

Archives Model of the Transparency and Access to Public Information Network (RTA)

Beatriz Franco Espiño and Ricard Pérez Alcázar (coordinators)

Collection **Working Documents No. 30**

Series **Guides and Handbooks**
Democratic Institutions Area



Archives Model of the Transparency and Access to Public Information Network (RTA)

Beatriz Franco Espiño and Ricard Pérez Alcázar (coordinators)

Working Document No. 30

Series: Guides and Handbooks

Area: Democratic institutions



PROGRAMA FINANCIADO
POR LA UNIÓN EUROPEA

Published by:

EUROsociAL Programme
C/ Beatriz de Bobadilla, 18
28040 Madrid (Spain)
Tel.: +34 91 591 46 00
www.eurosocial-ii.eu

With the collaboration of:

International and Ibero-American Foundation
for Administration and Public Policies (FIIAPP)



CEDDET Foundation



Transparency and Access to Public Information Network (RTA)



Organization of American States



Organización de los
Estados Americanos

Foreign Affairs, Trade and Development Canada



Foreign Affairs, Trade and
Development Canada

This publication was prepared with the assistance of the European Union. The content is the exclusive responsibility of the authors and in no case should be considered to reflect the views of the European Union.

Non-commercial edition.

Graphic production:

Cyan, Proyectos Editoriales S.A.

Madrid, January 2015



Commercial use of the original work or any possible derived works, the distribution of which requires a license equivalent to that regulating the original work, is prohibited.

Authors

Coordinators

Beatriz Franco Espiño
Ricard Pérez Alcázar

Team

Blanca Desantes Fernández
Francisco Fernández Cuesta
Javier Requejo Zalama



Table of Contents

Prologue	7
Introduction.....	9
RECORDS MANAGEMENT AND ARCHIVES ADMINISTRATION MODEL	11
Records Management and Archives Administration Model for the Transparency and Access to Public Information Network	13
1. Introduction and purpose	13
2. Types of documents that make up the RTA Records Management and Archives Administration Model (MGD)	19
3. Table of documents of the Records Management and Archives Administration Model for the Transparency and Access to Public Information Network	29
MANAGERIAL IMPLEMENTATION GUIDE.....	33
G01/G. Records and Archives Management Policy	35
1. Introduction and objectives	36
2. What is a Records and Archives Management Policy?	39
3. Benefits of a Records and Archives Management Policy.....	41
4. Lines of Action	42
5. Table of actions	56
6. References and Bibliography.....	60
G02/G. Open government and transparency	63
1. Introduction and objectives	64
2. The role of archives in open government.....	66
3. Lines of Action	69
4. Table of actions	74
5. References and Bibliography.....	76
G03/G. e-Government	81
1. Introduction and objectives	82
2. What is e-Government?.....	84
3. Purposes and objectives of e-Government	85
4. Lines of Action	86

5. Table of actions	89
6. References and Bibliography.....	91
OPERATIONAL IMPLEMENTATION GUIDE	93
G04/O. Intellectual control and representation	95
1. Introduction and objectives	96
2. Definition of 'intellectual control' and 'representation'	98
3. Benefits associated with intellectual control in archives.....	99
4. Lines of Action	100
5. Table of actions	106
6. Bibliography	109
G05/O. Appraisal	111
1. Introduction and objectives	112
2. What is appraisal?	114
3. Purposes and objectives of appraisal.....	115
4. Lines of Action	117
5. Table of actions	125
6. References and Bibliography.....	129
G06/O. Access control	131
1. Introduction and objectives	132
2. Management and control of access to records.....	134
3. Lines of Action	135
4. Table of actions	138
5. References and Bibliography.....	140
G07/O. Physical control and conservation	143
1. Introduction and objectives	144
2. What is conservation?	146
3. Benefits of conservation	147
4. Lines of Action	149
5. Table of actions	151
6. References and Bibliography.....	152
G08/O. Archival services	155
1. Introduction and objectives	156
2. Archival services.....	158
3. Benefits of archival services.....	159
4. Lines of Action	159
5. Table of actions	162
6. References and Bibliography.....	164
Glossary.....	167

Prologue

This publication is part of a project for creating the Records Management and Archives Administration Model (known by its Spanish acronym MGD) developed within the framework of the Latin American Transparency and Access to Public Information Network (*Red de Transparencia y Acceso a la Información Pública de América Latina*, RTA).

This model seeks to contribute to proper implementation of management systems for records and thereby create conditions that enable and facilitate the development of records management as one of the basic foundations for the implementation of laws on transparency and access to public information. It is therefore essential to ensure that the records and archives management policy is consistent with policies on access to public information, transparency, open government and open data.

Implementation of this model will result in the unification and standardisation of records and archives management processes that guarantee and contribute to the proper creation, processing, conservation, access to and control of records.

The model aims to reflect and respect at all times the diversity of national and regional archival policies, whilst its implementation also seeks to strengthen the effective exercise of the right to information as an essential tool for providing access to civil and political rights and duties, human rights, and the right to historical memory. It is also intended to serve as an essential tool for ensuring implementation of the transparency policies of the Public Administration in Latin America.

Therefore, the documents that make up the model provide a methodology for the implementation of a records and archives management system through technical recommendations, as well as defining the intended outcomes, always with due regard for the rules, legislation and regulations in force in the respective national legal systems. The model is made up of one framework document, 8 implementation guides,

26 guidelines, and 3 annexes (Glossary, Self-Evaluation Questionnaire, and Diagnostic Report: results of the questionnaires), all of which can be found on the Transparency and Access to Public Information Network website.

It has been an honour for this Secretariat of State to participate in the development of this model, the greatest achievement of which was to bring together the ten countries in collaboration and cooperation through their respective access to public information guarantor bodies and archive governing bodies.

Miguel Ángel Recio Crespo

Director-General of Fine Arts, Cultural Heritage, Archives and Libraries

Introduction

Policies on access to public information have, over time, become the fundamental pillars of every solid democracy. In this sense, the countries that have adopted these concepts as a central part of their institutional work are one step ahead in the efforts we are making to strengthen our democratic systems.

The Transparency and Access to Public Information Network has brought together the countries that have taken on this task as one of their primary missions. By joining forces, they have multiplied the results, which today are seen as regional benchmarks in transparency and access to public information.

As a policy that seeks to implement a culture of transparency in the region, it is important for the Transparency and Access to Public Information Network to have a roadmap that enables us to make good on our plans and project a future that is consistent, integrated and multidimensional.

It is in this context that we present the Records Management Model of the Transparency and Access to Public Information Network. This has been a collective effort between the respective access to information guarantor bodies and the national archives of 10 countries in the region, together with the participation of the Organization of American States.

One of the main values of this model is that it brings together visions and complements the various national realities in the field of records management, founded on the virtuous relationship that exists between proper records management and the strengthening of the effective exercise of the right to public information.

The Records Management and Archives Administration Model consists of a set of documents comprising handbooks, guidelines, recommendations and concrete actions that will enable public institutions that decide to take on the challenge of improving standards for records management to establish standards and good practices.

The Transparency and Access to Public Information Network takes great pleasure in presenting the Records Management and Archives Administration Model as a faithful expression of its spirit of collaboration in the development of practical and useful products that contribute to the implementation of the public policy on transparency and access to public information.

We would like to recognise and acknowledge the people from several countries who have worked together with dedication and a sense of mission to create this model. For their substantial contributions to this process and sustained actions to strengthen international pro-transparency networks, we would also to thank the following organisations: the EUROsociAL II Programme for its sponsorship and unwavering support; the International and Ibero-American Foundation for Administration and Public Policies (FIIAPP); and the Economic and Technological Development Distance Learning Centre (CEDDET).

We thank the authors and everyone who participated in the creation of the Records Management Model of the Transparency and Access to Public Information Network, which will contribute directly to records management in public agencies subject to access to public information laws.

Raúl Ferrada Carrasco

Director General

Council for Transparency of Chile

Executive Secretariat

Transparency and Access to Information Public Network

Records Management and Archives Administration Model

Records Management and Archives Administration Model for the Transparency and Access to Public Information Network

1. Introduction and purpose

Records management and archives administration within agencies of the public administration is one of the elements that has the greatest impact on the effective implementation of laws on access to information and transparency in countries. Inability to access information has the potential to become an impediment to processing information requests, whilst inappropriate archives management could delay retrieval of the requested information.

The Transparency and Access to Public Information Network (RTA) seeks to contribute to the proper implementation of management systems for records and thereby create conditions that enable and facilitate the development of records management as one of the basic foundations for the implementation of transparency and access to public information laws. This is the framework within which this Records Management and Archives Administration Model (MGD) was developed. Its purpose is to promote coordination of policies on records management between state agencies responsible for improving archives management.

Implementation of the model will result in the unification and standardisation of records and archives management processes that guarantee and contribute to the proper creation, processing, conservation, access to and control of records.

The main purpose of all the documents that make up the Records Management and Archives Administration Model for the Transparency and Access to Public Information Network (RTA) is to serve as a base and support for managing the records and archives of the network's different member organisations and countries, as well as to guarantee the accessibility of the records. Through use of this model by the network's member countries, archive services will be in a position to contribute to the implementation of laws on transparency and access to public information.

It is therefore essential to ensure that the records and archives management policy is consistent with policies on access to public information, transparency, open government and open data.

Initiatives for transparency and access to public information depend to large measure on the quality, reliability and accessibility of the public archives that hold this information. If archives are not organised and well managed, it will be difficult to determine the authenticity and integrity of public information, or to comply with the timeframes established for responding to citizens and the administration. When suitable controls are used in archives management, according to effective standards and procedures, both citizens and civil servants can be sure not only of the reliability of the data retrieved from archives but also of the existence of a fully documented record of the activities of public administrations.

1.1. Features and benefits of the Records Management and Archives Administration Model for the RTA

The Public Administration generates and receives a considerable volume of documentation derived from and recording the activities necessary to fulfil its purposes. These records are not only important internally for the organisation but they also have an external dimension, since they guarantee the rights and duties of both the administration and citizens. They may also be subjected to examination in order to control, verify and audit the activities carried out by the administration.

The actions of public administrations generate a documentary heritage that constitutes an essential part of the collective historical memory. At the same time, they are also a permanent source of information on the competencies of the public administration, and therefore special attention must be paid to the processing, custody and dissemination of public records, particularly in the context of transparency and access to information.

Standardisation of records management policies and procedures ensures adequate attention to and protection of records. It also allows their evidential value and the information they contain to be preserved and retrieved more efficiently and effectively through the use of standard practices and processes based on good practice.



A Records Management Model is understood to be the theoretical framework designed to facilitate comprehension and consistent implementation of records management in an organisation.

What do we understand records management in an organisation to mean? To answer this question we can highlight a series of definitions for records management. For the International Council on Archives, records management is 'That area of general

administrative management concerned with achieving economy and efficiency in the creation, maintenance, use and disposal of records' (1988. Dictionary of Archival Terminology). ISO 15489-1:2001 (2001. *Information and documentation. Records management. Part 1: General*) considers records management to be 'the field of management responsible for the efficient and systematic control of the creation, receipt, maintenance, use, conservation and evaluation of records, including processes for capturing and maintaining evidence of and information about business activities and transactions in the form of records and information on the same'.

As we can see, concepts such as efficiency and economy in connection with records management are repeated in both definitions.



This Records Management and Archives Administration Model is applies to all types of records, in any format or media, created or received by an organisation or institution, whether public or private, in the course of its duties or activities throughout the entire life cycle of the record, and therefore to all types of archives.

Many of the activities of public administrations previously based on hard copy documents and paper files have now been partially or totally automated. As government agencies migrate to an online environment, electronic records, files and archives serve as the basis for management in serving citizens, managing resources, measuring progress and outcomes, and protecting the rights of all citizens, as well as those of the administration itself. Technology is contributing very significantly to improving the programmes and services of the administration, but ICT systems sometimes do not take into account the procedures and essential controls associated with the capture, long-term preservation and accessibility of electronic documentation.

The Records Management and Archives Administration Model for the RTA includes provisions for the management of electronic records, as well as processes common to all types of records, including common records management procedures that cater for the specific features of electronic records. For example, the MGD contains an implementation guide that is specific to electronic administration, but its common processes for all records also include specific indications for carrying out these processes with electronic records, such as instructions for the transfer and destruction of electronic records.

For the purpose of guaranteeing that records and data management requirements are fully integrated in information systems, it is important to ensure the close collaboration of all parties responsible for records and archives management, transparency and access to public information, information technologies, and e-Government.

In the context of this model, records and archives management specialists are understood to be the professionals who perform their duties in any archival process.

The objectives to be achieved should always be defined with due regard for the rules, legislation and regulations in force in the respective national legal systems.

Records and archives management is a cross-cutting process in all organisations and is therefore integrated in all the processes carried out by the different areas of an organisation.

Records contain information that constitutes a valuable resource and important asset for the organisation. Adoption of standard criteria for records management is essential for the administration and for society in general, in order to protect and preserve records as proof and evidence of its duties and activities.

The aim of implementing of a Records Management and Archives Administration Model is to improve the efficiency of processes through the adoption of standard criteria and good practice. The actual implementation phase is the most important phase of this model. It is essential that the model serves a purpose so that the organisations that adopt and implement it can improve their archival processes and response times in order to meet the timescales stipulated in laws on transparency and access to public information.

Rationalisation of documentation in its different phases guarantees effective and proper management by integrating the strategies for processing records, both in conventional and electronic form, in the comprehensive management of an organisation.

The consolidated nature of the RTA's Records Management and Archives Administration Model will make it possible to unify and standardise the comprehensive management of the records and archive services through the implementation of common good practices and standard archival processes.

The RTA's Records Management and Archives Administration Model is based on international good international practice and respect for the diversity of national and regional archival policies in the member countries, and for the rules, legislation and regulations in force in the respective national legal systems.

The MGD provides a comprehensive vision of the different records management environments and facilitates the preservation and availability of records, establishing key aspects for applying decisions relating to records at any time during their life cycle.

The transnational nature of this model must be stressed. It aims to serve as a guide for the implementation of good records and archives management processes for any archive or organisation in a member country of the Transparency and Access to Public

Information Network. Implementation of the model is essential for it to be considered a success.



The term 'record', in the content and context of this model will always be used as a synonym for the term 'archival record', i.e. the material testimony of an event or act performed by physical or legal persons, whether public or private, in the exercising of their duties, according to certain material and formal characteristics.

1.2. Development of the project

This project for the development of a Records Management and Archives Administration Model for the RTA was carried out between May and December 2014, as shown on the following Gantt chart:

Activities	May	Jun.	Jul.	Aug.	Sep.	Oct.	Nov.	Dec.
Gathering of information on international good practice and selection								
Creation of survey for specialists (E1)								
Creation of survey for authorities (E2)								
Workshop I (Bogotá): Approval of attributes of the model								
Creation of survey for archive governing bodies (E3)								
Creation of survey for access guarantor bodies (E4)								
E1-E4 completion								
Preparation of the diagnostic report								
Construction of the model and its guidelines								
Workshop II (Brasília): Approval of the model								
Presentation of the model								

The First Regional Workshop for the Construction of the Records Management and Archives Administration Model of the Transparency and Access to Public Information Network (RTA) was held on 10, 11 and 12 June. The attributes and configuration of the model were approved at that workshop.

In September 2014, four workshops were held to collect feedback for presentation of the model and verification of the proposals. The first workshop was held in Mexico, at the General Archives of the Nation, on 8 and 9 September, and was attended by 44

guests from various organisations (the General Archives itself, municipal and judicial archives, representatives of access guarantor bodies, at both national and state level, etc.). A second workshop was subsequently held in Lima (Peru), on 11 and 12 September, and was attended by a total of 20 managers from various institutions, such as the General Archives of the Nation, the Bank of Peru, the Comptroller's Office, the Ombudsman's Office, etc.

On a second trip, a further two workshops were held for the purpose of collecting feedback. The first was held at the National Archives of Ecuador (Quito), on 25 and 26 September, with 18 attendees from different ministries, the city of Quito, the Property Register, and the General Council of the Judiciary, among others. This was followed by a two-day workshop held at the National Archives of Chile (Santiago), on 29 and 30 December, which was attended by 39 guests and opened by the Minister of the General Secretariat of the Presidency.

The Second Regional Workshop was held in Brasilia (Brazil) on 3 and 4 November. The participants analysed the documents developed as part of the project and signed the Brasilia Declaration, in which the representatives taking part in the project resolved to do the following:

1. Establish that the main purpose of all the documents that make up the MGD for the RTA is to serve a base and support for records and archives management in the different organisations and member countries of the network, as well as to guarantee the accessibility of the records.
2. Reaffirm their commitment to strengthening the project undertaken, insofar as it represents a contribution to the information access and archival communities.
3. Encourage its institutions and collaborators to generate mechanisms that will enable implementation of the MGD and its tools in order to boost the development of the different activities carried out by the RTA.

1.3. Methodology

The methodology followed during the creation of this model consisted of:

- The identification of international models of good practice.
- A search for ways of responding to partially developed archival approaches in order to achieve overall development that is useful for the different realities.
- Information gathering through four questionnaires issued to the institutions involved in the records management process, designed to obtain information regarding:
 - Archive governing bodies.
 - Records and archives management specialists.

- Top management of the institution.
- Access guarantor institutions.

With all the information collected through the questionnaires, a diagnostic document was created detailing information on records and archives management in each of the countries involved in the RTA, i.e. Brazil, Colombia, Chile, Ecuador, Mexico, El Salvador, Guatemala, Peru, Santa Fé (Argentina) and Uruguay. This report is included as an annex to the Management Model.

The identification of good practices was followed by a search for the models and bibliography that could serve as a response to standard processes, and the compilation of the information collected in the questionnaires. Once these processes were complete, a series of documents were drawn up to form part of the model.

As we will explain later in this document, the MGD consists of:

- A framework document explaining the model (this one).
- Eight implementation guides, three of which are policy-oriented or managerial in nature, and four process-oriented or operational in nature.
- 26 guidelines related to the implementation guides.
- An annex containing the diagnostic report. Questionnaire results.
- An annex containing a self-evaluation questionnaire or check-list that allows each archive or organisation to ascertain its level in each process.
- An annex including a general glossary of the terms used in the documents, for ease of reference.

2. Types of documents that make up the RTA Records Management and Archives Administration Model (MGD)

The Records Management and Archives Administration Model (MGD) for the Transparency and Access to Public Information Network (RTA) includes three different types of documents in addition to this framework document.

Each type of document is explained below.

2.1. Implementation guides

These are the documents that establish the general lines of action to be followed in order to implement the Records Management and Archives Administration Model of the RTA.

These lines of action, based on international standards and good practice, are crystallised in a series of requirements to be implemented.

The Records Management and Archives Administration Model (MGD) for the Transparency and Access to Public Information Network (RTA) includes two types of implementation guides, depending on the audience:

Gg

Policy-oriented or managerial implementation guides: informing top management and employees responsible for coordinating the implementation of the MGD of the general lines of action and the commitments required to design and implement a records and archives management policy that will enable the implementation of the Records Management and Archives Administration Model of the RTA.

Go

Process and control-oriented or operational implementation guides: informing technical coordinators responsible for the implementation of the MGD of the general lines of action and the commitments required for the implementation of the technical processes and controls associated with the Records Management and Archives Administration Model of the RTA.

2.2. Guidelines

Di

Within the RTA Records Management and Archives Administration Model, the guidelines are the explanatory documents which set out the key aspects and actions required for the implementation of the commitments or sets of commitments defined in the implementation guides. These guidelines are small 'handbooks' that focus on one topic and have a less formal structure than the implementation guides.

2.3. Other documents

During implementation of the Records Management and Archives Administration Model, it is essential that each organisation adopting the model makes it their own. It is considered an important aspect of the implementation of the MGD that the organisations draw up their own documents at a lower level than the guidelines. Such documents may include short documents, forms and operational tools focussing on the execution of key concepts or the performance of certain records management tasks.

The implementation guides and guidelines set out the key aspects for building and using tools for records management and archives administration. We can divide the tools or instruments covered in the MGD into three large blocks.

Strategic tools are the instruments obtained following the application of the guidelines on records and archives management policy. The organisation's top management should be involved in the creation of strategic tools.

Strategic tools

Catalogue of Legal Sources and Standards
SWOT Analysis
Risk Assessment Report
Strategic Plans
Process Map
Communication Plan
Training Plan
Requirements Model
Comprehensive Scorecard

Technical tools for transparency, on the other hand, are the instruments resulting from the guidelines on open government and access control implementation guides. These tools are essential for fulfilling one of the basic objectives of the project and of the Transparency and Access to Public Information Network, which is to guarantee the accessibility of records. They represent a communication channel between the organisation and society.

Technical tools for transparency

Records access policy document
Records access and security tables
Catalogues of reusable public information
Catalogue of the organisation's open data
Standardised forms for requesting access to the records

Finally, operational tools are those derived from the guidelines that develop technical processes for archival processing of records and archives. Records and archives management specialists should be involved in their creation, as well as specialists from other areas such as IT and e-Government.

Operational tools





Organisational chart
 Functional classification table for the records managed (produced and received)
 by the organisation
 List of the organisation's essential or vital records
 Catalogue of destruction and preservation rulings
 Preservation schedules or preservation tables for the organisation's records
 Transfer schedules/lists
 Metadata schema to be used within the organisation
 Disaster mitigation/prevention plan
 Risk assessment report
 Training materials (handbooks, leaflets, etc.)
 Codes of conduct
 Job profiles



One of the essential objectives of the model is the development and subsequent use within an organisation of its own tools. Therefore, the creation of these documents, forms, explanatory leaflets, informational brochures and system tools is a necessary part of the implementation of the MGD in each organisation.

2.4. Audience

From the point of view of the audience or the subjective scope of application, the documents that make up the model are divided as shown in the following table:

Logo	Document type	Audience
	Records Management and Archives Administration Model (Framework document)	All
	Policy implementation guides (Managerial guides)	Primary: A and B Secondary: C
	Implementation guides for records management processes and controls (Operational guides)	Primary: B and C Secondary: D
	Guidelines	Primary: C and D Secondary: E

In line with the ISO 30300 standard (*Information and documentation. Management systems for records. Fundamentals and vocabulary*), the model establishes the following audiences:

- A. Top management:** person or group of people who directs and controls an organisation at the highest level (ISO 30300:2011, 3.2.5).
- B. MGD implementation coordinators:** individuals appointed by top management to coordinate the implementation of the MGD at both the managerial and operational level. Both responsibilities may be assigned to the same person or group.
 - B.01 Management representative:** specific representative of top management who leads and takes responsibility for the implementation of the MGD (ISO 30301:2011, 5.3.2).
 - B.02 Records operational representative:** person appointed by top management to implement the MGD at the operational level (ISO 30301:2011, 5.3.3). Includes individuals with primary responsibility for archival institutions
- C. Specialists responsible for the implementation of the MGD**
 - C.01 Records professionals:** persons charged with establishing the policies, procedures and general standards, and implementing records management processes and controls (ISO/TR 15489-2:2001, 2.3.2.b).
 - C.02 Professionals with specific duties in relation to records:** professionals in the areas of risk management, auditing, information technologies and information security (ISO/TR 15489-2:2001, 2.3.2.d; ISO 30301:2011, Introduction).
- D. Internal users**
 - D.01 Heads of management units:** individuals responsible for guaranteeing that the people they supervise create and maintain records as an integral part of their work and in accordance with established policies and procedures (ISO/TR 15489-2:2001, 2.3.2.c).
 - D.02 All other personnel:** staff who create, receive and maintain records as part of their daily work, in accordance with established policies, procedures and standards (ISO/TR 15489-2:2001, 2.3.2.e).
- E. External users:** users of archival services who are not part of the organisation.

As shown in the previous table, this explanatory framework document is aimed at all those involved in the development and implementation of this model.

The policy-oriented or managerial implementation guides are primarily aimed at top management and the individuals appointed by top management to coordinate the implementation of the MGD, at both the managerial and operational level. Their secondary audience consists of the specialists responsible for the implementation of the model.

The process-oriented or operational implementation guides are primarily aimed at the individuals appointed by top management to coordinate the implementation

of the MGD, at both the managerial and operational level and the specialists charged with the implementation of the model. Their secondary audience consists of the internal users within the organisation.

The guidelines are aimed primarily at the specialists responsible for the implementation of the model and the organisation's internal users, whereas their secondary audience consists of the organisation's external users.

This model attempts to encompass all the personnel within an organisation who are involved in records and archives management processes, as well as citizens and other external organisations who will benefit from the effective and efficient management of records and archives.

2.5. Basic structure of the implementation guides

Each document is free-standing and perfectly understandable in its own right, hence their presentation as independent documents.

The basic structure of the implementation guides (both managerial and operational) is as follows:

First block

This first block contains general information about the guide, including its purpose, audience and related documents within the Records Management and Archives Administration Model. It is introduced by a chapter entitled 'Introduction and objectives' which contains a series of sections that are repeated in all the guides:

- Brief introduction.
- Purpose.
- Audience.
- Scope and content.
- Related documents.

Second block

The substantive content of the implementation guides is developed below the aforementioned first block.

This second block sets out the key aspects to the process being analysed and developed, explaining its nature as well as its purpose and object.

The most important and significant information of this second block is included in the chapter that develops the lines of action.

The implementation guides present a series of general lines of action that present a flexible set of commitments that may be undertaken by the organisations or institutions based on the different levels of improvement required for the completion or implementation of the line of action in question.

These levels do not necessarily mean that each organisation must proceed in a linear manner or cover every step. The intention is to offer a flexible framework for promoting dialogue within the organisation or institution both with regard to programmes and objectives and with regard to progress towards a higher level of commitment to and implementation of a records management and archival processing policy.

Therefore, the commitments to be satisfied, which form a general line of action, are not necessarily envisaged in a linear fashion. The commitments can be undertaken in different stages, in an iterative, partial or gradual manner, depending on the needs of the organisation, its requirements and the changes that may be taking place in the organisation's environment and within its particular field of action.

At the end of this second block, the guides include a table or chart summarising this aspect. This is known as the 'Action Table'. The structure of the lines of action and the arrangement of the commitments in an ordered list makes it easy to identify the corresponding implementation levels.

This table covers:

- The lines of action, identified by their numerical code.
- The commitments to be satisfied for completion of these lines of action.
- The different improvement levels for satisfying the commitments, identified using colour-coding:

■ Initial level ■ Intermediate level ■ Advanced level

This colour-coding serves as a way of visually including information on how the commitments can be satisfied in a scalable manner.



Each line of action encompasses a series of commitments to be satisfied through its future implementation. These lines of action are developed in the aforementioned implementation guides. The actions table includes the lines of action and the list of commitments to be satisfied in order to complete each one. Both the lines of action and the commitments have a numerical code that helps link them to detailed development provided in the guidelines. It also includes colour-coding that establishes a series of scalable improvement levels for satisfying the commitments.

Third block

In this final block, the documents include a section with terms and references. This includes a subsection containing a glossary of the most frequently used and important terms in the guide, and other subsections on the bibliographic references or online resources required in order to deal with the topic of the guide in greater depth.

2.6. Basic structure of the guidelines

As mentioned earlier in reference to the implementation guides, each document is free-standing and perfectly understandable in its own right, hence their presentation as independent documents.

In any case, we recommend that implementation guides and their respective developing guidelines are read comprehensively and together.

The guidelines contain a much more exhaustive and detailed description of the lines of action listed in the corresponding implementation guide. These documents set out the key aspects of how to satisfy the commitments established in the implementation guide. They are explanatory documents and are structured in a more instructional manner.

In general terms, the basic structure of the guidelines is as follows:

First block

This first block contains general information about the guideline, including its purpose, audience and related documents within the Records Management and Archives Administration Model. It is introduced by a chapter entitled 'Introduction and objectives' which contains a series of sections that are repeated in all the guides:

- Purpose.
- Scope and content.
- Related documents.

Second block

The substantive content of the guidelines is developed in a second block, which may be separate depending on the guideline. This block sets out the key aspects that will allow us to satisfy the commitments established for the lines of action listed in the corresponding implementation guide.

At the end of the second block, the guidelines include a summary table or chart called the Commitments Table. It lists the commitments developed by the guideline, alongside the numerical code that links these commitments to the lines of action listed in the implementation guides.

For each commitment, a list of actions is provided that gives us key information about how to satisfy said commitment. The list of actions serves as a summary of the detailed information provided in the guideline.



Guidelines contain a much more exhaustive and detailed description of the lines of action listed in the corresponding implementation guide. The guidelines set out the key aspects of how to satisfy the commitments established in the implementation guide. They include a Commitments Table listing the commitments developed by the guideline, alongside the numerical code that links these commitments to the lines of action shown in the implementation guides. For each commitment, a list of actions is provided that gives us key information about how to satisfy said commitment.

Third block

In this final block, the guidelines include a section with terms and references. This includes a subsection containing a glossary of the most frequently used and important terms in the document, and another on the bibliographic references or online resources required in order to deal with the topic of the guideline in greater depth.

2.7. Annexes to the MGD

The Records Management and Archives Administration Model ends with three annexes:

Annex 1. Diagnostic report. Survey results

Based on the information obtained in the four questionnaires sent to the bodies involved in the records management process (archive governing bodies, records and archives management specialists, top management of the institution, and access guarantor institutions), a diagnostic report has been created, including information on the records and archives management of each member of the RTA (Brazil, Colombia, Chile, Ecuador, Mexico, El Salvador, Guatemala, Peru, Santa Fé [Argentina] and Uruguay).

Annex II. Self-assessment questionnaire or check list.

This document enables each archive or organisation to ascertain its level in each process.

The self-assessment questionnaire is divided into three chapters or levels: initial, intermediate and advanced.

Each level is divided into sections, with each section representing one of the implementation guides developed in the Records Management and Archives Administration Model.

Each section contains a table of questions organised as follows:

- The name of the line of action and the commitments identified in the implementation guides.
- A list of elements to be considered, i.e. processes, actions or expected outcomes, that the organisations needs to address in order to adequately implement the line of action and meet the indicated commitment.
- A field for indicating whether each element to be considered is being developed within each organisation.

We recommend completing the survey in its entirety, from the initial to the advanced level, in order to provide an overview of the situation in terms of the level of application of the Records Management and Archives Administration Model within each organisation. The structure and configuration of the survey will enable the detection of the key elements implemented in each organisation, as well as the lines of action on which to focus for specific implementation in the organisation.

Similarly, the degree of application of each level will make it possible to identify the actual situation of the Records Management and Archives Administration Model in the organisation.

This annex is presented in two formats: Word and Excel. Completing the Excel worksheet will allow the organisation to ascertain the percentage of completion for each process at each level.

Annex III. General glossary

The model is completed with a compilation of the definitions listed in the glossaries contained in all of its documents, for ease of reference.

3. Table of documents of the Records Management and Archives Administration Model for the Transparency and Access to Public Information Network

This summary shows the eight implementation guides that develop the Records Management and Archives Administration Model for the RTA. The tables shows the operational implementation guides in a lighter colour than the managerial implementation guides.

Table 1. Summary of the Records Management and Archives Administration Model. Implementation guides

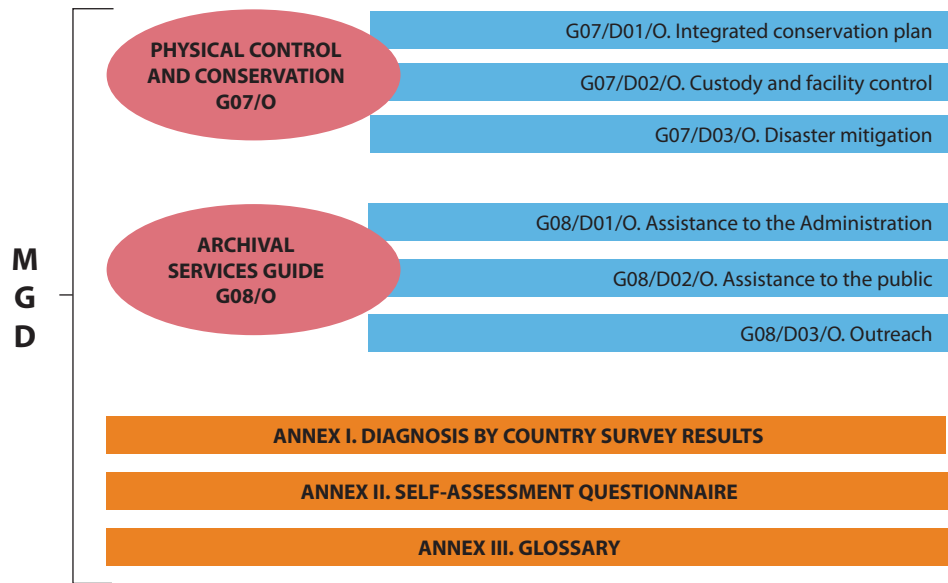


The following summary shows all the documents that comprise the Records Management and Archives Administration Model for the RTA. It shows all eight implementation guides, both managerial and operational, with their respective developing guidelines. Each of the documents has a code that serves to identify it throughout the model. Colour coding is also used for each type of document: green for this framework document; burgundy for all implementation guides; and blue for guidelines.

**Table 2. Documents of the Records Management and Archives Administration Model:
Implementation Guides, Guidelines and Annexes**

M G D	RECORDS AND ARCHIVES MANAGEMENT POLICY G01/G	G01/D01/G. Strategic plans
		G01/D02/G. Standardisation and analysis of processes
		G01/D03/G. Roles, responsibilities and competencies
		G01/D04/G. Requirements for an MSR
		G01/D05/G. Assessment indicators
	OPEN GOVERNMENT AND TRANSPARENCY G02/G	G02/D01/G. Access to public records
		G02/D02/G. Active transparency and open data
		G02/D03/G. Re-use of information
		G02/D04/G. Public participation and collaboration: Archive 2.0
	E-GOVERNMENT G03/G	G03/D01/G. Interoperability
		G03/D02/G. Information security
		G03/D03/G. Management of electronic records
	INTELLECTUAL CONTROL AND REPRESENTATION G04/O	G04/D01/O. Identification and classification
		G04/D02/O. Description
	APPRAISAL G05/O	G05/D01/O. Instruments for appraisal
		G05/D02/O. Transfer of records
		G05/D03/O. Destruction of records
	ACCESS CONTROL G06/O	G06/D01/O. Security and access requirements
		G06/D02/O. Management of access requests
		G06/D03/O. Restrictions and access controls

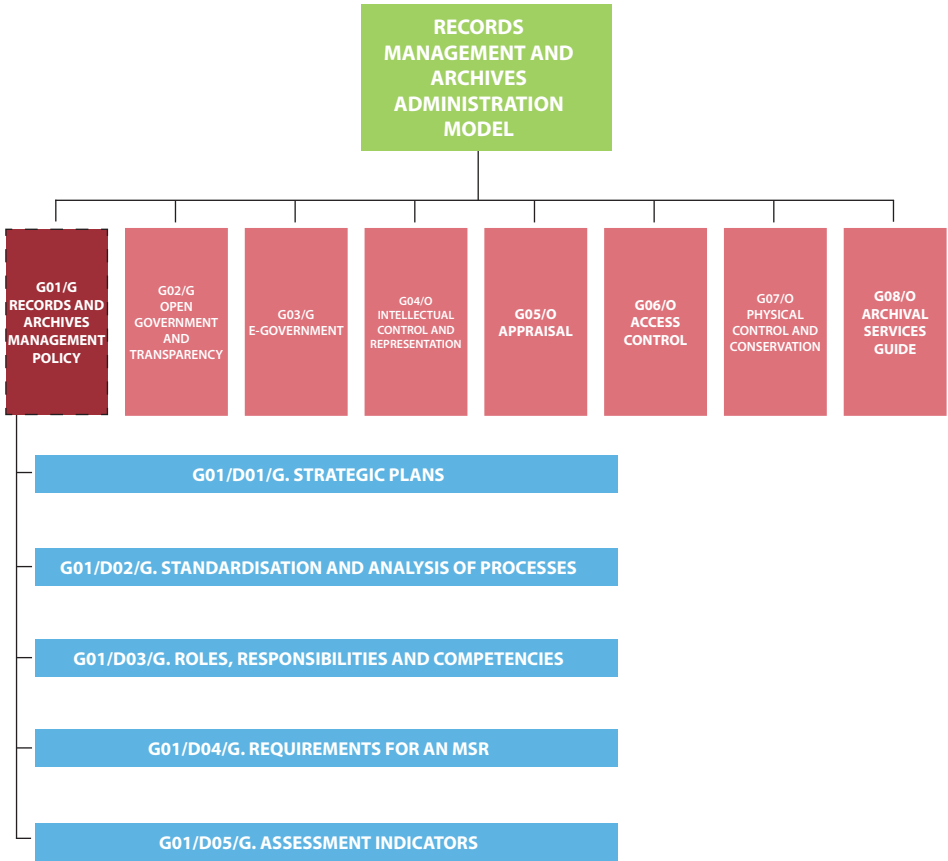
**Table 2. Documents of the Records Management and Archives Administration Model:
Implementation Guides, Guidelines and Annexes (cont.)**



Managerial Implementation Guide

G01/G. Records and Archives Management Policy

This implementation guide forms part of the MGD as indicated in the following diagram of relationships:



1. Introduction and objectives

1.1. Brief introduction

Implementation of a records management policy in our organisation is a democratic duty of our administrations that must be aligned with other high-level strategic policy objectives, such as transparency, access to public information and accountability. This is because records represent the basis and foundation of open government, and provide support for the principles of transparency, citizen participation and collaboration. Properly managed records also represent an added value for public administrations as they enable an organisation to assess the impact of its programmes, improve work processes and share knowledge between different government agencies. Moreover, records protect the rights and interests of citizens and make public employees accountable for their actions, without forgetting that permanently preserved records document the history of our nation.

