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PARLAMENTARY
INSTITUTIONS:
**The criteria for appraising
and Selecting documents**

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M^a Ángeles Valle de Juan (Ed.)

PARLIAMENTARY INSTITUTIONS: THE CRITERIA FOR APPRAISING AND SELECTING DOCUMENTS

Workings of the Section of archives and archivists of parliaments and political parties in the International Council on Archives
Trabajos de la Sección de archivos y archivistas de parlamentos y partidos políticos en el Consejo Internacional de Archivos.

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Preface

Since the election of the new Committee during the 14th International Archives Congress in Seville, the main priorities of this Section have been not only to promote the sharing of activities and problems amongst all the members but also to establish criteria and regulations, creating common tools of use to all Archivists working with documentary collections of similar types.

This publication on "Criteria for the evaluation and selection of documents for Parliamentary Institutions. Model form for document evaluation" is one of the results of the work done by the SPP from 2000 to 2004.

The adoption of guidelines for criteria for the evaluation of our document collections and the production of a standard form for the application of these criteria were initiated by the Spanish Section of the SPP which, after its meetings in Vitoria and Valencia, presented a draft to the annual meeting of the SPP in Madrid in 2003. This was approved as a useful working tool for the standardisation of criteria.

Consideration of evaluation required in-depth knowledge of the regulations applied in Parliamentary Institutions. Analysis of the regulations and functioning of Parliaments indicated the functions and powers of each organic unit. The purpose of document evaluation is to classify documents according to their administrative, fiscal and legal values -as well as their informative and historical values- for preservation or destruction. The end result and the purpose of the publication is the working tool presented here which aims to bring together rules for evaluation

which will then have to be approved by the Parliamentary Institutions.

The purpose of publishing the proposals approved within the SPP is so that they may be applied in all Archives which belong to the Section, with a view to promoting the prestige and importance of the role of Archivists. This work has to date been carried out by different sectors of the Parliamentary Administrations within the Administrative Services. These have obviously not had the commitment of archivists as guardians of Parliamentary memoirs and of democracy in that they regulate access to the history of legislative bodies.

M^a Ángeles Valle de Juan
SPP President

PARLIAMENTARY INSTITUTIONS:

The criteria for appraising and selecting documents

1. INTRODUCTION

Document appraisal is one of the basic and most complex functions in the methodology of archiving today.

The purpose of the appraisal is to select those documents which, because of their administrative, fiscal, legal, informative or historical importance, their essential functions or other factors, are of interest to society, with the aim of preserving only those that ought to form part of the historical memory of the community.

In order to evaluate an institution's documentation, it is necessary to define the criteria and general guidelines that will make it possible to establish a methodology that will facilitate the study of an appraisal system applicable to all categories of documents. The result will be reflected in the preservation schedule or instrument that details all the appraisal rules approved in that particular institution.

At the present time, international archival theory can turn to a number of interesting experiences on evaluation of documents that we know of through presentations at congresses, specialist publications on archiving issues and papers available for consultation via the Web.

2. SELECTING DOCUMENTS IN THE INTERNATIONAL SPHERE

During the course of the 20th century and particularly in recent decades, eminent archivists have devised various theories on appraising and selecting documents. This paper considers theories followed in countries such as Canada, the United States, Britain, Australia, Germany, France and Spain.

In keeping with Terry Eastward's line of thinking, the theories on evaluating documents can be grouped and viewed as three major trends in archiving philosophy: the approaches taken by Jenkinson, Shellenberg and recently Brian Brothman, followed and complemented by the theories of Vernon Harris and in particular Terry Cook.

Jenkinson's theory

The English archivist Hilary Jenkinson recognised the importance of preserving archives in their integral state, but agreed that the volume of documentation produced by official bodies made it unfeasible to store them for ever. His proposal on selecting documents took into account solely the administrative needs of institutions and so excluded any importance documents might have for historical research purposes. As a result, his view was that the task of appraising documents is the responsibility of the originating body rather than the archivist.

The National Archives (formerle the Public Record Office) in the UK, which is responsible for appraising documents, has been influenced by this theory, though it does also take into account Shellenberg's views on preservation. By applying its policies on document selection and destruction, the PRO conserves just

5% of the documentation produced by the British government, meaning that just 2 linear km of documents are kept each year.

