Guidelines and procedures for classifying administrative records

The University of Lleida (UdL) needs to develop the classification plan of the administrative records, for the whole of the institution and for the efficient and profitable management of its administrative records.

This plan is an essential element of the integral **system of records management and archives** of the University.

This set of operations manage the conception, development, implantation and the evaluation of the administrative systems, from the creation or reception of the administrative records of the institution, up until their time of destruction or preservation in the archives repository.

The administrative records of the University, like in public administration, can be classified in a precise manner and constitute files. To organise and process with the same criteria and methods all of the records generated, received and preserved inside the administrative units, it is important to identify them in accordance with the classification plan of administrative records.

The enforcement of the classification plan of administrative records allows us to identify, classify and order the administrative records in the same moment as their generation or reception.

In the integral system of management of administrative records, be it in accordance with the manual processing of the administrative records or in accordance with an automated system, the classification plan allows us to identify the administrative records on two levels: a **physical identification**, in accordance with their localization, that is, basically in accordance with a manual system of classification; or, an **intellectual identification**, given that the classification code guarantees the rebuilding of a file where the information is conserved on different supports and in different places.

The Archives and Records Management Service is who sets the classification plan of the administrative records of the UdL.

The units and services follow up and control the production and reception of the records of the unit to which they belong. They are in charge of organising the records in the active phase, in accordance with the classification plan of the administrative

records of the UdL. This ways a global recuperation of the information for the whole of the University throughout the life cycle of the records is permitted.

A hierarchical and logical structure

The classification plan of the UdL is based upon two principles: the general identification of the functions over and above their detailed identification and the hierarchy of the divisions separated over seven levels, in accordance with a hierarchical and logical structure.

Categories:		level 1
	Management	
	Exploitation	
Classes:		level 2
	Subclasses:	level 3
	Divisions:	level 4
	Divisions:	level 5
	Divisions:	level 6
	Divisions:	level 7

It is possible to complement each one of the hierarchical levels in three types of subdivisions in their classification:

Uniform subdivisions
Specific subdivisions
Nominative subdivisions

The levels of classification

In administrative records we can distinguish two categories: **management records**, which are common to all public administrations as well as the University; and **exploitation records**, which are the records that correspond to the specific functions of the University (management of academic resources, teaching, research...).

Coding of the structure

A100   GENERAL MANAGEMENT AND ORGANIZATION
B100   INFORMATION AND COMMUNICATION MANAGEMENT
C100   REPRESENTATION AND PUBLIC RELATIONS
D100   HUMAN RESOURCES MANAGEMENT
F100   ECONOMICAL RESOURCES MANAGEMENT
G100   MANAGEMENT OF PERSONAL ASSETS
H100   MANAGEMENT OF REAL ESTATE
I100   GUIDELINES AND JURIDICAL MATTERS
J100   ACADEMIC RESOURCES MANAGEMENT
K100   TEACHING ORGANIZATION
L100   RESEARCH ORGANIZATION
M100   MANAGEMENT OF THE SERVICES OFFERED TO THE UNI-
        VERSITY COMMUNITY

The codes A100 to I100 correspond to the category of the management records:

A100   GENERAL MANAGEMENT AND ORGANIZATION
B100   INFORMATION AND COMMUNICATION MANAGEMENT
C100   REPRESENTATION AND PUBLIC RELATIONS
D100   HUMAN RESOURCES MANAGEMENT
F100   ECONOMICAL RESOURCES MANAGEMENT
G100   MANAGEMENT OF PERSONAL ASSETS
H100   MANAGEMENT OF REAL ESTATE
I100   GUIDELINES AND JURIDICAL MATTERS

The codes J100 to M100 correspond to the category of the exploitation records:

J100   ACADEMIC RESOURCES MANAGEMENT
K100   TEACHING ORGANIZATION
L100   RESEARCH ORGANIZATION
M100   MANAGEMENT OF THE SERVICES OFFERED TO THE
        UNIVERSITY COMMUNITY

The second level: The classes

Each category of the classification plan of administrative records is subdivided into classes. The classes constitute the principle functions into which the university activity is specified. They are distinguishable from the other levels because they commence with a different letter, written in capitals, and always followed by the number 100. This structure allows that the subclasses and the divisions which are linked to be ascribed to the specific function they describe.