This guide provides an implementation methodology for the elements that comprise an organisation's records management and archival processing policy and sets out the outcomes to be achieved, always with due regard for the rules, legislation and regulations in force in the respective national legal systems.

It applies to organisations that create, receive, process and maintain custody of records in any format or media in the course of their operations or activities. The systems for implementing a records management policy may be manual or electronic, and the records to which they are applied may be in paper, analogue or electronic format. This guide may also apply to hybrid systems and records.

It aims to be useful for all the phases of the life cycle of the record and, therefore, for office or management archives, records centres, and intermediate and historical archives.

1.2. Purpose

The purpose of this guide is to provide the lines of action required in order to articulate a proper records and archives management policy through the assignment of managerial and professional responsibilities and the definition of objectives, strategies, projects, programmes, processes, requirements and controls for evaluating records management within the field of competence of the organisation or institution. It is intended to be of use to organisations that need to manage their records and information systems, and to provide an overview of the processes and factors that should be taken into account by organisations seeking to implement an efficient

records management policy. It is also designed to be of use to organisations or institutions that wish to redesign or improve an existing records management system.

Although the records management policy covers all levels of authority and responsibility within an organisation and must be endorsed by top management, it should be especially useful for professionals involved in records management and archival processing activities, as well as for individuals charged with managing records within their respective organisations and archives.

1.3. Audience

The policy-oriented or managerial implementation guides are primarily aimed at top management and the individuals appointed by top management to coordinate the implementation of the MGD, at both the managerial and operational level. Their secondary audience consists of the specialists responsible for the implementation of the model.

The primary audience for this policy-oriented or managerial implementation guide is as specified in points A and B and the secondary audience is as specified in point C. The audience codes used are those stipulated in the ISO 30300 standard (*Information and documentation. Management systems for records. Fundamentals and vocabulary*), which is used as reference in relation to this issue in this model, as set out below:

Primary audiences

- A. Top management:** person or group of people who directs and controls an organisation at the highest level (ISO 30300:2011, 3.2.5).
- B. MGD implementation coordinators:** individuals appointed by top management to coordinate the implementation of the MGD at both the managerial and operational level. Both responsibilities may be assigned to the same person or group.
 - B.1. Management representative:** specific representative of top management who leads and takes responsibility for the implementation of the MGD (ISO 30301:2011, 5.3.2).
 - B.2. Records operational representative:** person appointed by top management to implement the MGD at the operational level (ISO 30301:2011, 5.3.3). Includes individuals with primary responsibility for archival institutions

Secondary audiences

C. Specialists responsible for the implementation of the MGD

- C.1. Records professionals:** persons charged with establishing the policies, procedures and general standards, and implementing records management processes and controls (ISO/TR 15489-2:2001, 2.3.2.b).

C.2. Professionals with specific duties in relation to records: professionals in the areas of risk management, auditing, information technologies and information security (ISO/TR 15489-2:2001, 2.3.2.d; ISO 30301:2011, Introduction).

1.4. Scope and content

This implementation guide presents a series of general lines of action that encompass a flexible set of commitments that may be undertaken by the organisations or institutions according to different improvement levels.

These levels do not necessarily mean that each organisation must proceed in a linear manner or cover every step. The intention is to offer a flexible framework for promoting dialogue within the organisation or institution both with regard to programmes and objectives and with regard to progress towards a higher level of commitment to and implementation of a consistent records management and archival processing policy.




Therefore, the commitments to be satisfied, which form a general line of action, are not necessarily envisaged in a linear fashion. The commitments can be undertaken in different stages, in an iterative, partial or gradual manner, depending on the needs of the organisation, its requirements and the changes that may be taking place in the organisation's environment and within its particular field of action.



The guide includes a table including:

- The lines of action, identified by their numerical code.
- The commitments to be satisfied for completion of these lines of action. A numerical code used in the guidelines.
- Different improvement levels for satisfying the commitments listed, identified using the following colour-coding:

 Lines of action	 Initial level
 Intermediate level	 Advanced level

1.5. Related documents

	G01/D01/G Strategic plans
	G01/D02/G Standardisation and analysis of processes
	G01/D03/G Roles, responsibilities and competencies

	G01/D04/G Requirements for a Management System for Records
	G01/D05/G Assessment indicators

2. What is a Records and Archives Management Policy?

A Records and Archives Management Policy can be defined as a statement of intent setting out the main lines of action and objectives that an organisation wants to achieve in relation to the management of the records it produces or receives when exercising its duties and activities. The policy may also include a summary of the action plan and the procedures required in order to complete it.

However, a declaration of intent does not in itself guarantee a good records and archives management policy. Its success will fundamentally depend on the approval, backing and the visible and active support of management, as well as the allocation of the necessary resources for its implementation. A Records and Archives Management Policy therefore requires the intent and general guidelines of the organisation in relation to a management system for records, which should be formally set out by the organisation's top management.

A Records and Archives Management Policy should also include the necessary actions required to:

- Understand the legal, administrative and social context in which the organisation operates.
- Comprehend the mission, functions and activities of the organisation and its hierarchical structure.
- Diagnose the strengths and weaknesses of the organisation.
- Strategically plan the desired outcomes.
- Analyse and standardise all records management processes carried out within the organisation.
- Assign the roles, responsibilities and competencies to all of the organisation's staff members who create or manage records or those who participate in the records management system.
- Convey to all the organisation's staff members the importance of proper records and archives management for the organisation.
- Train all personnel (internal and external) on matters of records and archives management.
- Identify the functional, regulatory and administrative requirements involved in proper management and preservation of records and archives in an MSR.

- Design and implement a consistent Management System for Records (MSR) that is as automated as possible.
- Evaluate, review and continuously improve all actions relating to the records management policy, all processes identified in the MSR, and the MSR itself.
- Document the records management policy and all actions taken.

The actions mentioned above can serve as a set of high-level strategic tools for the organisation that can have an impact on all agents involved in the MSR and all the processes of the system in a cross-cutting, continuous and direct manner. The following actions are worth noting:

Catalogue of Legal Sources and Standards (RFLN in Spanish)

SWOT Analysis
Risk Assessment Report
Strategic Plans
Process Map
Communication Plan
Training Plan
Requirements Model
Comprehensive Scorecard

This set of actions, agents and strategic tools can form a consistent records management policy and therefore a solid MSR. Standardisation of records management policies and procedures ensures adequate attention to and protection of records, allowing the information they contain and their evidential value to be preserved and retrieved in a more efficient and effective manner.

This guide provides general guidance for learning about and understanding our organisation through a preliminary analysis of its legal context and activities, diagnosing its status, and establishing criteria for the development of the aforementioned strategic tools. The methodological guidelines for preparing these tools are set out in the various guidelines that further develop this main guide.

The Records and Archives Management Policy will regulate the practices carried out by the those responsible for records management or by any other person who generates or uses records when conducting their activities. The records management policy of an organisation should therefore include the following aspects:

- Establishment of standards and good practice.
- Design of procedures and guidelines.

- Provision of services related to its management and use.
- Integration of the records management system in the systems and processes of the organisation or institution.
- Supervision and auditing for accountability purposes.

Furthermore, it should serve as a solid base for the creation of archival and/or technical procedures, operational tools, tools for transparency, and fundamental instruments for records management, such as functional classification tables for series, thesauruses, controlled languages, preservation schedules, access tables, assignment of metadata, etc.

3. Benefits of a Records and Archives Management Policy

Records contain information that constitutes a valuable resource and important asset for the organisation. The adoption of standardised criteria that conforms to legislation on records management is essential for organisations and for society, since it enables the protection and preservation of records as proof and evidence of their operations, activities and rights. A records management policy that creates the structure for a consistent records management system is a very useful tool as a source of information on the activities of an organisation or institution. It can also serve to support decision-making and subsequent activities, since records enable organisations and society in general to do the following:

- Carry out their duties and activities in an orderly, effective and responsible manner.
- Provide services to citizens and other public or private organisations.
- Support and document policy-making and decision-making at management levels.
- Lend consistency, continuity and productivity to management and administration.
- Lend thoroughness and reliability to the corporate memory.
- Have the pertinent records available to support decision-making.
- More effectively execute activities within the organisation or institution.
- Accurately evaluate the organisation's results.
- Assure continuity in the event of a disaster.
- Comply with legislative and regulatory requirements, including all archival processing activities and functions.
- Comply with supervision and auditing requirements.
- Provide protection and support in lawsuits and court proceedings.
- Justify rights and duties, both of the organisation itself and of third parties.
- Improve the security of records and robustly manage sensitive, personal or confidential information belonging to third parties or to the organisation itself.
- Achieve effectiveness and savings in infrastructures and facilities.
- Ensure transparency and access for current and future stakeholders.
- Increase confidence among customers and society in general in relation to the integrity of the organisation.

- Protect the interests of the organisation and the rights of its employees.
- Provide proof and evidence regarding personal, cultural and organisational activities.
- Fulfil the obligations associated with the principles of transparency and accountability.
- Protect, conserve and preserve the corporate, personal or collective memory.
- Identify records that are vital or essential for the organisation, so that it may continue to operate in the event of serious disruptions.
- Reduce the risk of loss of data or destruction of records.
- Support and document current and future research activities, achievements, outcomes, as well as historical research, etc.

In turn, the lack of a proper Records and Archives Management Policy and the absence of a robust Management System for Records could result in:

- Failure to comply with legislative or regulatory requirements.
- Discrediting of the institution and damage to its reputation.
- Inability to furnish proof of the activities of the organisation and the corresponding accountability.
- Loss of evidence of organisational activities.
- Duplication of efforts and mismanagement of resources and assets.
- Elimination and illegal destruction of its records.
- Inability to take full advantage of the organisation's data and corporate knowledge, as well as its information and knowledge potential.
- Inconsistent or ineffective conduct of the affairs of the organisation.
- Deficient strategic planning and poor decisions based on inaccurate information.
- Loss of essential or vital records in the event of disasters or disruptions, etc.

4. Lines of Action

4.1. Line of action 1: name an authority to lead the records management and archival processing policy

The objective of this line of action is to establish a unit or agency within the administration, organisation or institution to develop and lead the records management policy. This will make it possible to guarantee that records management decisions, actions and activities are established in accordance with the legal framework and duly documented. The authority designated to lead the records management policy, depending on the context in which it is implemented, may be a records management unit, a national registry authority, a regional or local body, etc.

The International Council on Archives supports having national or regional archives play a fundamental role in supporting records management in public administrations.



An effective Records and Archives Management Policy statement will first assign the main responsibility for records management to an executive for the purposes of allocating the necessary resources, supervising the stages of its implementation and the corresponding action plan.

The organisation's top management should appoint a specific management representative who, in addition to other duties, must do the following: 1) guarantee that the policy and the Management System for Records is established, implemented and maintained according to the necessary requirements; 2) be committed to communicating and raising awareness of the records management and archival processing policy throughout the organisation; 3) be committed to ensuring that the technical, material and human resources provided are sufficient; 4) take responsibility for seeing that the roles and responsibilities defined in the policy and the management system for records are correctly assigned and documented; and 5) ensure that the staff members performing these duties are competent to do so and receive the necessary training.

Alternatively, top management can name a records and archives management representative at the operational level in cases where the size and complexity of the organisation and its records management processes so require.

Commitments

1. Define the mission of the designated top authority in a clear manner that makes it possible to lead and allocate the necessary technical and human resources for the organisation's records management and archival processing policy. Where applicable, appoint an operational director for the management of same.

4.2. Line of action 2: preliminary study

The objective is to give the organisation an understanding of the administrative, legal and societal context in which it carries out its activities, and to be able to identify the factors that affect the creation and preservation of the records under its purview.

This provides an overview of the strengths and weaknesses of the organisation or institution and helps to define the scope and necessary stages of the implementation of an MSR. This is essential for effective decision-making and for establishing records management strategies and the starting point for gathering information on processes based on the functions that will be reflected in record production and in the resulting record series.

Analysis of the legal and regulatory framework

The analysis of the legal and regulatory framework of the organisation is a component of the Records and Archives Management Policy that will enable us to understand the organisation within its context, determine the regulations that apply to it and establish

the functions and duties entrusted to the organisation for the exercising of its competencies. This analysis also allows us to understand what society and citizens demand from the organisation.

Based on the study of the legal and regulatory framework of the organisation or institution, we can draw up a Catalogue of Legal and Regulatory Sources that will serve as one of the strategic tools with an cross-cutting impact and scope across the entire Records Management and Archives Administration Model.

Having a Catalogue of Legal and Regulatory Sources will provide us with and enable us to address other lines of action that need to be contemplated in consistent records and archives management.

The records management policy and the processes that it develops must reflect the application of the regulatory framework in its activities and business. The organisation or institution must prove, through its records, that it carries out or has carried out its activities in accordance with the regulations in force at the time of the procedure or business. The Catalogue of Legal and Regulatory Sources must be taken into account in all processes and, therefore, is key for addressing actions relating to the analysis and standardisation of the organisations' processes.

Study of the organisational context

An analysis of the legal and regulatory context will also allow us to determine the organisational context of the institution and the types of archive(s) to which the Records and Archives Management Policy will apply.

Archives can be classified using different criteria, all of them valid. For example, the criteria of ownership, record life cycle and type are all widely used in different classifications.

This study should also identify whether the policy is to be applied throughout the life cycle of the records being managed or whether it is to be implemented solely at a particular stage of this cycle.

Each organisation or archival system can develop its own distinct categories of archives according to its national regulatory framework.



The records management policy can encompass the entire life cycle of the records through to permanent preservation, and we recommend that this be the case. The documentary *continuum* aims for maximum effectiveness in the management of the records in its custody.

This aspect is specifically relevant for electronic records and files.

SWOT Analysis

As we have indicated, one of the objectives of the Records and Archives Management Policy is to produce a clear diagnosis of the organisation. This can be based on an analysis of the strengths and weaknesses of the organisation, as well as the identification of external opportunities and risks that could affect the scope of records and archives management within the organisation or institution. There are various methods of analysis, with the SWOT Analysis being highly functional and widely used. The preliminary information required in order to commence this analysis can originate from various different sources, such as the aforementioned study of the regulatory and legislative environment of the organisation, institution or archive. However, it also requires knowledge and the observation of work practices in relation to the custody and management of the organisation's records and archives, and the issues, limitations and/or difficulties that arise in this area.

It is also important to have a clear perception of the technological, financial and human resources the organisation has at its disposal for the implementation of an effective and successful Records and Archives Management Policy.

The information on how the human teams involved create, capture, manage and use the organisation's records can also be obtained through surveys that provide accurate and real information. This information will help generate a shared understanding between all agents involved regarding which records and archives management requirements are deemed to be priorities and on the state of affairs in relation to the involvement, skills development and training of staff and the culture of the organisation in this regard. (See *G01/D03/G Roles, responsibilities and competencies*).

Risk analysis

The SWOT analysis will also have an effect on the analysis of the risks and limitations of the organisation's records and archives management system or, where applicable, of the risks derived from a lack of a Management System for Records within the organisation. The risk analysis will deepen the diagnosis of the organisation and will be accompanied by a document identifying the risks, their consequences or impact, and their level of severity and probability, in the form of a Risk Assessment Report.

All the preliminary analysis work will provide the organisation's top management with very useful and necessary information for establishing the priorities, objectives, strategies, projects and requirements that will enable us to update or implement a proper Records and Archives Management Policy and, therefore, a coherent MSR.

Commitments

1. Conduct an analysis of the legal and regulatory framework and of the organisational context.

2. Analyse the strengths, weaknesses, opportunities and threats affecting the organisation's records and archives management system using the SWOT methodology.
3. Analyse the risks that could affect the organisation's records and archives management system.

4.3. Line of action 3: analysis of the organisation's activities

Any records management policy should start with an analysis of the activities of the organisation or institution, whether public or private, to which the Records and Archives Management Policy is to be applied. This is because its purpose is to create and manage authentic, reliable and retrievable records that are capable of supporting the functions and activities of the organisation for as long as needed.

The objective of this line of action is to develop a conceptual model of what an organisation does and how it does it. It is a key line of action because it will subsequently contribute to decision-making regarding the creation, incorporation, control, storage, appraisal, destruction or preservation rulings and transfer of records, and their access regime.



It is especially relevant for the management of electronic records since these aspects must be taken into account at the time the electronic record or file is captured in the records management system for the purpose of maintaining the links between records and their context within the organisation.

This analysis will enable us to ascertain the functions, activities and processes of the organisation and how they are documented. It can generate the following outcomes:

- An organisational chart following a criterion of hierarchical relationships.
- A package of documentation that describes the functions, activities and processes of the organisation, underlining the points at which records are produced or received as products of the organisation's activity (alternatively, this information can be presented in the form of a high-level process map).
- A catalogue of records series reflecting the activities and functions of the organisation.

It will also serve as the basis for creating fundamental strategic (process map and flow chart) and operational (classification tables for series) tools for records management, as well as for planning suitable strategies to create an adequate MSR.

Commitments

1. Create an organisational chart following the criterion of hierarchical relationships.
2. Create a package of documentation that describes the activities and the record types resulting from these activities, and maps the associated responsibilities.

4.4. Line of action 4: identification of the strategies

The objective of this line of action consists of determining the objectives, strategies and projects that the organisation needs to adopt in order to ensure compliance with and development of all procedures, processes, requirements and improvements relating to the organisation's Management System for Records. The strategies can be designed and applied before taking decisive actions relating to the MSR in order to boost specific processes within the MSR or to develop regulatory projects and high-value plans for the organisation, etc.

For example, specific strategies can be designed for:

- Creation and application of a Training or Communication Plan.
- Creation of the Process Map.
- Creation of the Requirements Model of the MSR.
- Design and implementation of the MSR itself.
- Risk analysis and risk mitigation procedures.
- Migration of records to new MSRs and conversion to new formats and control procedures.
- Creation of standards and measurement of the degree of compliance and application of the same, etc.



The strategies for implementation of a Records and Archives Management Policy should be documented in a Multi-Annual Strategic Plan for records management. This plan should establish the general objectives to be met and the specific projects to be undertaken each year through an Annual Operating Plan that lists the activities to be carried out for each project. This strategic plan should be integrated in the overarching strategic plan of the organisation.

Strategic planning by objectives and results can be applied to each of the processes separately, jointly or by establishing groups. The plan should define each of the tasks to be carried out and the person responsible for the project and for each of the tasks identified. It should also stipulated clear and specific execution timeframes that affect the completion of each project. In addition, the Strategic Plan must always include assessment and improvement mechanisms.

Completion of this line of action will provide a planned, systematic and appropriate proposal for the creation, incorporation, maintenance, use and preservation of records in the MSR, as well as for each of the technical processes and regulatory projects to be undertaken and the design and implementation of the MSR itself or the redesign and improvement of an existing system.

Commitments

1. Integrate the Records Management Strategic Plan into the general and overarching Strategic Plan of the organisation.
2. Draw up the Multi-Annual General Strategic Plan for achieving objectives related to records management and archival processing.
3. Draw up the Annual Operating Plan for the application of the Strategic Plan.
4. Monitor and evaluate the projects and activities.
5. Evaluate the outcomes of the planned strategies.

4.5. Line of Action 5: analysis and standardisation of processes

Process-based management within an organisation will provide us with a series of tools that can be used to improve and redesign work flows in the organisation in order to make it more efficient and adaptable to the demands and needs of its users and interest groups.

To accomplish this, it is important to attempt to standardise all processes identified within the organisation associated with records and archives management in order to simplify their operation, while at the same time fine-tuning their effectiveness. Process standardisation should be understood as a dynamic process by which all the activities and tasks to be performed, and the resources to be used in an organisation's processes, are documented, ensuring continuous improvement for achieving efficient objectives.

Process standardisation in an organisation can be applied in three phases or levels:

- Standardise the flow of activities in a process.
- Standardise how a process is executed.
- Standardise the management of process.

Process-based management can be represented graphically through a strategic management tool known as a Process Map. To represent the procedures associated with records and archives management contained in this line of action, we recommend entering into a sufficient level of detail so as to represent the various different activities and tasks carried out throughout each particular process on a Process Flow Diagram.



It is effective and advisable to design a Process Flow Diagram that articulates, structures and links all the aforementioned processes that are considered essential for a proper records management and archival processing policy, and to draw up a reference sheet for each of the processes identified in the organisation.

The processes and their activities should be clearly linked to the determination and assignment of competencies and responsibilities of all the staff involved in the management and processing of the records of the organisation or the institution.

The design of standardised processes and their representation in the form of a Process Map can be carried out in various phases, gradually or partially, according to the priorities, needs and functions of the organisation. The Process Map and the associated process flow diagrams are a strategic tool for the organisation and for establishing the requirements needed for implementing the MSR.

Commitments

1. Design, implement and document the processes associated with the records and archives management policy.
2. Design a Process Map that articulates, structures and links the archival processing and management processes.
3. Create diagrams of the architecture and components of the system.
4. Establish a methodology for standardising all processes.
5. Link the standardised processes and their activities to the assignment of competencies and responsibilities among the staff involved in records management.

4.6. Line of action 6: assign the necessary roles, responsibilities and competencies in this field within the organisation

Responsibilities should be should be suitably assigned among the organisation's staff at the pertinent levels and functions. In particular, they should be assigned among top management, executives and middle managers, records management and archival processing professionals, IT and knowledge professionals, and all those who create and control records as part of their work.

The definition of roles, responsibilities, competencies and their interrelationships should lead to the application of standard practices or rules of the organisation, which must be clear and:

- Require employees to keep accurate records of the activities of the organisation with which they are associated.
- Guarantee the transparency of record-keeping processes and the suitability of the management systems for records throughout their active life, and ensure that they are subsequently maintained, stored and preserved for as long as they are useful to the organisation and, subsequently, to external entities such as archival institutions, researchers, citizens and auditors.
- Require that employees only destroy records in a regulated manner, in conformity with a preliminary process of appraisal and following a prescriptive ruling issued by the responsible body in accordance with the authorised legal instruments.

A proper Records and Archives Management Policy should plan, develop and provide the necessary information and training in order to guarantee that the personnel involved at all levels of the organisation, whether internal or external, understand their

duties in relation to the custody of records, as well as the policy and management processes for same.

It is also essential to communicate, engage and raise awareness among the organisation's personnel of the importance of proper records and archives management and to guarantee that decisions and actions are duly documented, lawful and extend to the entire organisation.

It should be remembered that a records management policy should be correctly based, equipped and sustained by staff with adequate qualifications, capacities, training and experience (Training Plan).

Commitments

1. Define, assign and clearly document the roles, responsibilities and competencies of the human team, both internal and external, for proper planning and management of records and archives within the organisation.
2. Communicate, engage and raise awareness among the organisation's personnel of the importance of proper records and archives management and guarantee that decisions and actions are duly documented, lawful and extend to the entire organisation.
3. Communicate the same to other interest groups.
4. Train all personnel, whether internal and external, on records and archives management.
5. Assess the skills development and training of staff with responsibilities for records and archives management and the suitability of the Continuous Training Plan.

4.7. Line of action 7: identification of the requirements

The objective of this line of action is to establish the necessary actions for ensuring that the MSR to be designed and implemented serves as a support for records that are authentic, reliable, intact and available. In turn, an MSR should itself have the characteristics of reliability, integrity, conformity and be exhaustive and systematic. Therefore, it will be necessary to identify the requirements to be met by the organisation's MSR when creating, receiving, maintaining, processing and preserving the records that reflect its activities or responsibilities, and to document these requirements in a structured and easily maintained manner.

Firstly, and before the process of systematising requirements begins, the results of the strategic tools created previously must be analysed and put to use. These tools will provide us with essential information to be used during the design stage:

- The results of the earlier SWOT Analysis and particularly those of the Risk Analysis will help us identify the mandatory and priority requirements.

- The Process Map and its charts give us highly structured processes with well-defined operations associated with records and archives management and their reflection in the records and therefore in the system requirements.
- The results of the preliminary research into the administrative, legal, operational and social context in which our organisation operates will give us information on the legal and regulatory requirements and on the demands of society with respect to maintenance, preservation and access to records.

Secondly, we must conduct an analysis of other relevant information contained in internal and external sources and in the information that can be provided by the personnel within the organisation who are involved in records management and the MSR. The information gathered in this preliminary study will give us reliable data on:

- The needs of the organisation.
- The legal and regulatory obligations of the organisation or institution that has custody of the records.
- General responsibilities to society that must be undertaken by the organisation or institution.
- The risks of failure to process and preserve the records.
- The reasons for creating, managing, processing and preserving records, which will serve as the basis for the design of the management systems.

In turn, an MSR should have the functionality necessary for carrying out the technical processes pertinent to proper records and archives management, such as:

- Determination of the records to be incorporated into the system.
- Incorporation of the records into the system whilst establishing a relationship between the record, its creator and the context in which it was generated, and associating it with other records.
- Incorporation of the registration processes into the management system.
- Assignment of numbers and codes.
- Classification the organisation's activities and functional classification tables for its record series.
- Determination of record preservation timeframes.
- Controlled vocabularies and indexing systems.
- Storage and handling.
- Access and access controls through access levels and user permissions.
- Traceability of actions and of the location of records that form part of the management system.
- Qualification (appraisal and ruling on destruction or permanent preservation).
- Transfer within the organisation or to an external archival authority, etc.

The functional, legal and administrative requirements will form a list of requirements for which taxonomies, categorisations and hierarchies can be defined. In turn, for each requirement, it will be possible to identify attributes relating to conditionality, obligation levels and priority. A methodology should therefore be applied for the creation of relevant and pertinent requirements that are in line the organisation's records management needs in order to generate a consistent Requirements Model. Development of the functional and non-functional requirements must be done in synergy with national and international standards and we recommend studying existing requirements models when designing such requirements.

The Requirements Model is a strategic tool that will enable us to design and implement an adequate MSR and to define, as part of the system's functionality, the requirements needed to safeguard the authenticity, reliability, integrity and long-term accessibility of the archives and records themselves, the context in which the records were created, and the necessary metadata associated with same.



Organisations must draft requirements in order to design an MSR capable of creating, maintaining, processing and preserving records that are authentic, reliable and available, and to protect the integrity of same over their entire life cycle. The records should be protected from any type of addition, deletion, unregulated destruction, modification or unauthorised redaction.

Commitments

1. Collect and analyse the necessary preliminary information in relation to the pertinent requirements for proper implementation of an MSR.
2. Establish a methodology for systematising and structuring the functional and non-functional requirements necessary for the records and the MSR.
3. Create a formal document or Requirements Model which articulates the necessary specifications and requirements with respect to the maintenance, processing and preservation of the records and the MSR itself.

4.8. Line of action 8: design and implementation of the management and archival processing system for records and archives

The decisions relating to the design and implementation of a Management System for Records, according to ISO 15489-1: 2001, should be based on:

- Documentation of the transactions associated with the records.
- Physical storage medium and protection.
- Distributed management.
- Conversion and migration.
- Access, retrieval and use.
- Retention and disposition.

The Requirements Model created and/or tested will enable us to design and implement the MSR and each organisation consider and adopt the pertinent decisions in relation to:

- Whether the MSR is integrated in the organisation's information system, structured as a separate system or combines both approaches.
- Whether it is only necessary to improve an existing MSR in the organisation.
- How to interrelate the management of conventional, hybrid and electronic records in the MSR.
- Whether to select open or proprietary software or to opt for the development of custom software.

It is also advisable to assess other existing information systems in order to evaluate whether these systems meet the established requirements, through:

- An inventory of existing systems in the organisation.
- A report indicating the degree to which these systems meet the requirements agreed upon by the organisation with regard to records management.
- A report on other systems outside the organisation that may meet the necessary requirements.



It is important that records management and archival processing professionals and ICT professionals participate in this line of action, and that system users are also involved, so that the requirements affecting records are implemented in the most appropriate manner and as a way of ensuring that users buy-in to the MSR, understand it and use it properly.

Implementation should guarantee that the functional requirements are reflected in the design of systems, both existing and planned, as well as in the subsequent phases of the systems development cycle (e.g. testing, implementation, production, evaluation).

The procedures and essential controls for capture, long-term preservation and accessibility must be taken into account when introducing new ICT systems, as well as in the adoption of systems and formats that are open-source and technologically neutral in the context of long-term preservation and access to electronic records and files.

All attempts should be made to ensure that the records and archives management system supports and does not hamper the functions and activities of the organisation in which it is implemented. Implementation of an MSR should be undertaken systematically, planning the project, evaluating its feasibility and sustainability, and using the right methodology for every situation. Creation of a pilot project can be considered.

Commitments

1. Analysis and evaluation of existing MSRs and other information systems.
2. Decide on how to implement the MSR or how to improve the existing system.
3. Select the formats and automated MSR software.

4.9. Line of action 9: evaluation, supervision, review and improvement

The objective of this line of action is to guarantee that the procedures, processes, activities, participating personnel (external or internal), training and communication plan, the tools created (strategic, operational and for transparency), and the projects included in the General Strategic Plan and the Annual Operating Plans, all conform to the policies and needs of the organisation or institution and to ensure that the expected outcomes are obtained through evaluations and periodic controls of the same (internal and external).

The organisation's commitment to quality and continuous improvement should be accompanied by a strategy that encourages continuous training and suitable skills development for organisation's personnel. The projects, activities and outcomes of Operating Plans and the General Strategic Plan should be reviewed and evaluated. An essential element of the philosophy of strategic planning is a phase for evaluating the results of the management of projects and activities in the different units that make up the organisation, based on pre-selected indicators.

In addition, the documentation on records management processes and the previously created tools for transparency and operational tools are all necessary in order to evaluate and audit the records management processes that make up the records management policy of the organisation or institution.

Where necessary, this documentation and the management tools should be presented to an external agency (archival authority, auditors, etc.) to obtain the corresponding approval. The audit or external supervision should be documented and the resulting reports kept. Supervision by an external authority helps to provide the Management System for Records with juridical and legal consistency.

Internal evaluation by the organisation itself and external audits or supervisions will enable continuous improvement of the policy and of the organisation's records and archives management.

Evaluation of the quality of the MSR will, in turn, provide the necessary information for decision-making by the organisation's top management with regard to the review, modification and improvement of the records management policy, records management, and the MSR itself and for identifying the strategic projects that should be undertaken as priorities.

Evaluation must take into account the productivity and effectiveness of the processes, the personnel involved, the training and communication plans, the objectives and strategic projects of the organisation, and the satisfaction of internal and external users. The records and archives management systems, their associated processes and the training of the personnel involved in records and archives management should be amended and improved if deemed inappropriate, ineffective or inefficient.

Furthermore, the records and archives management system and the related processes should be adapted to regulatory changes (internal or external) and changes that occur within the organisation, or part of the same, with regard to functions and responsibilities, in order to ensure that the MSR is consistent with the existing legal framework.



The records management policy must establish regular supervisory checks and evaluations, at the intervals agreed within the organisation, of all or part of the records management processes as a commitment to quality and continuous improvement.

External supervision and internal performance evaluation require that the organisation establish agreed, planned or externally required indicators in relation to responsibility for the procedures, the quantity and the quality of work produced, as well as the security and integrity of the system and processes.

The organisation must choose the pertinent evaluation indicators for internal or external evaluations of records and archives management, taking into account their morphology, nature, purpose, field of action, and the type of information the indicators provide.

The organisation should design a system of evaluation indicators and identify the relevant indicators that make up the organisation's Comprehensive Scorecard for records and archives management, which will serve as a strategic tool for the control, management and decision-making in this field.

Accordingly, the operation and consistency of the policy and of the records and archives management system should be measured regularly and habitually, based on these indicators, in order to achieve continuous improvement in the area of records and archives management.

Commitments

1. Create internal evaluation schedules for managing the quality of:
 - Standardised processes for the record and archives management policy.
 - Skills development and training of personnel in records and archives management.
 - Outcomes of the projects included in the General Strategic Plan and Annual Operating Plans.

2. Choose the pertinent indicators for internal or external evaluations of records and archives management, taking into account their morphology, nature, purpose, field of action, and the type of information they provide.
3. Request regular external audits of the standardised processes of the records and archives management policy to improve their execution.
4. Keep the reports resulting from internal evaluations and audits or external supervisions.
5. Design a system of indicators and identify the most relevant indicators on the organisation's Comprehensive Scorecard for records and archives management.
6. Draw up the documentation required for the accreditation of the quality systems.

5. Table of actions

This table sets out:

- The lines of action, identified by their numerical code.
- The commitments to be satisfied for completion of these lines of action, with a numerical code that will also appear in the table of commitments included in the guidelines.
- The different improvement levels for satisfying the commitments.

Legend:

■ Lines of Action

■ Initial level ■ Intermediate level ■ Advanced level

Lines of action	Commitments	Level
1	Name an authority to lead the records management policy.	
	1.1 Define the mission of the designated top authority in a clear manner that makes it possible to lead and allocate the necessary technical and human resources for the organisation's records management and archival processing policy. Where applicable, appoint an operational director for the management of same.	Initial level
2	Preliminary study	
	2.1 Conduct an analysis of the legal and regulatory framework and of the organisational context.	Initial level
	2.2 Analyse the strengths, weaknesses, opportunities and threats affecting the organisation's records and archives management system using the SWOT methodology.	Intermediate level
	2.3 Analyse the risks that could affect the organisation's records and archives management system.	Advanced level
3	Analysis of the organisation's activities	
	3.1 Create an organisational chart following the criterion of hierarchical relationships.	Initial level
	3.2 Create a package of documentation that describes the activities of the organisation and the record types resulting from these activities, and maps the associated responsibilities.	Intermediate level
4	Identification of the strategies for satisfying the requirements	
	4.1 Integrate the Records Management Strategic Plan into the general and overarching Strategic Plan of the organisation.	Initial level
	4.2 Draw up the Multi-Annual General Strategic Plan for achieving objectives related to records management and archival processing.	Intermediate level
	4.3 Draw up the Annual Operating Plan for the application of the Strategic Plan.	Intermediate level
	4.4 Monitor and evaluate the projects and activities.	Advanced level
	4.5 Evaluate the outcomes of the planned strategies.	Advanced level

Lines of action	Commitments	Level
5	Analysis and standardisation of processes	
5.1	Design, implement and document the processes associated with the records and archives management policy.	
5.2	Design a Process Map that articulates, structures and links the archival processing and management processes.	
5.3	Create diagrams of the architecture and components of the system.	
5.4	Establish a methodology for standardising all processes.	
5.5	Link the standardised processes and their activities to the assignment of competencies and responsibilities among the staff involved in records management.	
6	Assign the necessary roles, responsibilities and competencies in this field within the organisation	
6.1	Define, assign and clearly document the roles, responsibilities and competencies of the human team, both internal and external, for proper planning and management of records and archives within the organisation.	
6.2	Communicate, engage and raise awareness among the organisation's personnel of the importance of proper records and archives management and guarantee that decisions and actions are duly documented, lawful and extend to the entire organisation. Communicate the same to other interest groups.	
6.3	Train all personnel, whether internal and external, on records and archives management.	
6.4	Assess the skills development and training of staff with responsibilities for records and archives management and the suitability of the Continuous Training Plan.	
7	Identification of the requirements for an MSR	
7.1	Collect and analyse the necessary preliminary information in relation to the pertinent requirements for proper implementation of an MSR.	
7.2	Establish a methodology for systematising and structuring the functional and non-functional requirements necessary for the records and the MSR.	
7.3	Create a formal document or Requirements Model which articulates the necessary specifications and requirements with respect to the maintenance, processing and preservation of the records and the MSR itself.	
8	Design and implementation of the Management System for Records	
8.1	Analysis and evaluation of existing MSRs and other information systems.	
8.2	Decide on how to implement the MSR or how to improve the existing system.	
8.3	Select the formats and automated MSR software.	

Lines of action	Commitments	Level
9	Evaluation, supervision, review and improvement	
9.1	<p>Create internal evaluation schedules for managing the quality of:</p> <ul style="list-style-type: none"> • Standardised processes for the record and archives management policy. • Skills development and training of personnel in records and archives management. • Outcomes of the projects included in the General Strategic Plan and Annual Operating Plans. 	
9.2	Choose the pertinent indicators for internal or external evaluations of records and archives management, taking into account their morphology, nature, purpose, field of action, and the type of information they provide.	
9.3	Request regular external audits of the standardised processes of the records and archives management policy to improve their execution.	
9.4	Keep the reports resulting from internal evaluations and audits or external supervisions.	
9.5	Design a system of indicators and identify the most relevant indicators on the organisation's Comprehensive Scorecard for records and archives management.	
9.6	Draw up the documentation required for the accreditation of the quality systems.	