Shellenberg's theory

Theodore Shellenberg believed that the aim of appraising documents was to select those that needed to be kept permanently for research purposes. As a result, his view was that appraisal ought to be useful to society and that it should serve our memory and understanding of the past. Unlike Jenkinson, therefore, this archivist believed that it was the task of archivists to appraise documents, though the originating bodies ought to be taken into account, as should the advice of specialists on certain issues.

Shellenberg's theory on document appraisal was based on the importance of the documents, which he defined as their primary and secondary values. The primary value focuses on the context for which the documents have been created and so analyses their administrative, legal and financial value. Documents that are of informational or historical importance acquire a secondary value. It is the documents that have this secondary value that are to be preserved permanently.

Numerous experiments have been conducted on the basis of Shellenberg's theories, in addition to his own work in applying his approach to the National Archives in Washington.

The theory of macro-appraisal

The theory of macro-appraisal has emerged in recent years. The main difference between this and earlier theories is that whereas the preceding theories assessed documents principally

on the basis of their contents, macro-appraisal specifically appraises the context in which the documents are produced.

Terry Cook, one of the leading theorists in this movement, sees social values as the basis of the appraisal. According to him, researchers and sociologists have shown that in every society there is to some degree or other an interaction between social functions, structures and citizens. Thus, the theory of macro-appraisal involves a detailed analysis of the context in which an institution's production of documentation takes place. To this end, Cook believes it is necessary to analyse three fundamental aspects: the first requirement is an analysis of functions, looking at the main functions, sub-functions, programmes and activities of the body generating the documentation; the second aspect to be analysed is the structure, that is to say, the organisational structure of the administration in which an institution fulfils its functions; and thirdly, there is an analysis of the interaction between the institution's exercise of its functions or the programmes run on the basis of an administrative structure and the links with society, in other words, the citizens affected and even involved in both the functions and the structure. The final outcome of this interaction between functions, structure and society takes place in the production of documents.

To put it another way, Terry Cook sees social values as the most important values in this approach to archiving. This is due to the fact that macro-appraisal principally analyses the impact on society of the exercise and implementation of an institution's functions, programmes and activities. In this respect, this approach to archiving is interested not in fundamentally documenting the activity of an institution but in documenting the social values that have an effect on society through the functions of an institution.

This approach has been applied in various institutions, notably the National Archives of Australia and the National Archives of Canada.

InterPARES Project

In addition to the three methodologies considered earlier, we must also take into account the InterPARES research project (International Research on Permanent Authentic Records in Electronic Systems), led by Project Director Luciana Duranti and her team.

According to Duranti, the criteria for appraising digital documents are not the same as those used in evaluating documents on paper. Though the authenticity of a document on paper is an inherent quality of the document itself, the same cannot be said of a record in digital format unless certain requisites have been met.

In order to determine the authenticity of a digital record, it must meet certain requirements regarding its identity and integrity. Identity is defined as the intrinsic characteristics of a document that make it unique and which distinguish it from other documents. Integrity is to do with the record's physical characteristics, in other words the unity and good condition of a document.

In addition to establishing that a digital record is authentic, in order to appraise it, it is also necessary to analyse its permanent value, that is to say, the need for its preservation over time.

Duranti thus establishes four fundamental factors for appraising digital records:

- The authenticity of the documents deemed to be of permanent value.
- The viability of preserving the documents.
- The appraisal criteria have to be established early on in the life of the documents.
- The originator's documents need to be constantly monitored, and if the changes they have undergone demand it, the storage criteria need to be revised.

2.1. International Council on Archives Committee on Appraisal (ICA/CAP)

In addition to the various methodologies on appraising documents, it is also interesting to note the work being done by the International Council on Archives Committee on Appraisal, set up in the year 2000 during the International Congress on Archives.

The committee is focusing on two particular areas of work: firstly, it is working to compile the bibliography on appraising archival records so that it can be disseminated via the International Congress on Archives website; and secondly, it is producing a manual that will detail the methods used in the various processes of appraising and selecting documents employed in different countries.

