



Rules and procedures for the transference of records

The transferral constitutes the physical and legal transfer of the records of the different units and services to the Archives and Records Management Service. It constitutes a means of controlling the entered records and it has to guarantee the future good organization of the record keeping and the optimum recuperation of the records and information.

The principle objectives of the transference of records are the following:

- The release and efficient use of the space destined to records keeping in the administrative units and services of the University of Lleida.
- The involvement and responsibility in the system of records management of the persons in charge of the records keeping of the administrative units and services.
- The efficient use of the archives repository of the Archives and Records Management Service.
- The improvement in the efficiency of records management.
- The improvement in the conditions of retention of records.
- The control and verification of the identity and class of the records.

All the administrative units of the University of Lleida must obligatorily transfer their records to the Archives and Records Management Service.

The Retention schedule determines the retention period of the records series and states when the administrative unit or service has to make the transference (for more information regarding this point, please consult "Rules and procedures for the appraisal and disposition of records" in this manual). When the Archives and Records Management Commission of the UdL establishes each retention schedule, it decides the most appropriate time of the year for each administrative unit or service to transfer its records. Great care is taken to make this period coincide with a time

when the workload of the sending unit or service is less, so that their habitual tasks are not interrupted.

It is foreseen that the administrative units or services can propose to the Archives and Records Management Service the transferral of records that is not foreseen in the Retention schedule, provided it complies with one of the following situations: when the volume of records does not fit in the unit (we recommend that each unit or service transfer records every year); when the unit has a volume of records that, even though not evaluated, have to be transferred; when there are records in danger due to a lack in the conditions of the facility or environment, etc., or because certain changes have occurred in the functions of the unit or service.

The Archives and Records Management Services has to authorise this transference, once it has analysed the situation with the person in charge of the administrative unit or service.

Transference form

The axis of the system of record transference is the transference form, which becomes a juridical, management and search, description tool¹:

- It is a juridical tool because it constitutes the only proof of the record transference.
- It is a management tool because the information contained has to facilitate the record processing by the Archives and Records Management Service, as well as an efficient use of the deposits, and the appraisal and disposition of records.
- It is a searching and description tool because it becomes an instrument aimed at investigation.

The transference form has to contain the description of the records that have to be transferred in the way of an inventory of boxes of records. It is of vital importance to give in the records in

1. Alberch, Ramon. "Els arxius: entre la memòria històrica i la societat del coneixement ». UOC, 2003.

an appropriate order and with a careful description, to ease later file recuperation. An obligatory measure is that each transference form has to contain the record of only one documental series. Furthermore, the form formalises the request of transference and accompanies the record throughout the whole process, from its exist from the sending unit or service till its arrival at the Archives and Records Management Service.

The transference form

The transferral form can be downloaded from the following web page: <http://www.udl.cat/serveis/arxiu.html>

A. Information of the unit that wishes to transfer the records

1. Name of the unit
Standard name of the sending unit or service
2. Name of the section
Standard name of the sending section, if applicable
3. Person in charge
Name of the person in charge of the record transference
4. Telephone
Telephone of the person in charge of the record transference
5. E-mail
E-mail of the person in charge of the record transference

B. Administrative information

1. Number of boxes transferred.
Total number of boxes of records transferred.
2. Date
Date of transference.
3. Code of the sending unit (this has to be filled in by the Archives and Records Management Service)
Organic code of the sending unit or service.

4. Transferral number (this has to be filled in by the Archives and Records Management Service)
Transference number relative to the annual volume.

5. Registration number (this has to be filled in by the Archives and Records Management Service)
The transference registration number that is relative to the start of the standard action, which the Archives and Records Management Service undertake.

C. Description of the records

1. Ordered number of boxes
Correlatively ordered number of the boxes of records.
2. Classification code
Classification code of the transferred records
3. Description
Description of the records contained in the box of records.
4. Limiting dates of the box of records.
Dates of the oldest and most recent records that the box of records contains (in format year-year)
5. Pressmark (it has to be filled in by the Archives and Records Management Service)
Notes or comments about the box of records.

Once filled in, the sending unit or service has to print out two copies of the form: the first to remain in the sending unit or service, and the second to be sent to the Archives and Records Management Service.

Procedure for record transference

1. Notification

Notification to the administrative unit that it can transfer records: this notification has to be given by the Archives and Records Management Service ten days before the date stated on the preservation plan for transferring records. It must be foreseen that the records are in records' files and sub-files and in standard filing boxes. The administrative unit has to keep to the established term for record transference. In case it cannot do so, it has to inform the Archives and Records Management Service as soon as possible, and agree a different period for transferring the records.

2. Supply and prevision

The sending unit has to foresee the amount of records' boxes and folders it is going to use during the transference procedure. It has to request the records' boxes from the Archives and Records Management Service. The standard folders have to be requested directly from the approved printer.

3. Preparing of the transference

The sending unit or service has to identify the records which have to be transferred. Each transferred records' series has to obligatorily have its own transference form. We do not accept transference forms which contain more than one documental series. Furthermore, the files must be inducted and filed in accordance with the following criteria:

- 3.1 Elimination of copies and duplicates of the records of which the original is conserved in the unit. The original copies and the second copies can also be eliminated, when their corresponding series have been evaluated or the preservation of the original is guaranteed.
- 3.2 Elimination of the draft copies used in the elaboration of the definitive record.
- 3.3 Removal of harmful elements for the preservation of re-

cords: metal paper clips, staples, rubber bands, etc.

