are submitted and kept in the University’s Data Commons repository in an anonymous or redacted form. This data may be used by other researchers in their study without further reference to you, as you would not be identifiable.

As the researcher I am responsible for ensuring that my data processing complies with the legal and regulatory requirements. I take full responsibility over the processing of your information.

Who is organising and funding the research?

<indicate any funding agencies or if the research is part of a larger study managed by the University or another institution, otherwise indicate Not Applicable>

Who has reviewed the study?

The study methodology and instruments have been reviewed and approved by the members of the SLIS MARM Capstone Panel. I have fully complied with the recommendations of the thesis panel regarding the collection of data for this research.

Panel Report Reference:

Date of Approval:

How can I access information relating to me or complain if I suspect my information has been misused or used for purposes other than I agreed to?

You can contact the researcher or their supervisor in the first instance if you have concerns. If you are not comfortable doing this, or if you have tried but don’t get a response or if the person appears to have left the University, you can contact the UP SLIS Data Privacy Focal Person through the SLIS Information Office at [info@slis.upd.edu.ph](mailto:info@slis.upd.edu.ph).

Where there appears to have been problems, you can – and indeed may be advised to – submit a Subject Access Request, Request for Rectification, or formal complaint to start a privacy or ethics review. This is not to intimidate you with bureaucracy, but so that we can evidence and act on complaints legally. This procedure allows us to follow a formal process with appropriate support and a clear set of responsibilities.

As part of this process, you will need to submit proof of identification. This is not meant to deter inquiries but to safeguard against identity theft and fraudulent approaches that may result in data breaches.

You also have the right to lodge a complaint against the University regarding data protection issues with the National Privacy Commission though their website <https://privacy.gov.ph/askpriva/> or by phone at +632 8234 2228 ext 114.

*This form is derived from the University of Glasgow’s research ethics form.*

PARTICIPANT AGREEMENT FORM

I understand that Irene S. Alis-Brillo is collecting data in the form of a/an survey/interview/focus group discussion for use in an academic research study at the University of the Philippines School of Library and Information Studies (UPSLIS).

I have read the information sheet outlining the study and its methods and had the opportunity to ask questions arising from that.

I agree to the processing of data for this study on the following terms:

1. Use and storage of research data in the University of the Philippines reflects the institution’s educational and research mission laid out by the UP Charter (RA 9500), its commitment to open access and freedom of information, and its legal responsibilities for information security and research ethics.
   1. I give consent for the use of my data following the processing laid out in the information sheet.
   2. I understand that I have the right to access data related to me or that I have provided, and to object where I have reason to believe it has been misused or used for purposes other than those stated.
   3. Records arising from the study in both physical and electronic form will be treated as confidential and kept in secure storage (locked physical storage; multi-factor protected devices and accounts controlled by the University of the Philippines) at all times.
2. I consent to be personally identified and associated with my responses. OR I consent to be identified as an individual anonymous case or with a pseudonym/number. OR+ My participation in the survey is anonymous.
3. Data from my responses and be individually extracted and remixed in further studies. Transcripts or the raw data set are kept in the Universities data repository. OR Responses are aggregated by question or group when exported/processed so that an individual’s responses cannot be grouped together. The original survey data or transcript will be destroyed after anonymisation or redaction. This will be done by June 30, 2024.
4. I understand that once the data collected is anonymised, it may be used for the study without further reference to me. However, I understand that I may request access or raise and objection if I have legitimate grounds for concern that I remain directly identifiable from it or that it has been used for purposes other than those stated.

*(use these fields if collecting personal information, otherwise use an electronic confirmation without collecting names, e.g. “I understand and agree” tickbox)*

Participant Name: Lynderlitte M. Maglaques

Verified Email or Correspondence Address: lynderlitte.maglaque@stii.dost.gov.ph

Signature or Electronic Confirmation:

*Raffle entries or incentives to participate in the survey should use a different link provided at the end of the survey form to separate it from survey responses. This separate form should contain a privacy notice explaining the purpose of data collection to facilitate the raffle or incentive disbursement. There should also be an explanation that the responses to that form at completely separate from the survey responses.*

I, Irene S. Alis-Brillo, certify that I have on record the signed consent forms of all respondents for the study/project.

## Appendix C: Signed Authorization for the proponent to conduct interview and consultation to identified key stakeholders.

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**A letter from a company

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## Appendix D: The Final Output

**COLLECTIONS STRATEGY**

**FOR THE PROSPECTIVE**

**DOST-STII ARCHIVE**

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**Brief Background of DOST- STII**

The DOST – Science and Technology Information Institute (DOST-STII) was established by Executive Order No. 128, signed by President Corazon C. Aquino on January 30, 1987. Among its mandates is the establishment of a library and a databank of Science and Technology in the country and making these resources accessible to its stakeholders, internal and external, such as researchers, academicians, policymakers, and other interested individuals. These mandates are being processed and implemented by the STII's technical divisions, such as the Information Resources and Analysis Division (IRAD) and the Communication Resources and Production Division (CRPD), with the support of the Finance and Administrative Division (FAD) and Office of the Director.

**MANDATE**

The DOST-STII has the following mandates:

* To establish a science and technology databank and library
* To disseminate science and technology information
* To undertake training in science and technology information

**VISION**

We are the lead agency in Science, Technology, and Innovation information geared

towards building a culture of STI to accelerate the nation's socio-economic

development.

**MISSION**

To foster a dynamic Science, Technology, and Innovation (STI) culture among Filipinos by nurturing an ecosystem for STI information management and exchange and empowering stakeholders as advocates and partners with the necessary knowledge and skills for effective capacity development.

*Source:* https://www.stii.dost.gov.ph/transparency/about-us

**BACKGROUND OF THE DOST-STII ARCHIVES**

The DOST-STII Archives is an institutional repository of DOST-produced outputs such as institutional publications, project terminal reports, and A.V. documentation of programs, projects, and activities that are valuable to the narrative of the organization's journey.The Archives Unit will be established as part of IRAD's way of fulfilling its function in the agency's mandate to establish a library and databank on Science and Technology that will cater to its critical internal and external stakeholders' needs.

The Archives shall contain primary source documents accumulated throughout the organization's lifetime. They have been selected for permanent preservation because of the enduring historical, evidential, cultural, social, and legal value of the information they contain, which supports the mandates and functions of the entire DOST system.

Through this knowledge repository, the DOST-STII Archives shall play an essential role in fostering informed decision-making, facilitating research endeavors, and fostering a deeper understanding of the advancements made in science and technology within the Philippines.

**General Principles**

The DOST-STII Archives operates under the principle of stewardship, dedicated to the collection, preservation, responsible management, and equitable accessibility of valuable scientific and technological records. Guided by the department’s core values of Service, Commitment, Innovation, Ethics, Nurturance, Collaboration, and Excellence, the Archives strives to safeguard the institutional memory of the Department of Science and Technology (DOST) and its attached agencies, ensuring that these resources remain accessible for as long as possible that will benefit the current and future generations. The Archives endeavors to serve as a trusted custodian of knowledge, fostering innovation, research, and informed decision-making within the Philippines and beyond.

**Objectives of the DOST-STII Archives**: The primary aim of the DOST-STII Archives is to preserve the substantive organic records of the Department of Science and Technology (DOST) and its attached agencies. These records serve as invaluable documentation of how these agencies fulfill their mandates, significantly enhancing scientific productivity and improving the quality of Filipino lives.

**Policy Framework Overview**: This document outlines the policy framework for the DOST-STII Archives collections managed by the DOST-STII Library Services Section under the Information Resources and Analysis Division (IRAD). Encompassing crucial appraisal, acquisition, and access aspects, this policy ensures the efficient and strategic handling of invaluable information resources within the institution's archival holdings.

**DOST-STII Archives Collections Scope**: The DOST-STII Archives shall be tasked to collect records of different formats (i.e., physical records like books, manuscripts, photographs, maps; audiovisual records like audio or video recordings on tapes and films or reels; digital records like ebooks, pdfs, digital images, digital audio, digital video, databases, and spreadsheets; electronic records like emails and correspondences, web contents, including software and applications) from the DOST and its attached agencies, including external stakeholders, that meet the following criteria:

* DOST-produced or funded publications documenting actions, decisions, and procedures of and within the DOST System.
* Project records documenting the outcomes and progress of various initiatives of the DOST-attached agencies for the Filipino people.
* Documentation of events, programs, and activities of DOST and its attached agencies, including but not limited to photographs, videos, slides, and minutes of meetings.
* Scientific papers authored by Filipino National Scientists, Academicians, S&T Fellows, Outstanding Young Scientists (OYS), and S&T Experts.
* Results of scientific research conducted or funded by the DOST, including publications and reports.
* Statements of policies, guidelines, and regulations governing the department's operations and interactions with the public.
* Records covered by the Freedom of Information Bill.

**Collections Out of Scope**: The DOST-STII Archives will refrain from acquiring the following records:

* Personal papers of DOST personnel that do not directly relate to executing their official duties and responsibilities.
* Records on strategic scientific research or studies concerning emerging technologies with potential military or security applications.
* Records whose contents, if made public, could invade an individual's privacy. These include personnel files, income tax records, personal profiles of survey or research respondents, and others.
* Records of collaborations or partnerships with foreign entities, especially those involving sensitive technologies or information.
* Documents related to cybersecurity efforts and strategies.

**Key Stakeholders**

*Record Creators/ Sources of Records*– these include DOST and its attached agencies, namely: Advanced Science and Technology Institute (ASTI), Food and Nutrition Research Institute (FNRI), Forest Products Research and Development Institute (FPRDI), Industrial Technology Development Institute (ITDI), Metal Industry Research and Development Center (MIRDC), National Academy of Science and Technology (NAST), National Research Council of the Philippines (NRCP), Philippine Atmospheric, Geophysical and Astronomical Services Administration (PAGASA), Philippine Council for Agriculture, Aquatic, and Natural Resources Research and Development (PCAARRD), Philippine Council for Health Research and Development (PCHRD), Philippine Council for Industry, Energy, and Emerging Technology Research and Development (PCIEERD), Philippine Institute of Volcanology and Seismology (PHIVOLCS), Philippine Nuclear Research Institute (PNRI), Philippine Science High School System (PSHS), Philippine Textile Research Institute (PTRI), Science and Technology Information Institute (STII), Science Education Institute (SEI), Technology Application and Promotion Institute (TAPI); and the Filipino Scientists, S&T Fellows, and experts under the Balik-Scientist Program.

*Record Users* – These are grouped into two groups: internal and external users.

Internal Users: These include the various departments, divisions, and personnel within the DOST system that seek historical data, past research findings, and institutional knowledge to inform current projects, policy development, and decision-making processes.

External Users: These include researchers, educators, students, government agencies, industry partners, and other interested individuals who seek to explore the wealth of scientific information, technological advancements, and innovation initiatives preserved within the Archives.

*FOI requestors* are individuals whose queries and requests are coursed through the Freedom of Information portal.