6. References and Bibliography

6.1. References

- AUSTRALIA. PUBLIC RECORD OFFICE VICTORIA. 2010a. *PROS 10/10 Strategic Management - Guideline 5. Record Management Strategy* [online]. Version 1.0. Victoria: Public Record Office Victoria. [Retrieved: 15 December 2014]. Available at: <http://prov.vic.gov.au/wp-content/uploads/2011/05/1010g5.pdf>
- AUSTRALIA. PUBLIC RECORD OFFICE VICTORIA. 2010b. *PROS 10/10 Strategic Management - Guideline 6. Records and Risk Management* [online]. Version 1.0. Victoria: Public Record Office Victoria. [Retrieved: 15 December 2014]. Available at: <http://prov.vic.gov.au/wp-content/uploads/2011/05/1010g6.pdf>
- AUSTRALIA. PUBLIC RECORD OFFICE VICTORIA. 2013. *PROS 10/10 Strategic Management - Specification 1: Strategic Management* [online]. Version 1.0. Victoria: Public Record Office Victoria. [Retrieved: 15 December 2014]. Available at: <http://prov.vic.gov.au/wp-content/uploads/2011/05/1010s1.pdf>
- AUSTRALIA. QUEENSLAND STATE ARCHIVES. 2010. *Strategic Recordkeeping. Implementation Plan Workbook* [online]. Version 2. Brisbane: Queensland State Archives. [Retrieved: 15 December 2014]. Available at: <http://www.archives.qld.gov.au/Recordkeeping/GRKDownloads/Documents/IS40WorkbookSRIP.pdf>
- COLOMBIA. ARCHIVO GENERAL DE LA NACIÓN. *Programa de Gestión Documental*. At: ARCHIVO GENERAL DE LA NACIÓN [website]. Bogotá: Archivo General de la Nación. [Retrieved: 15 December 2014]. Available at: <http://www.archivogeneral.gov.co/pgd>
- COLOMBIA. CONTADURÍA GENERAL DE LA NACIÓN. 2013. *Programa de gestión documental de la UAE Contaduría General de la Nación* [online]. Versión 2. Bogotá: Contaduría General de la Nación. [Retrieved: 15 December 2014]. Available at: <http://www.contaduria.gov.co/wps/wcm/connect/65155c34-4a85-4096-a06a-47b53b6b42e0/GESTION+DOCUMENTAL+VERSI%C3%93N+2.pdf?MOD=AJPERES>
- INTERNATIONAL ORGANIZATION FOR STANDARDIZATION (ISO). 2001a. *ISO 15489-1:2001. Information and Documentation. Records Management. Part I: General*. Geneva: ISO.
- INTERNATIONAL ORGANIZATION FOR STANDARDIZATION (ISO). 2001b. *ISO/TR 15489-2:2001. Information and Documentation. Records Management. Part II: Guidelines*. Geneva: ISO.
- INTERNATIONAL ORGANIZATION FOR STANDARDIZATION (ISO). 2011a. *ISO 30300:2011. Information and Documentation. Management system for records. Fundamentals and vocabulary*. Geneva: ISO.
- INTERNATIONAL ORGANIZATION FOR STANDARDIZATION (ISO). 2011b. *ISO 30301:2011. Information and Documentation. Management system for records. Requirements*. Geneva: ISO.
- INTERNATIONAL ORGANIZATION FOR STANDARDIZATION (ISO). 2014. *ISO/TR 18128:2014 - Information and Documentation - Risk assessment for records processes and systems*. Geneva: ISO. [The following equivalent version in Spanish was used: AENOR. 2014. *ISO/TR 18128:2014. Información y documentación. Identificación y evaluación de riesgos para sistemas de documentos*. Madrid: AENOR].

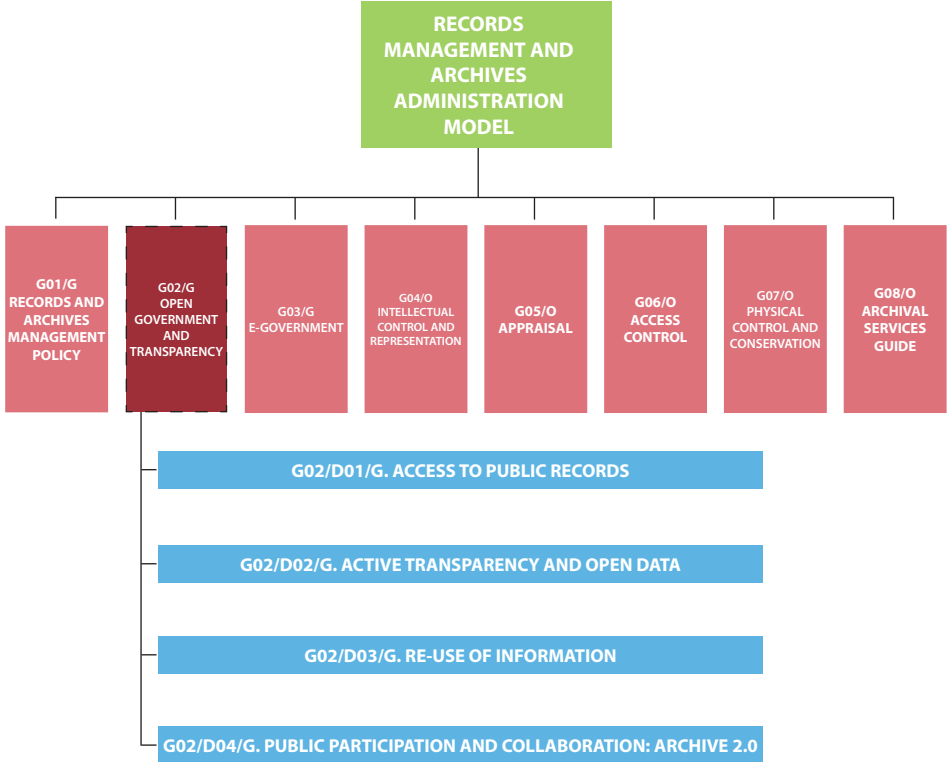
6.2. Bibliography

- BUSTELO RUESTA, C. 2011. *Serie ISO 30300: sistema de gestión para los documentos. Documentos de Trabajo*. Primera revisión Madrid: SEDIC Asociación Española de Documentación e Información. [Retrieved: 15 December 2014]. Available at: <http://www.sedic.es/DT-n2-SEDIC-ISO30300.pdf>
- CRUZ MUNDET, J. R. 2006. *La gestión de documentos en las organizaciones*. Madrid: Pirámide.

- LLANSÓ, J.; COSTANILLA, L.; GARCÍA, O.; ZABALZA, I. 2013. *Buenas prácticas en gestión de documentos y archivos. Manual de normas y procedimientos archivísticos de la Universidad Pública de Navarra*. Pamplona: Universidad Pública de Navarra.
- PERERO GONZÁLEZ, G. I. 2013. *Modelo de un sistema de gestión documental para el manejo de archivos administrativos, dirigido al Gobierno Autónomo Descentralizado Parroquial de José Luis Tamayo, provincia de Santa Elena, año 2013* [online]. G. MOSQUERA SORIANO, tutor. Trabajo de Grado, Universidad Estatal Península de Santa Elena. [Retrieved: 15 December 2014]. Available at: <http://repositorio.upse.edu.ec:8080/xmlui/handle/123456789/977>

G02/G. Open government and transparency

This implementation guide is part of the Records Management and Archives Administration Model of the Transparency and Access to Public Information Network (RTA), as indicated in the following diagram of relationships:



1. Introduction and objectives

1.1. Brief introduction

Policy implementation guides (managerial guides) provide top management and those responsible for coordinating the records and archives management system with the general lines of action and requirements for designing and implementing the organisation's Records and Archives Management Policy, and other high-level cross-cutting policies regarding records that are necessary for the implementation of the Records Management and Archives Administration Model (MGD) of the Transparency and Access to Public Information Network (RTA).

1.2. Purpose

This implementation guide provides guidance on incorporating the archival perspective into open government and transparency policies (including the dimensions of public participation and collaboration) and adopting the objectives of this policy in the Records Management and Archives Administration Model of the Transparency and Access to Public Information Network (RTA).

1.3. Audience

The policy-oriented or managerial implementation guides are primarily aimed at top management and the individuals appointed by top management to coordinate the implementation of the MGD, at both the managerial and operational level. Their secondary audience consists of the specialists responsible for the implementation of the model.

The primary audience for this policy-oriented or managerial implementation guide is as specified in points A and B and the secondary audience is as specified in point C. The audience codes used are those stipulated in the ISO 30300 standard (*Information and documentation. Management systems for records. Fundamentals and vocabulary*), which is used as reference in relation to this issue in this model, as set out below:

Primary audiences

- A. Top management:** person or group of people who directs and controls an organisation at the highest level (ISO 30300:2011, 3.2.5).
- B. MSR implementation coordinators:** individuals appointed by top management to coordinate the implementation of the MSR at both the managerial and operational level. Both responsibilities may be assigned to the same person or group. This category includes:
 - B.1. Management representative:** specific representative of top management who leads and takes responsibility for the implementation of the MSR (ISO 30301:2011, 5.3.2).

- B.2. Records operational representative:** person appointed by top management to implement the MSR at the operational level (ISO 30301:2011, 5.3.3). Includes individuals with primary responsibility for archival institutions

Secondary audiences

C. Specialists responsible for the implementation of the MSR:

- C.1. Records professionals:** persons charged with establishing the policies, procedures and general standards, and implementing records management processes and controls (ISO/TR 15489-2:2001, 2.3.2.b).
- C.2. Professionals with specific duties in relation to records:** professionals in the areas of risk management, auditing, information technologies and information security (ISO/TR 15489-2:2001, 2.3.2.d; ISO 30301:2011, Introduction).

1.4. Scope and content

Implementation guides are the documents that define the general lines of action to be followed for implementing the Records Management and Archives Administration Model of the Transparency and Access to Public Information Network (RTA). These lines of action, based on international standards and good practice, are in turn crystallised in the form of a flexible set of commitments that may be undertaken by the organisations or institutions according to different improvement levels.

The commitments included in each general line of action are not necessarily designed for implementation in a sequential manner. They can be undertaken in different stages, in an iterative, partial or gradual way, depending on the needs of the organisation, its requirements and the changes that may be taking place in the organisation's environment and within its particular field of action.









The guide includes a table including:

- The lines of action, identified by their numerical code.
- The commitments to be satisfied for completion of these lines of action. A numerical code used in the guidelines.
- The different improvement levels for satisfying the commitments listed, identified using the following colour-coding:

 Lines of action	 Initial level
 Intermediate level	 Advanced level

It concludes with a section that presents regional and international reference documents and selected bibliography for guiding implementation of the indicated commitments.

1.5. Related documents

	G02/D01/G Access to public records
	G02/D02/G Active transparency and open data
	G02/D03/G Re-use of information
	G02/D04/G Public participation and collaboration: Archive 2.0
	G06/O Access control
	G06/D01/O Analysis of legal accessibility
	G06/D02/O Management of access requests
	G06/D03/O Access restrictions and controls

2. The role of archives in open government

2.1. Open government and its pillars



Open government is a governance model that incorporates as essential pillars of its operations the principles of transparency, citizen participation and collaboration, taking advantage of the opportunities offered by information and communication technologies with the objective of improving the quality of democracy and the functioning of governments and government agencies (Spain 2013, p. 27).

This idea of open government has gained impetus in recent years in response to the erosion or crisis of legitimacy in current governance models in Western democracies, which has provoked citizen discontent and disaffection with traditional methods of participation. This crisis of confidence and legitimacy is caused by the perception held by a large proportion of citizens of a disconnection between the decisions and behaviour of the political establishment (and the underlying interests of same) and the will of citizens, on which the establishment's power rests and which, in principle, should serve the common good. All of this intensified by the discontent caused by the global economic crisis which began in 2008.

In this sense, many citizen movements have demanded and continue to demand 'more democracy' and greater participation. These demands are no longer voiced indirectly through political representatives or through other established organisations (consumer, community and student associations, labour unions, NGOs, etc.) but in a more individual, spontaneous and direct manner thanks to the Internet and social networks. The aim is greater citizen empowerment in the management of public affairs 'which is possible today precisely because of the existence of the Internet and of new technologies' (Telefónica Foundation 2013, p. 4). Thanks to these media, 'it is the citizen, the individual, who can take power, become organised, weave social networks, build the ephemeral social structures necessary to assert a specific grievance and then disappear, with no desire for permanence. Likewise governments can fulfil their duty of transparency towards citizens by establishing open channels of information, collaboration, participation and service with the citizen' (Calderón and Lorenzo 2010, p. 12).

In response to this challenge, public powers have begun (especially since the boost provided by the United States Government in its approval of the *Memorandum on Transparency and Open Government* (2009) by the Obama Administration) to put into practice open government strategies and initiatives around the aforementioned three pillars of transparency, participation and collaboration.

- 1. Transparency (knowing).** A transparent government provides information on what it is doing, its action plans, its data sources, and on matters for which it is considered to be responsible to society. This fosters and promotes the accountability of the Administration to citizens and represents a permanent social control.
- 2. Participation (taking part).** A participatory government promotes the right of citizens to actively participate in policymaking and opens the way for public administrations to benefit from the knowledge, ideas and experience of citizens. It promotes the creation of new meeting spaces that favour the central role and engagement of citizens in public affairs.
- 3. Collaboration (contributing).** A collaborative government engages citizens and other social agents in efforts to work together to resolve national problems. This requires cooperation and coordinated work, not only with citizens but also with companies, associations and other agents, enabling joint efforts both within administrations, and between administrations and their employees in a cross-cutting manner.

2.2. Archives in open government: a guarantee of transparency and a platform for participation and collaboration

Of the three pillars that sustain open government, transparency is considered to be the most fundamental (Telefónica Foundation, 2013, p. 7). Transparency enables participation, collaboration and control on the part of citizens with respect to the actions of those who hold power on their behalf, as it enables the strengthening of

the mechanisms for controlling and demanding the accountability of elected officials and public managers and generally enables citizen participation. Effective public participation is only possible when citizens have access to all the information available on the policies and activities carried out by public authorities.

However, without effective records management, it is not possible to provide quality access to reliable and useful information through any of the vehicles of transparency recognised in laws and international good practice, whether this is provided proactively by the institutions (active transparency) or through the exercising of citizens' rights to access information (reactive or passive transparency). In this sense, it has even been said that records management is the backbone of open government (Fernández 2012, p. 154).

Initiatives for transparency and access to public information depend to large measure on the quality, reliability and accessibility of the public archives that hold this information. If archives are not organised and well managed, it will be difficult to determine the quality and integrity of public information, or to comply with the timeframes established for responding to citizens and the administration. When suitable controls are used in records and archives management, according to effective standards and procedures, both citizens and civil servants can be sure not only of the reliability of the data retrieved from archives but also of the existence of a fully documented record of the activities of public administrations.



Adoption of the Records Management and Archives Administration Model (MGD) of the Transparency and Access to Public Information Network (RTA) makes it possible to guarantee the quality and effectiveness of the organisation's transparency policies and, therefore, to make a decisive contribution towards the attainment of open government objectives.

The specific commitments of the MGD in the area of transparency are developed at both the political and managerial level in this guide (and its corresponding guidelines) and at the operational or technical level in guide G06/O – Access Control. In the case at hand, two lines of action have been defined. The first lays the groundwork for the organisation's adoption of a policy for access to public records as a general framework for governing access to public records for archival institutions.

The second proposes that these institutions adopt an active transparency and open data strategy to a) proactively disseminate key data and information on their management, as well as the records (and the information about them) that constitute the subject of the same, and b) firmly support the active transparency and open data policies of the organisation with respect to the creation and maintenance of quality information and data and the tools for discovering and understanding it. By incorporating commitments designed to facilitate Open Government Data, the

objectives of this guide seek to go beyond mere transparency, since they also seek to 'open the door to innovation and knowledge, as well as to provide new business opportunities' (Naser and Ramírez 2014, p. 7).

The third line of action addresses this last aspect in greater depth by dealing with the re-use of public sector information (RPSI). The various public sector administrations and bodies collect, create and reproduce a great deal of information in the performance of their duties and fulfilment of their mission of public service. The information of public administrations is also characterised as being high-quality, complete and reliable. For this reason, the information generated in administrations holds great interest and potential for companies and citizens in the context of the information and knowledge society.

Finally, the fourth line of action set out in this guide is specifically designed to contribute to the goal of converting public archives into spaces open to innovation and collective knowledge, to citizen participation and to collaboration with other public, business and civil society organisations. It aims to introduce archival institutions into the other two dimensions of open government, based on the Archive 2.0 model or archives as a platform for public participation and collaboration.

3. Lines of Action

3.1. Line of action 1: adopt a policy of access to public records

Access to public records is, along with active transparency, the main mechanism for transparency in our institutions and, consequently, one of the fundamental tools of open government. Furthermore, it is a right of citizens which is recognised at the highest level of international law. The guarantee and effectiveness of such access therefore a challenge and important responsibility for public authorities and particularly for archival institutions, which are charged with collecting, managing and preserving a record of the actions and decisions of these authorities.



As a primary instrument for governing access to public records, the Records Management and Archives Administration Model of the Transparency and Access to Public Information Network (RTA) contemplates an access policy approved at the highest organisational level and based on international standards, ethical principles and good practice.

The approval of an access policy is considered especially beneficial for:

- Facilitating the effective application of access to public records regulations by the archival institution.

- Clearly defining the conditions and circumstances under which the records of the institution can be accessed.
- Ensuring that requests for access to information and the technical and administrative procedures required in order to respond to such requests are managed consistently across the entire institution.
- Combining the effective exercise of the right of access with the protection of other rights and legal assets worthy of protection, particularly that of the privacy of the persons referred to in the records.
- Supporting the role of the archival institution as a trusted manager of information.

Commitments

1. Identify and publicly disseminate the regulations and policies in force on the matter of transparency and access to information.
2. Design and make available to the public the standard forms for requesting access to archive records.
3. Identify and disseminate the system of access restrictions applied in the archive.
4. Adopt a statement of principles relating to access.
5. Produce a draft policy document on access to public records.
6. Include the opinions of the different agents interested in the access policy.
7. Approve the access policy at the highest institutional level.
8. Widely disseminate the policy on access to public records.
9. Regularly evaluate application of the access policy.

3.2. Line of action 2: adopt an active transparency and open data strategy

Latin American legislation is quite advanced in terms of the obligations of public organisations to proactively disseminate key information about their management and the region's governments have been promoting different policies and strategies in recent years that are advancing in this direction. The current trend affects two complementary channels. The first is the adoption of policies on targeted transparency, that is, making information about a sector or specific management area available to the public based on certain previously identified needs or social priorities. The second channel, which has been especially affected, is the online publication of public sector information in its entirety, and not only the parts that are required by law or sectoral policies (whilst respecting any pertinent legal restrictions of course). This information is published in the form of open government data, in respect of its cost-free nature, availability and access, usage rights and interoperability, an aspect that is explored further in the next line of action.

The open government data represents, from the standpoint of these strategies, a step forward in attaining the objectives of improving the accountability, transparency and democratic control of public institutions; of promoting citizen empowerment, social

participation and citizen engagement; and of fostering innovation, efficiency and effectiveness in public services.



The archives of public institutions should proactively disseminate key data and information on their management, as well as the records (and the information about them) that constitute the main subject of the same. Furthermore, they must firmly support the active transparency and open data policies of the organisation with respect to the creation and maintenance of quality information and data and the tools for discovering and understanding it.

The active transparency and open data strategy promoted by the archival institution has to be developed gradually and must advance towards a model of linked open data. Beginning with compliance with the legal obligations on the matter of active transparency that apply to the organisation as part of the public sector, it must support the organisation's open data policy in respect of:

- The creation of authentic and accurate data.
- Documenting the relationship between the data and their sources and the context in which they were produced.
- Improving the discovery and understanding of information and data.
- Providing background and continuity for datasets.

Commitments

1. Comply with all legal obligations on the matter of active transparency and open data that apply to the archive as part of the public sector.
2. Ensure alignment with the active transparency and open data policies of the organisation.
3. Adopt a principle of openness by default with respect to the information in the archive and its publication on the Web.
4. Plan and carry out the proactive publication of information.
5. Provide basic information about information assets that are not subject to openness and the reasons for their exclusion.
6. Publish a register of requests and disclosures carried out in application of the law on access to information.
7. Publish information in the form of open datasets.
8. Document the context of the public sector data and information on the semantic web.
9. Lead the information audit and representation processes required for implementing the organisation's active transparency and open data policies.
10. Evaluate the active transparency and open data strategy.

3.3. Line of action 3: promote the re-use of public sector information (RPSI)

Re-use of public sector information, in the context of the knowledge economy, has considerable potential as it constitutes an essential base for many digital information products created by different re-use agents. However, fostering the re-use of public information not only impacts the economy, but it can also contribute to the development of an active citizenry and make effective the principles of transparency, accountability and good governance of public institutions.

Besides an organisational framework for its development, any RPSI strategy will include at least three essential and strongly interrelated aspects around which the various planned activities will be structured:

- **Data:** public data are the basis for any re-use strategy and the organisation should identify them and analyse the feasibility of their re-use by third parties.
- **Websites:** the main means by which organisations make their data available and by which re-use agents find said data. It should be accompanied by mechanisms to allow the organisation to perform updates and by tools that enable interested third parties to locate the data and information.
- **Support:** supporting element which encompasses the supervision and control actions of the organisation's RPSI activities, as well as actions for improving the training of the personnel involved and activities aimed at the promotion and dissemination of knowledge on this matter.

Promotion of information re-use should be approached on an individual basis, with attention to the characteristics and organisational model of each entity or organisation. The execution, order and concurrence of the actions included in an RPSI strategy should be adapted to the current situation of the organisation and to the medium and long-term objectives set out for information re-use.

The organisational model for re-use should include strategies related to the conditions and modes of re-use and any applicable fees, where pertinent. The conditions for re-use should be clear, fair, transparent and non-discriminatory for comparable re-use categories and should address the principle of open competition and public service. The use of open and machine-readable data and formats should be promoted and encouraged.

In general, and in order to promote the re-use of information internally, it is necessary to foster within the organisation a culture of re-use that favours the availability of the information it possesses.

Commitments

1. Create an organisational and, where applicable, regulatory framework so that public information that may be subject to re-use is made available to citizens and companies.

2. Define, design and implement a strategy for making the organisation's information available for re-use that allows the processing of the information subject to re-use and the identification of the organisation's strategic datasets.
3. Define, design and implement a strategy for making the organisation's data available for re-use that allows the creation of a web space for hosting the reusable resources and the information regarding the same, as well as the pertinent open data, query and search tools.
4. Define, design and implement a strategy for making the organisation's information available for re-use that allows the necessary support measures to ensure the success of the availability and re-use strategy.
5. Establish distinct information categories and apply clear re-use modes and conditions.
6. Develop mechanisms for the application of fees, where appropriate, and consider the rates to be charged.

3.4. Line of action 4: establish mechanisms for participation and collaboration (Archive 2.0 model)

Citizen participation constitutes the heart of open government and is basically conceived as the act of contributing to the decision-making and public policy-making process. At the same time, collaboration is understood as joint work in the execution of a task, normally the implementation of a policy or action plan.

In line with the 'participatory shift' in which archival doctrine has been immersed in recent years, which perfectly links in with the objectives of participation and collaboration advocated by open government, the Records Management and Archives Administration Model of the Transparency and Access to Public Information Network (RTA) proposes moving towards an 'Archive 2.0' model with the following features:

- Radical user orientation.
- Transparency in records management and archival processes.
- Promotion of communication and dialogue with users.
- Decentralised processing of archival materials.
- Active participation of users in decision-making.
- Open and inclusive government.



The Records Management and Archives Administration Model of the Transparency and Access to Public Information Network (RTA) makes it possible to move towards an Archive 2.0 model through the inclusion in the archiving policy and practice of a series of initiatives for public participation, collaboration with other institutions and civil society, and crowdsourcing to take advantage of the possibilities offered by ICTs.

Commitments

1. Facilitate the open participation of users in the activities of the archive.
2. Open up decision-making to public participation.
3. Establish indirect participation mechanisms.
4. Establish direct participation mechanisms.
5. Design and implement an institutional collaboration plan.
6. Design and implement a social media plan.
7. Establish crowdsourcing initiatives.

4. Table of actions

This table sets out:

- The lines of action, identified by their numerical code.
- The commitments to be satisfied for completion of these lines of action, with a numerical code that will also appear in the table of commitments included in the guidelines.
- The different improvement levels for satisfying the commitments.

Legend:

■ Lines of Action

■ Initial level ■ Intermediate level ■ Advanced level

Lines of action	Commitments	Level
1	Adopt a policy of access to public records	
	1.1 Publicly disseminate the regulations and policies in force on the matter of transparency and access to information.	Initial level
	1.2 Design and make available to the public the standard forms for requesting access to archive records.	Initial level
	1.3 Identify and disseminate the system of access restrictions applied in the archive.	Initial level
	1.4 Adopt a statement of principles relating to access.	Intermediate level
	1.5 Produce a draft policy of access to public records.	Intermediate level
	1.6 Include the opinions of the different agents interested in the access policy.	Advanced level
	1.7 Approve the access policy at the highest institutional level.	Advanced level
	1.8 Widely disseminate the policy on access to public records.	Advanced level
	1.9 Regularly evaluate application of the access policy.	Advanced level
2	Adopt an active transparency and open data strategy	
	2.1 Comply with all legal obligations on the matter of active transparency and open data that apply to the archive as part of the public sector.	Initial level
	2.2 Ensure alignment with the active transparency and open data policies of the organisation.	Initial level
	2.3 Adopt a principle of openness by default with respect to the information in the archive and its publication on the Web.	Intermediate level
	2.4 Plan and carry out the proactive publication of information.	Intermediate level
	2.5 Provide basic information about information assets that are not subject to openness and the reasons for their exclusion.	Intermediate level
	2.6 Publish a register of requests and disclosures carried out in application of the law on access to information.	Intermediate level
	2.7 Publish information in the form of open datasets.	Advanced level
	2.8 Document the context of the public sector data and information on the semantic web.	Advanced level
	2.9 Lead the information audit and representation processes required for implementing the organisation's active transparency and open data policies.	Advanced level
	2.10 Evaluate the active transparency and open data strategy.	Advanced level

Lines of action	Commitments	Level
3	Promote the re-use of public sector information (RPSI)	
3.1	Create an organisational and, where applicable, regulatory framework so that public information that may be subject to re-use is made available to citizens and companies.	
3.2	Define, design and implement a strategy for making the organisation's information available for re-use that allows the processing of the information subject to re-use and the identification of the organisation's strategic datasets.	
3.3	Define, design and implement a strategy for making the organisation's data available for re-use that allows the creation of a web space for hosting the reusable resources and the information regarding the same, as well as the pertinent open data, query and search tools.	
3.4	Define, design and implement a strategy for making the organisation's information available for re-use that allows the necessary support measures to ensure the success of the availability and re-use strategy.	
3.5	Establish distinct information categories and apply clear re-use modes and conditions.	
3.6	Develop mechanisms for the application of fees, where appropriate, and consider the rates to be charged.	
4	Establish mechanisms for participation and collaboration (Archive 2.0 model)	
4.1	Facilitate the open participation of users in the activities of the archive.	
4.2	Open up decision-making to public participation.	
4.3	Establish indirect participation mechanisms.	
4.4	Establish direct participation mechanisms.	
4.5	Design and implement an institutional collaboration plan.	
4.6	Design and implement a social media plan.	
4.7	Establish crowdsourcing initiatives.	

5. References and Bibliography

5.1. References

ACCESS INFO EUROPE; OPEN KNOWLEDGE FOUNDATION (OKF). 2011. *Beyond Access: Open Government Data and the Right to (Re)use Public Information* [online]. Madrid: Access Info Europe; Cambridge: Open Knowledge Foundation. [Retrieved: 15 December 2014]. Available at: http://www.access-info.org/documents/Access_Docs/Advancing/Beyond_Access_7_January_2011_web.pdf

- ACCESS INFO EUROPE. 2013a. *Open Government Standards. Participation Standards* [online]. Madrid: Access Info Europe. [Retrieved: 15 December 2014]. Available at: http://www.access-info.org/documents/Access_Docs/Advancing/OGD/Participation_Standards11072013.pdf
- ACCESS INFO EUROPE. 2013b. *Open Government Standards. Transparency Standards* [online]. Madrid: Access Info Europe. [Retrieved: 15 December 2014]. Available at: http://www.access-info.org/documents/Access_Docs/Advancing/OGD/Transparency_Standards12072013.pdf
- INTERAMERICAN DEVELOPMENT BANK (IDB) 2013. *Manual de orientación para participar en redes sociales* [online]. Washington: Inter-American Development Bank. Prepared by the Secretaria de Comunicação Social da Presidência da República do Brasil. [Retrieved: 15 December 2014]. Available at: <http://publications.iadb.org/handle/11319/3509>
- CANADA. 2008. *Policy on Access to Information* [online]. Ottawa: Treasury Board of Canada Secretariat. [Retrieved: 15 December 2014]. Available at: <http://www.tbs-sct.gc.ca/pol/doc-eng.aspx?id=12453>
- CHILE. 2012. *Guía digital* [online]. Santiago de Chile: Unidad de Modernización y Gobierno Digital, Ministerio de Secretaría General de la Presidencia. [Retrieved: 15 December 2014]. Versión 3.0. Available at: <http://www.guiadigital.gob.cl/>
- CHILE. 2013. *Norma Técnica para Publicación de Datos Abiertos en Chile* [online]. Versión 2.1. Santiago: Unidad de Modernización y Gobierno Electrónico del Ministerio Secretaría General de la Presidencia. [Retrieved: 15 December 2014]. Available at: http://instituciones.gobiernoabierto.cl/NormaTecnicaPublicacionDatosChile_v2-1.pdf
- COLOMBIA. [2013]. *Manual para la implementación de la Estrategia de Gobierno en línea en las entidades del orden nacional de la República de Colombia* [online]. Bogotá: Ministerio de Tecnologías de la Información y las Comunicaciones. [Retrieved: 15 December 2014]. Versión 3.1. Available at: <http://programa.gobiernoenlinea.gov.co/apc-aa-files/eb0df10529195223c011ca6762bfe39e/manual-3.1.pdf>
- COMITÉ JURÍDICO INTERAMERICANO (CJI). 2008. *Principios sobre el Derecho de Acceso a la Información* [online]. Río de Janeiro: Comité Jurídico Interamericano. Resolución CJI/RES.147 (LXXIII-O/08). [Retrieved: 15 December 2014]. Available at: http://www.oas.org/cji/CJI-RES_147_LXXIII-O-08.pdf
- EL SALVADOR. [2011]. *Estándar de redes sociales para instituciones de gobierno* [online]. San Salvador: Dirección de Innovación Tecnológica e Informática del Gobierno de El Salvador (ITIGES). [Retrieved: 15 December 2014]. Available at: <http://www.novagob.org/file/download/22895>
- INTERNATIONAL COUNCIL ON ARCHIVES (ICA). 1996. *Code of Ethics* [online]. Paris: ICA. [Retrieved in Spanish: 15 December 2014]. Available at: <http://www.ica.org/download.php?id=588>
- INTERNATIONAL COUNCIL ON ARCHIVES (ICA). 2010. *Universal Declaration on Archives* [online]. Paris: ICA. Approved by the UNESCO General Conference 36th Session. [Retrieved in Spanish: 15 December 2014]. Available at: <http://www.ica.org/download.php?id=2411>
- INTERNATIONAL COUNCIL ON ARCHIVES (ICA). 2012. *Principles of Access to Archives* [online]. Translated by Esther Cruces Blanco. Paris: ICA. [Retrieved in Spanish: 15 December 2014]. Available at: <http://www.ica.org/download.php?id=2728>
- INTERNATIONAL COUNCIL ON ARCHIVES (ICA). 2014a. *Principles of Access to Archives: Technical Guidance on Managing Archives with Restrictions* [online]. Paris: ICA. [Retrieved: 15 December 2014]. Available at: <http://www.ica.org/download.php?id=3164>

- INTERNATIONAL COUNCIL ON ARCHIVES (ICA). 2014b. *Basic Principles on the Role of Archivists in support of Human Rights* [online]. Draft subjected to public consultation (2014-06-21). Paris: ICA. [Retrieved in Spanish: 15 December 2014]. Available at: <http://www.ica.org/download.php?id=3421>
- MEXICO. 2014. *Guía de implementación de datos abiertos* [online]. Versión 1. Mexico City: Comisión Intersecretarial para el Desarrollo del Gobierno Electrónico. [Retrieved: 15 December 2014]. Available at: http://cidge.gob.mx/wp-content/uploads/2014/01/Guia-de-implementacion-de-datos-abiertos-v1_01.pdf
- OPENGLAM [website]. Cambridge: Open Knowledge Foundation. [Retrieved: 15 December 2014]. Available at: <http://openglam.org/>
- OPEN KNOWLEDGE FOUNDATION (OKF). *Open Definition* [website]. Cambridge: Open Knowledge Foundation. Guide to Open Data Licensing. [Retrieved: 15 December 2014]. Available at: <http://opendefinition.org/guide/data/ConformantLicenses>. [Retrieved: 15 December 2014]. Available at: <http://opendefinition.org/licenses/>
- OPEN KNOWLEDGE FOUNDATION (OKF). 2012a. *Open Data Handbook Documentation* [online]. Versión 1. Cambridge: Open Knowledge Foundation. [Retrieved: 15 December 2014]. Available at: <http://opendatahandbook.org/pdf/OpenDataHandbook.pdf>
- OPEN KNOWLEDGE FOUNDATION (OKF). 2012b. *The Open Data Handbook* [online]. Spanish version, Manual de los Datos Abiertos, adapted, corrected and expanded by Carlos Brys. Cambridge: Open Knowledge Foundation. [Retrieved: 15 December 2014]. Available at: http://www.datos.misiones.gov.ar/repositorio/documentos/Manual_de_Datos_Abiertos.pdf
- ORGANIZATION OF AMERICAN STATES (OAS). 2010a. *Model Inter-American Law on Access to Information* [online]. AG/RES. 2607 (XL-O/10). [Retrieved in Spanish: 15 December 2014]. Available at: http://www.oas.org/dil/esp/AG-RES_2607-2010.pdf
- ORGANIZATION OF AMERICAN STATES (OAS). 2010b. *Commentary and Guide for Implementation for the Model Inter-American Law on Access to Information* [online]. CP/CAJP-2841/10. [Retrieved in Spanish: 15 December 2014]. Available at: http://www.oas.org/es/sla/ddi/docs/AG-RES_2841_XL-O-10_esp.pdf
- ORGANIZATION OF AMERICAN STATES (OAS). 2012. *Policy on Access to Information* [online]. Executive Order No. 12-02. [Retrieved in Spanish: 15 December 2014]. Available at: <http://www.oas.org/legal/spanish/gensec/EXOR1202.pdf>
- PANAMA. 2013. *Estándares para la creación y usos de las redes sociales en las Entidades del Gobierno de Panamá* [online]. Panama: Autoridad Nacional para la Innovación Gubernamental. [Retrieved: 15 December 2014]. Available at: http://www.gacetaoficial.gob.pa/pdfTemp/27246_B/40986.pdf
- SPAIN. 2013. *Estudio sobre objetivos, estrategias y actuaciones nacionales e internacionales en materia de Gobierno abierto* [online]. Madrid: Observatorio Nacional de las Telecomunicaciones y de la Sociedad de la Información (ONTSI), Ministerio de Industria, Energía y Turismo. [Retrieved: 15 December 2014]. Available at: http://www.ontsi.red.es/ontsi/sites/default/files/objetivos_estrategias_y_actuaciones_gobierno_abierto.pdf
- SUNLIGHT FOUNDATION. 2010. *Ten Principles for Opening Up Government Information* [online]. Washington: Sunlight Foundation. [Retrieved: 15 December 2014]. Available at: <http://assets.sunlightfoundation.com.s3.amazonaws.com/policy/papers/Ten%20Principles%20for%20Opening%20Up%20Government%20Data.pdf>
- SUNLIGHT FOUNDATION. 2013. *Guidelines for Open Data Policies* [online]. Versión 2. Washington: Sunlight Foundation. [Retrieved in Spanish: 15 December 2014]. Available at: <http://assets.sunlightfoundation.com.s3.amazonaws.com/policy/papers/Ten%20Principles%20for%20Opening%20Up%20Government%20Data.pdf>

- com/policy/Open%20Data%20Policy%20Guidelines/Lineamientos%20para%20Pol%C3%ADticas%20de%20Datos%20Abiertos.pdf
- SUNLIGHT FOUNDATION. 2014. *Guidelines for Open Data Policies* [online]. Versión 3. Washington: Sunlight Foundation. [Retrieved: 15 December 2014]. Available at: http://assets.sunlightfoundation.com/policy/Open%20Data%20Policy%20Guidelines/OpenDataGuidelines_v3.pdf
- TRANSPARENCY AND ACCOUNTABILITY INITIATIVE. 2013. *Guía sobre Gobierno Abierto* [website]. Spanish version of the *Open Government Guide*. London: Transparency and Accountability Initiative. [Retrieved: 15 December 2014]. Available at: <http://www.opengovguide.com/?lang=es>
- UNITED KINGDOM. 2014. *Open Standards for Government*. At: GOV.UK [website]. [Retrieved: 15 December 2014]. Available at: <https://www.gov.uk/government/publications/open-standards-for-government>
- URUGUAY. 2012. *Guía básica de apertura y de reutilización de Datos Abiertos de Gobierno* [online]. Versión 1. Montevideo: Agencia para el Desarrollo del Gobierno de Gestión Electrónica y la Sociedad de la Información y el Conocimiento. [Retrieved: 15 December 2014]. Available at: http://www.agesic.gub.uy/innovaportal/file/2478/1/guia_basica_datos_abiertos.pdf
- WORLD BANK. 2010. *World Bank Policy on Access to Information*. Washington: World Bank. [Retrieved: 15 December 2014]. Available at: http://www-wds.worldbank.org/external/default/WDSPContentServer/WDSP/IB/2010/06/10/000333038_20100610023515/Rendered/PDF/548730Spanish01ationPolicy01PUBLIC1.pdf
- WORLD WIDE WEB CONSORTIUM (W3C). 2014. *Data Catalog Vocabulary (DCAT)* [online]. W3C Recommendation 16 January 2014. Cambridge, Massachusetts (USA); Sophia-Antipolis (France); Tokyo (Japan): W3C. [Retrieved: 15 December 2014]. Available at: <http://www.w3.org/TR/vocab-dcat/>