3. DOCUMENT SELECTION IN SPAIN

3.1. Central government

Though archive professionals had already drawn up guidelines, the first Spanish law concerned with documentation appraisal and its usefulness for central government was Law 16/1985 of

25 June on Spanish Historical Heritage. Article 58 of this law states “The study and decisions on questions regarding the appraisal and use of central government and national public sector documentation, as well as its inclusion in archives and rules on access to and the lack of usefulness for administrative purposes of such documents, is to be the responsibility of a Standing Committee on Administrative Documents Appraisal, the members, functioning and specific powers of which shall be established by statutory instruments. Those public bodies that choose to do so may establish classificatory committees similar to this committee.”

Six months later, the above law was developed by means of Royal Decree 111/1986 of 10 January, partially pursuing Law 16/1985. This decree provided for the creation of advisory bodies such as the Board of Archives.

However, it was not until the year 2000 that the regulations on the organisation and functioning of the Standing Committee on Administrative Documents Appraisal were established in Royal Decree 139/2000. Nevertheless, we have no news regarding its effective running, even though it ought to be the body leading the appraisal and selection of public documentation at central government level.

Approval was given in 2002 to one of the principal landmarks in central government documentation appraisal and preservation. This was Royal Decree 1164/2002 of 8 November, which regulates the preservation of documentary heritage of historical importance, the control of the elimination of other central government documents and its public bodies, and the storage of administrative documents in a format other than its original one. In the preamble to the decree, it explains the development of the earlier legal provisions and the objective that the Standing

Committee might exercise its powers in full. To this end, the legislation deems it necessary to regulate the preservation of historical documentation, the monitoring of the elimination of documents generated by central government and its public bodies, and the preservation of these documents in a format different to its original one.

These regulations are, therefore, essential in rationalising the treatment of documentation and are fundamental to the consequent improvement in the government’s own administration. At the same time, they ensure that documents of historical importance are preserved. It was also deemed appropriate to establish rules in these regulations relating to the preservation of administrative documents in formats other than their original one, making it possible to eliminate paper copies of documents from certain series of documents while keeping them in digital and optical formats.

As regards the establishment of criteria on selecting documents, these regulations established definitions that are to be used as the starting point for every study conducted Spain. For the purposes of this royal decree, the ELIMINATION of documents is understood to be the physical destruction of single documents or series of documents by the body responsible for the archives and the public office where these documents are located, using any method that guarantees that it will be impossible to reconstruct these documents and use them after elimination. Documents may only be eliminated after the corresponding documentary process has been completed in accordance with the process established by these regulations. The APPRAISAL of documents is understood to mean the study and analysis of the historical, administrative, legal, fiscal and informational characteristics of the documentation. The appraisal process establishes the periods in which the transfer is to be completed,

as well as the possible elimination or expurgation and the rules on access to the documentation.

As stipulated in this royal decree, the elimination may be conditioned by conserving individual documents or series of documents in a format other than the original one in which they were produced when requirements such as the following are met:

- The original support is of no historical, artistic or other value.
- The original support does not bear any signatures or other hand or mechanically written expressions that give the document a value or which form the essential content of the document due to their value as evidence of rights and obligations.

In the sole temporary provision in this Royal Decree 1164/2002, provision is made for ministerial departments to set up administrative documents classificatory committees, which article 58 of Law 16/1985 also referred to. As a result, work has gone on during the course of 2003 to establish these committees in those Spanish government ministries that did not previously have one.

The practice deriving from these regulations is relatively poor. As Pedro López commented in 1998¹—and the tendency has remained the same in recent years given the changes in organisational structures in public administrative bodies and the

¹ López Gómez, Pedro. “Identificación y valoración de documentos en España a partir de 1975”, *Anales de Documentación*, no. 1, 1998, pp. 75-97

longstanding lack of procedural regulations suited to the needs of administrative archives—Spain has emphasised the importance of studies of a documentary nature and studies on contemporary documentation, among them are those conducted by the various working groups of the former State Archives Directorate, prior to its disappearance in 1996, concerning the government’s collections:

- Working Group on the Institutional Administration of Socio-Professional Services
- Justice Working Group
- Civil Governments Working Group
- Treasury Working Group
- Working Group on Administrative Archives

Their objectives were to draw up manuals on appraising and expurgating documents. However, the limited resources allocated to this effect meant that the action taken by these working groups ground to a halt, though some did manage to publish results.