**Roles and responsibilities**

The operational management and supervision of the DOST-STII Archives is the responsibility of the Information Resources and Analysis Division. They will be composed of one (1) head archivist, one (1) staff for appraisal and documentation, and one (1) staff for acquisition. The head archivist shall manage the archives, including performing technical processing such as cataloging, classification, and preservation. The staff for appraisal and documentation will take charge of documenting all the processes from appraisal, accessioning, cataloging, and classification until the integration of the records into the archives' database. The acquisition staff will lead the appraisal process, ensuring every acquisition follows the stipulated policy. This task includes coordinating with the DOST and its attached agencies, donor(s), and external suppliers to whom and where archival records can be acquired.

The Library Services Section supervises the reading room, accommodates requests, digitizes documents, and answers inquiries.

**Relevant legislations**

* Data Privacy Act of 2012 (R.A. 10173). The DOST Archives shall exercise utmost diligence in protecting personal data and confidential information found in the archival records, including the data of the archives' clients, against any form of data breach.
* Intellectual Property Rights (R.A. 8293). The DOST Archives seeks clarity about intellectual property rights and access arrangements concerning its archives collections. It will capture information about the copyright, data protection, and freedom of information implications of potential deposits at the point of accession. The Archives reserve the right to reject collections where there is a lack of clarity on ownership and rights issues.
* Freedom of Information Bill. The DOST-STII Archives shall comply with this bill, which seeks to enhance transparency and government accountability by granting citizens access to public information held by government agencies.
* Records Disposition Schedule (RDS) approved by the National Archives of the Philippines (NAP). The DOST-STII Archives shall collect records tagged for permanent preservation or storage under the RDS of the DOST and its attached agencies. In contrast, records tagged for disposal after their retention period are transferred to NAP for proper disposal or destruction. This ensures no duplication between the records kept at the archives and those forwarded to NAP.

**Appraisal Methodology**

**Definition**: Appraisal under this context is the systematic evaluation of records to determine their enduring value, significance, and relevance to the mandate, mission, and goals of the department and its attached agencies.

**Appraisal Objective**: Overall, the DOST-STII Archives seeks to ensure that it acquires, retains, and provides access to records that have lasting historical, cultural, scientific, administrative, or legal significance, thereby fulfilling its role as a trusted steward of knowledge and information on Science and Technology. Specifically, it aims to identify and prioritize records essential for preserving institutional memory, supporting research, informing policy-making, and promoting public understanding of science and technology in the Philippines.

**Appraisal Processes:** The Archivist and staff shall conduct an appraisal of archival documents using the following processes:

1. The Archivist and staff, known as assessors, use the Table of Significance Assessment (Annex A) to appraise the documents for acquisition regarding the records' value and significance to the DOST and its attached agency.

The **Table of Significance Assessment** is a valuable tool for the DOST-STII Archives to assess the significance and value of the collections to be acquired, both for its key stakeholders and potential audiences. It guides decisions concerning acquisition, digitization, preservation, or access programs. This table is derived from the Reviewing Significance 3.0, a framework for assessing museum, archive, and library collections’ significance, management, and use authored by Caroline Reed.

The components of the column of the Table of Significance Assessment are:

a. Provenance/Acquisition—This investigates the records' origins and acquisition journey, examining why they were collected or created, their previous ownership, and the circumstances surrounding their acquisition.

b. Rarity/Uniqueness—This assesses whether the records are the only unusual or exemplary copy among similar institutions or international organizations within the DOST-STII Archives.

c. Sensory/Visual Quality/Emotional Impact—It examines whether the records demonstrate innovative or influential design, presentation styles, or language usage that can influence or impact users' thinking, emotions, or curiosity.

d. Condition/Completeness—This evaluates the current state of the records, including any conservation interventions, and analyzes how their condition influences their meaning and usability. It considers factors like incompleteness, damage, restoration, or annotations, which may reveal or obscure valuable information about the records' usage history.

e. Historical/Cultural Meaning—This section prompts reflection on the records' historical or cultural significance for the DOST-STII Archives, its key stakeholders, and its intended audiences by exploring their connections with specific periods, events, activities, institutions, or individuals in the S&T field.

f. Exploitability - This category considers the records' potential utility as a resource for research, marketing, enhancing the organization's visibility, or generating income.

The components of the rows are:

1. General / Key Points—Evaluate the key points impacting the records’ meaning, value, and usage potential for the S&T field.
2. National/International—Evaluate whether the record is of outstanding international or national interest, quality, or research potential. This may include exemplary instances associated with nationally or internationally known Science-related events, themes, movements, or individuals.
3. DOST Regional Offices and Provincial S&T Centers—Assesses the record's specific value, relevance, interest, and accessibility for the DOST Regional Offices and Provincial S&T Centers and the community they serve.
4. Community/Group - Evaluate whether the record holds particular significance for specific groups or communities of Filipino Scientists, Academicians, S&T Experts, Outstanding Young Scientists, Inventors, Academic and Student Researchers, and Policymakers.
5. DOST and its attached agencies - Considers the records’ relevance and meaning within the context of the DOST's history, collections, policies, buildings, and immediate surroundings.

2. These components are carefully analyzed, and the results are encoded in the Statement of Significance Form (Annex B). This instrument will provide recommendations from the assessors on whether the record is a significant collection for the Archives.

3. The Table of Significance Assessment is used along with the Physical Condition Assessment Form (Annex C), which documents the current state of the physical record. This will inform whether the record requires special handling techniques, repair, restoration, or intervention from restoration experts.

4. The assessors summarize the appraisal, and the Head Archivist submits the recommendations to the Head of the Agency, who authorizes the acquisition of the records.

**Acquisition Methods**

Acquisition is obtaining or acquiring physical and legal custody over archival records. This process involves identifying, selecting, and acquiring documents, photographs, audiovisual records, digital files, or other items deemed evidential, historical, cultural, legal, or administrative significance in the DOST system.

The following methods shall be employed to acquire records for the archives:

1. Internal transfer pertains to the movement of records from one agency or office within the DOST system to the DOST-STII Archives. The Archivist will work collaboratively with DOST and its attached agency's staff responsible for records management to ensure an effective and timely transfer of records to the DOST-STII Archives following the originating agency's Records Retention Schedule (RRS).

Internal Transfer Processes:

1. The transferring agency shall inform the DOST-STII Archives through written communication of their intention to transfer records to the archives at least two (2) weeks before the actual date of transfer. Before sending the written communication, the transferring agency should ensure that the records to be transferred are covered by the scope of collection of the DOST-STII Archives.
2. The originating agency shall accomplish the Records Transfer Form (RTF – Annex D) along with the Required Set of Metadata (RSoM - Annex E) as an attachment to the written communication.
3. The originating agency shall safely and adequately transport the records to the DOST-STII Archives.
4. The DOST-STII Archives shall counter-check the transferred records against the list provided by the originating agency and ensure that the MTF is appropriately accomplished and signed.
5. The Archivist or authorized staff shall validate the metadata submitted against the records transferred based on the required schema.
6. After metadata validation, the records are correctly received by the DOST-STII Archives.
7. Donations and Gifts – This pertains to the intentional and voluntary transfer of records from individuals, organizations, or institutions to the DOST-STII Archives, such as the personal papers of Filipino National Scientists, S&T Fellows, Academicians, Outstanding Young Scientists (OYS), and S&T experts. Donations can include many records such as documents, publications, photographs, audiovisual recordings, digital files, artifacts, and more.

Donors must complete the Deed of Donation (Annex F) and later have it notarized as an official and binding document. Accomplishing the said forms will signify that the Donor (s) agree to the terms and conditions stipulated therein governing the rights of ownership, access terms, and clarification of copyright.

Donations and Gifts Processes:

1. The Donor shall send a written communication addressed to the head of the DOST-STII, either via electronic mail or hard copy, to signify their intention to donate records to the DOST-STII Archives, with an attachment of the list of these records, at least two (2) weeks before the actual date of donation.
2. The DOST-STII Archives shall conduct an on-site assessment (using Annex A and B) of the records to be transferred to ensure they are significant to the archives' collections. The DOST-STII Archives have the discretion to refuse records that are deemed insignificant.
3. The Donor (s) shall fully accomplish the Deed of Donation Agreement (DoD – Annex F).
4. Depending on the agreement of both parties, either the DOST-STII or the Donor (s) shall be responsible for safely and responsibly transporting the records to the DOST-STII Archives.
5. The DOST-STII Archives shall counter-check the donated records against the list provided by the Donor (s) and ensure that the DoD is appropriately accomplished and signed.
6. The Archivist or authorized staff may accomplish the RSoM by interviewing the Donor (s).
7. When the DoD and RSoM are accomplished, the donated records shall be received by the DOST-STII Archives.
8. The DOST-STII Archives shall let the DoD be notarized so that the document can legally be bound. The Donor(s) and the DOST-STII Archives shall have a copy of the notarized DoD.
9. Purchase – This pertains to the acquisition of records through a financial transaction. Purchases may involve acquiring records from commercial vendors, publishers, or individuals. The records acquired through purchase can include publications, documents, digital resources, audiovisual recordings, artifacts, or other items relevant to the archives' scope of the collection, such as publications and biographies of DOST officials, Filipino National Scientists, S&T Fellows, and experts under the Balik-Scientist Program. Purchases are made based on the archives' collection development policies, budgetary considerations, and strategic priorities for acquiring records that support the research, education, and preservation goals of the DOST-STII Archives.

This acquisition method shall follow the Government Procurement Act (RA 9184) Implementing Rules and Regulations[[1]](#footnote-1). The Head Archivist shall be responsible for communicating and coordinating with the DOST-STII's Procurement Team on what specific type of procurement will be used to acquire the records. These types of procurement stipulated in RA 9184 are as follows:

1. Competitive Bidding is a procurement method open to participation by any interested party. It consists of the following processes: advertisement, pre-bid conference, eligibility screening of prospective bidders, receipt and opening of bids, evaluation of bids, post-qualification, and award of contract. "Competitive Bidding and "Public Bidding" have the same meaning and can be used interchangeably. This shall be the general method of procurement.
2. Limited Source Bidding, or Selective Bidding, is a procurement method in which the DOST-STII directly invites suppliers from the pre-selected suppliers to bid.
3. Direct Contracting or Single Source Procurement. This method of procurement of Goods does not require elaborate Bidding Documents. The supplier is asked to submit a price quotation or a pro-forma invoice together with the conditions of sale. The offer may be accepted immediately or after some negotiations. Direct contracting may be resorted to by the DOST-STII under any of the following conditions: a) Procurement of Goods of a proprietary nature which can be obtained only from the proprietary source, i.e., when patents, trade secrets, and copyrights prohibit others from manufacturing the same item; b) When the procurement of critical components from a specific supplier is a condition precedent to holding a contractor to guarantee its project performance, following the provisions of its contract; or c) Those sold by an exclusive dealer or manufacturer which does not have sub-dealers selling at lower prices and for which no suitable substitute can be obtained at more advantageous terms to the Government of the Philippines (GoP). This can be employed to procure the works of Filipino national scientists, inventors, and experts that are being sold commercially but are significant enough to be part of the collections of the DOST-STII Archives.
4. Repeat Order. This is a procurement method of Goods from the previous winning bidder whenever there is a need to replenish goods procured under a contract previously awarded through Competitive Bidding. Repeat orders shall likewise be subject to the following conditions: a) Unit prices of the repeat order must be the same as or lower than those in the original contract, Provided That such prices are still the most advantageous to the GOP after price verification; b) The repeat order will not result in splitting of contracts, requisitions, or purchase orders, as provided for in Section 54.1 of this IRR; c) Except in cases duly approved by the GPPB, the repeat orders shall be availed of only within six (6) months from the date of the Notice to Proceed arising from the original contract: Provided, That there has been a partial delivery, inspection, and acceptance of the goods within the same 6-month period; and d) Repeat orders shall not exceed twenty-five percent (25%) of the quantity of each item in the original contract. To not exceed the 25% threshold, the goods under the original contract must be Quantifiable, Divisible, and Consisting of at least four (4) units per item.
5. Shopping. This is a method of procurement of goods whereby the DOST-STII requests for the submission of price quotations for readily available off-the-shelf goods or ordinary/regular equipment to be procured directly from suppliers of known qualifications. This procurement method shall be employed when there is an unforeseen contingency requiring immediate purchase, such as when a book by a Filipino Scientist is already sold out, and there is only one available copy in the market being held by a respectable supplier or person.
6. Negotiated Procurement. This is a method of procurement of Goods whereby the DOST-STII directly negotiates a contract with a technically, legally, and financially capable supplier. This applies to scientific, academic, scholarly work or research, or legal services; Scientific, technical, economic, business, trade or legal journal, magazine, paper, subscription, or other exclusive statistical publications and references; or Media documentation through television, radio, newspaper, internet, and other communication media of the events, program, and activities of and within the DOST system.
7. Small Value Procurement. This applies to the procurement of goods and consulting Services, where the amount involved is below Php1 million. In this method, the DOST-STII may directly negotiate with a single supplier or contractor or request price quotations from at least three suppliers or contractors. The supplier or contractor offering the best terms and conditions, consistent with the specifications of the goods, is selected.

