



NATIONAL COMMISSION FOR CULTURE AND THE ARTS

*Excerpts from the Minutes of the Regular Commission Meeting
held on March 31, 2022, NCCA, Intramuros, Manila
and via Zoom*

Resolution

[U]pon motion made and duly seconded, the Commission approved this

Resolution:

Resolution No. 2022-294

**Approving and Adopting the Guidelines on the
Support for the Establishment/Enhancement of Archives Records Center**

WHEREAS, Section 12 (b) of Republic Act No. 7356 mandates the NCCA to encourage and support the establishment and/or maintenance all over the country of museums, libraries, archives, private and public, as repositories, respectively of all cultural/historical artifacts and artistic creation, printed works, archival records and all other materials indispensable to the study and evaluation of Filipino culture and history;

WHEREAS, Section 22.3 of Republic Act No. 9470 otherwise known as the National Archives of the Philippines Act of 2007 provides that government offices may establish, maintain, and operate Agency Records Centers which shall be responsible for the maintenance and preservation of public records under the custody and control of each government office;

WHEREAS, the Executive Council of the National Committee on Archives (NCA) has initiated the establishment of a category under the NCCA Competitive Grants Program to support the establishment and enhancement of Archives and Records Centers;

WHEREAS, a set of guidelines were prepared by the NCA Executive Council to provide guidance and direction on the evaluation of submitted projects proposals under the said category to ensure its relevance, effectiveness, efficiency, impact, and sustainability;

WHEREAS, the said guidelines were posted in the NCCA Facebook account from November 9, 2021 to November 19, 2021 to invite comments and suggestions from the general public. These comments were presented to the NCA Executive Council on November 22, 2021 for consideration;



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NATIONAL COMMISSION FOR CULTURE AND THE ARTS

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NATIONAL COMMISSION FOR CULTURE AND THE ARTS

*Excerpts from the Minutes of the Regular Commission Meeting
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WHEREAS, the NCA Executive Council has adopted the guidelines during its regular meeting on 3 February 2022 and endorsed it to the Subcommittee on Cultural Heritage (SCH);

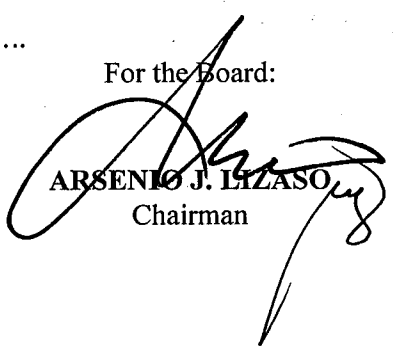
WHEREAS, the SCH has approved via referendum from February 7-9, 2022 the endorsement and recommendation for approval of the said guidelines to the Board of Commissioners;

NOW, THEREFORE, be it **RESOLVED**, as it is hereby **RESOLVED**, upon the recommendation of the Subcommittee on Cultural Heritage and the National Committee on Archives, To **APPROVE** and **ADOPT** the **Guidelines on the Support for the Establishment/Enhancement of Archives Records Center**, herewith attached as Annex A.

Attested by:


MYLA T. BUAN
Board Secretary

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For the Board:


ARSENIO J. LIZASO
Chairman


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GUIDELINES ON THE SUPPORT FOR THE ESTABLISHMENT / ENHANCEMENT OF ARCHIVES AND RECORDS CENTERS

I. RATIONALE

The National Commission for Culture and the Arts (NCCA) is mandated to “*encourage and support the establishment and/or maintenance all over the country of museums, libraries, archives, private and public, as repositories, respectively of all cultural/historical artifacts and artistic creation, printed works, archival records and all other materials indispensable to the study and evaluation of Filipino culture and history*” pursuant to Section 12 (b) of Republic Act No. 7356 of 1992 or the Law creating the NCCA.

Further, Section 22.3 of Republic Act No. 9470 otherwise known as the National Archives of the Philippines Act of 2007 provides that government offices may establish, maintain, and operate Agency Records Centers which shall be responsible for the maintenance and preservation of public records under the custody and control of each government office.

With this, the Executive Council of the National Committee on Archives has initiated the establishment of a category under the NCCA Competitive Grants Program to support the establishment and enhancement of Archives and/or Records Centers.

II. PURPOSE AND OBJECTIVES

The purpose of these guidelines is to provide guidance and direction on the evaluation of submitted projects proposals under the said category to ensure its relevance, effectiveness, efficiency, impact, and sustainability.

Specifically, the guidelines aim to achieve the following objectives:

1. To strengthen the capacity of archives and record centers for disaster resilience and climate change adaptation
2. To promote diversity and inclusion among archives and record centers by improving their facilities in support of the State Policy on Diversity and Inclusion as institutionalized in Executive Order No. 100, s. 2019
3. To ensure accessibility to archival records
4. To empower archives and record centers as agents of inclusive and equitable quality education and in the promotion of lifelong learning opportunities for all
5. To empower government agencies to establish archives and records centers in keeping with the records management and archival regulations and standards set out by RA 9470 and by the Circulars and other issuances of the National Archives of the Philippines

III. SCOPE AND COVERAGE

These Guidelines shall apply to all projects pertaining to the establishment/enhancement of archives and records centers under the NCCA Competitive Grants Program which shall be funded through the National Endowment Fund for Culture and Arts as established by RA 7356, National Endowment for Culture and Arts as established by RA 10066, and the locally-funded projects as provided by the General Appropriations Act.