In accordance with the management category the classes are the following:

A100   GENERAL MANAGEMENT AND ORGANIZATION
B100   INFORMATION AND COMMUNICATION MANAGEMENT
C100   REPRESENTATION AND PUBLIC RELATIONS
D100   HUMAN RESOURCES MANAGEMENT
F100   ECONOMICAL RESOURCES MANAGEMENT
G100   MANAGEMENT OF PERSONAL ASSETS
H100   MANAGEMENT OF REAL ESTATE
I100   GUIDELINES AND JURIDICAL MATTERS

In accordance with the exploitation category the classes are the following:

J100   ACADEMIC RESOURCES MANAGEMENT
K100   TEACHING ORGANIZATION
L100   RESEARCH ORGANIZATION
M100   MANAGEMENT OF THE SERVICES OFFERED TO THE
        UNIVERSITY COMMUNITY

The third level: The subclasses

Each class of the classification plan is divided into subclasses. The subclasses correspond to the management or exploitation subfunctions which we have established in the classification plan of the UdL and they regroup the divisions relating to these activities.

The subclasses are distinguishable because they start with the specific letter of each class and the number within one-hundredth which corresponds to it in the plan. They are distinguishable because they are written in capitals in the classification plan and they appear intercalated with divisions.

Example:

Class	**A100**	**GENERAL MANAGEMENT AND ORGANIZATION**
Subclass	A101	CONSTITUTIVE DOCUMENTS
Subclass	A102	GOVERNING ORGANS
		Specific subdivisions
		E1 Proceedings
		E2 Agreements
		E3 Resolutions
		E4 Certifications
		E5 Delegations
		E6 Notice of meetings
		E7 Elections
		E8 Renewal of members
		E9 Nominations
		E10 Cessations

The fourth level: The divisions (D4)

Each subclass is composed of divisions (D4), which correspond to the specific activities developed in the University, which in turn can be subdivided into divisions (D5) which are linked to more general functions of the university activity.

For example:

Class	**A100**	**GENERAL MANAGEMENT AND ORGANIZATION**
	(...)	
Subclass	A103	ADMINISTRATIVE ORGANIZATION
Division (D4)	A104	Politics and procedures
	A107	Organic structure
	A113	Memoirs
	A116	Agreement

The fifth level: The divisions (D5)

Each division (D4) can be subdivided in divisions (D5). This fifth level of classification (D5) corresponds to the more precise sub-activities which in turn can be subdivided into divisions (D6).

For example:

Class	**A100**	**GENERAL MANAGEMENT AND ORGANIZATION**
	(...)	
Subclass	A103	Administrative organization
Division (D4)	A104	Politics and procedures
Division (D5)	A105	Instructions
	A106	Procedures

The sixth level: the divisions (D6)

In the sixth level of the classification, the divisions (D6) correspond to the particular elements of the activities or more specific functions which in turn can be subdivided into divisions (D7).

For example:

Class	B100	INFORMATION AND COMMUNICATION MANAGEMENT
Subclass	B101	NORMALIZATION OF DOCUMENTS
		Specific subdivisions
		E1 Administrative documents
		E2 Forms
		E3 Files
Subclass	B102	RECORDS MANAGEMENT AND ARCHIVES
Division (D4)	B103	Planning and organization
		Specific subdivisions:
		E1 Institutional records
		E2 Non institutional records
Division (D4)	B104	Implantation and maintenance of the system
Division (D5	B105	Classification plan
	B106	Retention schedule
	B107	Manual
	B108	Instruments of description and recuperation
	B109	Access and security
Division (D6)	B110	Consulting
	B111	Loaning

Whenever possible, when classifying the records, one must assign them the classification that is the most representative.