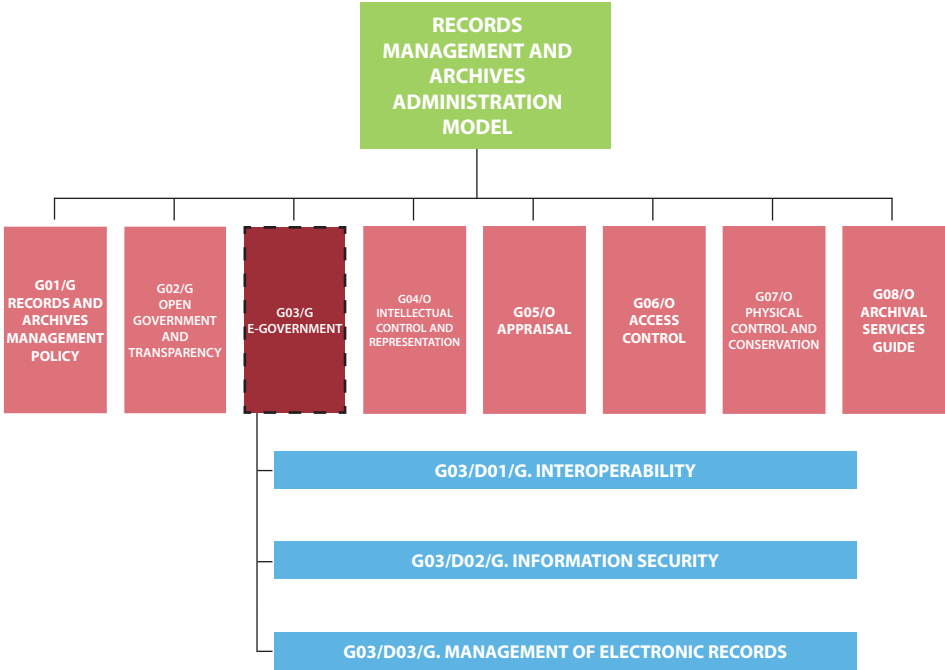
5.2. Bibliography

- BAENA OLABE, P.; CRUZ VIEYRA, J. 2011. *Access to Information and Targeted Transparency Policies* [online]. Washington: Inter-American Development Bank. [Retrieved in Spanish: 15 December 2014]. Available at: <http://idbdocs.iadb.org/wsdocs/getdocument.aspx?docnum=36547352>
- BERNERS-LEE, T. 2006. Linked Data. Latest modification from 2010. At: *Design Issues for the World Wide Web* [online]. Cambridge, Massachusetts (USA); Sophia-Antipolis (France); Tokyo (Japan): W3C. [Retrieved: 15 December 2014]. Available at: <http://www.w3.org/DesignIssues/LinkedData.html>
- CONCHA, G.; NASER, A. 2012. *Datos abiertos: Un nuevo desafío para los gobiernos de la región* [online]. Santiago de Chile: Economic Commission for Latin America and the Caribbean (ECLAC). Serie Gestión pública, 74. [Retrieved: 15 December 2014]. Available at: http://www.cepal.org/publicaciones/xml/7/46167/DatosAbiertos_17_04_2012.pdf
- CUSBA, E. 2012. Colaboración: el gobierno en doble vía con las personas. At: CONCHA, G.; NASER, A. (eds.). *El desafío hacia el gobierno abierto en la hora de la igualdad* [en línea]. Santiago de Chile: Economic Commission for Latin America and the Caribbean (ECLAC), pp. 115-131. [Retrieved: 15 December 2014]. Available at: <http://www.cepal.org/ddpe/publicaciones/xml/9/46119/w465.pdf>
- FERNÁNDEZ CUESTA, F. 2012. Al servicio de la transparencia. El papel de los archiveros y la gestión documental en el acceso a la información pública. *Métodos de información* [online], 3 (5), pp. 153-166. [Retrieved: 15 December 2014]. Available at: <http://www.metodosdeinformacion.es/mei/index.php/mei/article/view/IIIMEI3-N5-153166/768>

- FUMEGA, S.; SCROLLINI, F. 2013b. Primeros aportes para diseños de políticas de datos abiertos en América Latina. *Derecho Comparado de la Información* [online], 21, pp. 3-37. [Retrieved: 15 December 2014]. Available at: <http://biblio.juridicas.unam.mx/revista/pdf/DerechoInformacion/21/art/art1.pdf>
- HOFMANN, A.; RAMÍREZ-ALUJAS, A.; BOJÓRQUEZ PEREZNIETO, J. A. (coord.). 2013. *La promesa del Gobierno Abierto* [online]. Villahermosa, Tabasco: Instituto Tabasqueño de Transparencia y Acceso a la Información Pública; México D. F.: Instituto de Acceso a la Información Pública y Protección de Datos Personales del Distrito Federal. [Retrieved: 15 December 2014]. Available at: <http://www.lapromesadelgobiernoabierto.info/>
- IACOVINO, L. 2013. 'La participación de los usuarios y el activismo archivístico: pilares de la responsabilización, identidad y justicia reparadora en la propia autenticación del archivo digital'. *Tábula*, 16, pp. 103-121.
- MENDEL, T. 2009. *The Right to Information in Latin America. A Comparative Legal Survey* [online]. Quito: Office of UNESCO [Retrieved in Spanish: 15 December 2014]. Available at: <http://unesdoc.unesco.org/images/0018/001832/183273s.pdf>
- NASER, A.; RAMÍREZ ALUJAS, A. 2014. *Plan de gobierno abierto. Una hoja de ruta para los gobiernos de la región* [online]. Santiago de Chile: Economic Commission for Latin America and the Caribbean (ECLAC). Serie Manuales, 81. [Retrieved: 15 December 2014]. Available at: <http://www.cepal.org/publicaciones/xml/2/52632/Plandegobiernoabierto.pdf>
- RELATORÍA ESPECIAL PARA LA LIBERTAD DE EXPRESIÓN. 2007. *Special Study on the Right of Access to Information* [online]. Washington: Organization of American States (OAS). [Retrieved in Spanish: 15 December 2014]. Available at: <http://www.cidh.oas.org/relatoria/section/Estudio%20Especial%20sobre%20el%20derecho%20de%20Acceso%20a%20la%20Informacion.pdf>
- SCARENSI, M. J. 2014. *La legislación archivística y el acceso a la información en América Latina*. At: TORRES, N. (comp.). *Hacia una política integral de gestión de la información pública. Todo lo que siempre quisimos saber sobre archivos (y nunca nos animamos a preguntarle al acceso a la información)* [online]. Buenos Aires: Centro de Estudios en Libertad de Expresión y Acceso a la Información (CELE); Universidad de Palermo, pp. 109-154. [Retrieved: 15 December 2014]. Available at: http://www.palermo.edu/cele/pdf/Hacia_una_politica_integral-kk.pdf
- SHEPERD, E. 2013. *Open government, open data: where is the records manager?* [online]. At: INTERNATIONAL COUNCIL ON ARCHIVES (ICA). *Accountability, Transparency and Access to Information, Annual Conference, Brussels, 23-24 November 2013*, Paris: ICA. [Retrieved: 15 December 2014]. Available at: <http://www.ica.org/download.php?id=3122>
- THURSTON, A. C. 2012a. *Public Records: Evidence for Openness* [online]. At: *Secrecy and Disclosure: Freedom of Information and the Commonwealth, 14 June 2012, Institute of Commonwealth Studies, School of Advanced Study, University of London*. [Retrieved: 15 December 2014]. Available at: http://blogs.estadao.com.br/publicos/files/2012/08/Public-Records-as-Evidence-for-Openness-FINAL.doc_.pdf
- THURSTON, A. C. 2012b. Trustworthy Records and Open Data. *The Journal of Community Informatics* [online], 8 (2). [Retrieved: 15 December 2014]. Available at: <http://ci-journal.net/index.php/ciej/article/view/951/952>
- UBALDI, B. 2013. *Open Government Data: Towards Empirical Analysis of Open Government Data Initiatives* [online]. Paris: Organisation for Economic Co-operation and Development. OECD Working Papers on Public Governance, 22. [Retrieved: 15 December 2014]. Available at: <http://dx.doi.org/10.1787/5k46bj4f03s7-en>

G03/G. e-Government

This implementation guide forms part of the MGD as indicated in the following diagram of relationships:



1. Introduction and objectives

1.1. Brief introduction

Policy implementation guides (managerial guides) provide top management and those responsible for coordinating the management system for records with the general lines of action and commitments required in order to implement the processes and technical controls of the Records Management and Archives Administration Model of the Transparency and Access to Public Information Network (RTA).

In this case, this guide provides a methodology with technical recommendations for the correct implementation of e-Government in organisations, whilst respecting their management autonomy and the standards, legislation and regulations in force in the respective national legal systems.

1.2. Purpose

The purpose of this implementation guide is to provide managerial recommendations for the implementation of e-Government within the framework of the Records Management and Archives Administration Model of the Transparency and Access to Public Information Network (RTA).

1.3. Audience

The policy-oriented or managerial implementation guides are primarily aimed at top management and the individuals appointed by top management to coordinate the implementation of the MGD, at both the managerial and operational level. Their secondary audience consists of the specialists responsible for the implementation of the model.

The primary audience for this policy-oriented or managerial implementation guide is as specified in points A and B and the secondary audience is as specified in point C. The audience codes used are those stipulated in the ISO 30300 standard (*Information and documentation. Management systems for records. Fundamentals and vocabulary*), which is used as reference in relation to this issue in this model, as set out below:

Primary audiences

- A. Top management:** person or group of people who directs and controls an organisation at the highest level (ISO 30300:2011, 3.2.5).
- B. MGD implementation coordinators:** individuals appointed by top management to coordinate the implementation of the MGD at both the managerial and operational level. Both responsibilities may be assigned to the same person or group.

B.01.Management representative: specific representative of top management who leads and takes responsibility for the implementation of the MGD (ISO 30301:2011, 5.3.2).

B.02.Records operational representative: person appointed by top management to implement the MGD at the operational level (ISO 30301:2011, 5.3.3). Includes individuals with primary responsibility for archival institutions

Secondary audiences

C. Specialists responsible for the implementation of the MGD:

C.01.Records professionals: persons charged with establishing the policies, procedures and general standards, and for implementing records management processes and controls (ISO/TR 15489-2:2001, 2.3.2.b).

C.02.Professionals with specific duties in relation to records: professionals in the areas of risk management, auditing, information technologies and information security (ISO/TR 15489-2:2001, 2.3.2.d; ISO 30301:2011, Introduction).

1.4. Scope and content

This implementation guide presents a series of general lines of action that form a flexible set of commitments for implementing the Records Management and Archives Administration Model of the RTA with respect to e-Government. These commitments may be undertaken by the organisations or institutions according to different improvement levels

Therefore, the commitments to be satisfied, which form a general line of action, are not necessarily envisaged in a linear fashion. They can be undertaken in different stages, in an iterative, partial or gradual way, depending on the needs of the organisation, its requirements and the changes that may be taking place in the organisation's environment and within its particular field of action.

The guide includes a table including:

- The lines of action, identified by their numerical code.
- The commitments to be satisfied for completion of these lines of action. A numerical code used in the guidelines.
- The different improvement levels for satisfying the commitments listed, identified using the following colour-coding:

 Lines of action	 Initial level
 Intermediate level	 Advanced level

1.5. Related documents

Di	G03/D01/G	Interoperability
Di	G03/D02/G	Information security
Di	G03/D03/G	Management of electronic records

2. What is e-Government?

The preamble of the *Ibero-American Charter on Electronic Government*, ratified in 2007, sets out the political commitment of reducing the digital gap and turning the Knowledge and Information Society into an opportunity for all, particularly through the inclusion of those at risk of being left behind.

It goes on to state that information and knowledge are quintessential for human productivity and development; therefore efforts must be made to avoid a deepening of inequalities, facilitate inclusion and strengthen social cohesion. In respect of these concerns, the use of ICTs by public administrations was analysed and the *Ibero-American Charter* was formulated, containing a set of concepts, values and useful guidelines for the design and implementation of a tool for the improvement of public management.



'e-Government' consists of the use of ICTs in organisations in order to improve the information and services offered to citizens, guide the effectiveness and efficiency of public management and substantially increase transparency in the public sector and citizen participation.

Along these lines, the European Union defines e-Government as the use of information and communication technologies, combined with organisational change, to improve public services and democratic processes, and to consolidate support for public policies.

According to Jordi Serra (2003), e-Government will focus on the citizen as a customer and be configured as a service provider. This idea of e-Government is based on a series of technological and functional pillars. With respect to the latter, their primary courses of action will be:

- Single point of multi-channel access, offering the citizen a single interlocutor.
- Integration of services in packages according to the needs of the citizen.

- Exclusively digital processing of inputs to the system, with the digital aspect being an integration factor.
- Higher level of security compared to face-to-face interaction, generating trust.
- Citizen access to information about his or her transactions.

3. Purposes and objectives of e-Government

The development and implementation of e-Government recognises citizens' right to interact electronically with administrations, which requires these administrations to be interrelated in order to simplify procedures within a framework of trust. This first premise already marks the lines of action of this implementation guide, which will consider the aspects of interoperability and information security first.

The benefits to citizens will be:

- Greater knowledge of the work of administrations.
- Greater transparency and control, generating trust among citizens.
- Removal of space and time barriers which could discourage citizen participation.
- Promotion of inclusion and equal opportunities, regardless of territorial or social circumstances.
- Active participation, with the option to offer opinions and suggestions, monitor decision-making, as well as services and how they are delivered.

The possibilities of a relationship between citizens and administrations also include:

- Sending of all types of documents.
- Making payments.
- Receiving notifications.
- Accessing administrative information.
- Presenting appeals.

Faced with these possibilities for contact with citizens, government agencies must adopt response and control tools in order to ensure the effective exercise of the right of citizens:

- Establishing information that is accessible to the public.
- Regulating registers to which citizens can address their communications.
- Secure identification of citizens.
- Limiting the regime of the records.

This is the starting point for the second set of lines of action included in this guide, which will revolve around aspects related to the management of electronic records: capture, electronic signature, metadata and digitisation.

The services derived from e-Government can be seen as one-way services, such as merely providing information, or interactive services, involving the participation of multiple actors. However, regardless of its nature, e-Government must be organised by certain governing principles, including the following:

- **Transparency.** The complexity of the procedures will be hidden in the organisation's interaction with citizens.
- **Access.** The organisation will minimise the efforts required of citizens for the delivery of the requested information.
- **Trust.** The organisation will attend to aspects such as the protection of confidentiality, privacy, integrity and non-repudiation of information.
- **Stability.** The organisation will maintain its services available, regardless of technical complexity.
- **Preservation.** The records held by the e-Government services will not be affected by the obsolescence of media or equipment.

4. Lines of Action

4.1. Line of action 1: technical interoperability

The first action to be taken within the framework of e-Government is the inclusion of a process of developing good practices in relation to technical interoperability. Technical interoperability refers to the technical aspects required by the various information systems in order to ensure there is adequate interconnection, service provision and information exchange between them.

The development and ubiquity of the Internet enables a sufficient degree of technical interoperability, based on open standards and specifications. These standards (transport, presentation, browsers) provide an optimal technical base for the development of interoperable services and enable organisations to freely organise their systems in the way that best satisfies their needs.

Commitments

1. Use open software and open sources to allow free execution of said software, access to its source code, modification and improvement, including free distribution of copies.
2. Use open standards that facilitate interoperability between administrations and ensure technological adequacy for users.
3. Align administrations' information systems with the Internet.
4. Opt for adaptable, flexible and scalable solutions.
5. Improve technical issues associated with the conditions for connectivity and communication between devices.

6. Generalise access to the Internet in order to promote the services and bring them closer to citizens.
7. Harmonise the various information domains.
8. Consider the classification and organisation to be an essential basis for interoperability.

4.2. Line of action 2: semantic interoperability

This second dimension of interoperability includes aspects on basic issues associated with the use, classification and automated interpretation of information, as well as the subsequent exploitation of said information by expert systems.

Semantic interoperability therefore refers to the automatic interpretation and re-use of information by applications that are not involved in the creation of the information exchanged.

Commitments

1. Address the problems associated with semantic interoperability from a technical standpoint.
2. Address the problems associated with semantic interoperability in terms of language.

4.3. Line of action 3: organisational interoperability

The third dimension of interoperability (organisational) focusses on collaboration between organisations, interaction between their respective services and the convergence of procedures and processes.

This dimension deals with the capacity of organisations and processes to jointly pursue agreed goals in relation to the services provided (See *G01/D01/G Strategic plans*).

It therefore observes the modelling of processes and collaboration between organisations. This collaboration requires the identification of the key input and output points of the processes that allow interoperability. In this way, internal processes will remain unchanged.

Commitments

1. Disseminate the structure of the organisations.
2. Promote leadership as a basic necessity within organisations.
3. Aim to follow the same process design methodology shared by various organisations and seek standardisation of the same.

4.4. Line of action 4: information security

Information is an essential asset for business continuity in any organisation and, therefore, must be adequately protected. This protection becomes more necessary in a context of growing connectivity between organisations, which increases their exposure to threats and vulnerabilities.

Information security is achieved through the implementation of a series of controls: policies, processes, procedures, organisational structures, and software and hardware functions. These controls must also be reviewed and improved in order to ensure objectives are met. The security must ensure protect the fundamental characteristics of the information, such as confidentiality, integrity, availability, authenticity, preservation and traceability of information.

Commitments

1. Adopt an information security policy.
2. Observe proper management of the organisational aspects of information security, including both internal and external participation.
3. Ensure that organisation's personnel are aware of and accept the responsibilities associated with information security.
4. Guarantee the physical and environmental protection of the physical assets through access control.
5. Comply with the regulatory framework and all security requirements implicit therein.
6. Manage assets as a means of providing accountability by using a form of protection that includes the identification of owners, and as a way of ensuring classification according to a suitable level of protection.
7. Guarantee secure and controlled utilisation of the infrastructure, with appropriate supervision and logging of incidents.
8. Consider access control to information systems as one of the crucial areas of information security.
9. Guarantee the integrity of information security in systems.
10. Guarantee that incident logs and weaknesses in the security of information and its systems are reported appropriately as a means of ensuring that they are duly corrected.
11. Implement a business continuity plan to respond to disruption of activities and protect critical processes, guaranteeing prompt resumption of operations.

4.5. Line of action 5: management of electronic records

The management of electronic records covers both records generated electronically and those that originally existed in physical form but have subsequently undergone a digitisation process.

The organisation must manage the electronic record as a structured unit encompassing data (content and identification) and metadata. Its treatment as a whole unit throughout its entire life cycle prevent will prevent conflicts with any of its fundamental characteristics, such as authenticity, reliability, integrity and availability.

Organisations that properly handle these characteristics will guarantee that the content, structure and context of its records will be as required in order to provide a complete view of its activities, reflecting past operations and its decisions, actions and competencies.

Commitments

1. Preserve the integrity, reliability and authenticity of records during the capture phase.
2. Respect certain guidelines or criteria for proper development of a digitisation process.
3. Consider an electronic signature to be an element of the electronic record which not only serves as an identifying feature, but also provides integrity and evidence of non-repudiation.
4. Design a management system that can accommodate the metadata associated with the electronic records.
5. Establish a metadata schema as an instrument that helps to guarantee the long-term preservation of records and makes it possible to establish an interoperability framework.
6. Implement the metadata needed for management purposes.

5. Table of actions

This table sets out:

- The lines of action, identified by their numerical code.
- The commitments to be satisfied for completion of these lines of action, with a numerical code that will also appear in the table of commitments included in the guidelines.
- The different improvement levels for satisfying the commitments.

Legend:

- Lines of action
 Initial level
 Intermediate level
 Advanced level

Lines of action	Commitments	Level
1	Technical interoperability	
1.1	Use open software and open sources to allow free execution of said software, access to its source code, modification and improvement, including free distribution of copies.	
1.2	Use open standards that facilitate interoperability between administrations and ensure technological adequacy for users.	
1.3	Align administrations' information systems with the Internet.	
1.4	Opt for adaptable, flexible and scalable solutions.	
1.5	Improve technical issues associated with the conditions for connectivity and communication between devices.	
1.6	Generalise access to the Internet in order to promote the services and bring them closer to citizens.	
1.7	Harmonise the various information domains.	
1.8	Consider the classification and organisation to be an essential basis for interoperability.	
2	Semantic interoperability	
2.1	Address the problems associated with semantic interoperability from a technical standpoint.	
2.2	Address the problems associated with semantic interoperability in terms of language.	
3	Organisational interoperability	
3.1	Disseminate the structure of the organisations.	
3.2	Promote leadership as a basic necessity within organisations.	
3.3	Aim to follow the same process design methodology shared by various organisations and seek standardisation of the same.	
4	Information security	
4.1	Adopt an information security policy.	
4.2	Observe proper management of the organisational aspects of information security, including both internal and external participation.	
4.3	Ensure that organisation's personnel are aware of and accept the responsibilities associated with information security.	
4.4	Guarantee the physical and environmental protection of the physical assets through access control.	
4.5	Comply with the regulatory framework and all security requirements implicit therein.	

Lines of action		Commitments	Level
	4.6	Manage assets as a means of providing accountability by using a form of protection that includes the identification of owners, and as a way of ensuring classification according to a suitable level of protection.	
	4.7	Guarantee secure and controlled utilisation of the infrastructure, with appropriate supervision and logging of incidents.	
	4.8	Consider access control to information systems as one of the crucial areas of information security.	
	4.9	Guarantee the integrity of information security in systems.	
	4.10	Guarantee that incident logs and weaknesses in the security of information and its systems are reported appropriately as a means of ensuring that they are duly corrected.	
	4.11	Implement a business continuity plan to respond to disruption of activities and protect critical processes, guaranteeing prompt resumption of operations.	
5 Management of electronic records			
	5.1	Preserve the integrity, reliability and authenticity of records during the capture phase.	
	5.2	Respect certain guidelines or criteria for proper development of a digitisation process.	
	5.3	Consider an electronic signature to be an element of the electronic record which not only serves as an identifying feature, but also provides integrity and evidence of non-repudiation.	
	5.4	Design a management system that can accommodate the metadata associated with the electronic records.	
	5.5	Establish a metadata schema as an instrument that helps to guarantee the long-term preservation of records and makes it possible to establish an interoperability framework.	
	5.6	Implement the metadata needed for management purposes.	

6. References and Bibliography

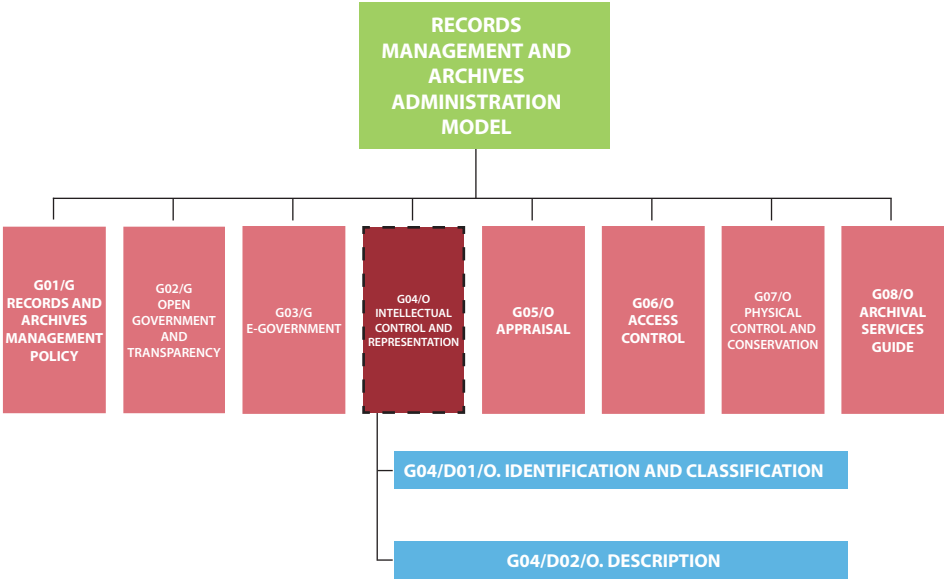
- AUSTRALIA. 2006. *Australian Government Information Interoperability Framework* [online]. Canberra: Department of Finance and Administration. [Retrieved: 15 December 2014]. Available at: http://www.finance.gov.au/files/2012/04/Information_Interoperability_Framework.pdf
- BLASCO, J. L.; FABRA VALLS, M. J. 2008. *El documento electrónico: aspectos jurídicos, tecnológicos y archivísticos*. Castellón de la Plana: Universitat Jaume I.
- EUROPEAN COMMISSION. *ISA. Interoperability Solutions for European Administrations* [website]. Brussels: European Commission. [Retrieved: 15 December 2014]. Available at: <http://ec.europa.eu/isa/>
- EUROPEAN COMMISSION. *Joinup. Share and re-use interoperability solutions for public administrations* [website]. Brussels: European Commission. [Retrieved: 15 December 2014]. Available at: <https://joinup.ec.europa.eu/>

- EUROPEAN COMMISSION. 2010. *Document Management in the European Commission. Collected Decisions and Implementing Rules* [online]. Luxembourg: Publications Office of the European Commission [Retrieved: 15 December 2014]. Available at: http://ec.europa.eu/archival-policy/docs/edomec/recueil_dec_mda_en.pdf
- INTERNATIONAL COUNCIL ON ARCHIVES (ICA). 2005. *Electronic Records: A Workbook for Archivists*. Spanish translation, *Manual para Archiveros*, by the Subdirección General de los Archivos Estatales de España. Madrid: Ministerio de Cultura. [Retrieved: 15 December 2014]. Available at: <http://www.ica.org/download.php?id=2335> InterPARES Project [website]. Vancouver: University of British Columbia. [Retrieved: 15 December 2014]. Available at: <http://www.interpares.org>
- MORRISON, A.; POPHAM, M.; WIKANDER, K. 2008. Creating and Documenting Electronic Texts: A Guide to Good Practice. *AHDS Guides to Good Practice* [online]. [Retrieved: 15 December 2014]. Available at: <http://ota.oucs.ox.ac.uk/documents/creating/cdet/index.html>
- SERRA SERRA, J. 2003. 'L'administració electrònica i la gestió de documents'. *BiD: textos universitaris de biblioteconomia i documentació* [online], 11. [Retrieved: 15 December 2014]. Available at: <http://bid.ub.edu/11serra.htm>
- SPAIN. MINISTERIO DE ADMINISTRACIONES PÚBLICAS. 2008. *La construcción de los servicios paneuropeos de Administración electrónica: Estado de situación de la integración en los servicios paneuropeos de administración electrónica y actuación de la Administración* [online]. Madrid: Ministerio de Administraciones Públicas. [Retrieved: 15 December 2014]. Available at: http://www.seap.minhap.gob.es/dms/es/publicaciones/centro_de_publicaciones_de_la_sgt/Monografias/parrafo/011111/text_es_files/Cons-Servicios-pan-europeos-prog-IDABC-4ed-2008.pdf
- SPAIN. MINISTERIO DE LA PRESIDENCIA. 2010. *Los servicios públicos europeos de Administración electrónica: Programa ISA y estado de situación de la integración de la Administración* [online]. Madrid: Ministerio de la Presidencia. [Retrieved: 15 December 2014]. Available at: http://www.seap.minhap.gob.es/dms/es/publicaciones/centro_de_publicaciones_de_la_sgt/Otras_Publicaciones/parrafo/01111113/text_es_files/Serv-publ-europ-admon-elec.pdf
- UNITED KINGDOM. [2014]. *Government Service Design Manual* [website]. London: Cabinet Office. [Retrieved: 15 December 2014]. Available at: <https://www.gov.uk/service-manual>

Operational Implementation Guide

G04/O. Intellectual control and representation

This implementation guide forms part of the MGD as indicated in the following diagram of relationships:



1. Introduction and objectives

1.1. Brief introduction

Operational implementation guides provide technical coordinators responsible for the management system for records with the general lines of action and the commitments required in order to implement the processes and technical controls of the Records Management and Archives Administration Model of the Transparency and Access to Public Information Network (RTA).

In this case, the guide provides a methodology for implementing intellectual controls and the representation in archives through a series of technical recommendations for the identification, classification and description of records produced by an organisation.

1.2. Purpose

The purpose of this implementation guide is to provide technical recommendations for effectively managing the intellectual control of records held in archives and to offer adequate representations of same, which can be used to develop the effective management of the information contained in their archival holdings.

1.3. Audience

The process-oriented or operational implementation guides are primarily aimed at the individuals appointed by top management to coordinate the implementation of the MGD, at both the managerial and operational level and the specialists charged with the implementation of the model. Their secondary audience consists of the internal users within the organisation.

The primary audience for this operational implementation guide is as specified in points B and C and the secondary audience is as specified in point D. The audience codes used are those stipulated in the ISO 30300 standard (*Information and documentation. Management systems for records. Fundamentals and vocabulary*), which is used as reference in relation to this issue in this model, as set out below:

Primary audiences

B. MSR implementation coordinators: individuals appointed by top management to coordinate the implementation of the MSR at both the managerial and operational level. Both responsibilities may be assigned to the same person or group, but there are also cases in which two types of coordinators exist:

- B.2. Management representative:** specific representative of top management who leads and takes responsibility for implementation of the MSR (ISO 30301:2011, 5.3.2).
- B.3. Records operational representative:** person appointed by top management to implement the MSR at the operational level (ISO 30301:2011, 5.3.3). This category includes individuals with primary responsibility for archival institutions.
- C. Development and execution of the MSR:** persons who, under the coordination of other parties responsible for implementing the MSR, carry out the development and implementation of all the operational activities of an MSR. Two types of responsible parties can be distinguished in this area:
 - C.2. Records professionals:** persons charged with establishing the policies, procedures and general standards, and for implementing records management processes and controls within an organisation (ISO/TR 15489-2:2001, 2.3.2.b).
 - C.3. Professionals with specific duties in relation to records:** professionals in the areas of risk management, auditing, information technologies and information security (ISO/TR 15489-2:2001, 2.3.2.d; ISO 30301:2011, Introduction).

Secondary audiences

The secondary audience for this operational implementation guide are the those within the organisation who, while not having direct responsibility in application of this guide, benefit from its execution:

- D. Participation in the MSR:** People who belong to the organisation and who, despite having a series of other duties or primary responsibilities in same, participate in the proper operation of the MSR as secondary responsible parties. They are known as internal users and can be divided into two categories:
 - D.1. Heads of management units:** individuals responsible for guaranteeing that the people they supervise create and maintain records as an integral part of their work and in accordance with to established policies and procedures (ISO/TR 15,489-2:2001, 2.3.2.c).
 - D.2. All other personnel:** staff who create, receive and maintain records as part of their daily work, in accordance with established policies, procedures and standards (ISO/TR 15,489-2:2001, 2.3.2.e).

1.4. Scope and content

This implementation guide presents a series of general lines of action that form a flexible set of commitments for implementing the Records Management and Archives Administration Model of the RTA with respect to the intellectual control of records and their archival representation. These commitments may be undertaken by the organisations or institutions according to different improvement levels.



Therefore, the commitments to be satisfied, which form a general line of action, are not necessarily envisaged in a linear fashion. They can be undertaken in different stages, in an iterative, partial or gradual way, depending on the needs of the organisation, its requirements and the changes that may be taking place in the organisation's environment and within its particular field of action.

The guide includes a table including:

- The lines of action, identified by their numerical code.
- The commitments to be satisfied for completion of these lines of action. A numerical code used in the guidelines.
- The different improvement levels for satisfying the commitments listed, identified using the following colour-coding:

	Lines of action		Initial level
	Intermediate level		Advanced level

1.5. Related documents

	G04/D01/O	Identification and classification
	G04/D02/O	Description

2. Definition of 'intellectual control' and 'representation'

For the purposes of this implementation guide, we understand the term 'intellectual control' to mean the set of operational records management processes designed to meet the intellectual requirements of an organisation's users in relation to records management, the added value of which becomes a fundamental asset for the management of all other record-keeping or management processes in the organisation.

Intellectual control processes are integral to records management and those with primary responsibility will be the individuals responsible for coordinating the organisation's Management System for Records (MSR).

Similarly, for the purposes of this guide the term 'representation' will be understood to mean the information resulting from projecting the theoretical concepts on the reality of an organisation, which is achieved by applying the outcomes obtained in the intellectual control processes to the actual information held by the organisation for its routine management.

3. Benefits associated with intellectual control in archives

The documentation held in archives constitutes a valuable element for the organisation as a whole, as it is one of its most important assets. The adoption of systematic criteria to enable the provision of an intellectual control over the documentation produced or received by an organisation and allow for the representation of the information it contains, is essential for the proper execution of the organisation's other activities. Good intellectual control of records, along with adequate representation of information, is fundamental for carrying out activities within the organisation and, particularly, for adequate decision-making while guaranteeing accountability based on reliable and easily retrievable information.



Good intellectual control and adequate representation of information serve as a basic support to the set of activities carried out by the organisation.

Ensuring intellectual control and adequate representation of information provides the following benefits:

- Facilitates execution of the organisation's other activities, allowing them to be developed for effectively and responsibly.
- Enables delivery of services in the most coherent and equitable manner.
- Policy-making and decision-making at management level is supported a solid information system.
- Provides coherence, continuity and productivity to the daily management of the organisation and its administrative management.
- Facilitates the execution of activities within the organisation.
- Guarantees the continuity of processes in the event of vacancies, emergencies or disasters.
- Complies with the legislative and regulatory framework for audits and supervision.
- Serves as legal support in the event of litigation, as well as having probative value of the existence or absence of informational evidence within the organisation.
- Generally provides evidence of personal, administrative, cultural or organisational activities.
- Facilitates the creation and establishment of an organisational, personal and cultural identity by maintaining the memory of the organisation and of the people that form part of it.

4. Lines of Action

4.1. Line of action 1: identify the organisation and its records

Archival identification is a set of preliminary activities that serve to analyse the actions carried out within an organisation and ascertain the full extent of the records it manages. The identification of the organisational and functional structure of any entity reflects the how the records managed within that entity are organised.

It is recognised good practice for organisations to undertake preliminary and exhaustive research to gain a comprehensive understanding of its objectives and strategies, legal regime, structure, risk factors, and all the activities it carries out, as well as the documentation produced in relation to its activities.



Exhaustive identification within an organisation makes it possible to ascertain the practices that have been applied to records, their management context and how these records reflect the activities and objectives of the organisation throughout its existence.

This preliminary research, also known in archival terms as Identification, provides an understanding of the institution creating and receiving records, its competencies and all the changes it has undergone over time. This in turn enables the design of a customised Management System for Records that addresses the specific needs of said institution.

Exhaustive investigation will enable the organisation's managers to analyse how its structure has evolved from its earliest beginnings to the present time, whilst taking into consideration the existing flows of information and records around the organisation.

This line of action must be implemented prior to most other records management operations or processes, since the majority of records management actions will largely depend on the outcomes of the identification.

The basic point of identification is the analysis of the reality evidenced in an organisation by applying what is known as the 'principle of provenance'. This principle establishes that one organisation's records should not be mixed with those of another, but should naturally maintain its structure and competencies, reflecting the organisation itself. The principle of provenance of records is considered one of the main axioms of contemporary records management and is the fundamental basis for properly identifying any organisation.

Proper archival identification of an organisation will make it possible to establish the following elements:

- Classification proposals designed to reflect any documentation structure which may have been identified and must be approved by the management of the organisation.
- Design of records management process that are adequate for the reality of the organisation.
- Possibilities for improvement of data or information flows according to with the reality identified.
- A reliable and effective system for decision-making in the field of records management, as well as in other management areas of the organisation.



To ensure that identification is as effective as possible and can be taken into consideration by those responsible for records management and for the organisation in general, there should be a reliable base of documentation to support the research undertaken, which will depend on the depth of this identification.

Conducting a complete and exhaustive identification of the organisation serves to address the basic needs of the archive or of those responsible for records management within the organisation. However, it also provides material that is particularly relevant for addressing the requirements posed by the other managers of the wider organisation in their various respective operational areas, beyond that of records management. It can even serve as a basic resource for decision-making by the organisation's management if the documentation generated by the identification is sufficiently exhaustive.

Commitments

1. Analyse the legal system that applies, or has applied in the past, to the organisation in order to ascertain its structure and basic functions, both at present and over time.
2. Determine the actual situation of the organisation, extrapolating the application of the theoretical legal system to the daily reality of the organisation.
3. Analyse the hierarchical structure of the organisation and its evolution over time since its founding.
4. Analyse the objectives, functions and actions of the organisation at present and over time.
5. Analyse the types of records received and/or created at present and over time, as well as the type of information they contain.
6. Document all the identification and analysis tasks conducted, including references and explanations motivated by the research.
7. Analyse the organisation's business practices, comparing them to the operations carried out, the units responsible and the types of records that were identified.
8. Analyse the records flows within the processes between the various units of the organisation or towards the outside.
9. Analyse which information is essential and key for determining whether objectives and basic functions are fulfilled, and to determine which records reflect this type of information.