*Refer to Annex G for the purchase request template.*

**Access Statement for Archives Collection**

The archives' collection of government publications, including reports, research studies, policy documents, statistical data, and other informational materials, are available to the public.

Certain publications may be subject to restricted access due to confidentiality, national security, or privacy concerns. These restrictions align with existing laws and regulations, such as the Data Privacy Act.

Users are encouraged to cite and reference the source accurately when using any Archives collections in their work.

**Access Statement for the Collections Strategy**

This Collections Strategy shall form part of the DOST-STII's organic and official records. Other organizations and agencies conducting benchmarking or research are allowed to use this Collections Strategy upon approval of a written request addressed to the head of the agency.

**Required Metadata for the Archives**

The DOST-STII Archives shall be guided by the Records-in-Context Contextual Model [[2]](#footnote-2)(RiC-CM) and Ontology (RiC-O) developed by the International Council on Archives (ICA). The Record in Context standard aims to provide a more interconnected and detailed representation of records, reflecting their complex relationships and contexts of creation and use.

In the RiC-CM, the relationships between Agent, Record Resource, Event or Activity, Mandate, Date, and Place form a comprehensive network that contextualizes records within their broader archival and historical framework. Below is the definition of each entity and an explanation of their relationships:

1. **Agent (RiC-E07)**

* **Definition** - any entity that creates, modifies, uses, or is otherwise associated with records. An agent can be an individual, organization, or group with roles or responsibilities concerning records and archival materials. A person or group commonly has one identity, though each may have one or more alternative identities. Alternative identities include but are not limited to pseudonyms, heteronyms, alternate names, aliases, and trade identities (i.e., Preservica, Apple, Koha).

Types of Agents:

**A.1. Person (RiC-E08)** - A human being who engages with records in various capacities, such as creating, receiving, using, or maintaining them. It includes the individual's full name, birth and death dates (if applicable), roles or titles, and other relevant biographical details. Writing names for a person shall follow this model- Surname or Family name, First name, Middle Name (or initial, whichever is available.

Example: Dela Peña, Fortunato T.

Burgos, Richard Pomar

**A.2. Group (RiC-E09)** - Two or more agents that act together as an agent. It may also be a set of individuals who collaborate and do not constitute a formally structured entity. This can also be created when two or more persons collaborate to create a shared persona.

Example: Project Proposal Evaluators

Internal Audit Team

**A.2.1. Family (RiC-E10)** - a general term encompassing various familial groups. Amongst other types, familial groups include dynasties, clans, houses, and tribes. A family may also be a group related by consanguinity, affinity, cohabitation, or other social conventions.

Example: Geminiano de Ocampo Family

T’boli Tribes

**A.2.2. Corporate Body (RiC-E11)** – An organized group acting as agents and having a recognized legal or social status. It includes a formally structured organization or entity, such as a business, government agency, non-profit organization, or institution. It often has a mandate giving them the authority to act within their area(s) of competence. They will also usually act within a jurisdiction governed by legal and other rule-based frameworks. A corporate body, though, maybe constituted more informally and exist as an entity by its members' recognition of it.

Example: Department of Science and Technology (government agency)

STII-Employees Association (legally recognized association)

**A.3. Position (RiC-E12)** - A role, function, or office held by an agent independently or within a group. This is commonly defined in a mandate and often referred to as a position or job description. This may be tied to a project or a set of tasks and, thus, have a defined duration and can change over time.

*Note*: Within the records created by a corporate body, a position may be used to identify the record sets resulting from activities performed by one or more persons holding the position over time without necessarily identifying or describing the person or persons or identifying which records were created by each person.

Example: Secretary of the Department of Science and Technology

Director

**A.4. Mechanism (RiC-E13)** - A non-human agent, such as a process, machine, or automated system, designed and implemented by a person or group, that interacts with records or performs specific activities related to records. This category encompasses various software and hardware systems that create, modify, manage, or interact with records. These agents can include but are not limited to, automated record management systems, digital preservation tools, document scanners and optical character recognition software, and content management systems.

Example: Automated Record Management System (software that categorizes and stores digital records)

* + **Relationships to other entities**:
    - **Record Resource**: Agents are directly linked to record resources as creators, managers, or users, establishing the provenance and authority behind the records.
    - **Events**: Agents participate in events that impact record resources, such as creation, modification, or transfer events.
    - **Mandates**: Agents operate under mandates that define their roles and responsibilities, guiding their actions concerning record resources.

1. **Record Resource**:
   * **Definition**: A record resource is an entity that encompasses both individual records and collections of records, known as record sets. It recognizes both single documents and grouped records within archival systems.
   * **Record Set (RiC-E03)** – One or more records grouped by an Agent based on the records sharing attributes or relations. (International Council on Archives Expert Group on Archival Description (ICA EGAD) 2019)
   * **Record (RiC-E04)**- Discrete information content formed and inscribed, at least once, by any method on any carrier in any persistent, recoverable form by an agent during life or work activity. It may contain one or more records or record parts documenting an event or activity.
   * **Relationships to other entities**:
     + **Agent**: Record resources are associated with agents who create, manage, or utilize them, highlighting the human or organizational involvement in their lifecycle.
     + **Events**: Record resources are affected by various events (e.g., creation, modification, access) that change the document over time.
     + **Mandates**: Mandates provide the legal or regulatory framework for the existence of record resources and govern their creation and management.
     + **Dates**: Record resources are linked to dates that denote significant moments in their lifecycle (e.g., creation date, modification date).
     + **Places**: Record resources are associated with places, indicating the physical or digital locations related to their creation, storage, or use.
2. **Mandates (RiC-E17)**:
   * **Definition**: Mandates are formal directives that govern agents' actions and the handling of record resources. They confer responsibility and authority, specifying the activity, agent, place (jurisdiction), and date (period) within which actions are authorized.

Example: Special Order

Memorandum Issuance

* + **Relationships to other entities**:
    - **Agent**: Mandates define the roles and responsibilities of agents, guiding their interactions with record resources.
    - **Record Resource**: Mandates influence the creation, management, and use of record resources, ensuring compliance with legal and regulatory standards.

1. **Instantiation** **(RiC-E06)**

* **Definition** - refers to the physical or digital form of a record resource created by an agent for communication across time and space. It acknowledges that records can exist in multiple formats, each representing the same intellectual content.

Example: Optical scan of a handwritten letter of Dr. Geminiano de Ocampo

A printed copy of the audio-recorded interview of DOST Secretary Fortunato Dela Peña

* **Relationships to other entities**:
  + **Record Resources**: Instantiations represent the different physical or digital forms of Record Resources, documenting their various versions or formats.
  + **Agents**: Agents may create or manage different Instantiations, ensuring that records are accessible in multiple forms.
  + **Events**: Events can lead to creating or modifying Instantiations, such as digitization or reformatting.
  + **Mandates**: Instantiations may be influenced by Mandates that specify preservation or access requirements.
  + **Dates**: Each Instantiation has associated Dates, marking when it was created or modified.
  + **Places**: Instantiations are linked to Places, indicating where they are stored or accessed.

1. **Events (RiC-E14) or Activity (RiC-E15)**:
   * **Definitions**:

* **Events** are significant occurrences that shape record resources, including historical milestones, conferences, legislative changes, or natural disasters. They provide crucial context for understanding the records they generate, whether caused by nature, agents, or both.

Example: Eruption of Mayon Volcano

National Science and Technology Week Celebration

* **Activity** - refers to the actions or processes undertaken within an organization or by individuals that generate records. These activities could include administrative processes, research endeavors, creative productions, decision-making processes, or any other actions that result in the creation of records. Describing activities helps provide insight into an organization's functions and operations and the roles and responsibilities of individuals involved in producing records.

Example: Emergency Response to the Eruption of Mayon Volcano

Exhibits during the National Science and Technology Week Celebration

* + **Relationships to other entities**:
    - **Agent**: Agents initiate or carry out events or activities, emphasizing the active role of individuals or organizations in the records lifecycle.
    - **Record Resource**: Events or Activities impact record resources, marking significant changes or actions taken upon them.
    - **Dates**: Each Event or Activity is tied to specific dates, providing a temporal context for understanding when changes or actions occurred.
    - **Places**: Events or Activities may occur at specific places, linking the action or occurrence to a particular location.

1. **Dates (RiC-E18)**:
   * **Definition**: Dates represent specific points in time associated with events, record resources, or mandates. They capture when events occur or when certain conditions are applied to records. Dates can be represented in natural language, based on a digital standard, or both. Writing dates follow ISO 8601 standards, which are "YYYY-MM-DD."

Example: 2000-06-12 (for June 12, 2000)

* + **Relationships to other entities**:
    - **Record Resource**: Dates are linked to record resources to denote significant moments in their lifecycle (e.g., creation, modification).
    - **Events**: Dates provide the temporal context for events, indicating when actions or changes occurred.

1. **Places (RiC-E22)**:
   * **Definition**: Places are physical, geographical, or digital locations connected to events, agents, or record resources.

Example: DOST-STII Bldg., DOST Complex

Drive D with the file name "name of the file."

"40.7128° N, 74.0060° W" of Metro Manila

* + **Relationships to other entities**:
    - **Record Resource**: Places are associated with record resources, highlighting where they were created, stored, or accessed.
    - **Events**: Places indicate where events occurred, linking actions to specific locations.
    - **Agent**: Agents may be linked to places, identifying where they are based or where they perform significant actions related to record resources.

The specific attributes of these entities with their definitions, value schema, and examples are found in Appendix D.