The complementary levels

In accordance with the structure of the classification plan and the files of the administrative records to be classified, we can use three types of subdivisions: the uniform subdivisions, the specific subdivisions and the nominative subdivisions.

The uniform subdivisions

As its name indicates they complete the identification and the definition of the matter of some of the records or files. Each class and subclass and division (D4), (D5) and (D6) can use the following uniform subdivisions:

U01	REPORTS
U02	STATISTICS
U03	QUESTIONAIRES
U04	SUBVENTIONS
U05	RESOLUTIONS
U06	AGREEMENTS
U07	INSURANCES
U08	CENSUS
U09	GRANTS
U10	ACTS

The alphanumeric code of each uniform subdivision is added to the code of the class, subclass or division.

The management of the uniform subdivisions is centralised in the Archives and Records Management Service.

The usage of the uniform subdivisions is applied by the management records in accordance with the needs that these can have in more directly identifying a document.

For example: D108 U05 refers to the resolution of public examinations.

The uniform subdivisions can be applied to the specific subdivisions or the nominative subdivisions.

The specific subdivisions

Some of the classes, subclasses and divisions (D4) or (D5) can be fractioned in subdivisions which are specific to them. In the classification plan these subdivisions are indicated with the letter E and the correlative number that corresponds to it by order. This subdivision allows us to complete the identification of the records to be classified, in all cases where it is permitted to do so.

For example: A102 E2 Agreements of the governing organ.

The specific subdivisions can be applied both to loose records and files, however they must always be tied to a code.

The usage of specific subdivisions is applied by management records in accordance with the needs they may have to more directly identify a document or file.

The specific subdivisions can be applied to the nominative and uniform subdivisions.

The nominative subdivisions

This corresponds to the level of classification which allows us to identify a specific file relating to a person, organism or institution, study, building, etc. It is applied to certain subclasses and divisions (D4) and (D5), and in accordance with the nominative relationship of the University.

The nominative subdivision is introduced with the letter N plus the normalised name that appears in the summary of the classification plan and it has to be linked to a code. The nominative subdivisions can be applied to loose records or to files.

The usage of nominative subdivisions can remain at the discretion of the records management in accordance with its identification needs, or it can be obligatory if its usage serves to clearly identify the documentation that is wanted to be classified.

For example: A102 N Governing Council.

The management of the nominative subdivisions is centralised in the Archives and Records Management Service.

The nominative subdivisions can be combined with the specific and uniform subdivisions.

The combinations between subdivisions can be the following:

Classification code + nominative subdivision (N) + uniform subdivision (U)

For example: A102 N Governing Council U6: Agreements of the Governing Council.

Classification code + specific subdivision (E) + nominative subdivision (N)

For example: A102 E2 Agreements N Governing Council, session...

Classification code + nominative subdivision (N) + specific subdivision (E)

For example: C108 N Josepa Reimundi E2 Gold Medal

Classification code + specific subdivision (E) + uniform subdivision (U)

For example: A107 E1 U01: Organic structure of the administration staff. Report.

When various subdivisions are combined, we will place the uniform subdivisions last.

Classification code + N + U
Classification code + E + N
Classification code + N + E
Classification code + E + U

The application of the classification plan of administrative records

The application of the classification plan of administrative records allows us to identify, classify and order the administrative records at the time of their creation or reception.

The end of the classification is to keep all the processed or received records about the same matter together. These records form part of files and the group of **files** classified under the same code of the classification plan constitutes a **documental series**.

In record management we must try to avoid the forming of groups of record collection organised by date, (in and out) register number, name of organisation, etc., or any other system of record keeping which is not the ordering of the files in accordance with their function.

One record can start a new file, whenever there does not exist an open procedure about this same matter.