IV. DEFINITION OF TERMS

- a. **Archives**- shall refer to: (1) collection of records in any format, public and private, which have been selected for permanent preservation because of their evidential, historical, informational value, otherwise known as archival material; (2) the place (building/room/storage area) where archival materials are kept and preserved; and (3) an organization or agency or part thereof whose main responsibility is to appraise, arrange, describe, conserve, promote, and make archival materials available for reference and research, also known as archival agency
- b. **Records center**- refers to an intermediate repository in which noncurrent records of the agency/institution are stored until they can be destroyed or transferred to the National Archives.

V. TYPES OF ELIGIBLE PROJECTS

A. Establishment of Archives and Records Center

1. Procurement of basic equipment
2. Architectural and Engineering Design for the construction of the structure.

B. Enhancement of Archives and Records Center

1. Improvement of existing archives/records center which involves restoration and/or renovation
2. Procurement of equipment related to the core function of the existing structure such as but not limited to air conditioning and humidifying system, addressable fire suppression system and similar items.

VI. ELIGIBLE PROPONENTS

National Government Agencies, Local Government Units, State Universities and Colleges, People's Organizations, and Civil Society Organizations may submit a project proposal under this grant category subject to the following qualifications:

A. Establishment of Archives and Records Center

1. Only municipal and city governments are qualified to submit proposals on behalf of the barangay councils within their respective locality.
2. Individuals and stock corporations are not qualified to submit a proposal under this category.
3. The proposed establishment of an ecclesiastical/religious/church archives must be authorized to be undertaken by a Civil Society Organization

B. Enhancement of Archives and Records Centers

The archives or records center being proposed for enhancement:

1. Must be in existence for the last five (5) years at the time of project proposal submission
2. For government agencies/institutions, must have a Record Management System Improvement Committee (RMIC) or a similar committee for private institutions

3. Must employ at least one staff member, or the full-time equivalent, whether paid or unpaid, primarily engaged in the acquisition, care, or dissemination to the public of archives owned or used by the archives or records center.
4. Must have a significant collection under their custody which are found locally or acquired by the archives or records center from other sources possessing notable heritage value/s which are highly important to the region and/or to the country and nation.
5. Must have an outstanding record of community or public engagement
6. Must have undergone technical assessment prior to the submission of the project proposal.

Apart from those stated above, the eligible proponents must comply with the accreditation requirements provided under NCCA Board Resolution No. 2017-265 *Adopting the Guidelines for the Accreditation of Individuals, Organizations, and Government Agencies by NCCA*.

VII. ALLOWABLE COSTS

The following list includes the generally allowable costs under this Grant category:

1. Honoraria and travel expenses for key project staff and consultants
2. Materials, supplies, software, and equipment related directly to project activities
3. Adaptive and/or assistive technologies and other resources and services to improve accessibility for persons with disabilities
4. Program evaluation
5. For the establishment of archives and records centers, procurement of the following is allowed:
 - a. preservation and conservation supplies (not limited to acid-free folders, boxes, papers or boards, adhesives)
 - b. laboratory equipment
 - c. basic office furniture (shelves, tables and chairs)
 - d. basic storage and filing equipment (open steel shelves, map cabinets)
 - e. computer hardware (scanner, barcode printer)
 - f. computer software (licenses or subscriptions)
 - g. digital data storage (portable hard drive, Network-Attached Storage, cloud storage)
 - h. aircon and humidifiers/dehumidifiers
 - i. hygrometers
 - j. lighting and fixtures
 - k. addressable fire suppression system
 - l. ventilation system
6. For the enhancement of archives and records center, procurement of the following is allowed:
 - a. preservation and conservation supplies (not limited to acid-free folders, boxes, papers or boards, adhesives)
 - b. refurbishing/repairs of storage facilities
 - c. upgrade of digital data storage (migration, expansion, redundancy/media duplication)
 - d. fire alarm system, fire extinguishers, smoke and heat detectors, CCTV system
 - e. all other items listed above in the establishment of archives that are needed for expansion purposes

7. The NCCA will not fund infrastructure projects for both establishment and enhancement of archives and records centers.

VIII. DOCUMENTARY REQUIREMENTS FOR SUBMISSION

The eligible project proponent must submit complete documentary requirements to the NCCA Program and Project Management Division for initial assessment and evaluation.