**Policy Review Mechanism**: This policy undergoes periodic review every three years to ensure its relevance and effectiveness. The responsibility for this critical process rests with the DOST-STII Executive Committee, comprising division chiefs within the organization. Following a comprehensive evaluation, any necessary revisions or updates are proposed to align the policy with evolving organizational needs and industry best practices.

Once the review process is completed, the revised policy document is presented for approval to the Director of DOST-STII. This review mechanism guarantees that the policy remains robust, responsive, and aligned with the strategic objectives of the Institute.

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**Annex A**

**TABLE OF SIGNIFICANCE ASSESSMENT CRITERIA**

|  |  |
| --- | --- |
|  | 1. **PROVENANCE / ACQUISITION** |
| **1. GENERAL / KEY POINTS** | Who previously owned the material? |
| Who is/are the author? |
| When did the agency acquire it? |
| Is there a known chain of ownership and use? |
| How was it acquired – transfer, donation, or purchase? |
| Is it a DOST-authored/funded/supported/ sponsored publication? |
| **2. NATIONAL / INTERNATIONAL** | Does its provenance connect it to any event, person, place, or theme of national/international significance? |
| Is its creator/collector/ creator of national/international significance? |
| **3. Regional Offices and Provincial S&T Centers** | Does its provenance connect to any event, person, place, or theme of local /regional significance? |
| Is the creator/collector of local/regional significance? |
| **4. COMMUNITY OR GROUP (Filipino Scientists, S&T Experts, Inventors, Academic and Student Researchers, and Policymakers)** | Does the provenance connect it to any event, person, place, or theme relevant to a specific community or group? |
| Is the writer, creator, or publisher important to communities of Filipino Scientists, S&T Experts, Innovators, Inventors, and S&T Researchers? |
| **5. DOST and Its Attached Agencies** | Does its provenance connect to any event, person, place, or theme relevant to DOST's history, site, building, or location? |
| Is the creator/collector relevant to DOST's history, site, building, or location? |
| Does it directly support the DOST’s mandate, mission, and objectives? |
| Was the object/collection acquired with external support or funding? |

|  |  |
| --- | --- |
|  | 1. **RARITY / UNIQUENESS** |
| **1. GENERAL / KEY POINTS** | Is it one of a kind? |
| Are there any existing copies of the material in other agencies or organizations? Is it the best copy available? |
| **2. NATIONAL / INTERNATIONAL** | Are there any existing copies of the material in international institutions or organizations? |
| **3. Regional Offices and Provincial S&T Centers** | Is it the only (or one of the best) copy of its type with regional solid and provincial significance? |
| Is it the only (or one of the best) copies of its type accessible in a local or regional organization? |
| **4. COMMUNITY OR GROUP (Filipino Scientists, S&T Experts, Inventors, Academic and Student Researchers, and Policymakers)** | Is it the only (or one of the best) copy of its type that features Filipino Scientists, S&T Experts, and Inventors? |
| **5. DOST and Its Attached Agencies** | How is the copy different from other existing copies? |
|  | 1. **SENSORY / VISUAL QUALITY /EMOTIONAL/ EDUCATIONAL IMPACT** |
| **1. GENERAL / KEY POINTS** | Does it demonstrate technological and scientific accomplishment? |
| Does the material evoke strong emotional responses? |
| Does the material have innovative ideas that can inspire or motivate? |
| Does the material or its use of language can be easily understood? |
| **2. NATIONAL / INTERNATIONAL** | Could it have a powerful emotional resonance for the audiences of the Philippines or other countries? |
| Does its materials, imagery, or use of language have any implicit national/international meaning? |
| **3. Regional Offices and Provincial S&T Centers** | Is the material locally or regionally recognized? |
| Does its use of language have any specific local/regional meaning? |
| Could it have a particular emotional resonance for local/regional audiences? |
| **4. COMMUNITY OR GROUP (Filipino Scientists, S&T Experts, Inventors, Academic and Student Researchers, and Policymakers)** | Could it have a powerful educational impact on Filipino Scientists, S&T Experts, Academic and Student researchers, and policymakers? |
| Does the material or its use of language have a particular meaning for Filipino Scientists, S&T Experts, Academic and Student researchers, and policymakers? |
| **5. DOST and Its Attached Agencies** | Is it popularly used within the organization? |
| Does it provide a focal point for DOST's building or site users? |

|  |  |
| --- | --- |
|  | 1. **CONDITION / COMPLETENESS** |
| **1 GENERAL / KEY POINTS** | Is there any evidence of damage or deterioration? |
| Has the collection been previously repaired? Restored? |
| If altered/repaired, does this tell about its history of ownership or use? |
| Does the material require special handling techniques? |
| Is the collection complete in terms of its series or volumes? |
| **2. NATIONAL / INTERNATIONAL** | Is it in excellent condition for its type in national/international collections? |
| Does any evidence of wear, damage, annotation, restoration, or conservation say anything of national/international significance? |
| **3. Regional Offices and Provincial S&T Centers** | Does its condition or evidence of wear, damage, annotation, restoration, or conservation have any locally /regionally specific significance? |
| **4. COMMUNITY OR GROUP (Filipino Scientists, S&T Experts, Inventors, Academic and Student Researchers, and Policymakers)** | Does its condition or evidence of wear, damage, annotation, restoration, or conservation have any specific significance to Filipino Scientists, S&T Experts, Academic and Student researchers, and policymakers? |
| **5. DOST and Its Attached Agencies** | What does its condition and any restoration / interventive conservation work tell us about its history of care and use within our organization? |

|  |  |
| --- | --- |
|  | 1. **HISTORICAL/CULTURAL MEANING** |
| **1. GENERAL / KEY POINTS** | What historical periods or events of the DOST are associated with the material? |
| What significant historical developments or milestones of the DOST does the material document or represent? |
| Has it ever been loaned or requested for a loan for display, exhibit, or research use by other Science-related organization(s)? |
| Is it associated with a pivotal discovery or innovation in the history of science, technology, or design? |
| **2. NATIONAL / INTERNATIONAL** | Does it reflect essential figures of the DOST (Secretaries, Usec, Asec), programs, activities, or events that have national/international significance? |
| Could it significantly contribute to the Science and innovation-related studies within the Philippines or internationally? |
| Has it ever been loaned or requested for display, exhibit, or research use by other Science-related organization(s) within or outside the country? |
| **3. Regional Offices and Provincial S&T Centers** | Does it reflect prominent figures of the DOST Regional offices and Provincial S&T Centers with local/regional scientific, technological, or historical significance? |
| Has it ever been loaned or requested for a loan for display, exhibit, or research use by the DOST Regional offices and Provincial S&T Centers? |
| **4. COMMUNITY OR GROUP (Filipino Scientists, S&T Experts, Inventors, Academic and Student Researchers, and Policymakers)** | Does the material promote the initiatives of Filipino Scientists, S&T Experts, and Inventors? |
| Does the material address the interests, needs, or concerns of Filipino Scientists, S&T Experts, Inventors, Academic and Student researchers, and policymakers? |
| **5. DOST and Its Attached Agencies** | Does it enrich understanding other S&T materials in the archives' current collections? |
| Does it help to interpret aspects of our organization's history, building, site, or locality? |
| Does it feature personnel, group, event, place, or activity of historical significance to the DOST's history, site, building, or locality? |

|  |  |
| --- | --- |
|  | 1. **‘EXPLOITABILITY’** |
| **1 GENERAL / KEY POINTS** | Is public and research access limited or controlled (either short or long-term -e.g., to protect an individual's confidentiality or data) |
| Could it be used for academic and student research? |
| Could it support product development? |
| Has it been used as a reference for innovations and technological breakthroughs? |
| Is there a patentable invention, process, or scientific creation that needs to be restricted for public access? |
| Does copyright allow the original work to be digitized for public access? |
| **2. NATIONAL / INTERNATIONAL** | Could it have a particular role in profile-raising for our organization nationally / internationally? |
| Could it be used to collaborate with external partners to enhance the utilization and impact of the material on the Filipino people? |
| **3. Regional Offices and Provincial S&T Centers** | Could it have a particular role in profile-raising for the organization locally / regionally? |
| Could it support local /regional innovations, programs, and activities? |
| Could it support MSMEs, local or regional businesses, or product development? |
| **4. COMMUNITY OR GROUP (Filipino Scientists, S&T Experts, Inventors, Academic and Student Researchers, and Policymakers)** | Could it be used to support outreach /raise our organization’s profile within a specific community or group of Filipino Scientists, S&T Experts, Inventors, Academic and Student researchers, and policymakers? |
| Could it support outreach activities within a specific community or group of Filipino Scientists, S&T Experts, Inventors, Academic and Student researchers, and policymakers? |
| Could it be used to raise the profile and awareness of the culture or history of Filipino Scientists, S&T Experts, and Filipino Inventors? |
| **5. DOST and Its Attached Agencies** | Does/could it raise our organization's profile and support income generation, business, or product development? |
| Could it be used to expand the DOST's reach? |
| Could it be used to collaborate with external partners to enhance the utilization and impact of the material in the DOST system? |

|  |
| --- |
| **STATEMENT OF SIGNIFICANCE TEMPLATE** |

**Annex B**

*This template, used with the Table of Significance Assessment, will help you construct a Statement of Significance for a single item, a group of related items, a themed 'cluster' or material, or a whole collection.*

**SINGLE ITEM**

|  |  |
| --- | --- |
| Item ref no. |  |
| Short name |  |
| Brief description |  |
| Usual Storage/Display space |  |

or

**GROUP / CLUSTER / COLLECTION**

|  |  |
| --- | --- |
| Group/Cluster/Collection/ name + ref nos. |  |
| Brief description |  |
| Number of items |  |
| Usual Storage/Display space(s) |  |

|  |  |
| --- | --- |
| **ASSESSOR(S)** |  |
| **DATE** |  |
| **PURPOSE OF ASSESSMENT** |  |

*Use the tables below to collate and structure information gathered in response to the prompt questions on the Significance Assessment Grid*

|  |  |
| --- | --- |
| **A. PROVENANCE / ACQUISITION** | |
| 1. General / Key Points |  |
| 2. National / International |  |
| 3. Regional Offices and Provincial S&T Centers |  |
| 4. Community or Group (Filipino Scientists, S&T Experts, Inventors, Academic and Student Researchers, and Policymakers) |  |
| 5. DOST and its Attached Agencies |  |
| **ASSESSMENT SUMMARY** |  |

|  |  |
| --- | --- |
| **B. RARITY/UNIQUENESS** | |
| 1. General / Key Points |  |
| 2. National / International |  |
| 3. Regional Offices and Provincial S&T Centers |  |
| 4. Community or Group (Filipino Scientists, S&T Experts, Inventors, Academic and Student Researchers, and Policymakers) |  |
| 5. DOST and its Attached Agencies |  |
| **ASSESSMENT SUMMARY** |  |

|  |  |
| --- | --- |
| **C. SENSORY / VISUAL QUALITY /EMOTIONAL IMPACT** | |
| 1. General / Key Points |  |
| 2. National / International |  |
| 3. Regional Offices and Provincial S&T Centers |  |
| 4. Community or Group (Filipino Scientists, S&T Experts, Inventors, Academic and Student Researchers, and Policymakers) |  |
| 5. DOST and its Attached Agencies |  |
| **ASSESSMENT SUMMARY** |  |

|  |  |
| --- | --- |
| **D. CONDITION / COMPLETENESS** | |
| 1. General / Key Points |  |
| 2. National / International |  |
| 3. Regional Offices and Provincial S&T Centers |  |
| 4. Community or Group (Filipino Scientists, S&T Experts, Inventors, Academic and Student Researchers, and Policymakers) |  |
| 5. DOST and its Attached Agencies |  |
| **ASSESSMENT SUMMARY** |  |

|  |  |
| --- | --- |
| **E. HISTORICAL/CULTURAL MEANING** | |
| 1. General / Key Points |  |
| 2. National / International |  |
| 3. Regional Offices and Provincial S&T Centers |  |
| 4. Community or Group (Filipino Scientists, S&T Experts, Inventors, Academic and Student Researchers, and Policymakers) |  |
| 5. DOST and its Attached Agencies |  |
| **ASSESSMENT SUMMARY** |  |

|  |  |
| --- | --- |
| **F. EXPLOITABILITY** | |
| 1. General / Key Points |  |
| 2. National / International |  |
| 3. Regional Offices and Provincial S&T Centers |  |
| 4. Community or Group (Filipino Scientists, S&T Experts, Inventors, Academic and Student Researchers, and Policymakers) |  |
| 5. DOST and its Attached Agencies |  |
| **ASSESSMENT SUMMARY** |  |