10. Analyse which information is necessary in order to fulfil the objectives of each business process developed by the organisation and determine which records contain this information.
11. Conduct an inventory of the record types that are considered vital or essential for the proper management of the organisation, based on an analysis of the information deemed essential for fulfilling the objectives set.
12. Document the presence of vital records, along with inter-unit flow charts, in the organisation's business processes.
13. Analyse weaknesses or possible critical factors in the organisation which should be taken in to consideration when taking specific records management measures to avoid incidents.
14. Draft risk management reports that present the weaknesses detected within the organisation, along with a series of proposals for minimising possible incidents.
15. Propose improvements to record creation processes in the organisation based on inventories of vital records and essential information.

4.2. Line of action 2: classification of documentation

Once the organisation itself and the records it creates or receives have been identified, and in order to continue managing records in the most effective manner possible, all the records and record series identified must be logically and intellectually organised from the moment they integrated within the organisation.

It is therefore good practice for organisations to apply a classification system to the entire set of documentation managed to allow all records to be reflected, according to the organisation's activities.



To ensure that the classification is as suitable as possible, it is necessary to have first clearly and accurately identified the organisation that manages the records, exhaustively analysing the legal system applicable to it and singling out the features and characteristics that differentiate it from all other organisations.

Classification of documentation is a fundamental operational process for designing a set of records management actions or strategies within an organisation. This is because the outcome provides an essential added value to enable the planning and definition of numerous subsequent actions, such as the establishment of records preservation periods, the methodology for accessing information, and the option to retrieve information and records from within a set of records.

Due to the arrival of changes related to technological development, as well as integrated management policies in organisations, the process of classifying documentation has become one of the fundamental pillars of organisations. It has shifted from being a process traditionally handled in archival units upon receipt of

transferred documentation, to being an operational process conducted even before the records themselves are created. This is due to the fact that, in reality, it is not the records themselves that are being classified, but rather the processes by which they are created, which therefore enables the development of improvement actions or specific management actions based on the classification.



Due to the implementation of new management models in organisations and technological developments, the subject of classification has shifted from the documentation itself (which was traditional in archival unit) to the business processes through which the documentation is created.

In order to properly execute the records classification process in an organisation, a series of tasks or basic actions to be completed have been identified. These tasks are those that are necessary in order to fulfil the objectives and purpose of the classification process, that is, to provide a records classification system to be used across the entire organisation: The tasks identified are as follows:

- Systematise the activities identified within the organisation, interrelating them following a functional structure aligned with the business processes.
- Code the categories used in the systematisation process using numeric or alphanumeric codes to afford accuracy and enable the easy integration of the categories into the rest of the organisation's activities.
- Depict this coded and systematised structure of activities in a classification table that reflects the categories identified and groups together record series.
- Use and disseminate the classification table throughout the organisation, together with a controlled language to facilitate its application in the various units of the organisation.



The functional classification is based on the hierarchical systematisation of the organisation's activities following a functional structure equivalent to that used in the definition of process maps, in which the record series is the lowest category of the classification.

Having a classification system that is comprehensive and known throughout the organisation offers the following advantages:

- Facilitates identification of the organisation's various units with the process-based management philosophy, since all the units share the same coding system created based on the map of business processes.
- Guarantees proper records management within the archive and the organisation in general, allowing access or security levels to be assigned to sets of records classified by record series, distributing responsibility for the record groups, facilitating measures aimed at preservation and appraisal, etc.

- Simplifies decision-making in other areas of the organisation in which the classification serves as a fundamental resource, as may be the case for units responsible for processes or units in charge of designing and implementing e-Government systems within the organisation.

Commitments

1. Design the classification table in collaboration with the units responsible for creating or managing records.
2. Code the classification table so that the entire set of activities undertaken in all units of the organisation can be included.
3. Apply a system of functional hierarchy to activities during the design of the classification table, ranging from the most general functions at the highest level to the most specific operations or actions at the lowest level.
4. Seek approval of the structure of the classification table from the organisation's top management so that it can be taken into consideration in other areas.
5. Disseminate and explain the classification table in all the units of the organisation that will be managing the records or processes reflected in it.
6. Supplement the classification table with other support tools that facilitate its application throughout the entire organisation (controlled vocabularies, indexing systems for terms, etc.).
7. Regularly revise the classification tables to include any modifications proposed in the organisation's activities.

4.3. Line of action 3: archival description

Archival description is directly linked to the aforementioned identification and classification processes, since information can only be described if it is properly organised. Similarly, the fact that an archive is well organised does not in itself guarantee that the information it contains can be accessed and consulted. This requires the content to be described.

Therefore, description is an essential and necessary condition for undertaking other processes, such as those associated with record appraisal, dissemination, and archive consultation and reference services. Archival holdings cannot be appraised, preserved or appropriately disseminated if their content, institutional provenance, and the activities that resulted in their creation and use are unknown.

The bases for archival description are common, regardless of the medium in which the records are stored or the stage in their life cycle.

Description constitutes an essential function in the processing of archival information. It facilitates access to archives and to information on records through the use of finding aids, as well as facilitating understanding of the context and content of records, their

provenance, the activities they reflect, the matters they address, their characteristics and volume.



The main purpose of description and archival organisation is to preserve the original context in which archival records were created by safeguarding their authenticity and evidential value.

Finding aids must reflect the context and content of records, their links and hierarchies, the creating entities and the activities that resulted in their creation. If they do not, it would be impossible to use them to explain the context and content of the records and their groupings, or to respond adequately to requests for access.

Archive managers have a fundamental obligation: to foster transparency and combat opacity. This is achieved by orienting and contextualising and leaving interpretation to the citizen/researcher/user.



Through the use of finding aids, archives provide reference and consultation services to a very broad range of users, from researchers and experts to the Public Administration itself, as well as to citizens who occasionally exercise their rights of access to the information and request diverse information from public bodies.

A single archival policy must be adopted for the entire collection; not all records are described in the same way, nor do they all require the same level of depth, nor do all publics require the same level of description.

Before starting to describe, we must be clear about how we want to do it with the resources we have available. To do this, we must create a Description Plan, starting with a diagnostic study of the situation so that we can then design the archival description policy for the organisation or institutional archival system.

Establishing an archival Description Plan is of great importance as a strategic element within the institution, since the use of such a plan is essential for the design, development, implementation and formalisation of the description and its finding aids.



Archival description should be framed as part of all other processes in order to promote the technical development of records management throughout the life cycle of the records. It should also be linked to identification, classification, appraisal, preservation and archival dissemination actions as a part of the comprehensive records management process.

Commitments

1. Represent archive records in an understandable manner, providing information on the context in which they were created, their organisation, and their content.

2. Facilitate access to records through description.
3. Allow the verification of the authenticity of the provenance of archival records.
4. Conduct a diagnostic study of the situation in terms of archival description.
5. Propose actions for the design of a description policy for the organisation or archival system.
6. Establish an archival Description Plan in the organisation or institutional archival system.
7. Adopt a defined archival policy for the entire organisation or archival system.

5. Table of actions

This table sets out:

- The lines of action, identified by their numeric code.
- The commitments to be satisfied for completion of these lines of action, with a numerical code that will also appear in the table of commitments included in the guidelines.
- The different improvement levels for satisfying the commitments.

Legend:

- Lines of action
 Initial level
 Intermediate level
 Advanced level

Lines of action	Commitments	Level
1	Identify the organisation and its records	
	1.1 Analyse the legal system that applies, or has applied in the past, to the organisation in order to ascertain its structure and basic functions, both at present and over time.	
	1.2 Determine the actual situation of the organisation, extrapolating the application of the theoretical legal system to the daily reality of the organisation.	
	1.3 Analyse the hierarchical structure of the organisation and its evolution over time since its founding.	
	1.4 Analyse the objectives, functions and actions of the organisation at present and over time.	
	1.5 Analyse the types of records received and/or created at present, but also over time, as well as the type of information they contain.	
	1.6 Document all the identification and analysis work performed, including references and explanations motivated by the research.	
	1.7 Analyse the organisation's business practices, comparing them to the operations carried out, the units responsible for them and the types of records that were identified.	
	1.8 Analyse the records flows within the processes between the various units of the organisation or towards the outside.	
	1.9 Analyse which information is essential and key for determining whether objectives and basic functions are fulfilled, and to determine which records reflect this type of information.	
	1.10 Analyse which information is necessary in order to fulfil the objectives of each business process developed by the organisation and determine which records contain this information.	
	1.11 Conduct an inventory of the record types that are considered vital or essential for the proper management of the organisation, based on an analysis of the information deemed essential for fulfilling the objectives set.	
	1.12 Document the presence of vital records, along with inter-unit flow charts, in the organisation's business processes.	
	1.13 Analyse weaknesses or possible critical factors in the organisation which should be taken in to consideration when taking specific records management measures to avoid incidents.	
	1.14 Draft risk management reports that present the weaknesses detected within the organisation, along with a series of proposals for minimising possible incidents.	

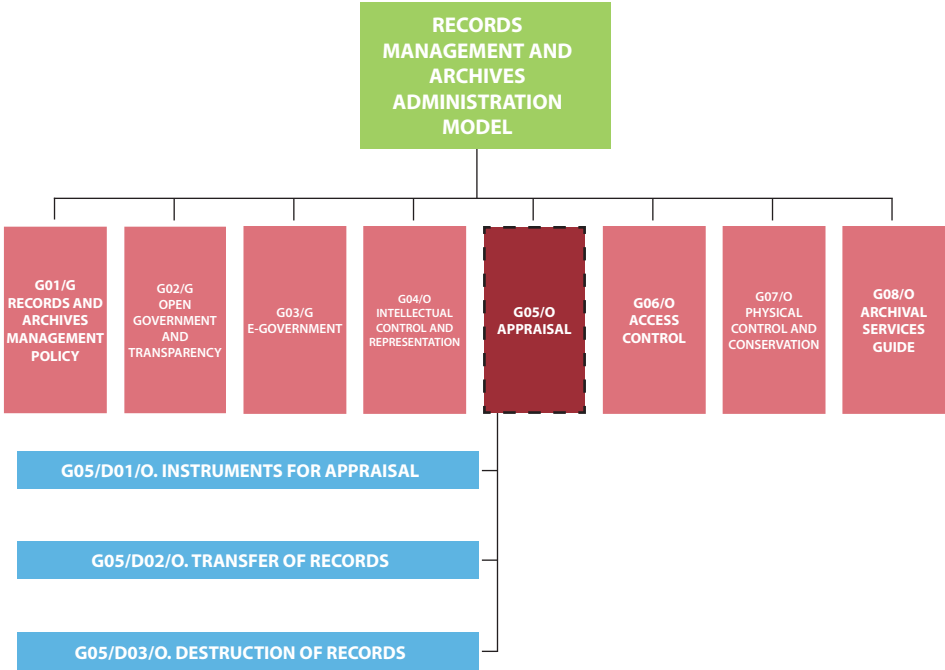
	1.15	Propose improvements to record creation processes in the organisation based on inventories of vital records and essential information.	
2	Classification of documentation		
	2.1	Design the classification table in collaboration with the units responsible for creating or managing records.	
	2.2	Code the classification table so that the entire set of activities undertaken in all units of the organisation can be included.	
	2.3	Apply a system of functional hierarchy to activities during the design of the classification table, ranging from the most general functions at the highest level to the most specific operations or actions at the lowest level.	
	2.4	Seek approval of the structure of the classification table from the organisation's top management so that it can be taken into consideration in other areas.	
	2.5	Disseminate and explain the classification table in all the units of the organisation that will be managing the records or processes reflected in it.	
	2.6	Supplement the classification table with other support tools that facilitate its application throughout the entire organisation (controlled vocabularies, indexing systems for terms, etc.).	
	2.7	Regularly revise the classification tables to include any modifications proposed in the organisation's activities.	
3	Archival description		
	3.1	Represent archive records in an understandable manner, providing information on the context in which they were created, their organisation, and their content.	
	3.2	Facilitate access to records through description.	
	3.3	Allow the verification of the authenticity of the provenance of archival records.	
	3.4	Conduct a diagnostic study of the situation in terms of archival description.	
	3.5	Propose actions for the design of a description policy for the organisation or archival system.	
	3.6	Establish an archival Description Plan in the organisation or institutional archival system.	
	3.7	Adopt a defined archival policy for the entire organisation or archival system.	

6. Bibliography

- BARBADILLO ALONSO, J. 2011. *Las normas de descripción archivística. Qué son y cómo se aplican*. Gijón: Trea
- BONAL ZAZO, J. L.; GENERELO LANASPA, J. J.; TRAVESÍ DE DIEGO, C. 2006. *Manual de Descripción Multinivel. Propuesta de adaptación de las normas internacionales de descripción archivística* [online]. 2nd ed. Valladolid: Junta de Castilla y León. [Retrieved: 15 December 2014]. Available at: http://www.aefp.org.es/NS/Documentos/NormasDescriptivas/MDM2_2006.pdf
- BONAL ZAZO, J. L. 2001. *La descripción archivística normalizada. Origen, fundamentos, principios y técnicas*. Gijón: Trea
- CONDE VILLAVARDE, M. L. 1992. *La identificación y valoración de fondos documentales de la Administración estatal: Problemas y metodología*. Madrid: Ministerio de Cultura
- CRUZ MUNDET, J. R. 2006. *La gestión de documentos en las organizaciones*. Madrid: Ediciones Pirámide.
- HEREDIA HERRERA, A. 2011. *Lenguaje y vocabulario archivísticos. Algo más que un diccionario*. Seville: Junta of Andalusia
- HERNÁNDEZ OLIVERA, L. (ed.). 2008. 'Ahogados en un mar de siglas. Estándares para la gestión, descripción y acceso a los recursos archivísticos'. *Tábula*, 11. [Actas del V Congreso de Archivos de Castilla y León, León, 1-3 de octubre de 2008]
- LATORRE MERINO, J. L.; MARTÍN-PALOMINO Y BENITO, M. 2000. *Metodología para la identificación y valoración de documentales*. Madrid: Ministry of Education, Culture and Sport
- MARTÍN-POZUELO CAMPILLOS, M. P. 1996. *La construcción teórica en Archivística. El Principio de Procedencia*. Madrid: Universidad Carlos III de Madrid

G05/O. Appraisal

This implementation guide forms part of the MGD as indicated in the following diagram of relationships:



1. Introduction and objectives

1.1. Brief introduction

Process and control implementation guides (operational guides) provide technical coordinators responsible for the management system for records with the general lines of action and commitments required in order to implement the processes and technical controls of the Records Management and Archives Administration Model of the Transparency and Access to Public Information Network (RTA).

This guide provides an implementation methodology with technical recommendations for the appraisal of records and defines the outcomes to be achieved, always with due regard for the rules, legislation and regulations in force in the respective national legal systems.

1.2. Purpose

The purpose of this implementation guide is to provide technical recommendations for the regulated appraisal of records within the framework of the Records Management and Archives Administration Model of the Transparency and Access to Public Information Network (RTA).

1.3. Audience

The process-oriented or operational implementation guides are primarily aimed at the individuals appointed by top management to coordinate the implementation of the MGD, at both the managerial and operational level and the specialists charged with the implementation of the model. Their secondary audience consists of the internal users within the organisation.

The primary audience for this operational implementation guide is as specified in points B and C and the secondary audience is as specified in point D. The audience codes used are those stipulated in the ISO 30300 standard (*Information and documentation. Management systems for records. Fundamentals and vocabulary*), which is used as reference in relation to this issue in this model, as set out below:

Primary audiences

B. MGD implementation coordinators: individuals appointed by top management to coordinate the implementation of the MGD at both the managerial and operational level. Both responsibilities may be assigned to the same person or group.

B.01.Management representative: specific representative of top management who leads and takes responsibility for the implementation of the MGD (ISO 30301:2011, 5.3.2).

B.02.Records operational representative: person appointed by top management to implement the MGD at the operational level (ISO 30301:2011, 5.3.3). Includes individuals with primary responsibility for archival institutions

C. Specialists responsible for the implementation of the MGD:

C.01. Records professionals: persons charged with establishing the policies, procedures and general standards, and for implementing records management processes and controls (ISO/TR 15489-2:2001, 2.3.2.b).

C.02. Professionals with specific duties in relation to records: professionals in the areas of risk management, auditing, information technologies and information security (ISO/TR 15489-2:2001, 2.3.2.d; ISO 30301:2011, Introduction).

Secondary audiences

D. Internal users

D.01 Heads of management units: individuals responsible for guaranteeing that the people they supervise create and maintain records as an integral part of their work and in accordance with established policies and procedures (ISO/TR 15489-2:2001, 2.3.2.c).

D.02. All other personnel: staff who create, receive and maintain records as part of their daily work, in accordance with established policies, procedures and standards (ISO/TR 15489-2:2001, 2.3.2.e).

1.4. Scope and content

This implementation guide presents a series of general lines of action that form a flexible set of commitments for implementing the Records Management and Archives Administration Model of the RTA with respect to appraisal. These commitments may be undertaken by the organisations or institutions according to different improvement levels

Therefore, the commitments to be satisfied, which form a general line of action, are not necessarily envisaged in a linear fashion. They can be undertaken in different stages, in an iterative, partial or gradual way, depending on the needs of the organisation, its requirements and the changes that may be taking place in the organisation's environment and within its particular field of action.




The guide includes a table including:

- The lines of action, identified by their numerical code.

- The commitments to be satisfied for completion of these lines of action. A numerical code used in the guidelines.
- The different improvement levels for satisfying the commitments listed, identified using the following colour-coding:

	Lines of action		Initial level
	Intermediate level		Advanced level

1.5. Related documents

	G05/D01/O	Instruments for appraisal
	G05/D02/O	Transfer of records
	G05/D03/O	Destruction of records

2. What is appraisal?

Following the definition in the Dictionary of Archival Terminology of the International Council on Archives (ICA), appraisal is ‘the phase of archival processing that consists of analysing and determining the primary and secondary values of record series, determining the timeframes for transfer, access, preservation and total or partial destruction’.



Appraisal is an integral part of records and information management policies and systems, whilst also closely linked to other records management processes such as classification, archival arrangement and record description.

Appraisal therefore ensures the long-term preservation of records that will help explain the evolution of a society or an organisation from diverse perspectives (social, political, economic, technological, etc.). Similarly, it defines the point in the life cycle of the records at which they may be consulted by citizens and under what circumstances and conditions, always in accordance with the laws in force. The act of reducing the volume of records whilst maintaining the maximum amount of information also facilitates material access to the documentation.

Ideally appraisal should be performed not only when records are added to archives, but even before the record are produced. If we start by rationalising the creation and use of the records, we will arrive at standardisation of the procedures and avoid generating useless records, while also determining the control and regulation of access to same, as well as the timeframes for transfer, destruction and preservation.

If there is any media for which the application of appraisal criteria is important in the design, redesign or creation phase, in the case of electronic records it is fundamental. Consequently, appraisal is becoming an essential process in records and archives management and will become even more consolidated in the future as a completely necessary archival process.

3. Purposes and objectives of appraisal

The main purpose of appraisal is to establish a series of criteria, methods and instruments for better management of the records arising from the management processes of organisations. Appraisal stands out as one of the most important processes in records and archives management.

Through this implementation guide, we aim to provide a series of general lines of action to be used when an organisation designs and implements an appraisal system. Such systems include various processes, such as the identification of record series and the activities evidenced by them; the analysis of record values in order to propose their selection; and the planning of their permanent preservation or destruction and the timetables for carrying out the pertinent transfers or destructions.



Three aspects should be used as the basis for any appraisal system: firstly, it should be underpinned by regulation; secondly, there should be an attribution of powers and responsibilities, i.e. an authority; and lastly, it requires the production and application of a series of agreements, normally reflected in what are known as Preservation Schedules or Record Preservation Tables.

The organisation's management should approve the appraisal rules. Irregular destruction of records is subject, in certain cases, to serious economic sanctions and even criminal proceedings in some countries. The destruction or transfer of records required for the normal operation of the organisation, or those which serve as support and recognition of the rights or obligations of both the organisation and the Administration or citizens, must be avoided.

It is therefore absolutely necessary for appraisal processes to be standardised and for decisions taken in this regard to be authorised, consistent with the policy and actions of the organisation, and always framed within a transparent and reliable system in which any decision taken concerning appraisal is documented and justified. Appraisal should never be the result of a subjective or intuitive action but rather of a planned and systematic procedure.

It is essential for organisations to develop their own standards for the approval of preservation periods for their records and standard systems for transfer and destruction.

3.1. Purposes of appraisal

In accordance with the above, the essential purposes of the appraisal process can be summarised as follows:

- Analyse and determine the primary and secondary values of record series.
- Identify and select essential record series for preservation as the memory of the organisation.
- Identify and select those record series that, once their administrative utility has lapsed, have not developed historical or informational value and therefore could be subject to a reasoned proposal for destruction.
- Promote a proper flow of records within the records or archives management system by establishing record transfer procedures and timeframes.
- Generate instruments that will enable the implementation of approved agreements regarding preservation, transfer, destruction, etc., such as Preservation Schedules or Preservation Tables, Transfer Schedules, etc.

The lines of action developed below describe the methodological aspects necessary for implementing appraisal processes.

It should be noted that the destruction of records is not the primary aim or purpose of appraisal but rather a means to an end. The intention is not to destroy in order to reduce the volume of records but rather to dispose of records that are no longer of use, whilst seeking to preserve memory.

3.2. Subject of appraisal



The subject of appraisal per se, as considered in this implementation guide, are record series (not the record units or the archives in general).

A record series is a working unit on which appraisal is performed, given that archive management focuses on record series as organic and organised sets of interrelated documentation resulting from the same management process and generated by the same creating body. Thus, the primary and secondary values, as well as the preservation, transfer or destruction timeframes, are not established for individual record units or for record collections but rather for record series.



Appraisal affects administrative records and the contexts in which they are created, but the aim is to discern not only their administrative utility but also their permanent value as evidence and memory.

Archival records that are not sufficiently identified cannot be properly appraised.

Appraisal affects records on all media equally, whether paper, electronic or any other format.

Appraisal identifies the record series that contain essential information for the institution, thereby ensuring their adequate protection, conservation and preservation, whilst also identifying those records that justify the rights and duties of both the organisation and third parties.

4. Lines of Action

4.1. Line of action 1: analysis of the record series

Appraisal requires an in-depth knowledge of the context in which the record series was created. Therefore, the first action when appraising records is to conduct an analysis of the functions, the creating organisation(s), and the social and administrative needs associated with the record series being appraised.



Documenting the analysis of the functions, the creating institution and the social and administrative needs associated with a record series, and documenting the decision-making process, as well as the outcome of the appraisal, will allow the administration and the organisation or institution itself to justify their decisions and actions.

The analysis of a record series and of the activities entailed in appraisal of a particular record series in order to propose the preservation, transfer or destruction of the same, should be undertaken by people with the necessary archival knowledge and skills to conduct these tasks. In addition, the knowledge of the records managers themselves, of the creators, is also needed in order to have all the necessary information regarding administrative, fiscal and legal limitation periods, etc. Cooperation in decision-making and preparation of proposals is essential in appraisal.

These proposals are submitted to the competent body for ruling on appraisal matters.

Commitments

1. Conduct an analysis of the functions, the creating body or bodies, and the social and administrative needs associated with the record series being appraised.
2. Base record appraisal decisions on the analysis of the administrative, legal, social and archival context.
3. Prepare preservation, transfer and destruction proposals in conjunction with archivists who possess the requisite knowledge and skills and the staff responsible for the administrative procedure.

4. Determine which records are created by analysing the administrative, legal, social and archival context, identifying the risks of having or not having records as evidence of the activities of the institution or organisation.

4.2. Line of action 2: study of the values of the records

In the mid-20th century, Theodore R. Schellenberg, a North American archivist, created the doctrine of values, an essential contribution to appraisal theory, by defining the ideas of primary value and secondary value. According to his doctrine, records have a primary value in their origin, reflecting the reasons for which they were created, and can eventually acquire a secondary value over time, that is, a scientific utility.

The primary value is based on the initial applications of the record, on the reasons for which it was created by the person or institution that generated or received it. The primary values of records are typically divided into three main categories: administrative value, legal value, and fiscal or financial value.

The primary value of records essentially refers to their value as evidence, in the broadest sense and not only in the legal definition of the term.



Records must never be destroyed while they have administrative validity and maintain an evidential value in terms of rights and obligations.

The secondary value of records has to do with their scientific utility. It is closely linked to the information and evidence provided by the record, both in relation to the person or institution that created or received it and in relation to society in general. Secondary value is typically divided into informational value and evidential or historical value.

The existence or absence of secondary values will largely depend on the creating entity, the functions it fulfils, and the documentation it generates.

Commitments

1. Consider the analysis of the primary and secondary values of records as a fundamental stage in the appraisal process.
2. Base appraisal decisions on the possible acquisition or non-acquisition of secondary values in the documentation to be appraised.
3. Establish the administrative, legal or fiscal validity periods and the preservation periods according to the assignment of primary values.
4. Assign secondary values after a primary appraisal process and following the formation of interdisciplinary groups which, taking into account the institutional and social uses of the information contained in the documentation, determine whether any criteria pertinent to preservation have been generated.

5. On forms that contain appraisal proposals, include information on the assignment of primary and secondary values, the study of validity or preservation periods, and the documentation preservation or destruction conditions.
6. Design and construct criteria, regulations and instruments associated with the appraisal process in order to convert them into standards.

4.3. Line of action 3: definition of appraisal criteria

Within the appraisal process for archival records, appraisal criteria are typically defined as a point of reference which can serve as a guide and aid to the archivist of an organisation when it comes to making proposals for the definition of preservation periods.

Those responsible for studying and making appraisal proposals for record series within an organisation can define a series of criteria considered fundamental in the development of appraisal decisions. For example, the choice of a date before which no record may be destroyed, or the determination that certain record series may not be destroyed (e.g. minutes of meetings of the management body).

These criteria should be agreed within the organisation and recorded in a record of decision to ensure that the agreed criteria are known by the entire organisation and acted upon.

Commitments

1. Use appraisal criteria as guidance for defining preservation periods.
2. Define the organisation's appraisal criteria with those responsible for the study and proposal of appraisals and documentation.
3. Agree the appraisal criteria within the organisation so that they may be used in the definition of preservation periods.
4. Set out the appraisal criteria in a decision document and publish it within the organisation for use.

4.4. Line of action 4: authorisation of proposals and responsibility for decisions

The decisions and actions aimed at the preservation, destruction or transfer of records should be authorised, responsible and documented.



Appraisal of records is a process of responsibility. Organisations must appraise their records in accordance with their policy and procedures and must ensure that this is done as part of a precise and quality procedure.

To do so, and given the responsibility represented by appraisal processes, specific bodies or entities should be created within the public body to sanction, control and

quantify appraisal, e.g. an Appraisal Commission. Criteria and procedures should be established for exercising this responsibility within the organisation and all decisions taken regarding appraisal should be authorised by this body.

Responsibility for the record appraisal process should be shared between administrative managers, records managers, archivists and experts in administrative law and judicial and legal time scales, representatives of the bodies with responsibility for matters of access to information, and users, e.g. university lecturers or history specialists. For all of these reasons, the interdisciplinary nature of the components of the bodies that sanction and issue opinions on the subject of appraisal is very important.



To undertake this task, it is essential to reach consensus on a series of standard procedures that mark out the process, its phases and the instruments for its control. It will therefore be necessary to draft legal and regulatory texts, in addition to guidelines and standardised forms that can be used by the entire organisation.

All decisions and rulings issued by the body that sanctions and exercises control on appraisal, e.g. the Appraisal Commission of the public body, must be documented. Thus, the process of appraisal and destruction will be framed in a transparent and reliable system, in alignment with the quality systems and integrating the archive in the organisation's management systems. We recommend that all rulings sanctioned by this body, as well as the legal information, regulations, guidelines and forms used to make proposals to this body, are accessible to the entire organisation and even posted on the website so that this information is available to all citizens.

No decision should be taken with respect to appraisal without all interest groups being informed. This includes both the record creating offices and those involved in records management processes within the organisation or institution.

Public bodies or organisations must be capable of making available to citizens, to the administration and to managers themselves all evidence and information necessary to prove that any decisions taken were permitted and authorised in accordance with the relevant legislation and regulations.

Commitments

1. Authorise all decisions related to the preservation, destruction or transfer of the records.
2. Take all decisions related to the preservation, destruction or transfer of records in accordance with the policy and procedures of the organisation or public institution.
3. Communicate all decisions and rulings made on matters of appraisal to all interest groups.
4. Document and justify all decisions and rulings made on matters of appraisal.

5. Create a body that sanctions, controls and issues rulings on all the decisions taken on matters of appraisal.
6. Within the appraisal commission or competent body, use standard procedures set out in a methodology, regulations, guidelines and in the forms to be completed in said procedure.
7. Make available to the entire organisation all rulings and documents approved by the appraisal commission or competent body, as well as any rationale for these actions.
8. Create a website for the appraisal commission or competent body and use it to make available to citizens all the rulings, records of decision, minutes, etc. issued by this body.

4.5. Line of action 5: review of decisions and rulings

The Preservation Schedule or Record Preservation Table, Transfer Schedule, and Preservation Rules must be kept up-to-date. This requires a review of all decisions and rulings on these matters in order to confirm that they are still valid.



Decisions taken on matters of records appraisal and preservation, transfer or destruction should be reviewed to ensure that the commitments on which these decisions were based are still applicable.

An internal assessment conducted by the organisation will enable the continuous improvement of its appraisal processes.

The organisation's policy must take into account and ensure that the preservation and destruction decisions are reviewed by suitable personnel prior to implementation.

The review of decisions and rulings on matters of appraisal should be framed within the audit and assessment tasks of the records management processes that make up the records management policy of the organisation or institution.

Commitments

1. Regularly review all the organisation's decisions on matters of appraisal and preservation, transfer or destruction.
2. Have staff with the requisite knowledge and skills to review rulings approved on preservation, transfer or destruction.
3. Review appraisal decisions in the organisation, taking into account the policy, standards and procedures.
4. Frame reviews of decisions and rulings on matters of appraisal within the assessment and audit tasks of the records management processes that make up the records management policy of the organisation or institution.

5. Review decisions and rulings on matters of appraisal as part of the routine and regular actions of the organisation.

4.6. Line of action 6: implementation of rulings

Preservation, destruction or transfer decisions should be implemented as part of the organisation's processes. Once the public body has approved the preservation, destruction or transfer of a particular record series, this decision should be implemented.

This ensures that records are preserved for the stipulated time period and no longer (or shorter) than necessary in the archive to which they belong. It also ensures that the records are destroyed at the right time and in the right manner.



Therefore, implementation of documentation preservation, destruction or transfer decisions should be a routine process in the organisation. This ensures that it will be done in a manner that is efficient and fully integrated in the procedures carried out in the organisation.

As we have stated, organisations must have a clear policy and a regulated procedure for the appraisal of their records. Institutions or organisations must implement the appraisal of their records in accordance with their policy and procedures. This also means that, once decisions on matters of appraisal have been issued by the competent body, the organisation must establish procedures for implementing the appraisal and processes for authorising its outcomes. To accomplish this, it is essential to assign responsibilities within the organisation for carrying out this implementation.

Implementation of approved rulings should be carried out by archivists with the requisite knowledge and skills to whom this responsibility has been assigned within the organisation.

Commitments

1. Guide implementation of appraisal decisions, taking into account the policy, standards and procedures of the organisation.
2. Have archivists with the requisite knowledge and skills to implement the approved rulings.
3. Approve, supervise and authorise the implementation of decisions taken with respect to the appraisal of a particular record series in accordance with the established procedures and competent authorities.
4. Monitor all actions carried out to implement decisions on matters of appraisal.
5. Include the implementation of the appraisal decisions and rulings as part of the routine and regular actions of the organisation.

4.7. Line of action 7: transfer plan

The Dictionary of Archival Terminology defines transfer as the 'habitual procedure of accession of fonds in an archive by means of the transfer of portions of record series upon expiry of the preservation period established by the rules established for each stage in the life cycle of the records'.



Therefore, implementation of documentation transfer decisions should be a routine process in the organisation. This ensures that it will be done in a manner that is efficient and fully integrated in the procedures carried out in the organisation.

The purpose of the transfer is for documentation to receive the appropriate processing in the most appropriate archive. This avoids the agglomeration of records in the different centres and units, and the inconvenience that such accumulations may cause, whilst providing the most suitable service for each phase of the life cycle of the records.

Transfer decisions should be implemented as part of the organisation's processes. Once the public body has approved the transfer of a particular record series, this decision should be implemented within the stipulated time period.

This ensures that records are preserved for the stipulated time period and no longer (or shorter) than necessary in the creating office and in each of the archives.

Organisations must have a clear policy and a regulated procedure for the transfer of their records, in accordance with their policy and procedures. This also means that, once decisions on matters of transfer have been issued by the competent body, the organisation must establish procedures for implementing the transfer and processes for authorising its outcomes. To accomplish this, it is essential to assign responsibilities within the organisation for carrying out this implementation.

Therefore, although on occasion there may be an exceptional or irregular transfer, that is, a transfer carried out on an exceptional basis to gather records from administrative units or archives affected by some type of disaster (floods, deficient archival management, landslides, etc.), in this Records Management and Archives Administration Model we will only address regular transfers, i.e. those that are planned and follow the instructions and provisions of the regulated appraisal procedure.

Implementation of the approved rulings regarding the transfer of certain record series should be carried out by archivists with the requisite knowledge and skills to whom this responsibility has been assigned within the organisation.

Commitments

1. Establish and document the identity of the individual(s) authorised to implement decisions taken on matters of transfers and the competent authority that issued said authorisation.
2. Transfer the records identified for transfer within the established timeframes, so that they enter the custody of the corresponding archive in accordance with the established procedures.
3. Document the nature of the transfer and the corresponding time limits.
4. Plan and include the transfer of records in the organisation's records management programme.
5. Make decisions regarding transfers of record series available to all members of the organisation.
6. Monitor all actions carried out to implement transfers of records.
7. Include the transfer of records as part of the routine and regular actions of the organisation.
8. Regularly review decisions taken by the organisation regarding the transfer of record series.

4.8. Line of action 8: destruction of records

The destruction of record series must be undertaken within the framework of the archival policy, which identifies the records to be destroyed in accordance with the timeframes established in the appraisal phase. It will always be carried out as the result of a regulated and authorised destruction process.

Destruction should also be appropriate and irreversible, guaranteeing that the reconstruction and subsequent use of destroyed documentation is impossible, and should be undertaken in accordance with environmental protection regulations.

Records should be destroyed in a secure manner, adopting the same levels of security as those applied throughout their life cycle.

Once the public body has approved the destruction of a particular record series, this decision should be implemented. This ensures that records are preserved for the stipulated time period and no longer (or shorter) than necessary and that they are destroyed at the right time, in the right manner.

The destruction process should always be documented in a destruction record containing essential data for retaining documentary proof of same.



Implementation of documentation destruction decisions should be a routine process in the organisation. This ensures that it will be done in a manner that is efficient and fully integrated in the procedures carried out in the organisation.

Organisations must have a clear policy and a regulated procedure for the destruction of their records, in accordance with their policy and procedures. This also means that, once decisions on matters of destruction have been issued by the competent body, the organisation must establish procedures for implementing the transfer and processes for authorising its outcomes. To accomplish this, it is essential to assign responsibilities within the organisation for carrying out this implementation.

Implementation of the approved rulings regarding the preservation, transfer or destruction of certain record series should be carried out by archivists with the requisite knowledge and skills to whom this responsibility has been assigned within the organisation.

Commitments

1. Establish and document the identity of the individual(s) authorised to implement decisions taken on matters of destruction and the competent authority that issued said authorisation.
2. Carry out authorised and legal destructions.
3. Carry out appropriate and irreversible destructions.
4. Carry out secure destructions with the necessary levels of confidentiality.
5. Destroy the records identified for this purpose in accordance with the stipulated timeframes.
6. Document the nature of the destruction and corresponding timeframes.
7. Plan and include the destruction of records in the organisation's records management programme.
8. Make the decisions regarding the destruction of record series available to all members of the organisation.
9. Monitor all actions carried out to implement the destruction of records.
10. Include the destruction of records as part of the routine and regular actions of the organisation.
11. Regularly review decisions taken by the organisation regarding the destruction of record series.

5. Table of actions

This table sets out:

- The lines of action, identified by their numerical code.
- The commitments to be satisfied for completion of these lines of action, with a numerical code that will also appear in the table of commitments included in the guidelines.
- The different improvement levels for satisfying the commitments.

