

# Good practises in records management and archive

Archives and Records Management Service

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This document has been elaborated and coordinated by the Archives and Records Management Service.

Edition: Archives and Records Management Service  
University of Lleida  
1, Víctor Siurana Square  
E 25003 Lleida  
Phone +34 973 70 20 05  
E-mail: [arxiu@arxiu.udl.cat](mailto:arxiu@arxiu.udl.cat)  
<http://www.udl.cat/serveis/arxiu.html>

Graphic design and modelling: Estudi NiX  
DL: L-1544-2010

## **Good practises in records management and archive**

All too often individuals and organizations create records due to the requirements of script, that is, these records are the result of our activities. In definitive, we inevitably create records and, as the University grows and its rythm of activity increases, the volume of records becomes greater.

Record production during the processing of cases is a direct consequence of these activities, and it arises because it is necessary to gather and file information in a stable and faithful way so that all decisions made – from the most simple to the most complex – can be based on reliable and precise information. This means that these records have a primary value, of an administrative nature, which allows our institution to obtain necessary data for the development of these activities. At the same time, each record can have a legal significance of more or less time. This means that records are generated through practical and legal needs, in a way that their creation is a question of an internal and inevitable nature.

The creation of records can be foreseen, that is, we know, or we can know up front the record production for each one of the activities we carry out, which are the records we have to create and the information they may contain. These aspects play an important role in our transition from a system based on paper records to a computerised system.

If the University aspires to be efficient and effective, it needs its records, in the sense of a backup and information registration, to continue being a part of the different procedures which embody its activities.

## The administrative units and services<sup>1</sup>

Each service and unit of the University of Lleida (UdL) has to maintain its records correctly organised in accordance with the methods and procedures of the system of records management and archive of the University.

Records organization must be carried out in files. Inside each file the records produced or received must be organised in themes or cases, which result from the activities and functions the unit or services develops.



<sup>1</sup> By administrative unit or service we understand that unit that exerts records control, description and custody control in its active phase, by applying the methods and techniques included in the system of records management and archive of the University.

From the Records Management and Archive Service of the University of Lleida we recommend the following:

- Identify the record to be classified and ask yourselves if it is part of a case folder, of a matter related to an activity, or of a nominative case folder tied to a person or an organization.
- Organise the case folder chronologically, following the course of the proceedings during its processing.
- Do not leave loose records; all records must belong to a case file.
- Do not remove records from their case file; if you do remove a record, you must leave an indicator of its extraction in the file.
- Do not duplicate the information contained in the case files because you will only generate repeated files.
- Eliminate copies; it is only necessary to keep the original records and an original copy.
- Eliminate drafts once the definitive record has been compiled.
- Eliminate the copies of legislation (copies of DOGC [Official Publication of the Generalitat of Catalonia], BOE [Official Bulletin of the State]...) because they are only back up records of the file content.
- Do not organise correspondence by reception and sending, because it must be a part of a file about a specific matter or which contains correspondence from a specific entity.
- Remove all harmful elements from the records: staples, paperclips, stickers, rubber bands, etc., because they rust or decay and spoil the records.
- Identify the case file with a classification code following the indications of the *Manual of rules and procedures for Recordkeeping and Archiving of the University of Lleida* so that the case file is identified, classified and organised.

[http://www.udl.cat/export/sites/UdL/serveis/arxiu/Servei\\_Arxiu\\_Documents/MANUAL\\_NORMES\\_I\\_PROCEDIMENTS.pdf](http://www.udl.cat/export/sites/UdL/serveis/arxiu/Servei_Arxiu_Documents/MANUAL_NORMES_I_PROCEDIMENTS.pdf)

- Use the normalised folders and sub-folders to constitute the files to be sent to the Records Management and Archive Service of the University of Lleida, depending on needs.

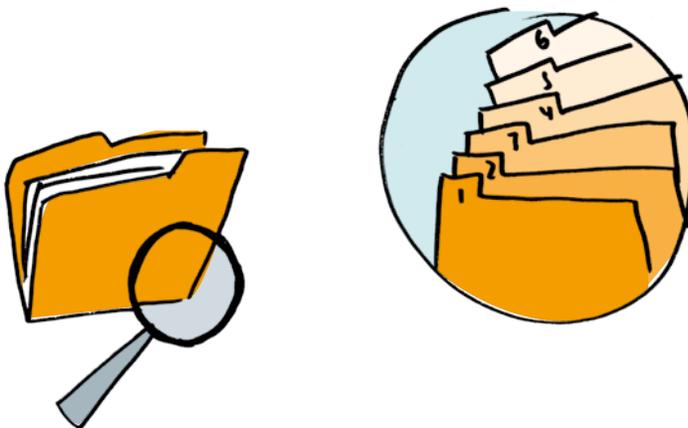
## The classification

The enforcement of the classification plan of the administrative documents allows you to identify, classify and organise administrative records when they are created or received.

In the *Manual of rules and procedures for Recordkeeping and Archiving of the University of Lleida* you will find said classification plan.