Record's classification and order

The records of administrative tasks, independently of the support on which the information is kept, Refer to the group of operations consisting in placing them in accordance with a predefined order, with the end to finding them as quickly as possible, and at the minimum cost.

For this reason, the steps that must be followed in the classification of a record are the following:

Analyse the record that must be classified and ask ourselves if it forms part of a file about a matter linked with an activity, or of a nominative file relating to a person or organism. The context in which this record was created or received can orientate this election.

If the record refers to various matters, we must choose the most significant or the most important, and index the others.

The initial election is made taking into account in which of the 12 classes of the classification plan it is to be found.

Once found, we have to go down the hierarchical structure of classification until we find the subclass, division (D4), (D5), (D6) which better refers to the matter of the record.

However, the following must be taken into account:

- If an open file exists that refers to the matter of the record, then this record has to be filed with the code of this file and included in it.

- When the content of the record refers to more than one matter and there is not an open file, the record management has to prioritise the most relevant matter amongst those it has assigned as a unit.

To describe the classification code we must take the following into account:

- When faced with records produced by the same unit and the receiver of the record is another unit of the UdL, the classification code will have to be included in its process of elaboration, in a way that it is identifiable on the record[1], and serves as a control and records control for other receiving units.

- In the case of records produced by the same unit and not destined to another unit inside the University, but an external organisation, the identification of the classification code will be included on the original copy which will be integrated into the records of the unit (it can be hand written at the top right corner of the record).

When the classification code of the document has been identified, it is physically filed. To this end we have the normalised folders and subfolders in the Archives and Records Management Service.

With regards to the ordering of the records, we must take into account that both the records in the files as the sequence of the different folders amongst themselves, inside the same series have to be ordered.

Amongst the forms of ordering employed, the following are included:

- by date

- in alphabetic order

- in sequential numeric order

In this period of office filing, the units can choose other filing instruments that are better adapted to their way of working, while the administrative procedure lasts. However, these instruments will have to be normalised at the time of transferring the records to the Archives and Records Management Service, in accordance with what is established in the preservation plan, and with what the transference procedure of the records has to foresee.

The folders and subfolders are organised amongst themselves in the same way as contemplated in the classification plan.

In each folder there can only be one classification code, even though it can include as many volumes as necessary in accordance with the quantity of records that there has to be in the file. The same can be foreseen when in one folder there is the need to establish groups of records, where as many subfolders as necessary will be able to be included. The subfolders included in a folder have to be identified with a specific content like a sort of index. In the folder, it is important to identify the administrative unit that files it and the last dates of the records contained, and if the mention is essential, the foreseen type of protection, as well as the level of confidentiality.

The records must be included in folders and subfolders in accordance with the chronologic order of their incorporation into the administrative procedure.

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1. The stationer's models can be viewed at http://imatge.udl.cat

The classification of electronic records

The classification of electronic records will be governed by a specific regulation once the functionalities have been established which must be taken into account when processing electronic records in the integral system of records and records of the University. While these functionalities are not established, when classifying the electronic records that they generate, the units can take into account the same criteria as used for the records on more traditional supports.

The procedure that must be followed is:

The units can create an electronic folder with the classification code that corresponds to it and inside of this, a subfolder with the year the document was created.

For example:

A102 N Governing Council
2005

Classification of administrative records

UNIT OR SERVICE

Unit or servic3e which produces the record

Record

Destination

Records which are destinated to an external person o entity

Records which are destinated to an internal unit o person

Voluntary addition of the classification code when the record is composed

Determination of the class, subclass or division

Obligatory addition of the classification code when the record is composed

Add the specific, nominative oruniform subdivision, if applicable

Register Law 30/1992

Determination of the class, subclass or division

Original record registered

Original copy of the registered record

Original record classified

Original record classified

Add the specific, nominative oruniform subdivision, if applicable

Originlnal copy of the recrods whichhas been registered and classified

Classified record

Sending to the recipient unit

Outside person or entity recipient of the record

Filing in its folder