A. Establishment of Archives and Records Center

1. Accomplished NCCA Project Proposal form with detailed Line-Item Budgeting, Schedule of Activities, and Work and Financial Plan duly signed by the Proponent on each page.
2. Building Plan/Blueprint of dedicated space for the archives.
3. Certification or Resolution dedicating the space for permanent and exclusive use of the archives/ records center.
4. NCCA Certificate of Accreditation

B. Enhancement of Archives and Records Center

1. Accomplished NCCA Project Proposal Form with Line-Item Budgeting indicating the following:
 - a. the mandate and proposed/current archival policies, administrative principles and processes
 - b. a secure and designated storage facility that creates a proper environment;
 - c. a list of records holdings of the agency or institution;
 - d. a list of records officer/s or custodian who are accountable in ensuring that the full range of records are maintained and preserved.
 - e. records management system, access and security of records holdings, such as Records Series, Title and Description, period covered/inclusive dates, volumes, records medium, restrictions, locations of records, time value and retention period.
2. NCCA Certificate of Accreditation

IX. REVIEW CRITERIA

The accomplished NCCA project proposal form must respond to the following criteria:

1. Is the description of the archives/records center operation, collection, programs, and services clearly described and supported by relevant evidence?
2. Are those who will benefit from the project clearly identified, and have they been involved meaningfully in planning the project?
3. Are the time, financial, personnel, and other resources identified appropriate for the scope and scale of the project?
4. Are the risks clearly stated and is the plan for mitigating them reasonable and well thought out?
5. Is the methodology described for measuring performance likely to provide meaningful information?
6. Is there an effective plan for communicating general findings and/or lessons learned?

7. Are the project's intended results clearly articulated, realistic, meaningful, actionable, and linked to the need, problem, or challenge addressed by the project?
8. Is there evidence that the project will yield significant change in knowledge, skills, behaviors, and/or attitudes of the intended audience?
9. Is there a reasonable and practical plan for sustaining the benefits of the project beyond the conclusion of the Grant?

X. TERMS AND CONDITIONS OF THE GRANT

1. The proposed/enhanced archives or records center must be ready for operation upon completion of the project.
2. The enhancement must not hinder the continued operations of the archives/records center.
3. The proponent must allocate funds for the maintenance and operations of the proposed/enhanced archives and records center in their yearly budget allocation.
4. The NCCA shall be acknowledged by way of, but not limited to, installation of signages acknowledging NCCA in the Archives or Records Center space provided.

XI. GRANT RESTRICTIONS/NON-ALLOWABLE COSTS

Pursuant to COA Circular No. 1994-013 on Rules and Regulations in the Grant, Utilization and Liquidation of Funds Transferred to Implementing Agencies and COA Circular No. 2007-001 on the Revised Guidelines in the Granting, Utilization, Accounting, and Auditing of the funds released to Non-Government Organizations (NGO)/People's Organizations (PO), the approved grant shall have the following limitations:

1. No portion of the funds shall be released before the signing of the Memorandum of Agreement (MOA).
2. No portion of the funds granted to NGO/PO shall be used for the following:
 - i. Money market placement, time deposit, or other forms of investments contributions to endowments;
 - ii. Cash advance of any official of the NGO/PO, unless related to the implementation of the project;
 - iii. Payment of salaries, honoraria and any other form of allowances of NCCA personnel or the NGO/PO who are not connected with the project;
 - iv. Purchase of supplies, materials, equipment, and motor vehicles of the NCCA
 - v. Acquisition of collections
 - vi. General advertising or public relations costs designed solely for promotional activities other than those related to the specific project
 - vii. General operating support

3. In no case shall the fund transferred to National Government Agencies/Local Government Units/State Universities and Colleges be utilized for the payment of additional compensation to employees in the form of allowances, incentive pay, bonuses, honorarium, or other forms of additional compensation, except as may be authorized by law or existing regulations, nor shall it be used to create new positions, to augment salaries of regular personnel or in case of purchase motor vehicles without prior approval of the Office of the President.

XII. EQUITY/COUNTERPART FUNDING

Equity/Counterpart fund is that portion of the project cost that is not paid by the grant. Examples include cash outlays; contribution of property, pieces of equipment, land for the project site, facilities and services; as well as in-kind contributions, such as staff or volunteer time that support project activities. The equity must be equivalent to 20% of the total project cost.

XIII. MONITORING AND EVALUATION

1. The Program Monitoring and Evaluation Division (PMED) shall ensure that all projects approved under this category shall be monitored and evaluated. The evaluation design is subject to the approval of the Executive Council of the National Committee on Archives.
2. PMED shall submit its annual evaluation to the Executive Council of the National Committee on Archives within 90 days after the end of each calendar year.
3. Within 30 days upon approval of the evaluation by the Executive Council of the National Committee on Archives, PMED shall submit it to the Board of Commissioners and make the evaluation available on the NCCA website.

XIV. GUIDELINES REVIEW PROCESS

These Guidelines will be reviewed every five (5) years or when any significant new information, guidelines, or organizational change warrants a review. The effectiveness of these guidelines will be assessed as required and the Guidelines will be amended if necessary, to reflect the needs of the Commission. Any amendment to these Guidelines requires the approval of the Board of Commissioners.