Legend:

■ Lines of action	■ Initial level
■ Intermediate level	■ Advanced level

Lines of action	Commitments	Level
1	Analysis of the record series	
1.1	Conduct an analysis of the functions, the creating body or bodies, and the social and administrative needs associated with the record series being appraised.	Initial level
1.2	Base record appraisal decisions on the analysis of the administrative, legal, social and archival context.	Intermediate level
1.3	Prepare preservation, transfer and destruction proposals in conjunction with archivists who possess the requisite knowledge and skills and the staff responsible for the administrative procedure.	Intermediate level
1.4	Determine which records are created by analysing the administrative, legal, social and archival context, identifying the risks of having or not having records as evidence of the activities of the institution or organisation.	Advanced level
2	Study of record values	
2.1	Consider the analysis of the primary and secondary values of records as a fundamental stage in the appraisal process.	Initial level
2.2	Base appraisal decisions on the possible acquisition or non-acquisition of secondary values in the documentation to be appraised.	Initial level
2.3	Establish the administrative, legal or fiscal validity periods and the preservation periods according to the assignment of primary values.	Intermediate level
2.4	Assign secondary values after a primary appraisal process and with the assistance of interdisciplinary groups which, taking into account the institutional and social uses of the information contained in the documentation, determine whether any criteria pertinent to preservation have been generated.	Intermediate level
2.5	On forms that contain appraisal proposals, include information on the assignment of primary and secondary values, the study of validity or preservation periods, and the documentation preservation or destruction conditions.	Advanced level
2.6	Design and construct criteria, regulations and instruments associated with the appraisal process in order to convert them into standards.	Advanced level
3	Definition of appraisal criteria	
3.1	Use appraisal criteria as guidance for defining preservation periods.	Initial level
3.2	Define the organisation's appraisal criteria with those responsible for the study and proposal of appraisals and documentation.	Intermediate level
3.3	Agree the appraisal criteria within the organisation so that they may be used in the definition of preservation periods.	Intermediate level

Lines of action		Commitments	Level
	3.4	Set out the appraisal criteria in a decision document and publish it within the organisation for use.	
4	Authorisation of proposals and responsibility for decisions		
	4.1	Authorise all decisions related to the preservation, destruction or transfer of the records.	
	4.2	Take all decisions related to the preservation, destruction or transfer of records in accordance with the policy and procedures of the organisation or public institution.	
	4.3	Communicate all decisions and rulings made on matters of appraisal to all interest groups.	
	4.4	Document and justify all decisions and rulings made on matters of appraisal.	
	4.5	Create a body that sanctions, controls and issues rulings on all the decisions taken on matters of appraisal.	
	4.6	Within the appraisal commission or competent body, use standard procedures set out in a methodology, regulations, guidelines and in the forms to be completed in said procedure.	
	4.7	Make available to the entire organisation all rulings and documents approved by the appraisal commission or competent body, as well as any rationale for these actions.	
	4.8	Create a website for the appraisal commission or competent body and use it to make available to citizens all the rulings, records of decision, minutes, etc. issued by this body.	
5	Review of decisions and rulings		
	5.1	Regularly review all the organisation's decisions on matters of appraisal and preservation, transfer or destruction.	
	5.2	Have staff with the requisite knowledge and skills to review rulings approved on preservation, transfer or destruction.	
	5.3	Review appraisal decisions in the organisation, taking into account the policy, standards and procedures.	
	5.4	Frame reviews of decisions and rulings on matters of appraisal within the assessment and audit tasks of the records management processes that make up the records management policy of the organisation or institution.	
	5.5	Review decisions and rulings on matters of appraisal as part of the routine and regular actions of the organisation.	
6	Implementation of rulings		
	6.1	Guide implementation of appraisal decisions, taking into account the policy, standards and procedures of the organisation.	
	6.2	Have archivists with the requisite knowledge and skills to implement the approved rulings.	
	6.3	Approve, supervise and authorise the implementation of decisions taken with respect to the appraisal of a particular record series in accordance with the established procedures and competent authorities.	

Lines of action	Commitments	Level
	6.4 Monitor all actions carried out to implement decisions on matters of appraisal.	
	6.5 Include the implementation of the appraisal decisions and rulings as part of the routine and regular actions of the organisation.	
7	Transfer plan	
	7.1 Establish and document the identity of the individual(s) authorised to implement decisions taken on matters of transfers and the competent authority that issued said authorisation.	
	7.2 Transfer the records identified for transfer within the established timeframes, so that they enter the custody of the corresponding archive in accordance with the established procedures.	
	7.3 Document the nature of the transfer and the corresponding time limits.	
	7.4 Plan and include the transfer of records in the organisation's records management programme.	
	7.5 Make decisions regarding transfers of record series available to all members of the organisation.	
	7.6 Monitor all actions carried out to implement transfers of records.	
	7.7 Include the transfer of records as part of the routine and regular actions of the organisation.	
	7.8 Regularly review the decisions taken in relation to the transfer of record series by the organisation.	
8	Destruction of records	
	8.1 Establish and document the identity of the individual(s) authorised to implement decisions taken on matters of destruction and the competent authority that issued said authorisation.	
	8.2 Carry out authorised and legal destructions.	
	8.3 Carry out appropriate and irreversible destructions.	
	8.4 Carry out secure destructions with the necessary levels of confidentiality.	
	8.5 Destroy the records identified for this purpose in accordance with the stipulated timeframes.	
	8.6 Document the nature of the destruction and corresponding timeframes.	
	8.7 Plan and include the destruction of records in the organisation's records management programme.	
	8.8 Make the decisions regarding the destruction of record series available to all members of the organisation.	
	8.9 Monitor all actions carried out to implement the destruction of records.	
	8.10 Include the destruction of records as part of the routine and regular actions of the organisation.	
	8.11 Regularly review decisions taken by the organisation regarding the destruction of record series.	

6. References and Bibliography

6.1. References

- INTERNATIONAL COUNCIL ON ARCHIVES (ICA). 2005. *Manual on appraisal (Draft)* [online]. Committee on Appraisal. Paris: International Council on Archives. [Retrieved: 15 December 2014]. Available at: <http://www.ica.org/11274/toolkits-guides-manuals-and-guidelines/draft-manual-on-appraisal.html>
- INTERNATIONAL COUNCIL ON ARCHIVES (ICA). 2013. *Guidelines on Appraisal and Disposition of Student Records* [online]. Section on University and Research Institutions Archives. Paris: International Council on Archives. [Retrieved: 15 December 2014]. Available at: <http://www.ica.org/15310/toolkits-guides-manuals-and-guidelines/guidelines-on-appraisal-and-disposition-of-student-records.html>
- INTERNATIONAL COUNCIL ON ARCHIVES (ICA). INTERNATIONAL RECORDS MANAGEMENT TRUST. 1999. *Managing public sector records: a study programme. Building Records Appraisal Systems* [online]. London: International Records Management Trust. [Retrieved: 15 December 2014]. Available at: http://www.irmt.org/documents/educ_training/public_sector_rec/IRMT_build_rec_appraisal.pdf
- INTERNATIONAL ORGANIZATION FOR STANDARDIZATION (ISO). 2001a. *ISO 15489-1:2001: Information and documentation - Records management - Part 2: Guidelines*. Geneva: ISO. [The following equivalent version in Spanish was used: AENOR. 2006. *UNE-ISO/TR 15489-2:2006. Información y documentación. Gestión de documentos. Parte 1: Generalidades*. Madrid: AENOR].
- INTERNATIONAL ORGANIZATION FOR STANDARDIZATION (ISO). 2001b. *ISO/TR 15489-2:2001: Information and documentation - Records management - Part 2: Guidelines*. Geneva: ISO. [The following equivalent version in Spanish was used: AENOR. 2006. *UNE-ISO/TR 15489-2:2006. Información y documentación. Gestión de documentos. Parte 2: Directrices*. Madrid: AENOR].
- INTERPARES 2. 2010. *Creator Guidelines - Making and Maintaining Digital Materials: Guidelines for Individuals - Guía del Preservador - Preservación de Documentos de Archivos Digitales: Guidelines for Organizations* [online] Spanish translation: Juan Voutssás. [Retrieved: 15 December 2014]. Available at: [http://www.interpares.org/ip2/display_file.cfm?doc=ip2\(pub\)guia_del_preservador.pdf](http://www.interpares.org/ip2/display_file.cfm?doc=ip2(pub)guia_del_preservador.pdf)
- SPAIN. COMISIÓN SUPERIOR CALIFICADORA DE DOCUMENTOS ADMINISTRATIVOS. 2003. *Criterios generales para la valoración de los documentos de la Administración General del Estado* [online]. Madrid: Ministerio de Cultura. [Retrieved: 15 December 2014]. Available at: <http://www.mcu.es/archivos/docs/MetodologiaComSup.pdf>
- SPAIN. COMISSIÓ NACIONAL D'AVALUACIÓ I TRIA DE LA DOCUMENTACIÓ. 2012. *Metodologia per a l'elaboració de propostes d'avaluació i accés documental* [online]. As approved in the meeting of 18 December 2012. Barcelona: Generalitat de Catalunya [Retrieved: 15 December 2014]. Available at: http://www20.gencat.cat/docs/CulturaDepartament/DGPC/Arxius_i_Gestio_Documental/01_Sistema_Arxiu_Catalunya/Organs_administracio/CNAATD/CNAATD_02/03%20Avaluacio_disposicio/Avaluacio_i_acces/Metodol_DipLeg_04.pdf
- UNITED KINGDOM. PARADIGM PROJECT. 2008. *The Personal Archives Accessible in Digital Media. Workbook on Digital Private Papers* [online]. Manchester: University of Manchester. [Retrieved: 15 December 2014]. Available at: http://www.paradigm.ac.uk/workbook/pdfs/04_appraisal_disposal.pdf

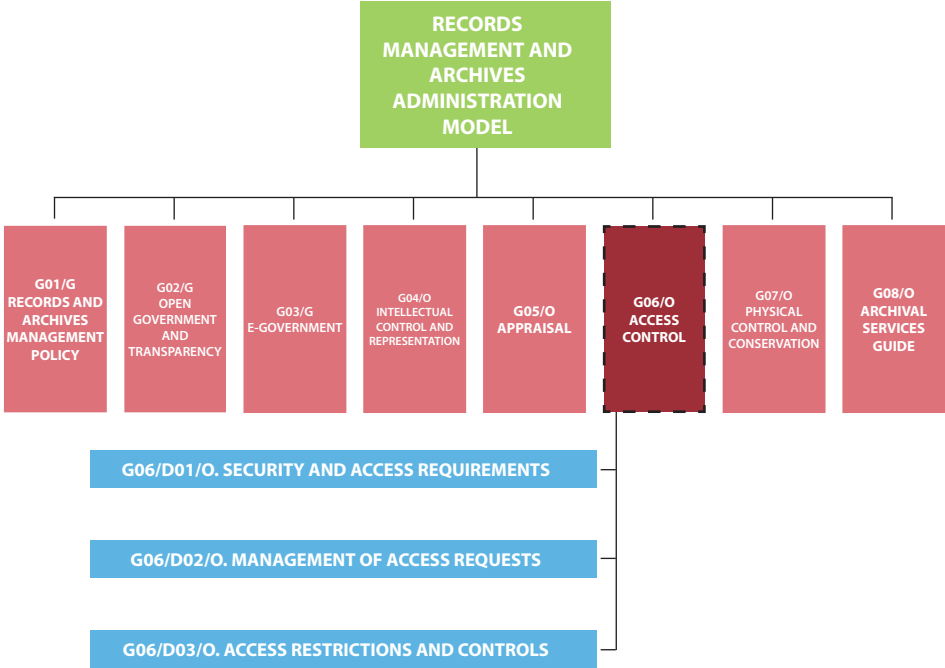
VALLE DE JUAN, M. A. (ed.). 2004. *Parliamentary institutions: the criteria for appraising and selecting documents. Las instituciones parlamentarias: criterios para la evaluación y selección de documentos* [online]. Workings of the Section of archives and archivists of parliaments and political parties. Paris: International Council on Archives. [Retrieved in Spanish: 15 December 2014]. Available at: <http://www.ica.org/5396/resources/list-of-publications.html>

6.2. Bibliography

- CASELLAS I SERRA, L. E. 2010. *La valoración de documentos electrónicos* [online]. [Retrieved: 15 December 2014]. [Avance del trabajo del Subgrupo de documentos electrónicos del Foro Iberoamericano de Evaluación Documental (FIED)]. Available at: http://cuib.unam.mx/archivistica/valoracion_casellas-barnard.pdf
- CERMENO, L.; RIVAS, E. 2011. 'Valoración, selección y eliminación'. At: CRUZ MUNDET, J. R. (dir.). *Administración de documentos y archivos. Textos fundamentales* [online]. Madrid: Coordinadora de Asociaciones de Archiveros y Gestores de Documentos, pp. 215-272. [Retrieved: 15 December 2014]. Available at: <http://www.archiveros.net/LIBRO.ARCHIVOS.IBEROAMERICANOS.pdf>
- CRUZ MUNDET, J. R. 2006. *La gestión de documentos en las organizaciones*. Madrid: Pirámide
- DORANTES CACIQUE, M. T. 2011. *La valoración documental en el siglo XXI. El principio pro homine en la archivística: valoración documental, valoración de la información y derechos* [online]. [Retrieved: 15 December 2014]. Available at: <http://www.te.gob.mx/documentacion/3seminario/files/t9/dorantes.pdf>
- FENOGLIO, N. C. 2010. *Proyecto: Evaluación de documentos en Iberoamérica. Antecedentes y perspectiva* [online]. [Retrieved: 15 December 2014]. Available at: <http://blogs.ffyh.unc.edu.ar/evaluaciondedocumentos/files/2012/06/Norma-C.-Fenoglio1.pdf>
- HEREDIA HERRERA, A. 2013. *Manual de Archivística Básica: Gestión y Sistemas*. Puebla: Benemérita Universidad Autónoma de Puebla
- HERNÁNDEZ OLIVERA, L. (ed.). 2003. 'El refinado arte de la destrucción: la selección de documentos'. *Tábula*, 6. Actas del III Congreso de Archivos de Castilla y León y III Coloquio Internacional de Ciencias de la Documentación, Salamanca, 9-11 de octubre de 2002
- LA TORRE, J. L.; MARTÍN-PALOMINO, M. 2003. *Metodología para la identificación y valoración de fondos documentales*. Madrid: Subdirección General de los Archivos Estatales
- LLANSÓ SANJUAN, J. (dir.). 2006. *Buenas prácticas en gestión de documentos y archivos. Manual de normas y procedimientos archivísticos de la Universidad Pública de Navarra*. Pamplona: Universidad Pública de Navarra
- RAMÍREZ DELEÓN, J. A. (coord.). 2011 *Metodología para la valoración y disposición documental: aspectos teóricos e instrumentales* [online]. Mexico: Instituto Federal de Acceso a la Información y Protección de Datos (IFAI). [Retrieved: 15 December 2014]. Cuadernos de la serie Gestión de Documentos y Administración de Archivos. No. 5. Available at: <http://inicio.ifai.org.mx/Publicaciones/cuaderno5.pdf>

G06/O. Access control

This implementation guide is part of the Records Management and Archives Administration Model (MGD) of the Transparency and Access to Public Information Network (RTA), as indicated in the following diagram of relationships:



1. Introduction and objectives

1.1. Brief introduction

Process and control implementation guides (operational guides) provide technical coordinators responsible for the management system for records with the general lines of action required in order to implement the processes and technical controls of the Records Management and Archives Administration Model of the Transparency and Access to Public Information Network (RTA).

1.2. Purpose

This document identifies a series of commitments to be undertaken by archival institutions in order to implement the processes and controls needed to manage access to records effectively, efficiently and with due regard for the legal guarantees established both in favour of access to public information and with regard to the confidentiality necessary to protect other rights, values and legal assets.

1.3. Audience

The process-oriented or operational implementation guides are primarily aimed at the individuals appointed by top management to coordinate the implementation of the MGD, at both the managerial and operational level and the specialists charged with the implementation of the model. Their secondary audience consists of the internal users within the organisation.

The primary audience for this operational implementation guide is as specified in points B and C and the secondary audience is as specified in point D. The audience codes used are those stipulated in the ISO 30300 standard (*Information and documentation. Management systems for records. Fundamentals and vocabulary*), which is used as reference in relation to this issue in this model, as set out below:

Primary audiences

B. Management System for Records (MSR) implementation coordinators: individuals appointed by top management to coordinate the implementation of the MSR at both the managerial and operational level. Both responsibilities may be assigned to the same person or group. This category includes:

B.1. Management representative: specific representative of top management who leads and takes responsibility for implementation of the MSR (ISO 30301:2011, 5.3.2).

B.2. Records operational representative: person appointed by top management to implement the MSR at the operational level (ISO 30301:2011, 5.3.3). Includes individuals with primary responsibility for archival institutions

C. Specialists responsible for the implementation of the MSR:

C.1. Records professionals: persons charged with establishing the policies, procedures and general standards, and implementing records management processes and controls (ISO/TR 15,489-2:2001, 2.3.2.b).

C.2. Professionals with specific duties in relation to records: professionals in the areas of risk management, auditing, information technologies and information security (ISO/TR 15,489-2:2001, 2.3.2.d; ISO 30301:2011, Introduction).

Secondary audiences

D. Internal users

D.01 Heads of management units: individuals responsible for guaranteeing that the people they supervise create and maintain records as an integral part of their work and in accordance with established policies and procedures (ISO/TR 15489-2:2001, 2.3.2.c).

D.02. All other personnel: these are the staff members who create, receive and maintain records as part of their daily work, in accordance with established policies, procedures and standards (ISO/TR 15489-2:2001, 2.3.2.e).

1.4. Scope and content

Implementation guides are the documents that define the general lines of action to be followed for implementing the Records Management and Archives Administration Model of the Transparency and Access to Public Information Network (RTA). These lines of action, based on international standards and good practice, are in turn crystallised in the form of a flexible set of commitments that may be undertaken by the organisations or institutions according to different improvement levels.

The commitments included in each general line of action are not necessarily designed for implementation in a sequential manner. They can be undertaken in different stages, in an iterative, partial or gradual way, depending on the needs of the organisation, its requirements and the changes that may be taking place in the organisation's environment and within its particular field of action.

The guide includes a table including:

- The lines of action, identified by their numerical code.
- The commitments to be satisfied for completion of these lines of action. A numerical code used in the guidelines.
- The different improvement levels for satisfying the commitments listed, identified using the following colour-coding:

 Lines of action	 Initial level
 Intermediate level	 Advanced level

It concludes with a section that presents regional and international reference documents and selected bibliography for guiding implementation of the indicated commitments.

1.5. Related documents

Gg	G02/D01 Open government and transparency
Di	G02/D01/G Access to public records (policy)
Di	G02/D02/G Active transparency and open data
Di	G02/D03/G Re-use of information
Go	G06/O Access control
Di	G06/D01/O Analysis of legal accessibility
Di	G06/D02/O Management of access requests
Di	G06/D03/O Access restrictions and controls

2. Management and control of access to records

Public archives are the institutions responsible for managing and preserving records that accomplish the following: provide evidence of the activities of the branches of government; enable authorities to provide accountability to citizens; provide evidence of the rights and duties of individuals, companies and government agencies themselves; and, lastly, record an essential part of the written memory of a nation.



Archives are institutions with a commitment to and tradition of public service and they have been satisfying the information needs of the authorities they serve for centuries. In modern societies, they are also endeavouring to place this information in the hands of a growing and increasingly varied public. Implementation of laws on access to public information in the majority of countries in our region merely reinforces this function and places archive at the centre of transparency policies.

In parallel to the primary function of public archives of guaranteeing the right of access to records, is its responsibility for ensuring the appropriate confidentiality of information when it affects other rights, values and legal assets (national security, commercial secrecy, and the privacy of individuals are three representative examples).

The principles of access to archives of the International Council on Archives (ICA 2012, 10) champions the participation of archivists in decision-making processes on access: 'Archivists help their institutions establish access policies and procedures and review archives for possible release under existing access laws, guidelines and best practice. Archivists work with lawyers and other partners in deciding on the basic framework and interpretation of restrictions, which the archivists then implement. Archivists know the archives, the access restrictions, the needs and requirements of the stakeholders and what information is already in the public domain on the subject to which the archives relate; archivists apply that knowledge when making access decisions. Archivists help the institution achieve informed decisions and consistent, reasonable outcomes. Archivists monitor restrictions, reviewing archives and removing restrictions that are no longer applicable.'

Within this framework, the commitments contained in this guide aim to go more deeply into the implementation of the MGD of the Transparency and Access to Public Information Network (RTA) with regard to the following lines of action:

- Analyse the access restrictions and security requirements of records for the purpose of expressing them on an Access and Security Table.
- Manage requests for access to public records, that it, carry out the technical and administrative tasks needed to satisfy the information needs of citizens using the records in the archive.
- Implement the identified restrictions and certain control procedures in the management system so that it can respond to requests without undermining the confidentiality necessary in order to protect certain categories of information.

3. Lines of Action

3.1. Line of action 1: analyse the access restrictions and security requirements of records

According to the technical standards and international good practice on the subject, the management and control of access to and use of records managed by public archives require the analysis and systematisation of the legal requirements relating to security and access that affect said records. The outcome of this process is a basic tool for the operation of Management Systems for Records designed based on the general framework of ISO 15489: Access and Security Table.



Access and security tables are the formal instrument contemplated in the ISO 15489 standard for identification of access rights and the system of restrictions applicable to records. They consist of a classification of record categories based on their access restrictions and security conditions (ISO/TR 15489-2:2001, 4.2.5).

The benefits of the analysis and definition of security and access requirements for records by means of access and security tables are varied:

- Facilitates implementation and deployment of policies of access to public records and information security.
- Enables the rational definition of the access controls and security measures of the Management System for Records.
- Enables increased effectiveness and a lessening of the discretionary nature of the system of access to public records, thereby reducing response times.
- Enables the identification of possible improvements in the quality of the design of public records.

Commitments

1. Collate all legal, policy and operational instruments that govern issues of information security and access to the organisation's records.
2. Define the information categories subject to protection in terms of the collated sources and their respective access periods.
3. Identify the security requirements of information that affects the organisation, classify them by levels and link them to the defined information categories.
4. Identify the information categories subject to protection in each record series.
5. Assign to each series certain access and usage controls in accordance with the corresponding security level for the information categories they contain.
6. Base the assignment of controls on a detailed risk analysis.
7. Establish access control rules for each series.
8. Approve the Access and Security Table, as well as the mechanisms for the periodic review of the same.
9. Define and assign security metadata appropriate for each class of records.

3.2. Line of action 2: manage requests for access to public records

The functions of archives with respect to requests for access to public information may vary depending on the different national laws. In general, there are three possible scenarios, based on the legal framework that regulates access to the records in the custody of archival institutions:

- Access to records held by archival institutions is governed by the General Transparency and Access to Public Information Act, but requests are processed

through administrative officials or units outside these institutions (although they may be under the same public authority).

- Access to records held by archival institutions is governed by the General Transparency and Access to Public Information Act, and these institutions or some of their officials are responsible for processing the requests.
- Access to records held by archival institutions is governed by a specific legal regime, as opposed to the general regime for access to public information.



Regardless of the specific role reserved in the legislation for archival institutions in terms of access to public information, the reality is they will have to participate to a greater or lesser degree in the processes associated with management of access requests.

To align these processes with international best practice, the Records Management and Archives Administration Model of the Transparency and Access to Public Information Network (RTA) proposes a series of commitments based on the Model Inter-American Law on Access to Information (OAS 2010a) from the legal standpoint, and on the Technical Guidance on Managing Archives with Restrictions of the International Council on Archives (ICA 2014) from the technical-archival standpoint.

Commitments

1. Proactively provide the necessary information and services so that the greatest number of people can exercise their right to access to public information.
2. Inform and advise users on their access requests.
3. Locate the records needed in order to respond to an information access request as promptly as possible.
4. Review the legal accessibility of the records requested.
5. Facilitate delivery of the records in the form in which they were requested.
6. Adequately document the procedures necessary for resolving an access request.

3.3. Line of action 3: implement restrictions and an access control procedure

In order to implement the security and access requirements identified through the first line of action in this guide, a series of commitments is proposed. On one hand the commitments aim to establish a general framework for access control in the Management System for Records in conformity with the ISO 15489 standard, especially in electronic environments. On the other, they aim to implement specific restrictions that affect the records themselves, both in terms of traditional media (paper) and electronic environments, including mechanisms that make it possible to offer partial access to the records by redacting data and content subject to protection.

Commitments

1. Control and represent records with restricted access, by means of finding aids and description systems.
2. Withdraw from public consultation all complete units with restricted access.
3. Provide partial access to records through redaction of confidential data in paper copies.
4. Have a register of user permissions.
5. Establish an access control procedure in conformity with the ISO 15489 standard.
6. Implement access control in the management system for electronic records.

4. Table of actions

This table sets out:

- The lines of action, identified by their numerical code.
- The commitments to be satisfied for completion of these lines of action, with a numerical code that will also appear in the table of commitments included in the guidelines.
- The different improvement levels for satisfying the commitments.

Legend:

- Lines of action
 Initial level
 Intermediate level
 Advanced level

Lines of action	Commitments	Level
1	Analyse the access restrictions and security requirements of the records	
	1.1 Collate all legal, policy and operational instruments that govern issues of information security and access to the organisation's records.	Initial level
	1.2 Define the information categories subject to protection in terms of the collated sources and their respective access periods.	Initial level
	1.3 Identify the security requirements of information that affects the organisation, classify them by levels and link them to the defined information categories.	Initial level
	1.4 Identify the information categories subject to protection in each record series.	Intermediate level
	1.5 Assign to each series certain access and usage controls in accordance with the corresponding security level for the information categories they contain.	Intermediate level
	1.6 Base the assignment of controls on a detailed risk analysis.	Advanced level
	1.7 Establish access control rules for each series.	Advanced level
	1.8 Approve the Access and Security Table, as well as the mechanisms for periodic review of it.	Advanced level
	1.9 Define and assign security metadata appropriate for each class of records.	Advanced level
2	Manage requests for access to public records	
	2.1 Proactively provide the necessary information and services so that the greatest number of people can exercise their right to access to public information.	Initial level
	2.2 Inform and advise users on their access requests.	Initial level
	2.3 Locate the records needed in order to respond to an information access request as promptly as possible.	Initial level
	2.4 Review the legal accessibility of the records requested.	Intermediate level
	2.5 Facilitate delivery of the records in the form in which they were requested.	Intermediate level
	2.6 Adequately document the procedures necessary for resolving an access request.	Intermediate level
3	Implement restrictions and an access control procedure	
	3.1 Control and represent records with restricted access, by means of finding aids and description systems.	Initial level
	3.2 Withdraw from public consultation all complete units with restricted access.	Initial level
	3.3 Provide partial access to records through redaction of confidential data in paper copies.	Initial level

Lines of action		Commitments	Level
	3.4	Have a register of user permissions.	
	3.5	Establish an access control procedure in conformity with the ISO 15489 standard.	
	3.6	Implement access control in the management system for electronic records.	

5. References and Bibliography

5.1. References

- AUSTRALIA. STATE RECORDS AUTHORITY OF NEW SOUTH WALES (SRA-NSW). 2003. *Strategies for Documenting Government Business: The DIRKS Manual* [online]. Revised edition: January 2007. Kingswood: State Records Authority of New South Wales. [Retrieved: 15 December 2014]. Available at: <http://www.records.nsw.gov.au/recordkeeping/advice/designing-implementing-and-managing-systems/dirks-manual/dirks-manual>
- AUSTRALIA. STATE RECORDS AUTHORITY OF NEW SOUTH WALES (SRA-NSW). 2011. *How records management techniques and skills can contribute to information security objectives* [online]. Kingswood: State Records Authority of New South Wales. Advice: Information Security. [Retrieved: 15 December 2014]. Available at: <http://www.records.nsw.gov.au/recordkeeping/advice/information-security/how-records-management-techniques-and-skills-can-contribute-to-information-security-objectives>
- CHILE. CONTRALORÍA GENERAL DE LA REPÚBLICA. 2012. *Manual de Buenas Prácticas para la Tramitación de Solicitudes de Acceso a la Información. Ley 20.285 sobre Acceso a la Información Pública* [online]. Santiago de Chile: Controller-General of the Republic [Retrieved: 15 December 2014]. Available at: http://www.oas.org/juridico/PDFs/mesicic4_chl_bue_acc.pdf
- INTERNATIONAL ORGANIZATION FOR STANDARDIZATION (ISO). 2001. *ISO/TR 15489-2:2001. Information and documentation - Records management - Part 2: Guidelines*. Geneva: ISO. [The following equivalent version in Spanish was used: AENOR. 2006. *UNE-ISO/TR 15489-2:2006. Información y documentación. Gestión de documentos. Parte 2: Directrices*. Madrid: AENOR].
- INTERNATIONAL ORGANIZATION FOR STANDARDIZATION (ISO). 2011. *ISO 16175-2:2011: Information and documentation - Principles and functional requirements for records in electronic office environments - Part 2: Guidelines and functional requirements for digital records management systems*. Geneva: ISO. [The following equivalent version in Spanish was used: AENOR. 2012. *UNE-ISO 16175-2:2012. Información y documentación. Principios y requisitos funcionales para documentos en entornos de oficina electrónica. Parte 2: Directrices y requisitos funcionales para sistemas que gestionan documentos electrónicos*. Madrid: AENOR].
- INTERNATIONAL ORGANIZATION FOR STANDARDIZATION (ISO). 2010. *ISO 16175-3:2010: Information and documentation - Principles and functional requirements for records in electronic office environments - Part 3: Guidelines and functional requirements for records in business systems*. Geneva: ISO. [The following equivalent version in Spanish was used: AENOR. 2012. *UNE-ISO 16175-3:2012. Información y documentación. Principios y requisitos funcionales para documentos en entornos de oficina electrónica. Parte 3: Directrices y requisitos funcionales para documentos en los sistemas de la organización*. Madrid: AENOR].

- INTERNATIONAL ORGANIZATION FOR STANDARDIZATION (ISO). 2013. *ISO/IEC 27002:2013. Information technology - Security techniques - Code of practice for information security controls*. Geneva: ISO.
- OPEN SOCIETY JUSTICE INITIATIVE (OSJI). 2013. *The Global Principles on National Security and the Right to Information (Tshwane Principles)* [online]. New York: Open Society Foundations. [Retrieved: 15 December 2014]. Available at: <http://www.opensocietyfoundations.org/sites/default/files/global-principles-national-security-10232013.pdf>
- ORGANIZATION OF AMERICAN STATES (OAS). 2010a. *Model Inter-American Law on Access to Information* [online]. AG/RES. 2607 (XL-O/10). [Retrieved in Spanish: 15 December 2014]. Available at: http://www.oas.org/dil/esp/AG-RES_2607-2010.pdf
- ORGANIZATION OF AMERICAN STATES (OAS). 2010b. *Commentary and Guide for Implementation for the Model Inter-American Law on Access to Information* [online]. CP/CAJP-2841/10. [Retrieved in Spanish: 15 December 2014]. Available at: http://www.oas.org/es/sla/ddi/docs/AG-RES_2841_XL-O-10_esp.pdf
- ORGANIZATION OF AMERICAN STATES (OAS). 2013. *Access to public information and protection of personal data* [online]. AG/RES. 2811 (XLIII-O/13). [Retrieved in Spanish: 15 December 2014]. Available at: http://www.oas.org/es/sla/ddi/docs/AG-RES_2811_XLIII-O-13_esp.pdf
- SPAIN. DIRECCIÓN GENERAL DE MODERNIZACIÓN ADMINISTRATIVA, PROCEDIMIENTOS E IMPULSO DE LA ADMINISTRACIÓN ELECTRÓNICA. 2012. *MAGERIT: Metodología de Análisis y Gestión de Riesgos de los Sistemas de Información* [online]. Versión 3.0. Madrid: Ministerio de Hacienda y Administraciones Públicas. [Retrieved: 15 December 2014]. Available at: <http://administracionelectronica.gob.es/ctt/magerit>
- XXXI CONFERENCIA INTERNACIONAL DE AUTORIDADES DE PROTECCIÓN DE DATOS. 2009. *Estándares Internacionales sobre Protección de Datos Personales y Privacidad: Resolución de Madrid* [online]. Madrid: Agencia Española de Protección de Datos. [Retrieved: 15 December 2014]. Available at: http://www.agpd.es/portalwebAGPD/canaldocumentacion/conferencias/common/pdfs/31_conferencia_internacional/estandares_resolucion_madrid_es.pdf

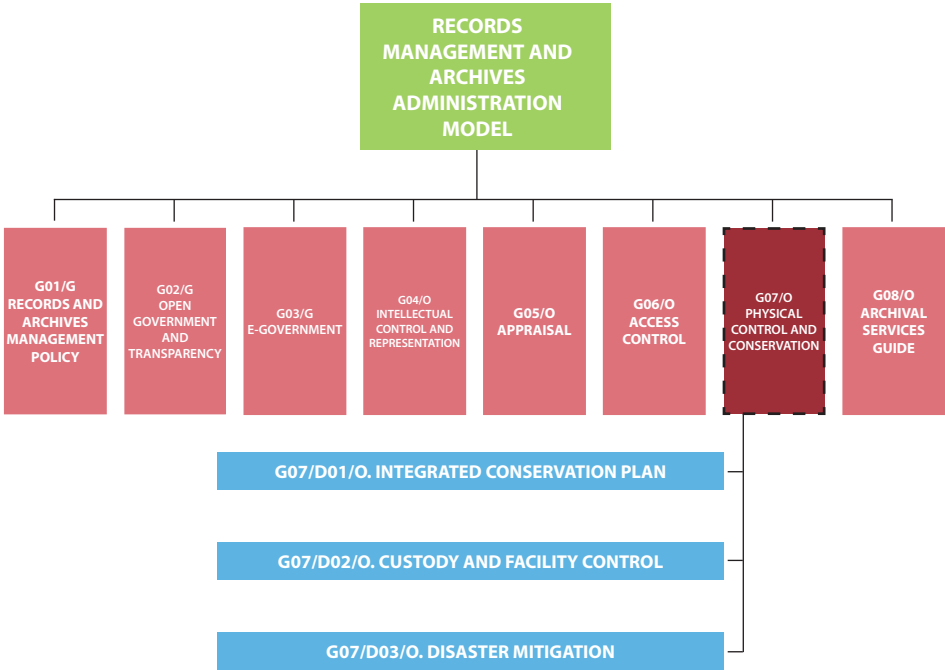
5.2. Bibliography

- CENTRO DE ARCHIVOS Y ACCESO A LA INFORMACIÓN PÚBLICA (CAinfo). 2012. *Seguridad nacional y acceso a la información en América Latina: estado de situación y desafíos* [online]. Document prepared by the Centro de Archivos y Acceso a la Información Pública (CAinfo) with the technical assistance of the Centro de Estudios para la Libertad de Expresión y Acceso a la información (CELE) of the Law School of the Universidad de Palermo, Argentina. Montevideo: CAinfo. [Retrieved: 15 December 2014]. Available at: <http://www.palermo.edu/cele/pdf/NS-AI.pdf>
- DAVARA FERNÁNDEZ DE MARCOS, I. 2011. *Hacia la estandarización de la protección de datos personales. Propuesta sobre una «tercera vía o tertium genus» internacional*. Madrid: La Ley.
- DUCHEIN, M. 1983. *Obstacles to the Access. Use and Transfer of Information from Archives: A RAMP study* [online]. General Information Programme and UNISIST. Paris: UNESCO. [Retrieved in Spanish: 15 December 2014]. Available at: <http://unesdoc.unesco.org/images/0005/000576/057672so.pdf>
- FERNÁNDEZ CUESTA, F. 2011. *Protección de datos en archivos públicos: introducción a su estudio* [online]. HERNÁNDEZ OLIVERA, L. (dir.). Trabajo Grado de Salamanca, Universidad de Salamanca. [Retrieved: 7 February 2014]. Available at: <http://hdl.handle.net/10366/111529>
- FERNÁNDEZ CUESTA, F. 2012. 'Al servicio de la transparencia. El papel de los archiveros y la gestión documental en el acceso a la información pública'. *Métodos de información* [online], 3 (5), pp. 153-166.