[http://www.udl.cat/export/sites/UdL/serveis/arxiu/Servei\\_Arxiu\\_Documents/QUADRE\\_DE\\_CLASSIFICACIO.pdf](http://www.udl.cat/export/sites/UdL/serveis/arxiu/Servei_Arxiu_Documents/QUADRE_DE_CLASSIFICACIO.pdf)





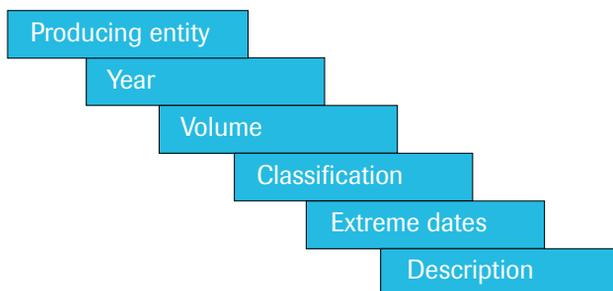
From the Records Management and Archive Service of the University of Lleida we recommend the following:

- Avoid forming groups of records organised by date, registration number (reception and sending), agency name, etc., **the files have to be organised by function**. Do not separate the records which belong to a file. Organise the file following the logic of its processing, in a way that when you open the file you will find the ultimate record processed. You can organise the files following this logic, or by using other criterion: alphabetic, chronologic, numeric, etc., in accordance with your needs.
- Analyse the record to be classified and ask yourselves if it is part of a file, of a theme related to an activity, of a nominative file related to a person or an organism. The context in which the record was created or received can orientate this election.
- Select the code from the classification plan of administrative documents of the University of Lleida, and remember that the only order permitted is the following:

Classification code	Nominative subdivision	Uniform subdivision
Classification code	Specific subdivision	Nominative subdivision
Classification code	Nominative subdivision	Specific subdivision
Classification code	Specific subdivision	Uniform subdivision



- Identify the file folder with the archive file indicator of your unit, which you will find in the Manual of Institutional Image, section 3.1, <http://www.imatge.udl.cat/>, which must state: the unit's name, the year the file was created, the case file volume, the classification code, the extreme date of the record and the description.



- The same procedure is to be followed if you need to identify the case file sub-folders.

## The description

The object of the description is to facilitate access to record's information. It is very important to represent them in a comprehensible way, by offering information about the content, context of creation and structure.

With regard to administrative units and services, it is essential that you complete this information in the most precise way possible:

Producing entity	Name of your unit, person in charge of the file
Year	Specify the year the file was created
Volume	Establish the file volumes. For example, 1 of 3
Classification	Give the classification code, as required
Extreme dates	Establish the initial and final date of the file
Description	Describe the information contained in the record, without repeating information of the previous fields



## The files in our computer

To describe the records in your computer or on a network unit, including e-mail, follow the same indications as those used to classify the file. Be aware that the order of the fields changes with regard to those you have used in the file.

Classification	Give the classification code, as required. For example, A102 NConsell_de_Departament
Year	Specify the year the file was created. For example, 2010

This means that you will also have your records and e-mails gathered in files, where you will identify them with the code from the classification plan. The denomination of the classification code must be separated with low hyphens and it must always coincide with that indicated in the classification code, including the nominative subdivisions.

[http://www.udl.cat/export/sites/UdL/serveis/arxiu\\_Arxiu\\_Documents/QUADRE\\_DE\\_CLASSIFICACIO.pdf](http://www.udl.cat/export/sites/UdL/serveis/arxiu_Arxiu_Documents/QUADRE_DE_CLASSIFICACIO.pdf),

Do not forget that there are e-mails which are part of files that you have created on paper.

Contact the Records Management and Archive Service with any query:  
[arxiu@arxiu.udl.cat](mailto:arxiu@arxiu.udl.cat).

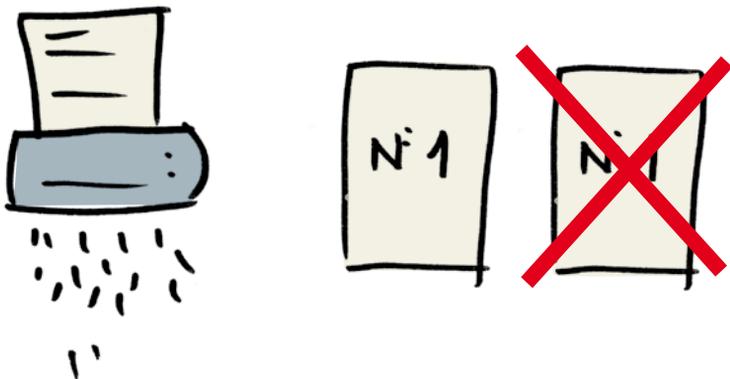


## Please consider

Due to its activity, the UdL generates a series of records which, once used in the management and consulting of the different administrative units or services, can be eliminated.

So you can eliminate:

- Copies and duplicates of original records which you can locate and are in a good state of conservation.
- Copies and duplicates of accountancy documentation, when the original is under the custody of the Economical Area.
- Internal notes and e-mail, when they are not a part of the administrative process.
- Previous versions of original or definitive records, as well as drafts which have been used during their creation and elaboration.
- Advertising and informative records whose usefulness is only informative or of a referential nature.
- Catalogues and commercial publications.
- Faxes, when the original record is conserved and they are not included in any administrative proceedings.