**STATEMENT OF SIGNIFICANCE**

|  |
| --- |
|  |

**FURTHER RESEARCH AND CONSULTATION**

|  |
| --- |
|  |

**OUTCOMES OF THE ASSESSMENT:**

|  |
| --- |
|  |

**ADDITIONAL NOTES**

|  |
| --- |
|  |

**Annex C**

**PHYSICAL CONDITION ASSESSMENT**

**Name of Collection: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

|  |  |
| --- | --- |
| Group/Cluster/Collection/ name + ref nos. |  |
| Brief description |  |
| Number of items |  |
| Usual Storage/Display space(s) |  |

|  |  |
| --- | --- |
| **ASSESSOR(S)** |  |
| **DATE** |  |
| **PURPOSE OF ASSESSMENT** |  |

**MATERIAL DESCRIPTION:**

Material Type:

* Paper
* Parchment
* Vellum
* U-Matic Tapes
* Beta Cam Tapes
* VHS Tapes
* Digital Beta Cam Tapes
* Digital Video Tapes
* MiniDV Tapes
* Audio Cassette Tape

**PRESENT CONDITION**:

Discoloration

* Darkening or yellowing
* Stains
* Fading
* Mold growth
* Tidelines/ Water or liquid stains
* Flyspecks
* Accretions
* Surface soiling
* Fingerprints
* Blanching/ cloudy discoloration

Structural Condition

* Embrittlement
* Tears/breaks
* Pin or tack holes
* Abrasions
* Wrinkles
* Folds
* Scratches
* Trimmed edges
* Creases
* Cracking
* Pages sticking together
* Damages due to fire/smoke
* Damages due to insect
* Staple/ paper clip/ rubber band marks
* Others: specify \_\_\_\_\_\_\_\_\_\_\_\_\_\_

Ink Damages

* Blot
* Erased
* Discoloration
* Diffused
* Corrosion
* Others: specify \_\_\_\_\_\_\_\_\_\_\_\_\_\_

**EVIDENCE OF PAST TREATMENT/S**

* Adhesive tapes
* Frames
* Rebinding
* Patches
* Repairs
* Glue
* Lining
* Retouching
* Others: specify \_\_\_\_\_\_\_\_\_\_\_\_\_

**Annex D**

**RECORD TRANSFER FORM (RTF)**

This form is to be completed when the DOST and its attached agencies transfer materials or resources to the DOST-STII Archives for permanent deposit. Only substantive or organic records of the agency will be accepted for permanent deposit.

**Note:** When collections are published jointly by the agency and private organizations as co-publishers, the originating agency must secure explicit approval from its co-publisher, documented in writing, before transferring the materials for public access to the DOST-STII Archives.

Details of Originating/Transferring Agency:

Name Agency: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Head of Agency: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Contact email: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Contact number(s): \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Address: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Target Date of Transfer: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Summary of Materials for Transfer:

|  |  |  |
| --- | --- | --- |
| Records Set Name  (Ex. Projects, Publications, Event Documentations) | Format (Ex. Print, VHS, Betacam, Umatic Tapes etc.) | Extent  (no. of items in the series) |
| *Ex. Annual reports* | *Print* | *5 items/ 1 bundle* |
|  |  |  |
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|  |  |  |
|  |  |  |
|  |  |  |
|  |  |  |

\**Please complete the* ***Required Set of Metadata Form*** *through this link - https://bit.ly/DOST-STIIArchivesRSoM*

Prepared by:

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Printed name and Signature of Originating Agency’s Authorized Position

Representative to Transfer

Email address: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Date of Signing: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Approved by:

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Printed Name and Signature of the Head of the Originating Agency Position

Date Received: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Received by:

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Printed Name and Signature of DOST-STII Archives’ Authorized Staff Position

Date Received: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**Annex E**

**REQUIRED SET OF METADATA**

Please use this link for the form - https://bit.ly/DOST-STIIArchivesRSoM

**Annex F**

**DEED OF DONATION**

**KNOWN ALL BY MEN THESE PRESENTS:**

This deed of donation was made and executed by:

**SCIENCE AND TECHNOLOGY INFORMATION INSTITUTE**, a service institute of the Department of Science and Technology (DOST), a government agency duly organized and existing under the laws of the Republic of the Philippines, with official address at DOST Complex, General Santos Avenue, Bicutan, Taguig, represented herein by its Director, **\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**, hereinafter referred to as **DONEE**.

and

**\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**, with official address at \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ represented herein by its (position of authorized representative), **(name of representative), (position),** hereinafter referred to as **DONOR.**

**WITNESSETH**

**WHEREAS**, the Donee is mandated to establish a library and a databank of Science and Technology in the country by virtue of EO 128, S.1987;

**WHEREAS**, the Donor is the owner of archival records which the Donor wishes to donate to the Donee for inclusion in the DOST-STII Archives;

**WHEREAS**, the Donee is willing to accept the donation of the materials under the terms and conditions set forth herein;

**NOW, THEREFORE**, for and in consideration of the mutual agreements and conditions hereinafter set forth, the Donor and the Donee hereby agree as follows:

**1. Transfer of Ownership**

The Donor hereby irrevocably transfers and assigns to the Donee all rights, title, and interest, including copyright ownership, in and to the donated materials, listed in the attached Schedule A. The intellectual property rights related to the donated records, however, shall remain with the Donor.

**2. Access Control**

2.1 The Donee shall ensure the security of personal data within the donated records in compliance with current Data Protection laws, policies, and guidelines.

2.2 The Donee agrees to make the donated materials accessible to researchers and the public upon request in accordance with its Access Policy.

2.3 The Donor's preferences regarding access to the donated materials are as follows (check all that apply):

☐ Donated materials may be utilized or reproduced following the principle of Fair Use for research, knowledge expansion, promotion, and/or exhibitions within the DOST system.

☐ The electronic format of donated materials may be reproduced by the DOST-STII Archives for educational, research, and exhibition purposes.

☐ Donated materials can be digitized, and the digitized copies can be uploaded to the DOST's websites and the Online Public Access Catalog of the DOST-STII Library and Archives for public access.

☐ Donated materials shall not be used in any way for commercial purposes.

2.4 Specific access restrictions or additional considerations by the Donor are as follows: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_.

**3. Digital and Physical Preservation**

The Donee is committed to the long-term preservation of the donated materials, employing both digital and physical preservation strategies. The Donee shall endeavor to adopt best practices to ensure the long-term accessibility, integrity, and preservation of these materials.

**4. Regular Inventory**

4.1 The Donee shall conduct a regular inventory every two (2) years of the archives, including the donated records, to assess their physical status, preservation, and conservation needs.

4.2 The Donor's instructions regarding the deaccessioning or permanent removal of materials are as follows (check one):

☐ Donors grant the Donee permission to dispose of donated materials in accordance with its established policies on disposal approved by the National Archives of the Philippines.

☐ The Donee will contact the Donor(s) to inform them when donated records are considered for disposal, providing an opportunity for the Donor(s) to retrieve these materials. In cases where the Donor(s) and any alternate contacts cannot be reached, the Donee will responsibly exercise its prerogative to permanently dispose of the materials. This process will be conducted in accordance with established archival practices and regulatory guidelines, ensuring the disposal is handled with due diligence and respect for the integrity of the records.

**IN WITNESS WHEREOF**, the parties hereto have executed this Deed of Donation on the (day) (Month) and (year) first above written.

**DETAILS OF DONORS**

Name of donor(s): \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Contact details:

Email: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Telephone/Mobile Number(s) \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Alternate contact of donors (*to be reached out by the DOST-STII in case the donor is not available*):

Contact details:

Email: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Telephone/Mobile Number(s) \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Date of donation: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Description of the Materials for Donation (Provide an overview of the materials including how the materials came into your possession):

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**Schedule A**

Details of Donation:

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Series/Volume/Group title | Format (i.e. Books, VHS, Digital file etc.) | Donor’s means of acquisition  (i.e. purchased, gift, bequest, transfer) | Date of acquisition (if data is available) | Extent  (no. of items in the series/ volume/group) |
| 1. |  |  |  |  |
| 2. |  |  |  |  |
| 3. |  |  |  |  |
| 4. |  |  |  |  |
| 5. |  |  |  |  |
| 6. |  |  |  |  |
| 7. |  |  |  |  |
| 8. |  |  |  |  |
| 9. |  |  |  |  |
| 10. |  |  |  |  |

Note: For Bequest, attach a proof of bequest documentation

(*Add additional pages if necessary*)

**ACCEPTANCE**

**DONEE** hereby accepts the Donation made in its favor by **DONOR** of the items listed in the Property Transfer Report, subject of this Deed, and hereby expresses its appreciation for the generosity of the **DONOR**.

**IN WITNESS WHEREOF**, parties have hereunto set their hands this \_\_\_\_\_\_\_\_\_\_\_\_ in \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_, Philippines.

**DOST- SCIENCE AND TECHNOLOGY \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

**INFORMATION INSTITUTE \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

By: By:

**\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

**(Signature over printed name) (Signature over printed name)**

Director / DOST-STII (Donor’s Position/Designation if applicable)

**Signed in the presence of:**

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**(Signature over printed name (Signature over printed name of**

**of Donee’s witness) Donor’s witness)**

(Position/Designation), DOST-STII (Position/Designation if applicable)

**ACKNOWLEDGMENT**

**REPUBLIC OF THE PHILIPPINES**  }

}

} S.S.

BEFORE ME, a Notary Public for and in \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_, Philippines, this \_\_\_\_ day of \_\_\_\_\_\_\_\_\_\_\_\_2024 personally appeared;

|  |  |  |  |
| --- | --- | --- | --- |
| Name | Government  Issued ID | ID Number | Date Issued |
|  |  |  |  |
|  |  |  |  |

All known to me and to me known to be the same persons who executed the foregoing instrument and acknowledged to me that the same is their free and voluntary act and deed and that of the institutions represented including their instrumental witnesses.