The other area of action as regards the application of appraisal studies has been the organisation of seminars and congresses, such as the Seminars on Methodology to Identify and Appraise Documentary Collections of the Public Authorities, which began in Madrid in 1991.

3.2. Autonomous community government archives

In the sphere of autonomous community governments (which have existed in Spain since 1980), the legislation has varied from a consideration of general archives for the purpose of historical research to archives intended to meet the needs of the autonomous community government. Following the setting up

of the respective systems of archives and networks of centres, autonomous community legislators have turned their attention to the regulation of the appraisal and selection of documents, entrusting them to managing bodies such as departments or autonomous community ministries of culture or to the General Archives (as is the case in Andalusia), which are in all instances advised by specialist collegiate bodies (expert councils or committees on archives), though the proposal on potential action is to be drawn up and the implementation done by the central or intermediate archives.

Even though these questions had been raised in Spain ever since 1970, at the third National Congress on Archives, and in 1983 at the second ANABAD Congress, this concern did not become the subject of autonomous community laws until the 1990s.

Antonia Heredia has pointed out a number of the problems in all these autonomous community systems, which, as regards identification and appraisal, can be summarised thus:

- Uncontrolled production of documentation due to inadequate rationalisation in processing.
- Few identification and appraisal studies.
- Limited regularity in transfers. Limited fluidity in the circulation of documentation during the life cycle of documents.
- The established life spans of documents varies considerably from one autonomous community to another.

There is also a relatively significant difference between autonomous communities as regards their production and speed of regulations. Some autonomous communities have

general laws on heritage, whereas others not only have specific laws on archives but are also implementing their regulations.

As examples, we might mention the autonomous community committees of Catalonia and Andalusia, which are approving regulations on appraisal and selection, later to be implemented in the sphere of the documentation of each of these autonomous community governments.

Work has been proceeding in Catalonia in the National Committee on Access, Appraisal and Selection of Documents (CNTAD) and in specialist working groups, and approval has been given to more than 400 evaluation tables or study and appraisal records, which are a Spanish-wide referent for document appraisal. These tables and records have been published in the Official Gazette of the Government of Catalonia.

In Andalusia, the Andalusian Administrative Documents Appraisal Committee has also been developing a plan to assess series of documents as part of the Documentary Management Project of the Archives of Andalusia. This includes an identification and an appraisal phase. Approval has also been given to appraisal tables.

3.3. Local authority archives

As an aside, mention must be made of the Madrid Group of Municipal Archivists, which existed prior to the groups of an official nature set up under the Spanish Administration Division. This group was the original nucleus of the National Committee of Municipal Archives, whose studies on the type of archives and whose tables on classifying collections and selection are well known and widely used, though other systems exist in

parallel in autonomous community governments and local authorities. These other systems have a marked personality of their own and have been maintained regardless of pointed attempts at standardisation.

The most important aspects at a municipal level have unquestionably been:

- _ The setting up of numerous municipal archive working groups.
- _ The drawing up of a theory on managing documents at a local level with specific instruments: their own legislation, studies on type, classification tables for all types of local councils, tables on eliminating documents, etc.

The most recent instruments are:

- _ Proposed Classification Table for Town Council Collections through the Committee on Organising Municipal Archives, 1996.
- _ Proposal on identifying and selecting records in order to select documents in the archives of the local authority. Committee of Local Authority Archives. Logroño City Council, 2001

3.4. University archives

The Conference of Spanish University Archivists consists of specialists in archiving in both public and private universities in Spain. The mission of the organisation is to work together on the tasks, objectives and other joint ventures that will lead to improvements in the management of the documentary heritage in Spanish advanced education centres.

The conference is divided into work groups that are each responsible for a particular function, one such group being the Work Group on Identifying and Appraising Series.

Ever since its relaunch in 1988 during the fourth seminar, which is organised each year, the group has functioned regularly, its fundamental objective being the study of the series of documents produced by universities with a view to arriving at agreed proposals on record identification and appraisal that will serve as guidelines in university archives.

A committee was set up within the Work Group on Identifying and Appraising Series and remained in operation during the period 2000-2001. Its mission was to use the Proposals on Identifying and Appraising Series of Documents, approved by the plenum of the first Conference of University Archivists, to draw up a synthesis that would have an impact on the appraisal and final arrangements made relating to series of documents.