- 3.4 Filing in standard folders and sub-folders. The hanging folders and ringed note books must also be substituted by standard folders and sub-folders, if the file has not been constituted in this way.
- 3.5 In the case of records that, due to their size or characteristics, cannot be filed in standard folders or sub-folders, the Archives and Records Management Service will indicate the most appropriate filing system.
- 3.6 The records must not be either too tight or too loose, and they must remain in the original series order or that which is considered the most appropriate (as indicated in the paragraph of this manual entitled "Record's classification and order"). As a general rule, records must be filed in an ascending and chronological order, from the oldest to the most recent.
- 3.7 The records' boxes do not have to be labelled with any identifying label. The sending unit or service must just write down in pencil, their code, the classification code of the documentation the box or boxes contains and the serial number order.
- 3.8 The filing folders and subfolders have to be labelled in accordance with the following guidelines:
 - 3.8.1 Name of the unit or service
 - 3.8.2 Year and volume
 - 3.8.3 Classification code with the applicable sub-divisions
 - 3.8.4 Date of the first and last record incorporated into the file.
 - 3.8.5 Description of the contents
 - 3.8.6 File number

3.8.7 File registration number

3.8.8 Box number in which the file is located²

The model of the folder label and that of the filing sub-folder can be found on the web page <http://www.imatge.udl.cat>, in paragraph 3.1.

4. Sending

The sending unit has to send via e-mail a copy of the transference form, and via internal mail the boxes and the transferral form duly signed and stamped.

5. Checking and acceptance of the transference

The Archives and Records Management Service has to control and check the files transferred by the sending unit. In case of error in the boxes or in the transference form, it has to stop the procedure and return the transference to the sending unit so that it can be corrected. In the case that the transference is accepted, the Archives and Records Management Service has complete the fields of the form that pertain to it and sign it to make it valid, at which point the management of the records becomes its responsibility. Last but not least, it has to return a copy of this validated form to the sending unit.

Final considerations

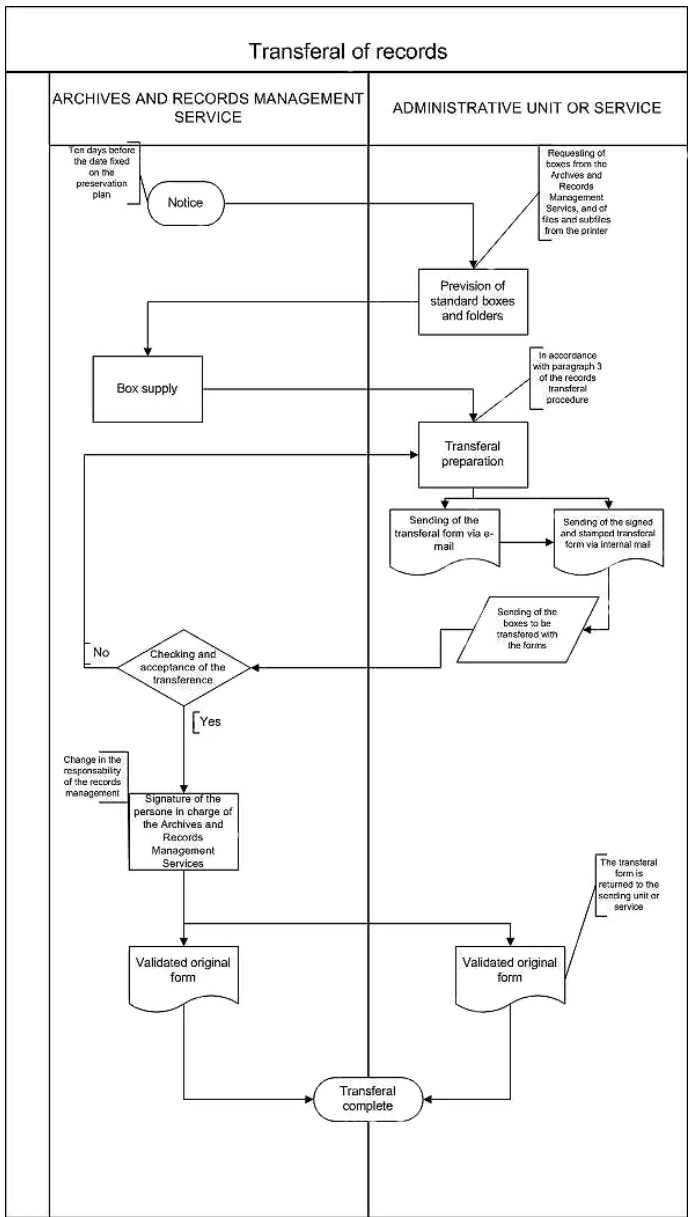
The transference have to be based upon the enforcement of the following instructions.

The Archives and Records Management Service, as the service responsible for the compliance of these instructions, will not accept transference which do not follow the calendar and procedure herein.

The transference form has to accompany the boxes to be transferred at their time of transference to the Archives and Records Management Service.

For more information, contact the Archives and Records Management Service at arxiu@arxiu.udl.cat.

2. Points 3.8.6, 3.8.7 and 3.8.8 have to be introduced by the Archives and Records Management Service, until the administrative unit or service gains access to the necessary computing application.



Record transferral form

A. Information of the unit that wishes to transfer the records
Unit (service, area, department, etc.):
Section:
Name of the person in charge:
Telephone number:
E-mail:

B. Administrative information
Number of transferred units:
Transferral date:

(Space reserved for the Archives and Records Management Service)

Code of the sending unit:
Transferral number:
Register number:

C. Document description					
Information that must be filled in by the unit that wishes to transfer the records				Information that must be filled in by the Archives and Records Management Service	
Order number	Classification code	Description	Date of first and last document contained in the file ¹	Signature	Observations
Observations:					

The person in charge of the unit	Received by the technical staff of the Archives and Records Management Service
	Date:
(Signature and stamp of the unit)	(Signature and stamp of the Archives and Records Management Service)