This document refers to the Deed of Donation consisting of \_\_\_\_ pages including this page whereon this Acknowledgment is written, duly signed on each and every page by the parties.

**NOTARY PUBLIC**

**Doc. No \_\_\_\_\_\_\_\_\_;**

**Page No \_\_\_\_\_\_\_\_\_;**

**Book No \_\_\_\_\_\_\_\_\_;**

**Series of 2024.**

**Annex G**

**PURCHASE REQUEST**



**APPENDIX A**

**Acquisition Workflow for Internal Transfer and Donations**

A diagram of a document

Description automatically generated

**Appendix B**

**CATEGORIES OF OCCUPATION (LEVEL 2)**

Note: *This table contains information lifted from the International Labor Organization - International Standard Classification of Occupations (ISCO) Level 2. (https://ilostat.ilo.org/methods/concepts-and-definitions/classification-occupation/)*

|  |  |  |
| --- | --- | --- |
| **Occupation Type (Level 2)** | **Definition** | **Included occupations** |
| Administrative and Commercial Managers | They plan, organize, direct, control, and coordinate the financial, administrative, human resource, policy, planning, research and development, advertising, public relations, sales, and marketing activities of enterprises and organizations, or of enterprises that provide such services to other enterprises and organizations. | * Business Services and Administration Managers * Sales, Marketing and Development Managers |
| Agricultural, Forestry and Fishery Laborers | They perform simple and routine tasks in the production of crops and livestock, cultivation and maintenance of gardens and parks, exploitation and conservation of forests, and conduct of aquaculture and fisheries operations. | * Agricultural, Forestry and Fishery Laborers |
| Building and Related Trades Workers (excluding Electricians) | They construct, maintain, and repair buildings, erect and repair foundations, walls, and structures of brick, stone, and similar materials, shape and finish stone for building and other purposes. | * Building Frame and Related Trades Workers * Building Finishers and Related Trades Workers * Painters, Building Structure Cleaners and Related Trades Workers |
| Business and Administration Associate Professionals | They perform mostly technical tasks connected with the practical application of knowledge relating to financial accounting and transaction matters, mathematical calculations, human resource development, selling and buying financial instruments, specialized secretarial tasks, and enforcing or applying government rules. Also included are workers who provide business services such as customs clearance, conference planning, job placements, buying and selling real estate or bulk commodities, and serving as agents for performers such as athletes and artists. | * Financial and Mathematical Associate Professionals * Sales and Purchasing Agents and Brokers * Business Services Agents * Administrative and Specialized Secretaries * Government Regulatory Associate Professionals |
| Business and Administration Professionals | They perform analytical, conceptual, and practical tasks to provide services in financial matters, human resource development, public relations, marketing, and sales in the technical, medical, information, and communication technology areas; and conduct reviews of organizational structures, methods, and systems as well as quantitative analyses of information affecting investment programs. | * Finance Professionals * Administration Professionals * Sales, Marketing, and Public Relations Professionals |
| Chief Executives, Senior Officials and Legislators | They formulate and review the policies, and plan, direct, coordinate, and evaluate the overall activities of enterprises, governments, and other organizations with the support of other managers. | * Legislators and Senior Officials * Managing Directors and Chief Executives |
| Customer Services Clerks | They deal with clients in connection with money-handling operations, travel arrangements, requests for information, making appointments, operating telephone switchboards, and interviewing for surveys or completing applications for eligibility for services. | * Tellers, Money Collectors, and Related Clerks * Client Information Workers |
| Drivers and Mobile Plant Operators | They drive and tend trains and motor vehicles, or drive, operate, and monitor industrial and agricultural machinery and equipment, or execute deck duties on board ships and other water-borne craft. | * Locomotive Engine Drivers and Related Workers * Car, Van and Motorcycle Drivers * Heavy Truck and Bus Drivers * Mobile Plant Operators * Ships' Deck Crews and Related Workers |
| Electrical and Electronics Trades Workers | They install, fit, and maintain electrical wiring systems and machinery and other electrical apparatus, electrical transmission and supply lines and cables, and electronic and telecommunications equipment and systems. | * Electrical Equipment Installers and Repairers * Electronics and Telecommunications Installers and Repairers |
| Food Processing, Woodworking, Garment and Other Craft and Related Trades Workers | They treat and process agricultural and fisheries raw materials into food and other products, and produce and repair goods made of wood, textiles, fur, leather, or other materials. | * Food Processing and Related Trades Workers * Wood treaters, Cabinetmakers, and Related Trades Workers * Garment and Related Trades Workers * Other Craft and Related Workers |
| Handicraft and Printing Workers | They combine artistic and manual skills to design, produce, maintain, and decorate precision instruments, musical instruments, jewelry and other precious metals, pottery, porcelain and glassware, items made of wood or textile, leather or related materials, and printed products such as books, newspapers, and magazines. | * Handicraft Workers * Printing Trades Workers |
| Health Associate Professionals | They perform technical and practical tasks to support the diagnosis and treatment of illness, disease, injuries, and impairments in humans and animals, and to support the implementation of health care, treatment, and referral plans usually established by medical, veterinary, nursing, and other health professionals. | * Medical and Pharmaceutical Technicians * Nursing and Midwifery Associate Professionals * Traditional and Complementary Medicine Associate Professionals * Veterinary Technicians and Assistants * Other Health Associate Professionals |
| Health Professionals | They conduct research; improve or develop concepts, theories, and operational methods; and apply scientific knowledge relating to medicine, nursing, dentistry, veterinary medicine, pharmacy, and the promotion of health. | * Medical Doctors * Nursing and Midwifery Professionals * Traditional and Complementary Medicine Professionals * Paramedical Practitioners * Veterinarians * Other Health Professionals |
| Hospitality, Retail and Other Services Managers | They plan, organize, and direct the operations of establishments that provide accommodation, hospitality, retail, and other services. | * Hotel and Restaurant Managers * Retail and Wholesale Trade Managers * Other Services Managers |
| Information and Communications Technicians | They provide support for the day-to-day running of computer systems, communications systems, and networks and perform technical tasks related to telecommunications, broadcast of image and sound as well as other types of telecommunication signals on land, sea or in aircraft. | * Information and Communications Technology Operations and User Support Technicians * Telecommunications and Broadcasting Technicians |
| Legal, Social and Cultural Professionals | They conduct research, improve or develop concepts, theories, and operational methods; or apply knowledge relating to the law, storage, and retrieval of information and artifacts, psychology, social welfare, politics, economics, history, religion, languages, sociology, other social sciences, and arts and entertainment. | * Legal Professionals * Librarians, Archivists and Curators * Social and Religious Professionals * Authors, Journalists and Linguists * Creative and performing artists |
| Legal, Social, Cultural and Related Associate Professionals | They perform technical tasks connected with the practical application of knowledge relating to legal services, social work, culture, food preparation, sport, and religion. | * Legal, Social, and Religious Associate Professionals * Sports and Fitness Workers * Artistic, Cultural, and Culinary Associate Professionals |
| Market-oriented Skilled Agricultural Workers | They plan, organize, and perform farming operations to grow and harvest field or tree and shrub crops and produce a variety of animals and animal products for sale or delivery on a regular basis to wholesale buyers, marketing organizations or at markets. | * Market Gardeners and Crop Growers * Animal Producers * Mixed Crop and Animal Producers |
| Market-Oriented Skilled Forestry, Fishery and Hunting Workers | They plan, organize and perform operations to cultivate, conserve and exploit natural and plantation forests, breed and raise fish, harvest and catch fish; and hunt and trap animals, for sale or delivery on a regular basis to wholesale buyers, marketing organizations or at markets. | * Forestry and Related Workers * Fishery Workers, Hunters and Trappers |
| Metal, Machinery, and Related Trades Workers | They cast, weld, forge and, by other methods, form metal; erect, maintain, and repair heavy metal structures; engage in machine-tool setting as well as in fitting, maintaining, and repairing machinery, including engines, vehicles, or they produce tools and various non-precious-metal articles. | * Sheet and Structural Metal Workers, Molders and Welders, and Related Workers * Blacksmiths, Toolmakers, and Related Trades Workers * Machinery Mechanics and Repairers |
| Production and Specialized Services Managers | They plan direct and coordinate the production of the goods and the provision of the specialized professional and technical services provided by an enterprise or organization either as the manager of a department or as the general manager of an enterprise or organization that does not have a hierarchy of managers. They are responsible for manufacturing, mining, construction, logistics, information and communications technology operations, for large scale agricultural, forestry and fisheries operations, and for the provision of health, education, social welfare, banking, insurance and other professional and technical services. | * Production Managers in Agriculture, Forestry and Fisheries * Manufacturing, Mining, Construction, and Distribution Managers * Information and Communications Technology Service Managers * Professional Services Managers |
| Sales Workers | They sell and demonstrate goods in wholesale or retail shops, at stalls and markets, door-to-door, via telephone, or through customer contact centers. They may record and accept payment for goods and services purchased and may operate small retail outlets. Competent performance in most occupations in this sub-major group requires skills at the second ISCO skill level. | * Street and Market Salespersons * Shop Salespersons * Cashiers and Ticket Clerks * Other Sales Workers |
| Science and Engineering Associate Professionals | They perform technical tasks connected with research and operational methods in science and engineering. They supervise and control technical and operational aspects of mining, manufacturing, construction and other engineering operations, and operate technical equipment including aircraft and ships. | * Physical and Engineering Science Technicians * Mining, Manufacturing, and Construction Supervisors * Process Control Technicians * Life Science Technicians and Related Associate Professionals * Ship and Aircraft Controllers and Technicians |
| Science and Engineering Professionals | They conduct research, improve or develop concepts, theories, and operational methods, or apply scientific knowledge relating to fields such as physics, astronomy, meteorology, chemistry, geophysics, geology, biology, ecology, pharmacology, medicine, mathematics, statistics, architecture, engineering, design, and technology. | * Physical and Earth Science Professionals * Mathematicians, Actuaries and Statisticians * Life Science Professionals * Engineering Professionals * Electrotechnology Engineers * Architects, Planners, Surveyors and Designers |
| Stationary Plant and Machine Operators | Stationary plant and machine operators monitor and operate stationary industrial plants, machinery, and equipment, for which mobility is not an integral part of operation. | * Mining and Mineral Processing Plant Operators * Metal Processing and Finishing Plant Operators * Chemical and Photographic Products Plant and Machine Operators * Rubber, Plastic, and Paper Products Machine Operators * Textile, Fur, and Leather Products Machine Operators * Food and Related Products Machine Operators * Wood Processing and Papermaking Plant Operators * Other Stationary Plant and Machine Operators |
| Street and Related Sales and Service Workers | They sell goods (excluding food) for immediate consumption and provide a variety of services on streets and in other public places such as stations. | * Street and Related Service Workers * Street Vendors (excluding Food) |
| Subsistence Farmers, Fishers, Hunters and Gatherers | They grow and harvest field or tree and shrub crops, vegetables, and fruit, gather wild fruits, medicinal and other plants, tend or hunt animals, catch fish and gather various forms of aquatic life to provide food, shelter and, in some cases, a minimum of cash income for themselves and their households. | * Subsistence Crop Farmers * Subsistence Livestock Farmers * Subsistence Mixed Crop and Livestock Farmers * Subsistence Fishers, Hunters, Trappers and Gatherers |
| Teaching Professionals | They teach the theory and practice of one or more disciplines at different educational levels; conduct research; improve or develop concepts, theories, and operational methods about their particular discipline; and prepare scholarly papers and books. | * University and Higher Education Teachers * Vocational Education Teachers * Secondary Education Teachers * Primary School and Early Childhood Teachers * Other Teaching Professionals |

**Appendix C**

**CORPORATE TYPE**

1. **Corporation** – includes business entities engaged in commercial activities; subsidiaries or companies controlled by another company; joint ventures or business arrangements in which two or more parties agree to pool their resources for a specific task or project.