In universities, as in parliaments, there are large numbers of series of documents common to any and all of them. The approved proposals have recently been published (Gil García, Pilar (co-ordinator). *Tipología documental de universidades: propuestas de identificación y valoración*. Ed. Universidad Castilla-La Mancha).

The model descriptive record for gathering data has gradually been modified and expanded, and has matured and grown as suggestions and proposals have been made, shaping it as the methodology has itself become more detailed and as experience has been acquired during its application.

3.5. Parliamentary archives

In the Section of Spanish Parliamentary and Political Party Archives, specific work began in 2001 on document selection.

At the fifth Annual Meeting of the Spanish Parliamentary Archives and Archivists (Vitoria, 2001), Ms. Mariona Corominas (Parliament of Catalonia) presented a paper on *Appraising, Selecting and Expurgating Parliamentary Documentation*. Her talk included the presentation of a working document that includes the basic aspects contained in the record that we are presenting here today (description of the documentation, physical details, values, access, proposal on appraisal and selection, and observations). Amongst the documentation attached to the programme and announcement of this meeting, you will find this record, the instructions on how to fill it in and a brief introduction to the issue translated into English.

There was considerable debate due to the various experiences described by the speakers who had studied the theme under discussion, as well as its connection with the previous session, which had dealt with the classification of documentation, which demands prior identification of series of documents.

Two of the various issues discussed concerned the expurgation of a series of citizens' signatures given in support or rejection of a particular initiative or question (we will be looking at the appraisal study of this today), and requests for information, which in some instances mean that documents held by the government are duplicated in the parliamentary administration.

Other issues considered were the difficulties involved in storing and also expurgating documents in computer file format; the appraisal of series to be expurgated and, within these series,

the records to be eliminated, partially conserved through random selection or selectively expurgated through sampling; the need to link the classification table with the conservation schedule; and the need to set up boards or councils that will authorise expurgations and which, if necessary and in accordance with the prevailing legislation, will decide which series are to be conserved and which are to be eliminated.

It was agreed that work should continue on studies on appraising and selecting series. A more detailed record for studying and analysing the series (Valencian Parliament) was proposed, but it was agreed that work would continue with the form put forward by Ms. Corominas, which included the basic fields for making a proposal on selection.

The Committee of the Spanish Section of the Section for Archives of Parliaments and Political Parties (ICA/SPP) met in November 2002 to consider in greater detail the proposals that had been worked on in the previous months, and in order to define the objectives for the annual meeting of the Spanish Section in 2003. With regard to the analysis of series, two model forms were studied (Madrid Assembly and Valencian Parliament) with a view to improving the existing form. Two possibilities were proposed on methodology:

- a) To have two records: one for field work and another with the archival description to remain in the institution's archives.
- b) To have one form for the interview with each department, to include a list of the series it manages and stores, and one record for studying each series. It was agreed that this option would be adopted.

Lastly, at the seventh Annual Meeting, held at the Valencian Parliament in April 2003, in the paper presented entitled *Identification and Appraisal with a View to Selecting Series of Documents in Parliaments* (Ms. Corominas, Parliament of Catalonia, and Ms. Cubells, Valencian Parliament), a model form was presented which incorporated a number of changes made as a result of the Section's experience and work. This form was approved in its definitive version. Furthermore, two specific proposals on appraisal and selection were put forward by the speakers concerning two documentary series: Written Questions to the Government with an Answer and Bills.

4. PROPOSED METHODOLOGY FOR SELECTING PARLIAMENTARY DOCUMENTS OF CENTRAL GOVERNMENT

4.1. Introduction

The activity of the parliamentary institutions of democratic countries is becoming increasingly detailed and complex. Depending on their powers and functions, these institutions are gradually generating ever larger volumes of information and documentation in numerous documentary formats, as is to be expected. In these circumstances, it is essential for these institutions to decide and control which documentation needs to be preserved permanently and which has to be eliminated.

The benefits entailed by appraising documents are evident, not just because it makes it easier to organise and consult collections of documents, but also because of the financial cost involved in preserving documentation.

The purpose of this process must be to ensure that legislative chambers keep long term only that documentation which it is

appropriate to store and which, overall, is a reflection and evidence of the institutional and political activity of that institution over time. In this way, only documentation to be preserved permanently will come to form part of societies' documentary heritage.

