



Rules and procedures for records  
appraisal and disposition



To manage the administrative records of the institution in an effective and profitable way, the University of Lleida needs to develop a Retention schedule. The *Retention schedule* gathers the appraisal and disposition rules in which the needs of the user are identified, the records and administrative files are examined to determine their value, the essential records and those of historic value to the University are identified, the documental volume is reduced through the elimination of useless records and the state of preservation of the records is improved, with a consequent reduction in costs.

The *rules of appraisal and disposition* determine the period and place of preservation of the records from their creation until their elimination, and foresee the accessibility and the final placement of all the series and record types that the UdL generates in the carrying out of its administrative, academic and scientific activity. In order to establish these appraisal and disposition rules it is necessary, firstly, to identify the produced or received records in the context of the activities of the University.

The group of said rules constitute the *Retention schedule*, which is the principal element of the records management system of the University, along with the classification plan, and which constitutes the way the external rulings on questions of appraisal and disposition of records, are complied with in our institution. The preservation plan is elaborated from the classification plan. This plan allows for the planning of the transference of the documents to the archives repository.

The Retention schedule of the UdL gathers the entire retention schedule which is applicable, and approved by the National Committee of Records Access, Appraisal and Disposition of Catalonia, which determine the terms of appraisal and disposition of public files and records. As a general rule, to eliminate records stored on any type of support, the criteria foreseen in the retention schedule must be followed, and said records must be sent to the Archives and Records Management Service to be eliminated.

As specified in its functions, the Archives and Records Management Commission of the UdL is in charge of 'establishing, in accordance with administrative, judicial and historic criteria, the retention periods of the records throughout their life cycle and

the determining of their accessibility. Furthermore, it standardises the appraisal and disposition procedure of records, and makes sure these are correctly applied in accordance with the proposals approved by the National Committee of Records Access, Appraisal and Disposition of Catalonia.

## Information elements of the retention schedule of the UdL

### Class/subclass

Class or subclass to which the record series or type belongs; the classes constitute the principle functions in which the university activity is specified, whereas the subclasses correspond to management or exploitation sub-functions which have been fixed in the classification plan of the UdL, and regroup the divisions relative to these activities.

### Division

Division to which the record type belongs: it corresponds to the specific activities carried out in the University that, at the same time, can be subdivided into other actions and which are linked to the more general functions of university activity.

### Uniform subdivisions/ specific subdivisions/ nominative subdivisions

If applicable, we must specify the uniform, specific or nominative subdivisions to which the record series or type belongs. The uniform subdivisions complete the identification and definition of the matter of some of the records or files. The specific subdivisions allow the identification and definition of the matter of some of the records and files to be completed; they also allow for the completion of the identification of the records that have to be classified when to do so is possible. The nominative subdivisions correspond to the classification level that allows for the identification of a specific file which relates to a person, organism or institution, study, building, etc.

## Records typology

Type of record or group of records with any form and on any support, which is processed together and, as such, forms the basis of a unique or singular description.

### Model

It identifies whether the model is principal or secondary. We are referring to a principle model when it contains original information or an original copy about an activity or action. Whereas, a secondary model, if one exists, is that used as a work instrument, for information or distribution, because it is generally a part or a copy of the principle model, and it usually has a shorter preservation date.

### Unit

It identifies the unit which is responsible for each principle model, or other units in the case of the secondary model.

### File processing

It identifies the processing in the life cycle of a record (active, semi-active or inactive).

#### Active

This to the administrative records that a unit sends or habitually uses in its activities.

It is identified with the numbers 888 or 999.

888: To indicates that the file is active in the service or unit until it is processed or until the procedure is complete.

999: To indicates that the file is active in the service or unit until it is substituted by a new one.

### Semi-active

This refers to the administrative records that, once the ordinary procedure has finished, are not used on a regular basis by the unit that has created them while carrying out its activity.

They are transferred to the records' deposit.

### Inactive

This refers to the administrative record that, once the immediate administrative validity has reached its end, still possesses an important cultural, historic or informative nature. It is identified with a C or an E in Catalan, depending on whether it is preserved or eliminated.

### Support

It identifies the document record, that is, whether it is, paper, electronic, audiovisual, etc.

### Resolution

This refers to the resolution of the National Committee of Records Access, Appraisal and Disposition of Catalonia, upon which the resolution of the Archives and Records Management Commission of the UdL is based.

### DOGC

This refers to the example number and order of the 'Diari Oficial de la Generalitat de Catalunya' [Official Journal of the Generalitat of Catalonia], where the resolution of the National Committee of Records Access, Appraisal and Disposition of Catalonia is published.

### Access

This informs of the access conditions which each processed record type has.

## Essential

This identifies the essential or unessential condition of the record types.

## Transferral date

This refers to the period of the year in which the records must be transferred to the Archives and Records Management Service.

Date of the agreement of the Archives and Records Management Commission

This refers to the date in which the preservation plan was passed by the Archives and Records Management Commission.

## Observations

This refers to observations about any aspect related to the records.

## Guidelines for records elimination

The UdL, as a direct consequence of its activity, generates a whole series of records that, once used in the management and consultation of the different administrative units or services, can be eliminated. The following are the documents that must be eliminated:

- The copies or duplicates of original records which can be localised and are in a good state of preservation.
- The copies or duplicates of accounts, when the original is under the custody of the Economical Area of the UdL.
- The internal notes and e-mails, when they do not constitute a part of an administrative procedure.
- The previous versions of original or definitive records, as well as the rough copies which have been used in their confection and elaboration.
- The propaganda and informative documents whose usefulness is purely informative or of reference.
- Catalogues and commercial propaganda.
- Faxes, when the originals of the records are preserved, or whenever they are not included in an administrative procedure.