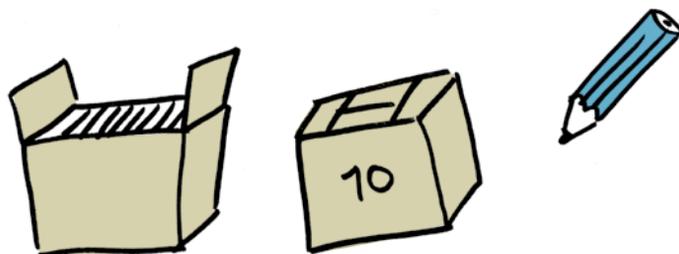
## Transference

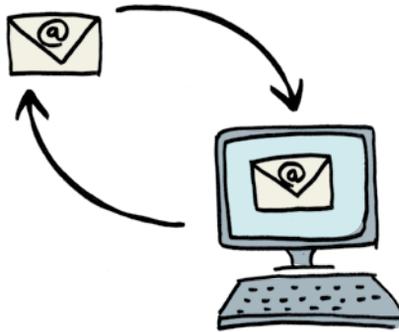
Transference refers to the physical and legal transfer of records from the different units and services to the Records Management and Archive Service.

From the Records Management and Archive Service of the University of Lleida we recommend the following:

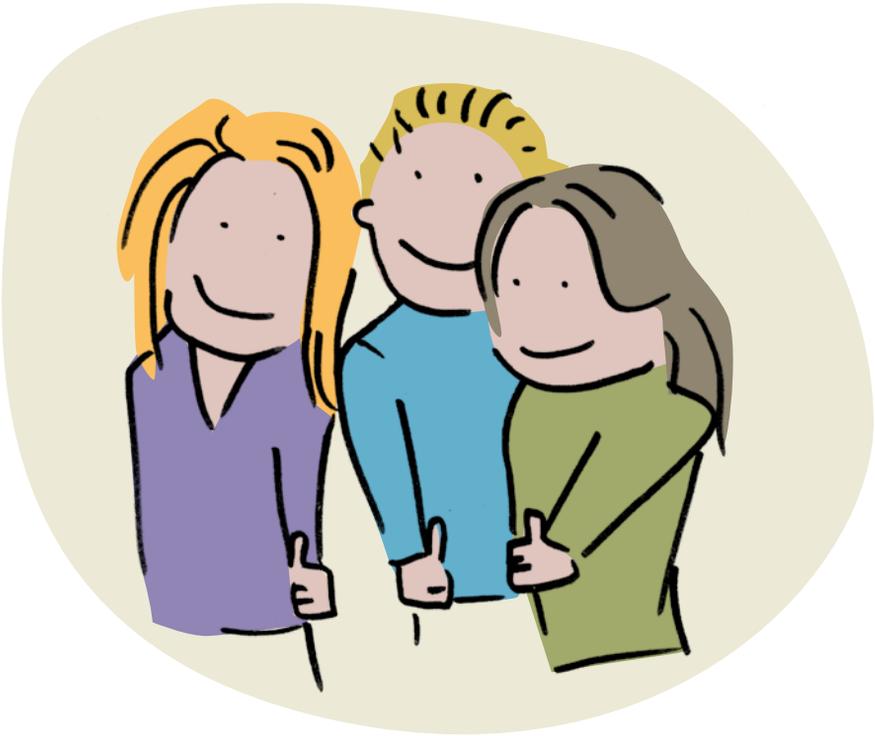
- Contact the Records Management and Archive Service to carry out the transfer.
- Request the archive boxes to carry out the transfer from the Records Management and Archive Service and the normalised folders from the official printers.
- Identify the files in pencil with the unit or sending service code, the classification code of the records it contains and the correlative order number.
- Identify the archive files and sub-files.
- Prepare the transfer form with the data of the unit which wants to transfer the records, the administrative data and the records description.

[http://www.udl.cat/export/sites/UdL/serveis/arxiu/Servei\\_Arxiu\\_Documents/FORMULARI\\_TRANSFERENCIA.pdf](http://www.udl.cat/export/sites/UdL/serveis/arxiu/Servei_Arxiu_Documents/FORMULARI_TRANSFERENCIA.pdf)





- Send a copy of the transfer form via e-mail and via internal mail the boxes and the transfer form correctly filled-in, signed and stamped.
- The Records Management and Archive Service is the body who controls and checks the files you have transferred. If an error is detected, the Service returns the transfer and if it accepts it, the records management changes hands and passes to the Records Management and Archive Service. Last but not least, a copy of the validated form is returned to the sending unit.







**Universitat de Lleida**  
Servei d'Arxiu  
i Gestió de Documents

Plaça Víctor Siurana, 1  
Tel. 973 70 20 05  
arxiu@arxiu.udl.cat  
<http://www.udl.cat/serveis/arxiu.html>



2010



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