We must also bear in mind the fact that the aim of appraising the documents of a democratic institution must be to furnish citizens and society in general with transparent information and an understanding of parliamentary activity so that it can be preserved as the memory and documentary reflection of this democratic phase.

4.2. Appraisal taking into account the DMS

It is important to appraise documents taking into account the implementation of the DMS (Document Management System) used by the institution, not just because document selection is one of the elements that make up the DMS, but also because it is very useful to know the functional analysis entailed by the implementation of the DMS so that decisions can be made on each type of document taking into account every aspect. In this respect, ISO 15489 also includes the global appraisal of documents.

4.3. Archive committee

It is also essential for proposals on document selection to be dealt with and, as the case may be, approved by the archive committee (or other name given to the body or work group set up for this purpose by the parliamentary institution) to ensure that there is plural participation representative of all the parties involved.

In accordance with the proposed regulations presented at the Congress of the ICA/SPP in Rome (February 2002), the committee membership is to be as follows:

- President or speaker of the parliament or delegated member of the committee
- One or two parliamentarians of recognised professional standing in the spheres of history, academia, etc.
- Secretary General or delegated person
- A lawyer
- Head of the archive, who is also to act as the committee secretary

In addition, the committee is to be empowered to call on the advice of the director or head of the IT unit and may, as necessary, summon the heads of department who will be studying the documents.

5. DOCUMENT ASSESSMENT RECORD

5.1. General considerations

Before beginning a study of the types of documents, it is necessary to bear the following issues in mind:

In order to conduct a study to assess the collections of documents of a legislative assembly, it is necessary for those responsible for the appraisal—the archivists—to study in depth the standing orders of the chamber, the rules of the national government and those regulations that apply to the chamber.

The archivist must also analyse in depth the administrative organisation and workings of the institution in order to learn the

functions and powers of each unit. Furthermore, he must analyse each of the types of document to be assessed while taking into account the complete body or integral analysis of all the parliamentary documentation.

There are in all legislative assemblies at least two classes of documentation: parliamentary documentation and administrative documentation. All the documentation generated by the chamber's activity must be assessed and all formats (paper, magnetic, digital, etc.) must be considered.

Another important issue to take into account is the fact that the appraisal of documents must be one of the first activities that the archivist must do in an institution. Due to its importance, there are nowadays some institutions who keep their classification table together with the preservation schedule.

Lastly, we must remember that some national institutions hold series of documents identical to or containing the same information as those kept by legislative assemblies. This is the case, for example, of some of the types of documents kept by the government, which holds documents that can also be found duplicated in the various ministries depending on the type of political initiative or specific issue. A prime example are bills, which are stored in both the government and the parliamentary archives. The same is also true of other types of documents, such as pleas, questions and documents used in information sessions and general debates. In addition to the government, there are other institutions, such as the Audit Office, the Ombudsman and the Council of State, which, as part of their functions, also keep documentation identical to that held in parliamentary archives.

Parliamentary institutions have to assess their documentation in the light of the legal ordinances of the country and by participating in the document selection bodies set up for this purpose in each region. Nevertheless, it must be borne in mind that legislative chambers are covered by a special legal system that grants them administrative independence, though this should not be an obstacle to working together and in agreement with other professionals.

(Appendix with model record and appendix with instructions on completing the record)

5.2. Studying series of documents

5.2.1. Written questions to the government with an answer

Written questions are a parliamentary initiative aimed at controlling the government or each of its members. All parliamentary regulations regulate such questions and hence their handling is regulated and standardised in all chambers.

These are a simple kind of dossier and contain few documents. Nevertheless, as a series they are voluminous as they are the most frequently presented initiative given the limited requirements that must be met for them to be put forward. For example, they can be signed by just one Member of Parliament, nor do they need an oral presentation before any body.

(Appendix with the document assessment and selection record and appendix with the document circuit)

5.2.2. Bills

Bills are a parliamentary initiative designed, in theory, to stimulate government action (by seeking approval for a resolution in the chamber) rather than intended strictly for its control, though this control is also exercised in this manner.

As regards the management of documents, there are fewer dossiers for bills than for questions, but each dossier is larger in volume.