Example: Hyundai Motor Company

Hyundai Philippines

1. **Cultural Institution** – include institutions preserving and exhibiting artifacts of historical, cultural, or artistic significance such as Museums; institutions that collect, organize, and provide access to information resources such as Libraries; and repositories that preserve and provide access to historical records and documents such as Archives.

Example: National Historical Commission

National Museum

National Library of the Philippines

1. **Educational Institution** – Include institutions of higher education offering undergraduate and postgraduate degrees such as colleges and universities, technical-vocational schools, and primary and secondary educational institutions.

Example: Taguig City University

University of the Philippines

1. **Financial Institutions** – include institutions providing financial services, such as savings, loans, and investments; and insurance companies offering risk management through insurance policies.

Example: Landbank of the Philippines

Sunlife Philippines

1. **Governmental Body** - Governmental agencies, departments, offices, and units established to perform particular functions.

Example: Department of Science and Technology

Science and Technology Information Institute

1. **Healthcare Institution** – includes hospitals and clinics.

Example: Jose R. Reyes Memorial Medical Center

Philippine General Hospital

1. **International Organizations** – includes organizations promoting international cooperation.

Example: United Nations (UN)

World Health Organization (WHO)

1. **Media Organizations** – include companies that publish books, journals, and other media; and broadcast networks or organizations that produce and distribute television and radio content.

Example: GMA Network

PTV4

1. **Non-Profit Organization** – includes entities established to support charitable activities, and associations or groups formed to advance common interests, such as professional associations or advocacy groups.

Example: Philippine Medical Association

Philippine Red Cross

1. **Professional Bodies** – organizations representing the different professions.

Example: Association of Special Libraries of the Philippines

Philippine Medical Association

**Appendix D**

**METADATA ATTRIBUTES OF KEY ENTITIES**

***Attributes of Agent:***

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| --- | --- | --- |
| **Attributes** | **Value Schema** | **Examples** |
| **Identifier** - This provides an alphanumeric or unique reference code that distinctly identifies the Agent within the archival system. | *Recommendation*: To conform with the International Standard of Authority file, it is recommended that DOST-STII Archives apply to become part of the Virtual International Authority File (VIAF). This will enable each name to have a global persistent identifier. | Agent: Science and Technology Information Institute  Type: Corporate  VIAF Identifier: 155680725 |
| **Name** - This provides the Agent's formal or commonly used title, ensuring they are easily recognizable and identifiable. This includes the full name of a person, the official name of an organization, or the commonly used name of a group or family. For individuals, it may include titles, honorifics, and middle names; for organizations, it may include the full legal name and any abbreviations or acronyms. | * For Person – use the AACR2R Rule: Surname, First name, Middle initial * For other types of Agents, use free text. | Person: Solidum Jr., Renato U.  Family: Geminiano de Ocampo Family  Corporate: Science and Technology Information Institute  Position: Department Secretary  Mechanism: Electronic Records Management System |
| General description - It offers a summary of the person(s), highlighting their roles, activities, and significance in creating, using, or managing the records. This narrative includes key details such as the person(s)' history, functions, achievements, and context. It may describe their involvement with records, professional or organizational roles, and notable actions or events they participated in. | Use Free text | Juan Dela Cruz is an internationally recognized Filipino scientist in the field of Physical science |
| **Position** (applies to a person)- The functional role of a person within a group. It may be tied to a project or to a set of tasks and thus have a defined duration. | Use Free text | Secretary  Director  Project Leader |
| **History** - a concise history of an agent; may include its creation/definition/birth, and its  development over time. | Use Free text | Person: He has worked with DOST for the past thirty-eight (38) years and rose from the ranks. He started his professional career at the DOST – Philippine Institute of Volcanology and Seismology (PHIVOLCS) in 1984 after graduating with a BS in Geology degree from the University of the Philippines (UP) Diliman in the same year. He served at PHIVOLCS in varying capacities, starting as Science Research Specialist I and became its Director in 2003. |
| **Demographic Group** ( applies if agent is a person, group, or family) - Categorization of a person or group based on shared characteristics such as gender, (biological) sex, education, identity, place, ancestry, ethnic/cultural identification, and religion. | Use Free text | Women  Academicians |
| **Occupation Type** (applies if agent is a person) - Categorization of a profession, trade, or craft pursued by a person in fulfilment of an  activity. | Refer to the International Standard Classification of Occupations (ISCO) of the International Labor Organization for categories of occupation and copy the Sub-major group (<https://ilostat.ilo.org>) (See Appendix B) | Science and Engineering Professionals – use for Physical and Earth Science Professionals, Mathematicians, Actuaries and Statisticians, Life Science Professionals, Engineering Professionals, Electrotechnology Engineers, Architects, Planners, Surveyors and Designers |
| **Family Type** (applies if agent is a family) – categories of family | Use the following controlled values:   * Family * Clan * Tribe | • Family  • Clan  • Tribe |
| **Corporate Body Type** (applies only to corporate body) – categories of corporate bodies | Use the controlled values specified in Appendix C. | Governmental bodies  Non-profit organizations  Trade Organizations |

***Attributes of Mandate:***

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| --- | --- | --- |
| Attributes | Value Schema | Examples |
| **Identifier** - A unique code or number assigned to mandate rule to uniquely identify the rule within the archival system. | DOST-STII Archives shall maintain stable Archival Resource Keys (ARKs) as primary identifiers for Mandates. |  |
| **Name** - A concise, descriptive title for the mandate, offering a clear and easily identifiable label. | Free text | Records Retention Policy |
| **Mandate Type** – categories of mandate | Controlled value; Use the following types:   * Administrative Order * Charter * Contract * Executive Order * Letter of Appointment * Memorandum Issuance * Presidential Decree * Republic Act * Special Order | Memorandum issuance |
| **General Description** - A detailed narrative or explanation of the mandate, including its purpose, scope, and application. | Use Free text | This policy outlines the mandatory retention periods for various types of records within the organization, ensuring compliance with legal and regulatory requirements. |
| **History** – a history of the authority or specifications relating to the creation of the mandate. May include the date and personalities involved. | Use Free text | The Special Order was issued on 09 May 2001 and stamped on the same date, signed by the DOST Secretary, Dr.​​ Estrella Fabella Alabastro |

***Attributes of Record Set:***

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| --- | --- | --- |
| Attributes | Value Schema | Examples |
| **Identifier** – It is often a combination of alphanumeric characters and may include codes or numbers that reflect the hierarchical position of the Record Set. | DOST-STII Archives shall maintain stable Archival Resource Keys (ARKs) as primary identifiers for the Record Set. |  |
| **Name** – a clear and meaningful title or designation for each record set. | Free text | DOST-PCHRD Annual Performance Report |
| **General Description** - A narrative summary or description of the content of the record. | Use Free text | Accruals of the Performance Report of DOST-PCHRD. |
| **Authenticity Note** - Description of the evidence that a record set is what it purports to be, was created or sent by the said agent at the said time and has not been tampered with, corrupted, or forged. | Free text | Several letters have been postmarked and carry seals that were in use during the early 19th century. |
| **Classification** - A term, number, or alphanumeric string that is usually taken from an external classification vocabulary or scheme that qualifies a record resource. | The Classification Standard for Record Set and Records shall be crafted by the DOST-STII Archives. |  |
| **Conditions of Access** - Terms and circumstances affecting the availability of a record set for consultation. | Controlled value; Use the following terms:   * Closed for (x) number of years * Internal access * Online Access only * Public access * Temporarily restricted | * Closed for 10 years * Available for public access |
| **Conditions of Use** - Terms and circumstances affecting the use of a record set after access has been provided. | Controlled value:   * For Room Use Only * Limited reproduction * Reproduction permitted * Public domain | Portions of the record set containing sensitive personal information identified under the Data Privacy Act of 2012 are restricted. |
| **Content Type** - The fundamental form of communication in which a record set is expressed. | Controlled value; use the following:   * text * still image * cartographic image | Text |
| **History** – Gives an account of the record set’s history. May include information about the history of origination, responsibility, property, custody, arrangement, description, and management. | Free text | The journals are part of the collections of Geminiana de Ocampo that were purchased by his children during the Manila International Book Fair on 16 Sept 2015 at the SMX Convention. These collections were donated in the DOST-STII Archives on 06 June 2022. |
| **Language** - It specifies the language of the record's content, providing essential context for researchers and users. | Use the ISO 639-2 standard, which provides a three-letter code system for identifying languages. | English - eng  French - fre  Spanish - spa  German - ger  Chinese – chi  Filipino - fil |
| **Scope and content** - It summarizes the scope and content of the record set itself, or additionally summarizes the scope and content of some or all members of the record set. | Free text | Includes the research abstracts conducted by Geminiano de Ocampo in the field of Ophthalmology covering the period of 2000-2003. |
| **Accruals** - Information on the anticipated accession(s) to the record set. | Controlled value; Use the following terms:   * Continuous * Event-based * Irregular * Project-based * Regular * Seasonal * Unplanned | Regular accruals are expected. |
| **Documentary Form Type** – Classification of both intrinsic and extrinsic elements of the record set, collectively conveying its content, administrative and documentary context, and authority. | Controlled value; use the following terms:   * email * letter * contract * database * reports * minutes | Email, letter, contract |
| **Record Set Type**- a broad categorization of the type of record set. | Controlled value; use the following:   * fonds * series * file * collection * accrual * accession | Fonds |