- [Retrieved: 15 December 2014]. Available at: <http://www.metodosdeinformacion.es/mei/index.php/mei/article/view/IIMEI3-N5-153166/768>
- FUMEGA, S. 2014. *El uso de las tecnologías de información y comunicación para la implementación de leyes de acceso a la información pública* [online]. Santiago de Chile: Consejo para la Transparencia. [Retrieved: 15 December 2014]. Available at: http://redrta.cplt.cl/_public/public/folder_attachment/55/1a/1a3b_6f48.pdf
- GÓMEZ, R. [et. al.]. 2010. 'Metodología y gobierno de la gestión de riesgos de tecnologías de la información'. *Revista de Ingeniería* [online], 31, pp. 109-118. [Retrieved: 15 December 2014]. Available at: <http://www.redalyc.org/articulo.oa?id=121015012006>
- GÓMEZ FERNÁNDEZ, L.; ANDRÉS ÁLVAREZ, A. 2012. *Guía de aplicación de la Norma UNE-ISO/IEC 27001 sobre seguridad de sistemas de información para PYMES*. 2nd ed. Madrid: AENOR.
- LA TORRE MERINO, J. L.; MARTÍN-PALOMINO Y BENITO, M. 2000. *Metodología para la identificación y valoración de fondos documentales*. Madrid: Ministerio de Educación, Cultura y Deporte. Escuela Iberoamericana de Archivos: Experiencias y materiales.
- ORENGA, L.; SOLER, J. 2010. *Com es fa un Quadre de Seguretat i Accés?* [Online presentation]. Teaching materials for the course of the same name held on 10 and 17 November 2010 in Tarragona and Barcelona by the Associació d'Arxivers de Catalunya. [Retrieved: 15 December 2014]. Available at: <http://www.slideshare.net/JoanSolerJimnez/com-es-fa-un-quadre-de-seguretat-i-accs>
- SCARENSI, M. J. 2014. La legislación archivística y el acceso a la información en América Latina. At: TORRES, N. (comp.). *Hacia una política integral de gestión de la información pública. Todo lo que siempre quisimos saber sobre archivos (y nunca nos animamos a preguntarle al acceso a la información)* [online]. Buenos Aires: Centro de Estudios en Libertad de Expresión y Acceso a la Información (CELE); Universidad de Palermo, pp. 109-154. [Retrieved: 15 December 2014]. Available at: http://www.palermo.edu/cele/pdf/Hacia_una_politica_integral-kk.pdf
- SERRA SERRA, J. 2013. 'Una interpretación metodológica de la norma ISO 15489 para la implantación de un sistema de gestión de documentos'. At: *Jornadas Ibéricas de Arquivos Municipais: Políticas, Sistemas e Instrumentos nos Arquivos Municipais, 04 e 05 de Junho 2013* [online]. Lisbon: Arquivo Municipal. [Retrieved: 15 December 2014]. Available at: http://arquivomunicipal.cm-lisboa.pt/fotos/editor2/j_serra.pdf
- TORRES, N. (comp.). [2013]. *Acceso a la información y datos personales: una vieja tensión, nuevos desafíos* [online]. Buenos Aires: Centro de Estudios en Libertad de Expresión y Acceso a la Información (CELE). [Retrieved: 15 December 2014]. Available at: http://www.palermo.edu/cele/pdf/DatosPersonales_Final.pdf

G07/O. Physical control and conservation

This implementation guide forms part of the MGD as indicated in the following diagram of relationships:



1. Introduction and objectives

1.1. Brief introduction

Process and control implementation guides (operational guides) provide technical coordinators responsible for the management system for records with the general lines of action and commitments required in order to implement the processes and technical controls of the Records Management and Archives Administration Model of the Transparency and Access to Public Information Network (RTA).

This guide provides an implementation methodology with technical recommendations for the adequate physical control and conservation of records and defines the outcomes to be achieved, always with due regard for the rules, legislation and regulations in force in the respective national legal systems.

1.2. Purpose

The purpose of this implementation guide is to provide technical recommendations for the conservation of records within the framework of the Records Management and Archives Administration Model of the Transparency and Access to Public Information Network (RTA).

1.3. Audience

The process-oriented or operational implementation guides are primarily aimed at the individuals appointed by top management to coordinate the implementation of the MGD, at both the managerial and operational level and the specialists charged with the implementation of the model. Their secondary audience consists of the internal users within the organisation.

The primary audience for this operational implementation guide is as specified in points B and C and the secondary audience is as specified in point D. The audience codes used are those stipulated in the ISO 30300 standard (*Information and documentation. Management systems for records. Fundamentals and vocabulary*), which is used as reference in relation to this issue in this model, as set out below:

Primary audiences

B. MGD implementation coordinators: individuals appointed by top management to coordinate the implementation of the MGD at both the managerial and operational level. Both responsibilities may be assigned to the same person or group.

B.01.Management representative: specific representative of top management who leads and takes responsibility for the implementation of the MGD (ISO 30301:2011, 5.3.2).

B.02. Records operational representative: person appointed by top management to implement the MGD at the operational level (ISO 30301:2011, 5.3.3). Includes individuals with primary responsibility for archival institutions

C. Specialists responsible for the implementation of the MGD:

C.01. Records professionals: persons charged with establishing the policies, procedures and general standards, and implementing records management processes and controls (ISO/TR 15489-2:2001, 2.3.2.b).

C.02. Professionals with specific duties in relation to records: professionals in the areas of risk management, auditing, information technologies and information security (ISO/TR 15489-2:2001, 2.3.2.d; ISO 30301:2011, Introduction).

Secondary audiences

D. Internal users

D.01 Heads of management units: individuals responsible for guaranteeing that the people they supervise create and maintain records as an integral part of their work and in accordance with established policies and procedures (ISO/TR 15489-2:2001, 2.3.2.c).

D.02. All other personnel: these are the staff members who create, receive and maintain records as part of their daily work, in accordance with established policies, procedures and standards (ISO/TR 15489-2:2001, 2.3.2.e).

1.4. Scope and content

This implementation guide presents a series of general lines of action that form a flexible set of commitments for implementing the Records Management and Archives Administration Model of the RTA with respect to conservation. These commitments may be undertaken by the organisations or institutions according to different improvement levels.

Therefore, the commitments to be satisfied, which form a general line of action, are not necessarily envisaged in a linear fashion. They can be undertaken in different stages, in an iterative, partial or gradual way, depending on the needs of the organisation, its requirements and the changes that may be taking place in the organisation's environment and within its particular field of action.

The guide includes a table including:

- The lines of action, identified by their numerical code.
- The commitments to be satisfied for completion of these lines of action. A numerical code used in the guidelines.
- The different improvement levels for satisfying the commitments listed, identified using the following colour-coding:

- Lines of action
 Initial level
 Intermediate level
 Advanced level

1.5. Related documents

Di	G07/D01/O Integrated conservation plan
Di	G07/D02/O Custody and facility control
Di	G07/D03/O Disaster mitigation

2. What is conservation?

Conservation is the set of procedures and measures aimed at ensuring, on one hand, the conservation of records or the prevention of possible physical alterations to records, and on the other hand, their restoration when alteration has occurred.

The scope of conservation makes it possible, therefore, to draw a preliminary distinction between conservation and restoration. Likewise, conservation may be preventive or remedial in nature. Preventive conservation is understood to be that which, through its actions, indirectly delays deterioration and prevents the risks of alteration, while simultaneously being compatible with the social use of the materials in question. Remedial conservation is understood to be that which acts directly to delay alteration.

Restoration, for its part, involves interventions on materials that have already been damaged in order to facilitate their use, while respecting their integrity to the greatest extent possible.

Following this logic, the following aspects can be considered as part of preventive conservation:

- Control of ambient conditions.
- Use of records in a way that does not cause physical deterioration.
- Security measures for disasters.

Remedial conservation has the following components:

- Individual intervention on records.
- Cleaning.
- Deacidification.

The difference between remedial conservation and restoration, however, seems less clear. Without going into excessive detail on the subject, remedial conservation is applied to deteriorated and non-deteriorated records, while restoration would be applied to items already deteriorated to the point of being unusable.

In the interest of clarity and simplification, a classification of the tasks assigned to conservation and restoration would result the following table:

- Preventive conservation:
 - 1) Comprehensive, regarding ambient and use conditions:
 - control and regulation of temperature, humidity, light, and other ambient factors;
 - pest control;
 - rules for handling; and
 - action plans for disaster mitigation.
 - 2) Individual, regarding a record or group of records:
 - protection,
 - dust removal, and
 - conservation of certain special records in security vaults.
- Direct intervention on the material:
 - 1) Cleaning to remove elements that interfere with reading.
 - 2) Reinforcement of fragile or weak material.
 - 3) Stabilisation of chemical degradation.
 - 4) Repair of physical defects and reconstitution of materials.

This implementation guide will address only the aspects related to preventive conservation.

3. Benefits of conservation

It will be considered good practice for public institutions to design and implement a conservation policy for the archival fonds in their custody. Through satisfying the commitments in relation to conservation, the institution acquires a series of benefits.

Proper conservation enables access to the information generated by the creating body, with the resulting added value that the security provided by suitable storage facilities affords said records.

An institution's control over the conservation of its own records makes an evident contribution to their management, such as the ability to quickly locate assets and collaborate in problem-solving.

Furthermore, control over records conservation procedures makes it possible to reduce the risk of undesired losses of information and records that provide evidence of institutional or individual rights. Therefore, as a nuance in this regard, the possibility of being accountable for its own business through proper custody of record series increases the importance of respectful conservation.

In terms of the conservation of records that are vital for the normal operation of the organisation in the event of hypothetical disasters or accidents, proper planning will enable business continuity.

The importance of a careful conservation of the informational or historical value of records held in the archives should not be overlooked either. That said, neither should the economic benefits that preventive conservation may represent in terms of the costs of restoration treatments that can be avoided if the institution appropriately implements good practice.

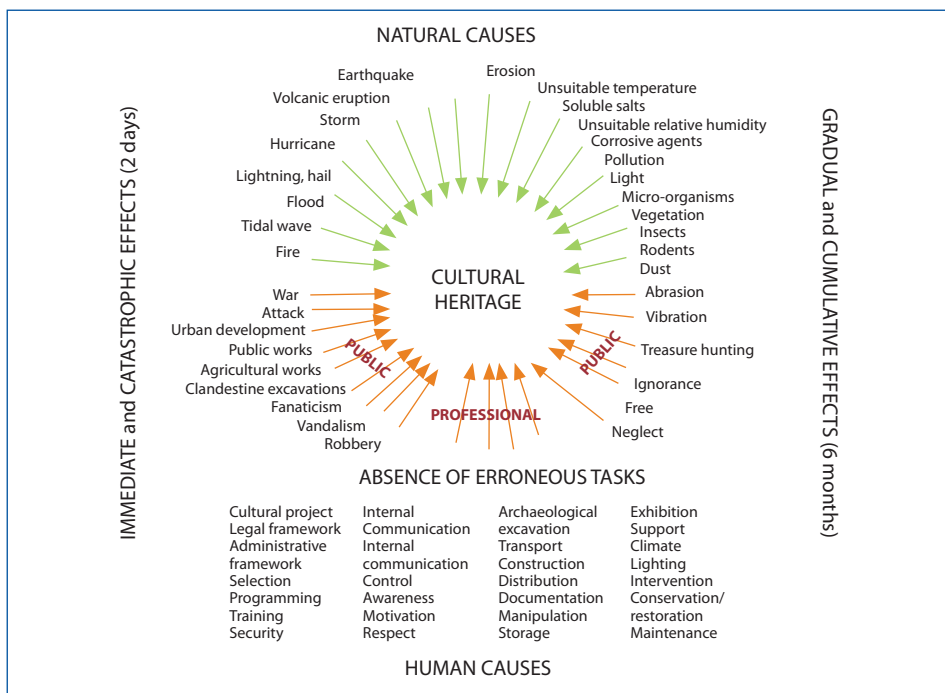
Preventive conservation, in the context of archival records, will make it easy for the organisation to access and use records throughout their life cycle. This optimal use is derived from the ability to quickly locate and maintain records.

The conservation process must also include the management of a disaster mitigation plan which, in the event of a disaster, will ensure real functional continuity in the creating and custodian organisation, whilst safeguarding its most valuable records.



In this comprehensive management area, it is essential that all of the organisation's staff participate actively by knowing their duties based on their training and responsibilities.

Preservation is therefore a process which, when strictly followed and performed, will cover the current and future needs of the institution for the conservation of the archival fonds generated, which will be a reflection of its specific business and historical memory, benefiting the interests of the institution itself and those of citizens.



DE GUICHEN, G. Conservación preventiva: ¿en qué punto nos encontramos en 2013? *Patrimonio Cultural de España* [online], 7, 2013. [Retrieved: 15 December 2014]. Available at: https://sede.educacion.gob.es/publiventa/descarga.action?f_codigo_agc=14392C

4. Lines of Action

4.1. Line of action 1: planning of archival custody

The first action to be taken in the context of conservation is its inclusion in a comprehensive planning process. This planning should be coordinated with the overall activities of the organisation and should identify the processes, procedures and operations necessary for its implementation.

Commitments

1. Research the needs and resources of the institution to specify the custody requirements, the suitability of options and their overlap with strategic plans.
2. Determine the responsibilities that exist in archival custody.
3. Adapt records centres to the needs of the records and the organisation.

4.2. Line of action 2: authorisation and inspection of records centres

The authorisation and inspection of records centres must guarantee that archival fonds are stored under adequate conditions in terms of conservation, access and

security, with the intention of improving spaces or facilities that fail to satisfy the commitments related to good conservation.

Commitments

1. Conserve records in duly authorised facilities.
2. Document, justify and disseminate decisions.
3. Work with assessment methods for preventive conservation.

4.3. Line of action 3: location and construction

The facilities used for custody of archival records should guarantee their security through their construction characteristics and remoteness from places likely to pose a risk to their fonds.

Commitments

1. Analyse the risk factors that the location and construction of facilities pose for the records and staff of the centre.
2. Have a fire-detection system and other protection equipment.
3. Guarantee the security of the records in the facilities of the records centre.
4. Separate the facilities of the records centre from other work areas of the organisation.

4.4. Line of action 4: conservation/ambient control

Archival records should be held in a way that ensures their conservation for the periods of time stipulated in appraisal tables. Records should be conserved under conditions that are suitable for both their format and preservation period.

Commitments

1. Approve and implement a preventive conservation programme.
2. Maintain suitable ambient conditions in the facilities.
3. Implement and maintain a system to manage biodeterioration.
4. Ensure that the systems used preserve electronic records and their associated metadata.

4.5. Line of action 5: disaster prevention

An archive service must have a disaster prevention programme, as well as one for the management and recovery of any documentation that may be affected by unforeseen events.

Commitments

1. Define responsibilities as an essential measure for establishing a disaster mitigation plan.

2. Assess the risks and action protocols.
3. Draft a disaster mitigation plan as the culmination of the planning phase.
4. Use the information obtained in the planning phase to protect against the weaknesses or dangers detected.
5. Following a disaster, activate the planned and designed measures and protocols in order to minimise the impact.
6. Stabilise the environment and the materials.
7. Evacuate and treat the fonds affected by the disaster.

5. Table of actions

This table sets out:

- The lines of action, identified by their numerical code.
- The commitments to be satisfied for completion of these lines of action, with a numerical code that will also appear in the table of commitments included in the guidelines.
- The different improvement levels for satisfying the commitments.

Legend:

- Lines of action
 Initial level
 Intermediate level
 Advanced level

Lines of action	Commitments	Level
1	Planning of archival custody	
	1.1 Research the needs and resources of the institution to specify the custody requirements, the suitability of options and their overlap with strategic plans.	
	1.2 Determine the responsibilities that exist in archival custody.	
	1.3 Adapt records centres to the needs of the records and the organisation.	
2	Authorisation and inspection of records centres	
	2.1 Conserve records in duly authorised facilities.	
	2.2 Document, justify and disseminate decisions.	
	2.3 Work with assessment methods for preventive conservation.	
3	Location and construction	
	3.1 Analyse the risk factors that the location and construction of facilities pose for the records and staff of the centre.	
	3.2 Have a fire-detection system and other protection equipment.	

Lines of action		Commitments	Level
	3.3	Guarantee the security of the records in the facilities of the records centre.	
	3.4	Separate the facilities of the records centre from other work areas of the organisation.	
4 Conservation/ambient control			
	4.1	Approve and implement a preventive conservation programme.	
	4.2	Maintain suitable ambient conditions in the facilities.	
	4.3	Implement and maintain a system to manage biodeterioration.	
	4.4	Ensure that the systems used preserve electronic records and their associated metadata.	
5 Disaster prevention			
	5.1	Define responsibilities as an essential measure for establishing a disaster mitigation plan.	
	5.2	Assess the risks and action protocols.	
	5.3	Draft a disaster mitigation plan as the culmination of the planning phase.	
	5.4	Use the information obtained in the planning phase to protect against the weaknesses or dangers detected.	
	5.5	Following a disaster, activate the planned and designed measures and protocols in order to minimise the impact.	
	5.6	Stabilise the environment and the materials.	
	5.7	Evacuate and treat the fonds affected by the disaster.	

6. References and Bibliography

6.1. References

- EUROPEAN CONFEDERATION CONSERVATOR-RESTORER'S ORGANISATIONS (ECCO). 2003. *Professional Guidelines. Code of Ethics* [online]. [Retrieved: 15 December 2014]. Available at: <http://www.ecco-eu.org/documents/ecco-documentation/index.php>
- INFORMACIÓN CIENTÍFICA INTERNACIONAL (ICI). 2011. *Estudio de opinión técnica sobre implementación de mejores prácticas archivísticas y monitoreo a recomendaciones previas* [online]. Mexico: ICI. [Retrieved: 15 December 2014]. Available at: <http://inicio.ifai.org.mx/Estudios/estudio47.pdf>
- INTERNATIONAL ORGANIZATION FOR STANDARDIZATION (ISO). 2003. *ISO 11799:2003. Information and Documentation - Document Storage Requirements for Archive and Library Materials*. Geneva: ISO.
- INTERNATIONAL ORGANIZATION FOR STANDARDIZATION (ISO). 2012. *ISO 16363:2012 Space data and information transfer systems - Audit and certification of trustworthy digital repositories*. Geneva: ISO.

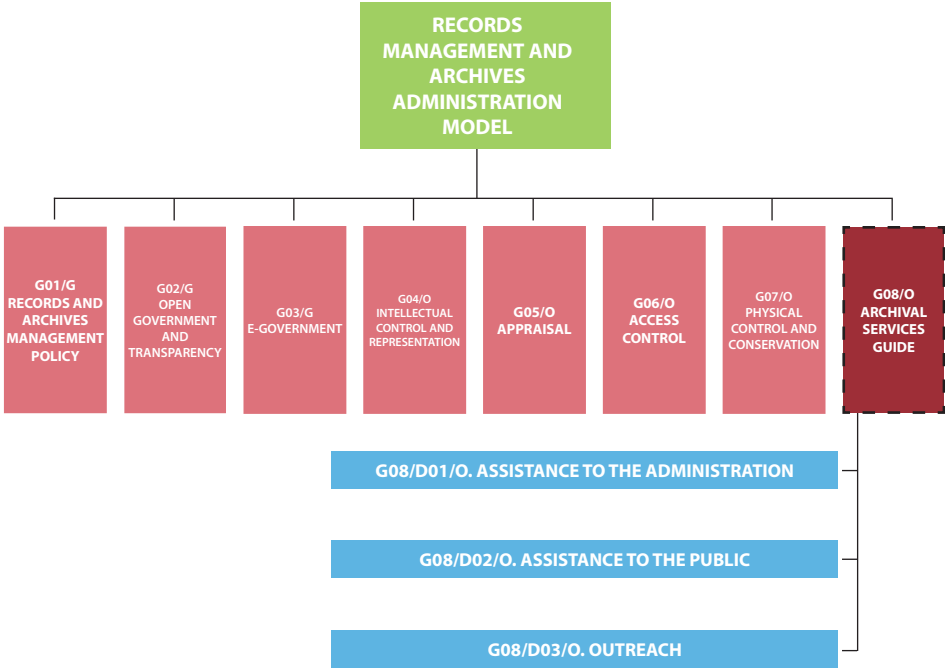
- RE-ORG website]. Paris: UNESCO; Rome: ICCROM [Retrieved: 15 December 2014]. Available at: <http://www.re-org.info/es>
- SPAIN. MINISTERIO DE CULTURA. 2010. *Conservación preventiva y Plan de Gestión de Desastres en archivos y bibliotecas* [online]. Madrid: Ministerio de Cultura. [Retrieved 15 December 2014]. Available at: http://www.ahhp.es/documentacion/conservacion_preventiva/Emergencias/Conservacion%20Libros%20y%20Documentos%20Plan%20Emergencias.pdf

6.2. Bibliography

- BELLO, C.; BORRELL, À. 2008. *Los documentos de archivo: cómo se conservan*. Gijón: Trea.
- HAEBERLEN, T.; LIVERI, D.; LAKKA, M. 2013. *Good Practice Guide for securely deploying Governmental Clouds* [online]. Heraklion: European Union Agency for Network and Information Security (ENISA). [Retrieved: 15 December 2014]. Available at: <http://www.enisa.europa.eu/activities/Resilience-and-CIIP/cloud-computing/good-practice-guide-for-securely-deploying-governmental-clouds>
- MILLARUELO, A. 2014. 'Estrategia de conservación de documentos en repositorio, conforme al calendario de conservación'. At: *Política de gestión de documentos electrónicos. Ponencias complementarias* [online]. Madrid: Ministerio de Hacienda y Administraciones Públicas. [Retrieved: 15 December 2014]. Available at: <http://www.minhap.gob.es/Documentacion/Publico/SGT/POLITICA%20DE%20GESTION%20DE%20DOCUMENTOS%20MINHAP/politica%20de%20gestion%20de%20documentos%20electronicos%20MINHAP-ponencias%20complementarias%20al%20documento.pdf>
- OGDEN, S. 2000. *El manual de preservación de bibliotecas y archivos del Northeast Document Conservation Center* [online]. Santiago de Chile: DIBAM. [Retrieved: 15 December 2014]. Available at: http://www.dibam.cl/dinamicas/pdf_1.PDF
- ROTAECHE GONZÁLEZ DE UBIETA, M. 2007. *Transporte, depósito y manipulación de obras de arte*. Madrid: Síntesis.
- SÁNCHEZ HERNÁNDEZ, A. 1999. *Políticas de Conservación en Bibliotecas. Instrumenta Bibliológica*. Madrid: Arco Libros.
- TACÓN CLAVAIN, J. 2008. *La conservación en archivos y bibliotecas: prevención y protección*. Madrid: Ollero y Ramos.
- TACÓN CLAVAIN, J. 2011. *Soportes y técnicas documentales: causas de su deterioro*. Madrid: Ollero y Ramos.

G08/O. Archival services

This implementation guide forms part of the MGD as indicated in the following diagram of relationships:



1. Introduction and objectives

1.1. Brief introduction

Operational implementation guides provide technical coordinators responsible for the management system for records with the general lines of action and the commitments required in order to implement the processes and technical controls of the Records Management and Archives Administration Model of the Transparency and Access to Public Information Network (RTA).

This guide provides an implementation methodology with technical recommendations for effectively maintaining the various services offered by an archive and defines the outcomes to be achieved, always with due regard for the rules, legislation and regulations in force in the respective national legal systems.

1.2. Purpose

The purpose of this implementation guide is to provide technical recommendations for effectively maintaining the various services offered by an archive within the framework of the Records Management and Archives Administration Model of the Transparency and Access to Public Information Network (RTA).

1.3. Audience

The process-oriented or operational implementation guides are primarily aimed at the individuals appointed by top management to coordinate the implementation of the MGD, at both the managerial and operational level and the specialists charged with the implementation of the model. Their secondary audience consists of the internal users within the organisation.

The primary audience for this operational implementation guide is as specified in points B and C and the secondary audience is as specified in point D. The audience codes used are those stipulated in the ISO 30300 standard (*Information and documentation. Management systems for records. Fundamentals and vocabulary*), which is used as reference in relation to this issue in this model, as set out below:

Primary audiences

B. MGD implementation coordinators: individuals appointed by top management to coordinate the implementation of the MSR at both the managerial and operational level. Both responsibilities may be assigned to the same person or group, but there are also cases in which two types of coordinators exist:

B.2. Management representative: specific representative of top management who leads and takes responsibility for implementation of the MSR (ISO 30301:2011, 5.3.2).

B.3 Records management representative: person appointed by top management to implement the MSR at the operational level (ISO 30301:2011, 5.3.3). This category includes individuals with primary responsibility for archival institutions.

C. Specialists responsible for the implementation of the MGD:

C.2. Records professionals: persons charged with establishing the policies, procedures and general standards, and for implementing records management processes and controls within an organisation (ISO/TR 15489-2:2001, 2.3.2.b).

C.3. Professionals with specific duties in relation to records: professionals in the areas of risk management, auditing, information technologies and information security (ISO/TR 15489-2:2001, 2.3.2.d; ISO 30301:2011, Introduction).

Secondary audiences

D. Internal users:

D.01 Heads of management units: individuals responsible for guaranteeing that the people they supervise create and maintain records as an integral part of their work and according to established policies and procedures (ISO/TR 15489-2:2001, 2.3.2.c).

D.2. All other personnel: staff who create, receive and maintain records as part of their daily work, in accordance with established policies, procedures and standards (ISO/TR 15489-2:2001, 2.3.2.e).

1.4. Scope and content

This implementation guide presents a series of general lines of action that form a flexible set of commitments for implementing the Records Management and Archives Administration Model of the RTA with respect to the services offered by an archive. These commitments may be undertaken by the organisations or institutions according to different improvement levels.




Therefore, the commitments to be satisfied, which form a general line of action, are not necessarily envisaged in a linear fashion. They can be undertaken in different stages, in an iterative, partial or gradual way, depending on the needs of the organisation, its requirements and the changes that may be taking place in the organisation's environment and within its particular field of action.

The guide includes a table:

- The lines of action, identified by their numerical code.
- The commitments to be satisfied for completion of these lines of action. A numerical code used in the guidelines.
- The different improvement levels for satisfying the commitments listed, identified using the following colour-coding:

	Lines of action		Initial level
	Intermediate level		Advanced level

1.5. Related documents

	G08/D01/O Service to the Administration
	G08/D02/O Service to the public
	G08/D03/O Dissemination

2. Archival services

2.1. Definition of archival services

For the purposes of this implementation guide, the term ‘archival services’ is understood to mean the set of actions aimed at offering an added value to agents external to the archive, such as users from outside the responsible organisation’s other units or society in general.



Archival services are the essential reason for carrying out all other records management processes. Without them, all prior actions have no meaning or added value.

In this sense, we can consider that archival services are those processes directly related to the main interest groups that exist in an archive and in which the rest of the activities or operational processes are crystallised, as a means of offering users a response to their needs.

Archival services are a basic and strategic activity within an organisation. In no case should they be considered a subsidiary or auxiliary function, but rather as one of the actions that generates the greatest added value for the organisation.

2.2. Purpose of archival services

Any records management activity or process carried out in any part of the various functions or units of an archive should be aimed at offering a particular service to a sector of the centre's users.

In this sense, the basic functions of any archive will always include service to users, to a greater or lesser extent, according to the type of users of each centre (internal, external, known or unknown).

3. Benefits of archival services

The implementation of archival services within an organisation offers a series of substantial benefits that can be difficult to realise from other areas of the organisation.

The main benefits that can be identified when archival services are implemented within an organisation are as follows:

- Enables adequate identification of the type of the type of users or beneficiaries of the organisation, making it possible to evaluate strategies and objectives according to the types of users identified.
- Facilitates disclosure and explanations regarding the operation and the strategy implemented by an organisation.
- Provides specific recognition of the professional merit of the personnel and services that participate in the various actions carried out within the organisation, as a result of user satisfaction with the various services.
- Increases external recognition and enables better positioning of the organisation within its sector.
- Improves the reputation of the organisation in society.
- Inspires greater user loyalty with respect to the activities and objectives established within the organisation.

4. Lines of Action

4.1. Line of action 1: offer a continuous service of assistance to the creating administration

An archive is always is always part of a larger administrative organisation. This larger organisation is the archive's main user, given that any activity or process carried out is aimed at effectively fulfilling the basic objectives of this organisation.



Archives are part of a larger administrative entity which is responsible for the creation and management of the records held in the archive.

We therefore understand 'service of assistance to the creating administration' to be a basic process directly related to the archive's capability to respond to the needs of its internal users. These users should be understood to be the units that are part of the same organisation of which the archive forms part.

Among the various services an archive may offer to its administration, we can highlight the following:

- Participation in the design and monitoring of records management plans.
- Training of the organisation's personnel on matters of records management.
- Assistance to the organisation's various units in relation to the daily management of records.
- Transfers of records to the archive from the various units.
- Management of administrative loans.

Commitments

1. Report on the feasibility and development of strategic projects related to records management.
2. Have the archive unit carry out training activities in the various administrative units.
3. Coordinate the daily records management in the various administrative units of the organisation.
4. Execute transfers of documentation from the administrative units to the archive.
5. Organise a schedule of records transfers for the entire organisation.
6. Structure a comprehensive transfer system based on records appraisal schedules.
7. Carry out administrative loans from the archive to the administrative units.
8. Develop a comprehensive system for the entire organisation regarding control of records on administrative loan.

4.2. Line of action 2: offer a continuous service of assistance to external users

Another of the main interest groups identified in any archive are users who, whilst being outside the administration to which the archive belongs, may have their expectations met through the records management services offered by an archive.

The types of external users can be quite diverse and generally vary based on the type of archive or the organisation to which the archive belongs. This is because their interest does not relate to the objectives of the organisation itself but rather their needs are typically derived from the content of the archival fonds held in each archive.

An archive can therefore offer a very wide range of assistance services to external users, including the following:

- Advice and informational guidance, which is understood as the retrieval of information without the need to continue with other processes associated with this information.
- Consultation of documentation, which may be done in person at the archive or via electronic means, depending on the resources available and the needs of each user.
- The option to copy documents held in the archive, whilst in all cases complying with the applicable conditions.
- Training of external users with the aim of facilitating their access to records and the information they contain.

In order to adequately provide these types of services, it will be necessary to establish a series of control mechanisms, such as Service Charters or Satisfaction Surveys, which make it possible to clearly determine the opinions of this type of users with respect to the service received.

Commitments

1. Have a suitably equipped space set aside for attending to the public in an archive.
2. Offer an archival reference service tailored to the needs of the users.
3. Focus the services offered by the archive towards the needs raised by users.
4. Offer products to make retrieval and consultation of records easier.
5. Have automated record consultation systems available for users.
6. Offer training materials and support to archive users.
7. Have control instruments to facilitate the management of public assistance service.
8. Incorporate public service indicators in the processes and scorecards of the organisation.
9. Design and keep updated a charter listing the services offered to users.
10. Implement satisfaction surveys to determine the opinions of external users with respect to the service received.
11. Design a comprehensive policy that includes all user assistance actions.

4.3. Line of action 3: implement a personalised policy for publicising records and services

In the previous lines of action, it was possible to identify the various types of users to whom the services offered by the archive are directed. However, there is another channel in which identification of the beneficiary users is not as clear. That is archival outreach.



Archival outreach is conceived as the set of activities aimed at society as a whole and not merely to a group of users who are beneficiaries of these activities.

In this sense, we can consider archival outreach to be a function that consists of promoting and expanding the use and knowledge of the archival fonds and the services available at an archive in order to make all of society a participant in the role the archive plays.

To a certain extent, outreach services aim to expand the number of future users of the archive by promoting and expanding knowledge of the activities and processes carried out in archives. In doing so, it may be possible to establish the archive as a key driver for society that future users may come to view as an asset that generates added value.

To adequately carry out these types of services, and given that this is a process without a clearly defined beneficiary, it is important to have specially designed plans that consider outreach as an established activity within the organisation that, despite not generating immediate added value for the organisation itself, does enhance its reputation in society and its long-term perceived value.

For this reason, planning of outreach services should be contemplated as a long-term process that analyses multiple outreach variables and establishes promotion and publicity mechanisms that have not yet been considered in other operational processes.

Commitments

1. Include outreach activities in the competencies and responsibilities of the organisation's archive unit.
2. Conduct a diagnostic analysis of the situation surrounding the organisation's archive to develop a suitable outreach plan.
3. Design the processes related to outreach under the responsibility of the unit in charge of records management within the organisation.
4. Put together a Comprehensive Outreach Plan, approved by the organisation, as an additional strategic element of the archive unit.
5. Execute and monitor the Outreach Plan and the activities that it includes.
6. Conduct a final analysis of the outcomes and establish improvements in future outreach plans.

5. Table of actions

This table sets out:

- The lines of action, identified by their numeric code.
- The commitments to be satisfied for completion of these lines of action, with a numerical code that will also appear in the table of commitments included in the guidelines.
- The different improvement levels for satisfying the commitments.

Legend:

- Lines of action
 Initial level
 Intermediate level
 Advanced level

Lines of action	Commitments	Level
1	Offer a continuous service of assistance to the creating administration	
1.1	Report on the feasibility and development of strategic projects related to records management.	
1.2	Coordinate the daily records management in the various administrative units of the organisation.	
1.3	Execute transfers of documentation from the administrative units to the archive.	
1.4	Carry out administrative loans from the archive to the administrative units.	
1.5	Organise a schedule of records transfers for the entire organisation.	
1.6	Have the archive unit carry out training activities in the various administrative units.	
1.7	Structure a comprehensive transfer system based on records appraisal schedules.	
1.8	Develop a comprehensive system for the entire organisation regarding control of records on administrative loan.	
2	Offer a continuous service of assistance to external users	
2.1	Have a suitably equipped space set aside for attending to the public in an archive.	
2.2	Offer an archival reference service tailored to the needs of the users.	
2.3	Focus the services offered by the archive towards the needs raised by users.	
2.4	Offer products to make retrieval and consultation of records easier.	
2.5	Have automated record consultation systems available for users.	
2.6	Offer training materials and support to archive users.	
2.7	Have control instruments to facilitate the management of public assistance service.	
2.8	Incorporate public service indicators in the processes and scorecards of the organisation.	
2.9	Design and keep updated a charter listing the services offered to users.	
2.10	Implement satisfaction surveys to determine the opinions of external users with respect to the service received.	
2.11	Design a comprehensive policy that includes all user assistance actions.	

3	Implement a personalised policy for publicising records and services	
	3.1	Include outreach activities in the competencies and responsibilities of the organisation's archive unit.
	3.2	Conduct an analysis of the situation surrounding the organisation's archive to develop a suitable outreach plan.
	3.3	Design the processes related to outreach under the responsibility of the unit in charge of records management within the organisation.
	3.4	Put together a Comprehensive Outreach Plan, approved by the organisation, as an additional strategic element of the archive unit.
	3.5	Execute and monitor the Outreach Plan and the activities that it includes.
	3.6	Conduct a final analysis of the outcomes and establish improvements in future outreach plans.

6. References and Bibliography

6.1. References

- INTERNATIONAL ORGANIZATION FOR STANDARDIZATION (ISO). 2001b. *ISO/TR 15489-2:2001: Information and documentation - Records management - Part 2: Guidelines*. Geneva: ISO. [The following equivalent version in Spanish was used: AENOR. 2006. *UNE-ISO/TR 15489-2:2006. Información y documentación. Gestión de documentos. Parte 2: Directrices*. Madrid: AENOR].
- IFLA. 2001. The Public Library Service: the IFLA/UNESCO Guidelines for Development [online] Paris: UNESCO; The Hague: IFLA. [Retrieved in Spanish: 15 December 2014]. Available at: <http://archive.ifla.org/VII/s8/news/pg01-s.pdf>
- SPAIN. AGENCIA DE EVALUACIÓN Y CALIDAD. 2009. *Guía para la evaluación de la calidad de los Servicios Públicos* [online]. Madrid: AEVAL [Retrieved: 15 December 2014]. Available at: http://www.aeval.es/es/difusion_y_comunicacion/publicaciones/Guias/Guias_Evaluacion_Politicas_Publicas_y_Calidad_SSPP/guia_evaluacion_calidad.html
- SPAIN. AGENCIA DE EVALUACIÓN Y CALIDAD. 2010. *Guía para el desarrollo de cartas de servicios* [online]. Madrid: AEVAL [Retrieved: 15 December 2014]. Available at: http://www.aeval.es/es/difusion_y_comunicacion/publicaciones/Guias/Guias_Marco_General_Mejora_Calidad/guia_cartas.html
- SPAIN. MINISTERIO DE CULTURA. 1995. *Diccionario de Terminología Archivística* [online]. Madrid: Subdirección General de los Archivos Estatales. [Retrieved: 15 December 2014]. Available at: <http://www.mecd.gob.es/cultura-mecd/areas-cultura/archivos/mc/dta/portada.html>
- SPAIN. MINISTERIO DE CULTURA. 1996. *Norma técnica sobre entrada y salida de documentos en los archivos*. Madrid: Subdirección General de los Archivos Estatales

6.2. Bibliography

- ALBERCH I FUGUERAS, R. 2003. Les usagers des archives municipales. *Comma*, 2-3, pp. 75-79.
- ASENSIO, M.; CRUCES, E. [et al.]. 2010. 'Un estudio de usuarios del Archivo Histórico Provincial de Málaga'. *ARCH-e. Revista Andaluza de Archivos* [online], 3. [Retrieved: 15 December 2014]. Available at: http://www.juntadeandalucia.es/culturaydeporte/archivos_html/sites/default/contenidos/general/revista/numeros/Numero_3/Galeria/03_03_01_Articulo_Asensiox_Crucesx_Perezx_Diazx_Pol.pdf
- BOPP, R.; SMITH, L. 2011. *Reference and information services: An introduction*. 4th edition. Santa Barbara: Libraries Unlimited.
- CASTILLO BURGOS, E. E. 2009. 'Propuesta para construir planes de difusión en archivos universitarios'. *Revista Códice* [online], 5 (2), pp. 209-225 [Retrieved: 15 December 2014]. Available at: <http://eprints.rclis.org/20239/1/Propuesta%20para%20construir%20planes%20de%20difusi%C3%B3n%20en%20archivos%20universitarios.pdf>
- CERDA DÍAZ, J. 2008. 'Las exposiciones documentales. Técnicas y tendencias'. *Tábula*, 11, pp. 359-384
- CERDÁ DÍAZ, J. 2010. 'Los archivos, un lugar para descubrir. Experiencias de dinamización cultural' [online]. At: 3^a Jornadas Archivando. *La difusión en los archivos. Actas*. León: Fundación Sierra Pambley. [Retrieved: 15 December 2014]. Disponible en: http://archivosierrapambley.files.wordpress.com/2011/01/actas_jornadas_2010.pdf
- JAÉN GARCÍA, L. F. 2008. 'Los estudios de usuarios en archivos: Aplicación en el Archivo Histórico del Archivo Nacional de Costa Rica'. *Revista del Archivo Nacional*, 72 (1-12), pp. 11-72.
- MERLO VEGA, J. A. 2000. 'El servicio bibliotecario de referencia'. *Anales de Documentación* [online], 3, pp. 93-126. [Retrieved: 15 December 2014]. Available at: <http://eprints.rclis.org/11950/1/AD07-2000.PDF>
- PUGH, M. J. 2005. *Providing Reference Services for Archives and Manuscripts*. Chicago: Society of American Archivists.
- SÁNCHEZ FERRO, P. 2005. 'Propuesta para el establecimiento de unas normas y recomendaciones de consulta en sala'. *Boletín de la ANABAD*, LV (3), pp. 105-122.
- SIMONET BARRIO, J. E. 1997. *Recomendaciones para la edificación de archivos*. 2^a edición. Madrid: Ministerio de Cultura. Normas técnicas de la Subdirección General de los Archivos Estatales, 3.