***Attributes of Record****:*

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| --- | --- | --- |
| **Attributes** | **Value Schema** | **Examples** |
| **Identifier** – It is often a combination of alphanumeric characters and may include codes or numbers that reflect the hierarchical position of the Record Set, Record, and Record part. | DOST-STII Archives shall maintain stable Archival Resource Keys (ARKs) as primary identifiers for Record. |  |
| **Name** – a clear and meaningful title or designation for each record. | Free text | DOST-PCHRD Annual Performance Report 2015 |
| **General Description** - A narrative summary or description of the content of the record. | Use Free text | It contains the different activities and accomplishments of the DOST-PCHRD for 2015. |
| **Authenticity Note** – Description of evidence that a record is what it purports to be, was created or sent by the said Agent at the said time and has not been tampered with, corrupted, or forged. | Free text | Physical copies of the reports are printed on corporate letterhead with watermarks and digitally signed by the Head of Agency on February 15, 2016. |
| **Conditions of Access** - Terms and circumstances affecting the availability of a record for consultation. | Controlled value; Use the following terms:   * Closed for (x) number of years * Internal access * Online Access only * Public access * Temporarily restricted | Access to the record containing personal data is governed by the Data Privacy Act of the Philippines. Users must comply with all relevant privacy laws and regulations. |
| **Conditions of Use** - Terms and circumstances affecting the use of a record after access has been provided. | Controlled value:   * For Room Use Only * Limited reproduction * Reproduction permitted * Public domain | Reproduction of the DOST-PCHRD Annual Performance Report 2015 for research purposes shall be allowed. |
| **Content Type** - The fundamental form of communication in which a record is expressed. | Controlled value; use the following:   * audio * cartographic image * still image * text * video | Text |
| **History** - Gives an account of the record’s history. May include information about the history of origination, responsibility, property, custody, arrangement, description, and management. | Free text | The DOST-PCRHD Annual Performance Report was published in 2015 with text and cartographic images. |
| **Language** - It specifies the language of the record's content, providing essential context for researchers and users. | Use the ISO 639-2 standard, which provides a three-letter code system for identifying languages. | Chinese – chi  English - eng  Filipino - fil  French - fre  German - ger  Spanish - spa |
| **Scope and content** - It summarizes the scope and content of the record itself. | Free text | The DOST-PCHRD Annual Report 2015 contains a message from the Agency Head, highlighting key achievements, challenges, and strategic priorities for the year. |
| **Documentary Form Type -** Classification of both intrinsic and extrinsic elements of the record, collectively conveying its content, administrative and documentary context, and authority. | Controlled value: Use the following:   * Email * Letter * Contract * database * reports * minutes | Email, letter, contract |

***Attributes of Instantiation:***

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| --- | --- | --- |
| **Attributes** | **Value Schema** | **Examples** |
| **Identifier** – It comprises a distinctive alphanumeric code or reference number assigned to the instantiation, that uniquely differentiates it from all other instantiations of the same record resource. | DOST-STII Archives shall maintain stable Archival Resource Keys (ARKs) as primary identifiers for Instantiation. |  |
| **Name** – It offers a clear and concise title for the instantiation, reflecting its format or distinguishing features such as PDF, PNG, TIFF, microfilm, photo, video, audio, or original handwritten/typewritten copy. This title is designed for easy recognition and understanding by users. | Use free text | * Digital Scan of 1920 Letter * Picture 32 in Microfilm of Correspondence of Geminiano de Ocampo * Original Handwritten Letter |
| **General Description** - It provides an overview of its physical or digital characteristics, including material type, medium, production techniques, significant features, context of creation or acquisition, and relevant historical or preservation details. | Use Free text | Digital scan of the original handwritten letter on parchment, for room use only. |
| **Authenticity Note** - Description of evidence confirming that an instantiation is genuine, created or sent by the specified agent at the stated time, and remains untampered, uncorrupted, or unaltered. | Free text | The (instantiation) is date-stamped and verified |
| **Carrier Extent** - Number of physical units and/or physical dimensions of the carrier of an instantiation. For digital resources, it may be used to indicate the size of storage capacity (disk, tape, film, etc.). | Free text | 5 pages digitally scanned |
| **Carrier Type** - Categorization of physical material on which information is represented. | Controlled value; use the following terms:   * film * magnetic disk * magnetic tape * optical disk * paper * parchment * vinyl disk | Magnetic disk |
| **Conditions of Access** - Terms and circumstances affecting the availability of a record resource or an instantiation for consultation. | Controlled value; Use the following:   * Closed for “x” number of years * Closed under the Data Protection Act * Public access * Restricted access | Closed under the Data Protection Act |
| **Conditions of Use** - Terms and circumstances affecting the use of an instantiation after access has been provided. | Controlled value; Use the following:   * Cannot be used for commercial purposes * For Room use only * For internal stakeholders use only * Cannot be copied using a photocopying machine | Cannot be copied using a photocopying machine |
| **History** – Provides an account of the history of the instantiation itself. | Free text | The photograph was taken using a professional-grade digital camera and saved in JPEG format with a resolution of 300 dpi. |
| **Instantiation Extent** - Countable characteristics of an instantiation expressed as a quantity. | Free text | Size of pdf file: 5MB |
| **Physical Characteristics Note** - Information about the physical features, completeness, or conservation status of an  instantiation. | Controlled value; Use the following terms:   * Acidic * Yellowish * Abrasions * Wrinkles * Stained * Cloudy discoloration * Scratches * Embrittlement * Tears/breaks | Acidic, yellowish, |
| **Production Technique** - The method used in the representation of information on an instantiation. | Controlled value; Use the following terms:   * Analog record * Digital Photograph * Handwritten * Optical Scan * Printed text * Typewritten | Optical scan, handwritten |
| **Representation Type** - the specific format or medium used to record content. | Controlled value; use the following terms:   * Analog/digital textual * Analog/digital visual * Analog/digital video * Analog/digital audio | Analog/digital video |
| **Structure** - the physical arrangement and composition of an instantiation. | Free text | The report has 5 sections detailing the 5 items; the minutes of the meeting have 5 sections |

***Attributes of Event:***

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| --- | --- | --- |
| **Attributes** | **Value Schema** | **Examples** |
| **Identifier** - this is a unique code or number assigned to the event or activity. This attribute ensures that each event or activity can be distinctly and unambiguously referenced within the archival system. | DOST-STII Archives shall maintain persistent Archival Resource Keys (ARKs) as primary identifiers for the Event. |  |
| **Name** - provides a concise, descriptive title for the event or activity. This name should be clear and informative, summarizing the essence of the event or activity. | Free text | 1st NSTW Kickoff Meeting |
| **General Description** - provides a detailed narrative or explanation of the event or activity. This attribute captures the context, purpose, and specifics of what occurred. | Use Free text | The conduct of the 1st National Science and Technology Week in the Philippines |
| **Event type** – categorization of an event. | Controlled value; use the following terms:   * Accession * Acquisition * Arrangement * Collaboration * Conference * Correspondence * Disaster response * Exhibition * Media Engagement * Meeting * Partnership * Project execution * Training session * Workshop | * Access * Exhibition |
| **History** - A historical account of the origin and progression of an event. | Free text | The Department of Science and Technology (DOST), by Presidential Proclamation No. 780 s. 2019, celebrates the annual Science and Technology (S&T) Week every fourth week of November. |

***Attributes of Activity:***

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| --- | --- | --- |
| **Attributes** | **Value Schema** | **Examples** |
| **Identifier** - this is a unique code or number assigned to the event or activity. This attribute ensures that each event or activity can be distinctly and unambiguously referenced within the archival system. | DOST-STII Archives shall maintain persistent Archival Resource Keys (ARKs) as primary identifiers for the Activity. | ACT-2024-0034 (indicating the 34th activity recorded in the year 2024) |
| **Name** - provides a concise, descriptive title for the event or activity. This name should be clear and informative, summarizing the essence of the event or activity. | Free text | 1st NSTW Kickoff Meeting |
| **General Description** - provides a detailed narrative or explanation of the event or activity. This attribute captures the context, purpose, and specifics of what occurred. | Free text | The 1st NSTW Kickoff Meeting was conducted on February 4, 1990, at the Manila Observatory Building. |
| **History** – provides a chronological record of the activity, detailing its progression over time and any shifts in responsibility associated with the activity. | Free text | The kickoff meeting started at 9 in the morning and was chaired by Dr. Montejo. He was later replaced by Dr. Borja due to a conflict of schedule. |
| **Activity type** – category of an activity. | Controlled value; Use the following terms:   * Action * Business process * Task * Transaction | Business process  Transaction |

***Attributes of Dates:***

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| --- | --- | --- |
| **Attributes** | **Value Schema** | **Examples** |
| **Identifier** - A unique code or number assigned to the date entry to uniquely identify each date or date range, ensuring that it can be distinctly referenced within the archival system. | DOST-STII Archives shall maintain persistent Archival Resource Keys (ARKs) as primary identifiers for the Dates. |  |
| **Name** - provides a concise, descriptive title for the date or date range. This name should be clear and informative, summarizing the essence of the temporal information. | Free text | * NSTW 2023 * DOST Founding Anniversary * Accession date * Archival processing period |
| **General Description** - provides a detailed explanation of the date or date range, including its significance and context within the archival system. | Free text | The date marks the creation of the document. |
| **Date Qualifier** - A human-readable description of a date indicating the degree of precision or certainty. | Controlled value; Use the following:   * Approximate * Circa * End unknown * Estimate | Approximate |
| **Date type** – provides a category of dates. | Controlled value; Use the following:   * Single date * Date range * Date set * Year * Century | Single date  Date Range |
| **Expressed Date** – it is the natural language expression of a date. | Free text | 1990-1995 – date range  January to June – 1st semester |
| **Normalized Date** - A date represented in a machine-readable format following a recognized technical standard. | Rule-based value; use the ISO 8601 standard or its extension, the Extended Date-Time  Format (EDTF). | 2012-02-14/2015-03-08 (an ISO 8601 form of a date range)  2012/2015-03 (an ISO 8601 form of a date range)  1948-03 (an ISO 8601 form of a single date)  1948-03-08 (an ISO 8601 form of a single date)  1948-03~ (a single date in ETDF, meaning March 1948 approximately)  1948/.. (an open date range in EDTF, starting in 1948)  1948/ [a date range in EDTF, starting in 1948, end unknown] |

***Attributes of Place:***

|  |  |  |
| --- | --- | --- |
| **Attributes** | **Value Schema** | **Examples** |
| **Identifier** - A unique code or number assigned to the date entry to uniquely identify each date or date range, ensuring that it can be distinctly referenced within the archival system. | DOST-STII Archives shall maintain persistent Archival Resource Keys (ARKs) as primary identifiers for the Dates. |  |
| **Name** - provides a concise label of the place. It includes the official name or commonly used name of the place, such as the name of a city, town, village, landmark, or geographic feature. | Free text | DOST Complex  Taguig City |
| **General Description** - provides the geographical location where an activity took place, an event occurred, or a record was created or used. | Free text | DOST Complex is a home for several DOST-attached agencies such as STII, NAST, and SEI. |
| **Coordinates** – provides the longitudinal and latitudinal information about a place. | Rule-based value; Use ISO 6709 Standard representation of geographic point location by coordinates | Latitude: 14.5896° N; Longitude: 120.9812° E (geographical coordinates pinpointing the location of Manila City Hall) |
| **History** – provides a historical account of the place. | Free text | The DOST-STII building was constructed in 1987 under the leadership of Director Alabastro. |
| **Location** – defines the physical boundaries of a location. | Free text | General Santos Ave., Bicutan, Taguig City |
| **Place Type** – provides the category of a place. | Controlled value; Use the following terms:   * administrative division * country * historical site * industrial zone * landmark * mountain * region * religious site * river * settlement | City  Province |

1. Government Procurement Policy Board. “Handbook on Philippine Government Procurement.” PDF file. Pasig City: Department of Budget and Management Government Procurement Policy Board Technical Support Office, 2022. [↑](#footnote-ref-1)
2. International Council on Archives Expert Group on Archival Description (ICA EGAD). “Records in Contexts Conceptual Model.” PDF file. International Council of Archives, November 2023. [↑](#footnote-ref-2)