Glossary

Access and security chart: See *Access and security table*. **G06/D01/O**

Access and security table: Formal instrument that includes the ISO 15489 standards for identification of the security and access requirements applicable to the records, which consists of a classification of record categories based on their access restrictions and security conditions. **G06/D01/O**

Access control: Scheme of mechanisms used by the management system for records to prevent unauthorised access to records. **G06/D03/O**

Access control register: Instrument that provides evidence of actions and decisions relating to access to the information contained in a particular record unit. For this purpose, it brings together the different working documents on the decision-making process (especially, the legal accessibility review report and the document that records the final decision). **G06/D02/O**

Access restriction: Exclusion of certain information from the general regime of free access established by legal regulations to protect public and private interests (national security, privacy, etc.). By virtue of these regulations, access to the records that contain the affected information is limited—in a general way, for a specific time period—to certain authorised persons, except when the possibility of offering partial access is considered. **G06/D03/O**

Access right: See *Right of access to public information* **G02/D01/G**

Access to public information: See *Right of access to public information* **G02/D01/G**

Active publicity: See *Active transparency*. **G02/D02/G**

Active transparency: Dissemination or publication on a periodic, up-to-date and proactive basis—without the need for a prior request—of public sector data and information which is relevant for guaranteeing the transparency of its activity. On

many occasions, this publication is undertaken through a legal order or duty (especially through transparency and information access laws, which consider it one of their fundamental axes). It is typically done via the Internet, either through institutional websites or collected on specialised portals (called open government, transparency or open data portals) that host the dataset produced by a broad jurisdictional entity (a State, a municipality, the judiciary, etc.). **G02/D02/G**

Activity: Set of actions or tasks performed by an organisation in order to fulfil a particular function or part of same. **G04/D01/O**

Administrative loan: Archival process involving the temporary release of one or more records from an archival unit for administrative purposes. **G08/D01/O**

Administrative validity: Time period established in each administrative procedure for generating rights and duties. Its expiry marks the end of administrative activity. **G05/D01/O**

Advanced electronic signature: Numerical value associated with a data message which makes it possible to determine that this value was generated through the original key without subsequent modification. **G03/D03/G**

Agent: Institution, family or person responsible for or involved in the creation, production, management, etc. of archival records. **G04/D02/O**

Analysis of strengths, weaknesses, opportunities and threats: See *SWOT analysis*. **G01/D01/G**

Anonymisation: See *Redaction*. **G06/D03/O**

Application programming interface (API): Set of computer functions and procedures that facilitates the exchange of data or messages between two software applications or components. **G02/D03/G**

Appraisal: Phase of archival processing dedicated to analysing and determining the primary and secondary values of record series in order to establish transfer, access, preservation or destruction timeframes. **G05/D01/O**

Archival arrangement: Archival operation consisting of establishing patterns or sequences within the categories and groups defined by classification. **G04/D01/O**

Archival description: Creation of representations of archival documents and, where applicable, of other archival entities (agents, functions, etc.). This term also designates the results of the process. **G04/D02/O**

Archival description system: Information system oriented towards intellectual control of the records in the archive, both in terms of description by the archivist and with respect to search and location by users of the records that interest them. An archival description system always includes entity representations of the types of archival records and, optionally, may also include entities of other types (agents, functions, etc.). **G04/D02/O**

Archival information: Any information generated during records and archives management processes. **G02/D02/G**

Archival system: Framework in which methodological principles, techniques and tools for archiving are defined, planned, implemented, developed and evaluated. These principles serve as the basis for identifying the policies and standards that govern records management and archival processing in the organisation. The key elements that should make up an archive system are: specific legislation, executive and/or advisory bodies, affiliated centres, a defined programme of archival action, and human and budgetary resources. **G01/G, G01/D01/G**

Archive 2.0: Archival paradigm based on a philosophy that places the user first and promotes a spirit of exchange, collaboration and openness, in consonance with the objectives sought by open government. It is characterised by its open and inclusive nature, by transparency in records management and archival processes, and by its radical user orientation, which encourages communication and dialogue with the user and seeks their active participation in decision-making, as well as their collaboration in technical processes. **G02/D04/G**

Assistance: Service provided by an organisation or administrative unit to satisfy a user's needs. **G08/D01/O, G08/D02/O**

Assistance to the public: Service provided by an organisation to external users for the purpose of satisfying their needs through its activities. **G08/D02/O, G08/D03/O**

Authentication: Situation in which it is possible to verify that a record has been created by (or belongs to) the party claimed in the record. Applied during the verification of the identity of a user, authentication occurs when the user can verify that he or she is the person he or she claims to be, thereby acquiring the status of authorised user. **G03/D02/G**

Authenticity: Property or quality by which it can be proven that a document is what it claims to be and was created by the person presumed to have done so and at the time stated. **G03/D03/G**

Availability: Property or quality of information assets by which authorised entities or processes have access to them when needed. In the specific scope of electronic records, it is the property or quality that enables their location, retrieval, presentation and interpretation. **G02/D03/G, G03/D03/G**

Benchmarking: Comparative process of systematic and continuous evaluation of the products, services and processes carried out in other organisations that display good practice, for the purpose of transferring their knowledge and application. **G08/D03/O**

Biodeterioration: Undesired alteration of the physical and chemical properties of a material due to the action of biological organisms. **G07/D02/O**

Business continuity plan: Protection plan aimed at resolving incidents that might disrupt the activities of organisations, reducing the probability that they occur and guaranteeing recovery of its enterprise. **G03/D02/G**

Capture: Phase of an electronic record's life cycle which takes place after the creation or production of the record and represents its accession in the organisation's management system for records. **G03/D03/G**

Central archive: Archival centre responsible for the custody and processing of records sent from office archives once the creating units' use of said records becomes sporadic. The records centre applies appraisal and regulated destruction procedures to any documentation that, having completely lost its administrative value and utility, has no historical value to justify its permanent preservation. The custody period until its transfer to the intermediate archive will be stipulated in the corresponding preservation schedules. **G01/G**

Classification: Records management process based on the systematic structuring of the activities of organisations, or the records generated by them, into categories according to conventions, methods or procedural standards, logically structured and represented in a management system for records. **G04/D01/O**

Code of conduct: Document drafted voluntarily by an organisation expressing a series of principles that it unilaterally promises to uphold. Codes of conduct extend to the entire human team of an organisation and, in some cases, to vendors, subcontractors and external personnel. **G01/D03/G**

Coding: Archival operation that consists of identifying the classification level of a record series by means of a notation on a classification table to facilitate their differentiation, express their hierarchy, and replace their names in electronic systems. **G04/D01/O**

Collaboration: Within the framework of open government, joint work between citizens, public administrations and other social agents (companies, civil society organisations, etc.) aimed at executing a common task, normally under the general framework of a particular policy or action plan. **G02/D04/G**

Collation: Operation integrated in the record accession process, prior to acquisition, consisting of confirming that the number and content of the records received match the information on the transfer list. **G05/D02/O**

Communication plan: Document that contains the communication policies, strategies, resources, objectives and actions, both internal and external, proposed by an organisation. Having such a plan helps to organise communication processes and guide communication work. In addition to providing guidance and avoiding the dispersion that may occur in day-to-day work, the plan promotes the monitoring and evaluation of these processes, which makes us continuously question our actions and seek better quality. It is recommended that this tool should not be allowed to become a closed and limiting guideline but rather be used as a flexible and adaptable guide to principles and proposals. **G01/D03/G**

Community manager: Person responsible for managing the social media activities and online, digital or virtual communities of an institution. **G02/D04/G**

Concentration archive: See *Intermediate archive*. **G01/G**

Conceptual model for archival description: Representation of the reality of a high level of abstraction in which the types of archival entities and their relationships and attributes are described. **G04/D02/O**

Confidentiality: Information property that guarantees that it can only be accessed by those authorised to do so. **G06/D01/O**

Continuous training plan: Set of activities aimed at improving present and future performance by building the capacity of the human team involved. This is done through the continuous improvement of their knowledge in order to impart knowledge, improve skills and performance, overcome deficiencies, provide opportunities, improve staff morale, etc. It is typically expressed in a document created by the organisation's management for the purpose of ensuring the training of the human team involved. **G01/D03/G**

Control: Means of managing a risk, including policies, procedures, guidelines, practices and structures in an organisation, which may be technical, managerial, or legalistic in nature. It can also be a synonym for safeguarding. **G03/D02/G**

Conversion: Process consisting of switching records from one storage medium to another, or from one format to another. **G03/D03/G**

Crowdsourcing: Online collaboration mechanism for voluntary contributions to a task through an open and flexible call for participants. The execution of this task, of variable complexity and modularity, in which multiple participants must contribute their work, money, knowledge and/or experience, always involves mutual benefit. **G02/D04/G**

Custody: Legal responsibility involving control and proper conservation of fonds by an archival institution, regardless of the ownership of said fonds. **G05/D02/O**

Data: Symbolic representation (numerical, alphabetical, algorithmic, etc.), attribute or characteristic of an entity. Data are minimum expressions of content, from the lowest level of abstraction, regarding facts, events or entities in a form that enables their communication, interpretation or processing by automatic or human means. Conveniently grouped, structured and interpreted, they can serve as the basis of information and knowledge that can be relevant for decision-making, reducing uncertainty or for the purpose of calculations. **G02/D02/G**

Data catalogue: Information system that collects and organises descriptive metadata on the different datasets opened by an organisation, providing a single point of access to them. **G02/D02/G, G02/D03/G**

Data masking: See *Redaction*. **G06/D03/O**

Data set: See *Dataset*. **G02/D02/G**

Dataset: Collection of data that is related from both a structural perspective (they are grouped together in the same logical unit, i.e. a single database table, a single statistical data matrix, etc.) and a content perspective (they share the same topic). **G02/D02/G, G02/D03/G**

Delivery sheet: See *Transfer list*. **G05/D02/O**

Demagnetisation: Exposure of storage media to a sufficiently powerful magnetic field in order to modify the polarity of the magnetic particles, thereby eliminating the stored data and preventing retrieval of same. **G05/D03/O**

Depersonalisation: See *Redaction*. **G06/D03/O**

Destruction: Process consisting of the destruction of records or the decommissioning or erasure of a computer system after an analysis of the value of the same (administrative, legal, informational, historical or testimonial) which makes it possible to ascertain their lack of usefulness for all purposes and following a regulated appraisal procedure. **G05/D03/O**

Destruction: When used in relation to a storage medium containing electronic records, a physical destruction process of the medium by complete substitution of the storage system or because the characteristics of the information in the records recommend this destruction (for example, due to their high degree of confidentiality). **G05/D03/O**

Digital signature: See *Advanced electronic signature*. **G03/D03/G**

Disaster mitigation plan: Instrument aimed at correcting deficiencies and acting effectively to prevent disasters. It is a document that serves as a tool that defines objectives, risks and responsibilities. **G07/D01/O, G07/D02/O, G07/D03/O**

Dissociated data: Data which does not enable the identification of an affected or interested party. **G02/D03/G**

Electronic office: Online office available to citizens and companies through telecommunications networks whose ownership, management and administration correspond to a public administration, body or administrative entity in the exercise of its competencies. **G02/D03/G**

Electronic signature: Set of data, in electronic form, designated or associated with other data that can be used as a means of identifying a signatory. **G03/D03/G**

Erasure: Referring to electronic records, a procedure for eliminating data or files from a medium or set of media, allowing these to be re-used. Cryptographic erasure consists of using encryption to accomplish the erasure of the data through deletion of the encryption key from the device. **G05/D03/O**

Flow chart: Graphic representation that uses shapes and conventional symbols to explain the sequence of activities or tasks necessary for carrying out a particular process. **G01/D02/G**

Folksonomy: Set of labels contributed by different users with respect to a particular collection. **G02/D04/G**

Freedom of information, right of: See *Right of access to public information*. **G02/D01/G**

GLAM: Acronym used to designate the set of institutions in charge of cultural heritage using the first letter of each word (galleries, libraries, archives and museums). **G02/D04/G**

Historical archive: Records centre responsible for preserving, processing and disseminating records considered to be historical or for permanent preservation due to their secondary values, in accordance with the rules established in the organisation's preservation schedule. **G01/G**

Human resources (HR): Management system or process concerned with recruiting, hiring, training, employing and retaining staff in an organisation. These tasks may be carried out by a particular person or department in coordination with the organisation's top management. The basic objective is to align the HR area or professionals with the strategy of the organisation, which will make it possible to implement the organisational strategy through people. Generally the human resources function is made up of areas such as recruitment and selection, hiring, training, administration or management of personnel during their tenure in the organisation. In order to execute the organisation's strategy, the management of human resources is fundamental and should include concepts such as organisational communication, leadership, teamwork, negotiation and organisational culture. **G01/D03/G**

Identification: Records management process that serves to analyse the actions being carried out within an organisation and ascertain the full extent of the records it manages. **G04/D01/O, G04/D02/O**

Independent and community archives: Centres that serve or are under the control and purview of a particular human group or community that does not form part of a public institution and engages in collecting all types of materials (transcending the traditional limits of the concept of archival records) for the purposes of reflecting the history of such groups or communities. **G02/D04/G**

Indexing: Activity consisting of creating reference instruments with onomastic, toponymic, chronological and subject-matter terms that serve to retrieve records and the record series that contain them. **G04/D01/O**

Indicator: Unit of measure that enables the monitoring and periodic evaluation of an organisation's key variables. **G01/G, G01/D01/G, G01/D02/G, G01/D05/G, G08/D03/O**

Infomediary sector: Set of companies that generate products and/or services for sale to third parties based on public sector information. This includes both companies created for this purpose and those that, despite not having this as their only purpose, have a specific area and/or department dedicated to the creation and commercialisation of new products and/or services based on public sector information. **G02/D03/G**

Information asset: Any information resource or data with value for carrying out the functions of an organisation and which can be understood and treated as a unique unit for the purposes of management, use, protection and exchange. Although this term may refer to isolated pieces of information (an image included in a document, a record in a database), it is typically used to identify and process sets of information or data, such as record groupings, databases, websites and metadata collections.

Within the field of information security, this term is also used to refer to the hardware and software used for information processing or storage, the services used for its transmission or reception, and the tools and/or utilities for developing and supporting computer systems. **G02/D02/G, G03/D02/G**

Information asset register (IAR): Information system that collects and organises metadata referring to the different information and datasets maintained by the organisation. It is a basic tool for transparency, although it is also used for other purposes (for example, within the framework of systems for managing information security). **G02/D02/G**

Information processing resources: Any information processing system, service or infrastructure, or the physical locations where these are housed. **G03/D02/G**

Information security: Preservation of the confidentiality, integrity and availability of information which may also involve other properties such as authenticity, traceability, non-repudiation and reliability. **G03/D02/G**

Information system: Set of elements oriented towards the processing and administration of data and information which are organised and ready for subsequent use, generated by addressing a need or objective of an organisation. **G01/D04/G**

Integrity: Property or quality of a record when it is in a complete and unaltered state. **G03/D03/G**

Intellectual control: Set of operational processes for records management that address the needs for logical control of records raised by the users of an organisation. In this context, they support all other records management processes and, in general, the organisation's records-based management processes. **G04/D02/O**

Intellectual property rights: Copyrights and similar rights, including sui generis forms of protection. **G02/D03/G**

Interest group: Set of persons, whether members of an organisation or not, who are benefited to some degree by the development and achievement of a series of objectives by the organisation. **G01/D02/G**

Intermediate archive: Records centre responsible for the mass custody, generally at low cost, of records from central archives that have already been appraised or are subject to appraisal, in order to free the original institutions of records that are no longer frequently used and to prevent the collapse of historical archives. The timetables for destruction or transfer to the historical archive will be stipulated for each record series in the respective preservation schedule. **G01/G**

Interoperability: Ability of ICT systems and the business processes they support to exchange data and enable the exchange of information and knowledge. **G01/D04/G, G03/D01/G**

Job profile: Method of summarising the requirements and personal qualifications necessary to satisfactorily carry out the tasks of a position within an organisation: education, experience, duties, instruction and knowledge requirements, as well as the required aptitudes and personality characteristics. **G01/D03/G**

Key factors: Variables in which organisations invest their maximum efforts in order to achieve the best planned outcome. **G01/D05/G**

Key variables: Set of aspects relevant to the correct functioning of an organisation which are generated by its strategy. **G01/D05/G**

Leadership: Set of managerial or executive skills that an individual has for influencing a particular group of people so as to make this team work with enthusiasm to achieve goals and objectives. Also understood as the ability to take initiative, manage, bring together, promote, incentivise, motivate and evaluate a group or team. **G03/D01/G**

Legal accessibility: Possibility of consulting archival records in conformity with the regulations in force. **G06/D02/O**

Legal accessibility review: Process of assessing the access restrictions that may affect the records covered by a particular request for the purpose of reporting on decision-making related to same. It is based on an analysis of the content of the records containing the information requested in relation to the restriction system in force. **G06/D02/O**

Linked data: Method of publishing data on the Web in an interconnected manner and with embedded semantic content to enable them to be interpreted (on their own or in their context) automatically by computers. **The Spanish term** *Datos enlazados* is a direct translation of this English term. In the context of open government data, there is Linked Open Data (LOD) and Government Linked Data (GLD). **G02/D02/G**

Macro process: Block of functional operations consisting of the sum of similar processes, transforming their inputs into a shared added value. **G01/D02/G**

Management archive: See *Office archive*. **G01/G**

Management system: Set of elements that are interrelated or which interact in an organisation for the purpose of establishing policies and objectives, and the processes for achieving them. **G01/D04/G**

Management system for electronic records. Management system for guiding and controlling an organisation in terms of electronic records. **G01/D04/G**

Management system for records: Management system for guiding and controlling an organisation in terms of records. It is an information system that makes it possible to incorporate, manage and provide access to the records over time. In a broad sense, it encompasses both the people and processes responsible for management, such as the tools and technology necessary for this management. **G01/G, G01/D04/G**

Marketing: Set of techniques and organisational studies aimed at improving the promotion of a particular service or product through clear identification of the needs of users. **G08/D03/O**

Metadata: Within the scope of records management, data that describes the context, content and structure of records and their management over time. **G03/D03/G, G01/D04/G**

Metadata for records management: Structured or semi-structured information that enables the creation, management and use of records over time and in different domains. **G03/D03/G**

Metadata schema: Logical plan that shows the relationships between metadata elements, generally including a set of rules, including those related to semantics and syntax, which enable the management of metadata. **G03/D03/G**

Migration: See *Conversion*. **G03/D03/G**

Mission: Fundamental purpose of a management centre, organisation or institution that justifies its existence and is determined by law or regulations. **G01/D01/G**

Non-repudiation: Security service closely related to authentication which makes it possible to prove the participation of parties in a communication. The essential difference between this and authentication is that the latter occurs between the parties that establish the communication, whereas the non-repudiation service occurs in relation to a third party. As such, there will be two possibilities: non-repudiation at source and non-repudiation at destination. If authentication proves the identity of the creator of a record and of its intended recipient, non-repudiation proves that the creator sent the communication (see *Non-repudiation at source*) and that the intended recipient received it (see *Non-repudiation at destination*). **G03/D02/G**

Non-repudiation at destination: Security service by which the recipient cannot deny having received the message because the sender has proof of reception. This service provides the sender with proof that the legitimate recipient of a transmission actually received it, making it impossible for the receiver to later deny receipt. In this case, the irrefutable proof is created by the recipient and received by the sender. **G03/D02/G**

Non-repudiation at source: Security service by which the sender cannot deny having sent the transmission because the recipient has proof of the sending. The recipient receives unforgeable proof of the source of the message, making it impossible for the sender, if it denies sending the message, to prevail in the judgement of third parties. In this case, the irrefutable proof is created by the sender and received by the recipient. **G03/D02/G**

Objective: Outcome an organisation intends to achieve through its activities. Objectives are based on key variables and oriented towards a particular strategy. **G01/D05/G**

Office archive: Set of records received or generated by a particular office or administrative unit in the exercise of its activities during the initial or active phase of their life cycle (creation and processing stage). Such records are held in the facilities of the administrative unit itself, under its responsibility and direct management (hence the name 'office archive') once processing has concluded and until transfer to the central archive, in accordance with the timetable established for each series in the preservation schedule. **G01/G**

OGD: See *Open Government Data*. **G02/D02/G**

Open data: Data made freely available to the public, generally through the Internet. This free availability or openness is basically understood in terms of its gratuity, availability and accessibility, usage rights and interoperability. The term often appears in its original English form in Spanish documents. **G02/D02/G, G02/D03/G**

Open government: Model of government based on the operating principles of transparency, participation and collaboration, taking advantage of the opportunities offered by information and communications technologies, with the overarching objective of improving democratic quality and the operation of governments and public institutions. **G02/D02/G**

Open government data: Public sector information made available to the public in the form of open data. *Datos abiertos gubernamentales* in Spanish is a direct translation of the original term in English. In some of the documents in the references and bibliography, it is translated as 'datos de gobierno abierto'. **G02/D02/G**

Open standard: Any communication, interconnection or exchange protocol, as well as any interoperable data format whose technical specifications are public and do not involve restrictions on access or implementation. **G01/D04/G, G03/D01/G**

Open-source software: Software that respects the freedom of users and the community. Broadly speaking, it means that users have the freedom to execute, copy, distribute, examine, modify and improve the software. **G01/D04/G**

Organisational chart: In an institutional context, a graphical representation of the structure of an organisation in a manner that is easy to use and understand. It is an abstract and systematic model that makes it possible to obtain a uniform and synthetic idea of the formal structure of an organisation. It plays an informational role since it can show all the elements of authority, the hierarchical levels and the relationships between them. The representation may be vertical, horizontal, mixed, circular, scaled or tabular. **G01/G**

Outcome: Specific effect or achievement brought about through the project as a whole. **G01/D01/G**

Outreach: Archival process that seeks to promote use of the records produced or received by an organisation, helping to bring it closer to users and improving its recognition, presence and credibility as a unit of administrative and cultural management. **G08/D03/O**

Outreach plan: Specific and comprehensive planning document on the dissemination actions to be organised by an organisation. **G08/D03/O**

Overwriting: Effect of replacing stored data with a binary pattern of meaningless information. **G05/D03/O**

Partial access: Access to part of the contents of archival units, with access restricted through the redaction of the information subject to protection. The user should in all cases be informed of the types of content that has been excluded from the right of access and the specific reason for its exclusion. **G06/D03/O**

Partial disclosure: See *Partial access*. **G06/D03/O**

Participation: Within the framework of open government, contribution by citizens to the different decision-making and policy-making processes. **G02/D04/G**

Peripheral archive: See *Central archive and Intermediate archive*. **G01/G**

Personal data: All information (numerical, alphabetical, graphic, photographic, acoustic or of any other type) regarding an identified or identifiable natural person whose identity can be directly or indirectly determined by means of an identification number or one or more specific elements, characteristics related to the person's physical, physiological, mental, financial, cultural or social identity. **G02/D03/G**

Plan: Systematic action model prepared in advance for the purpose of directing or channelling the policy of an organisation. **G08/D01/O**

Policy: Set of guidelines or orientations that govern the actions of an organisation or individual within a particular functional scope. **G08/D01/O**

Policy objective: Concise formulation of a policy nature that expresses a goal or situation that the top management of the centre, organisation or institution aims to achieve. **G01/D01/G**

Policy of access to public records: Public policy aimed at focusing the actions of the organisation in terms of guaranteeing and implementing citizens' right of access to public information. It is especially focused on archives and archival institutions, in their capacity as management agents, mediators and suppliers of public records. **G02/D01/G**

Preservation or disposition schedule: See *preservation schedule*. **G05/D01/O**

Preservation schedule: Instrument that establishes the timetables for preservation and transfer of a particular series, along with the requirements for access. It requires institutional approval and dissemination so that it can be known and applied. **G05/D01/O, G05/D02/O**

Preventive conservation: Conservation mode that aims to delay deterioration or prevent the risk of alteration whilst also ensuring the social use of the materials in question. **G07/D01/O, G07/D02/O**

Primary value: That linked to the immediate purpose for which records are created as testimony and a guarantee of administrative, legal, fiscal, communication, etc. tasks. **G05/D01/O**

Proactive disclosure: See *Active transparency*. **G02/D02/G**

Procedure: Set of guidelines that determine the manner for proceeding on a particular occasion in order to achieve a planned outcome. **G01/D02/G**

Process: Set of interconnected activities for transforming objects and resources into outcomes, thereby generating added value. **G01/D02/G, G01/D05/G**

Process Map: Graphic and functional representation of an organisation in which all processes and their interrelationships are placed in a single structure that facilitates understanding and assimilation of the same by all members of the organisation. **G01/G, G01/D02/G**

Product: Material element created by carrying out an activity. **G01/D01/G**

Project: Coordinated set of activities, following a strategy, aimed at achieving a particular objective that will contribute towards the achievement of a general policy objective. **G01/D01/G**

Promotion tactics: Set of mechanisms or actions oriented towards stimulating a spread of knowledge and dissemination of actions that are carried out within an organisation. **G08/D03/O**

Proprietary software: Software in which the user has limited possibilities for use, modification and redistribution, and its licensing often has a cost. Also known as non-free, private or privative software. The user cannot access the source code or has restricted access to it and, therefore, is limited in his or her possibilities for use, modification and redistribution. **G01/D04/G**

Pseudo-anonymisation: See *Reversible dissociation of personal data*. **G02/D03/G**

Public sector information (PSI): Any information created or collected by governments and public institutions (or by third parties through the financing and mandate of the same) in carrying out their functions. **G02/D02/G, G02/D03/G**

Publication schemes: Within the framework of active transparency policies, these are the periodically updated programming documents by means of which each public body proactively states the classes of records it is going to publish and the manner in which it will do so. The Model Inter-American Law on Access to Information establishes that they must be approved by the independent transparency authority (Information Commission). **G02/D02/G**

Quality: Degree to which a set of characteristics inherent in an organisation or service comply with pre-established requirements. **G08/D01/O, G08/D02/O, G08/D03/O**

Re-use agent: Any natural or legal person who re-uses public sector information for commercial or non-commercial purposes, provided that this use does not constitute a public administrative activity. **G02/D03/G**

Re-use of public sector information (RPSI): Use by third parties (natural or legal) of public sector information for commercial or non-commercial purposes, provided that this use does not constitute an administrative activity. **G02/D02/G, G02/D03/G**

Record exclusion or withdrawal: Mechanism for allowing partial access to compound record units by withdrawing from them any records containing restricted information. The user should in all cases be informed of which records have been excluded from the right of access and the specific reason for exclusion. **G06/D03/O**

Record series: Set of simple or compound records produced by an organisation that are a reflection of one or more activities or processes carried out in the exercise of its competencies. **G04/D01/O**

Record type: Model of a documentary unit produced by a body in the exercise of its functions which constitutes the material testimony of one or more activities. It is distinguished by having a series of physical or intellectual characteristics in common with other units. **G04/D01/O**

Records life cycle: Expression that illustrates the passage of records through the active, semi-active and inactive phases. Each of the phases in the life cycle corresponds to a type of archive. **G01/G, G01/D01/G**

Records management policy: General intention and guidelines formally expressed by the top management of an organisation in relation to the management system for records. **G01/G**

Records testing: See *Redaction*. **G06/D03/O**

Redaction: Mechanism for providing partial access to records through the creation of a copy or version of the original record in which any restricted information is masked. When the data that is masked enables identification of people, it is called depersonalisation or anonymisation. **G06/D03/O**

Reference: Archival function aimed at providing a guidance and advice service for users for identifying and locating documents relevant for their interests and informational needs. It includes resolving issues related to the archive itself, its services, its fonds and collections, available finding aids, and the conditions for accessing and copying records. **G08/D02/O**

Reliability: Property or quality of a record whose content is considered a complete and true representation of the activities and operations it attests. **G03/D03/G**

Representation: Information resulting from projecting the theoretical concepts regarding the reality of an organisation, which is achieved by applying the results obtained in the intellectual control processes on the real information held by the organisation for its ordinary management. **G04/D02/O**

Reproduction: Records management process consisting of obtaining copies of one or more records. **G08/D02/O**

Requirement: Circumstance or condition that is necessary for doing something. In systems engineering, the term is used analogously, as a necessary condition regarding the content, form or functionality of a product or service. **G01/D04/G**

Requirements list: Unstructured document listing the specifications and requirements necessary for the correct operation of a system. **G01/D04/G**

Requirements model: Structured document listing the specifications and requirements necessary for the correct operation of a system. **G01/G, G01/D04/G**

Restricted access: See *Access restriction*. **G06/D03/O**

Reversible dissociation of personal data: Process by which a group of data are made temporarily anonymous in a way that allows them to be re-associated through a controlled process of re-identification with the protected personal data. **G02/D03/G**

Right of access to public information: Fundamental right of people to consult the information produced or received by public authorities in the exercise of their functions. To the extent that this information is stored in the form of records, we also refer to the right of access to public records. **G02/D01/G**

Risk analysis: Systematic process that makes it possible to understand the nature and deduce the level of risks identified. It provides the basis for a proper assessment of risks and for decision-making in relation to how to address them. **G01/G, G01/D01/G**

Risk: Measurement of the extent of the danger represented by an undesired event. Risk is expressed in terms that combine the probability with the consequences of an undesired event. **G01/D01/G, G03/D02/G, G07/D01/O, G07/D02/O, G07/D03/O**

Risk assessment: Process of comparing the estimated risk with a particular risk criterion in order to determine the magnitude of the risk. **G07/D01/O, G07/D03/O**

Risk assessment report: Information collected in the form of a table or map which includes the consequences, degree of severity, probability or frequency of the risks identified, as well as their impact and possible treatment. **G01/G, G01/D01/G**

Risk identification: Process for determining what, where, when, why and how something might occur. **G01/D01/G**

Risk treatment: Process of selecting and implementing measures to mitigate a particular risk. **G07/D01/O**

Sampling: Process/operation consisting of selecting some records or record units to be preserved from a series designated for destruction, following systematic or qualitative criteria (chronological, alphabetical, statistical or random). A record of this process should be retained in the destruction proposal and in the approved appraisal schedule. **G05/D01/O, G05/D02/O**

Satisfaction: Emotional state of a person resulting from a comparison of the expectations of particular service or product with the perceived satisfaction of same. **G08/D02/O**

Satisfaction survey: Empirical study based on observation to determine a user's degree of satisfaction. **G08/D02/O**

Scalability: Capacity of a computer system to be resized or have its configuration adapted to changing circumstances. **G01/D04/G, G03/D01/G**

Schedule of positions: Technical instrument which lists staff positions according to the needs of the services and sets out the requirements for each position. **G01/D03/G**

Scorecard: Set of indicators selected to reflect the main variables of an organisation and used as a control and management tool by the same. **G01/G, G01/D02/G, G01/D05/G**

Secondary value: That related to motivations other than the original purpose of the record, such as scientific, historical or informational value. **G05/D01/O**

Security and access requirements: Generic term used to designate the set of requirements of the organisation that make it possible to prevent unauthorised actions on its records (access, modification, destruction), including access restrictions. **G06/D01/O**

Selection: Intellectual and material operation of locating the portions of record series that are to be subjected to appraisal. **G05/D03/O**

Service: Set of functions oriented towards satisfying particular needs or safeguarding the interests of a type of user, without the need to create material assets. **G08/D01/O**

Service charter: Written document by which the organisation publicly informs its users about the services it offers, the quality commitments it undertakes in providing these services, as well as the rights and duties associated with them. **G08/D02/O**

Service-oriented architecture (SOA): Paradigm for the organisation and utilisation of distributed competencies that are under the control of different proprietary domains. An SOA is used for interoperability between systems, through a group of linked service interfaces, in which the services do not need the technical details of the platforms of other services in order to exchange information. **G03/D01/G**

Social media: Computer platforms that allow users to create, publish and share content online (text, images, multimedia objects) in networks and virtual communities through the use of Web 2.0 technologies (which is why the term 'social network' is also used). The most popular types of media are social networking sites (such as Facebook), blog platforms (such as Wordpress), microblogs (such as Twitter), multimedia sharing services (such as Flickr and YouTube), and wikis (Wikipedia). **G02/D04/G**

Social network: See *Social media*. **G02/D04/G**

Social tagging: Functionality of certain information systems by which users can freely apply keywords in natural language (labels) to represent the content in some way. This is a common functionality in emblematic collaborative social networking platforms and is increasingly used in institutional repositories for digital objects and archival description systems. **G02/D04/G**

Software: Set of programs, instructions and computer rules that make it possible to execute different tasks using a computer. **G01/D04/G**

Standardisation: Process consisting of the creation, use and optimisation of the rules and procedures applicable to different activities carried out in a process for the purpose of making them specific and improving them. **G01/D02/G**

Strategic plan: In the field of records management and archival processing, it is the high-level document that provides concrete relationships between the records management policy and the organisation's strategic guidelines and financial situation. It can also be applied to any other records management and archival processing process desired. **G01/G, G01/D01/G**

Strategy: Line of action of an organisation to achieve an objective. **G01/D01/G, G01/D05/G**

Sub-process: Smaller-scale process which, while consisting of a set of activities that generate added value, fits perfectly within another higher process. **G01/D02/G**

SWOT analysis: Methodology for studying the situation of an organisation or part of it, a process, a project, etc., involving the analysis of its internal characteristics (Strengths and Weaknesses) and its external situation (Opportunities and Threats) on a matrix. The Spanish translation of the acronym is DAFO (Debilidades, Amenazas, Fortalezas, Oportunidades). **G01/G, G01/D01/G**

System of restrictions: Systematisation of the different access restrictions affecting the organisation, drafted in a clear and orderly fashion to facilitate their application by those responsible and for better comprehension by users. **G02/D01/G**

Targeted transparency: Active transparency policies that, based on certain social needs or priorities detected in advance, collect, organise, standardise and make available information regarding a specific sector or management area to a particular audience. **G02/D02/G**

Technological adaptation: Redesign of technical solutions and their subsequent adaptation to requirements in accordance with the specific conditions available. **G03/D01/G**

Threat: Potential cause of an undesired incident that may result in damage to a system or organisation. **G03/D02/G**

Timestamp: Accreditation under the responsibility of a trusted third party of the date and time of any operation or transaction by electronic means. **G03/D03/G**

Timestamp renewal: Renewal of a timestamp issued earlier. **G03/D03/G**

Traceability: Creation, incorporation and preservation of information on the movement and use of records. **G05/D02/O**

Transfer: Habitual procedure of accession of records in an archive through regular and periodic transfer of portions of record series once the preservation period established in the appraisal for each of the stages of their life cycle have expired. **G05/D01/O, G05/D02/O, G08/D01/O**

Transfer list: Sequential list of the records being transferred from one archival phase to another, which accompanies these records on the transfer. Its main purpose is to enable control of the records that move from one archive to another and to transfer responsibility for their custody from one archive or sending office to the receiving archive. **G05/D02/O, G08/D01/O**

Transfer schedule: Instrument which establishes the timetables for transfers, in accordance with the preservation schedule or appraisal table. It is typically included in the preservation schedule. **G05/D02/O**

Transmittal list: See *Transfer list*. **G05/D02/O**

Transparency and information access portals: Centralised web platforms through which requests for information can be submitted to the competent authorities. In addition, they also tend to proactively publish a good part of the requests received so that these can be explored by other interested parties. **G06/D02/O**

Uniform resource identifier (URI): Short string of characters that unequivocally identifies a resource (service, page, record, e-mail address, encyclopaedia, etc.) normally accessible through a network or system. **G02/D03/G**

User: Person who uses a particular service or product habitually to satisfy some type of need. **G08/D01/O, G08/D02/O**

User permissions register: Categorisation of the users of the records and archives management system based on their access rights. **G06/D03/O**

Vacancy profile: See *Job profile*. **G01/D03/G**

Vision: An image of a future reality that is desirable and achievable on the part of a management centre, organisation or institution. **G01/D01/G**

Vulnerability: Weakness of an asset that can be exploited by a threat. **G03/D02/G**

Consortium led by



Co-ordinating Partners



With the participation of more than 80 Operating Partners and Collaborators from Europe and Latin America

EUROsocial is a regional cooperation programme between the European Union and Latin America for the promotion of social cohesion through support for national public policies and the strengthening of the institutions that put them into practice. EUROsocial aims to promote a European-Latin American dialogue about public policies surrounding social cohesion. Its aim is to contribute to reform and implementation processes in ten key areas of public policy in certain thematic areas selected for their potential impact on social cohesion. The instrument it provides is institutional cooperation, or peer-to-peer learning, meaning the exchange of experiences and technical advice between public institutions of Europe and Latin America.



www.eurosocial-ii.eu