Bills generally have to meet a greater number of requirements (for example, more signatures are demanded) and the processing is more complex, as there is also the possibility that amendments may be presented by other parliamentary groups. As we noted earlier, they may conclude with a resolution document issued by a parliamentary body.

(Appendix with bill record and appendix with document circuit)

6. PROPOSALS ON FUTURE WORK

By way of a conclusion and as a result of the experience we have acquired, we propose a practical methodology that follows the approach taken by the Spanish Section in its work. This methodology involves the following activities:

- The creation of work groups that will study series that have previously been identified and defined, though all those affected must send contributions to be studied by the group.
- A debate on the proposals at the current meeting or a consideration at specific meetings in order to add to the record and approve it as appropriate.

- The publication of approved documents, in line with other professional associations.
- The creation of a subcommittee or group that will assess the effective application in each parliamentary institution of the assessment and selection records approved by the Section.

Thank you for your attention.

INSTRUCTIONS ON HOW TO COMPLETE THE ASSESSMENT AND SELECTION RECORD

1. Body

C **Provenance:** administrative body responsible for the documentation

C **Originating body or department:** this is the body or administrative unit that produces or receives the parliamentary or administrative file.

2. Description of the documentation:

C **Classification code**

C **Order:** way in which the series is arranged (chronological, alphabetical, numerical or other order)

C **Document series:** specific name of the series

C **Definition of the document series:** description of the function or purpose for which the files have been produced.

C **File circuit: procedures and documentation:**

○ File procedures: a list of all the procedures that occur in the file.

○ body or administrative unit: name of the body or administrative unit responsible for the procedure.

○ Documents in the file and classification: a list of documents produced as a result of each of the procedures during the process. Give the classification code as well.

○ Documents in the file to be assessed. List of the documents that are physically in the file to be assessed.

○ Medium: indicate the medium of the documents to be assessed.

• **List of the documents in the file to be assessed:** list of the contents or of the documents in the files to be assessed.

• **Summary documents:** other documents where the same information or part of the information in the documents to be assessed can be found. It may be found in reports, minutes, databases, etc.

• **Related series:** series of documents that have some kind of connection with the series to be assessed. For example, a resolution and its implementation.

• **Official publications:** copy of the files or documents in official publications.

• **Physical details:**

○ **Replacement medium:** if there is a copy in other media, such as on microfilm or in digitised form, this must be specified

○ **Type of medium:** indicate the type of medium the documents are to be found in.

3. Legal framework:

C Regulations associated with the document series to be assessed.

4. Value of the documentation:

The primary or secondary value of the files or documents is to be explained in this section.

The primary value refers to the reason or function for which the documents were created. This primary value will vary depending on the purpose and may be parliamentary, administrative, legal, tax or historical.

C **Parliamentary or political value:** this is the value of the files on parliamentary initiatives in terms of the information they contain for the purpose of being used by members in parliamentary debates. This value usually complements the information-historical value: in other words, as the file's parliamentary or political value falls, so its information-historical value rises.

C **Administrative value:** this is the value of the files in relation to administrative prescription in accordance with common administrative procedures or, in the case of parliamentary documentation, in accordance with the deadline for completion of parliamentary procedure as stipulated by the Standing Orders of the Chamber.

C **Legal value:** this is the value of the files in accordance with the legal prescription affecting some documents that may be subject to or submitted to legal proceedings in the courts.

C **Tax value:** this is the value of the documents in accordance with the fiscal prescription to which some documents are subject.

C **Informative-historical value:** this is the value of the documents in terms of the information they provide on the history of the institution. As a whole, they are evidence of the political functions and activities or organisation of the Chamber. This documentation will form part of the country's cultural heritage and will be stored and preserved permanently in the archives of the Parliament as historical records of parliamentary activity.

5. Access to documentation:

C **Free or restricted access:** indicate whether there is any kind of restriction in place.

C **Type of restriction:** if consultation of the documentation is restricted, indicate the class of people entitled to access the documentation: members, former members, senior managers in the institutions, etc.

C **End of the restriction:** if consultation of the documentation is restricted, indicate when this restriction comes to an end.

C **Body responsible for the restriction:** indicate which parliamentary body agreed the restriction.

C **Legal framework:** if the restriction has not been agreed by a parliamentary body but is due to the application of a rule or standing order, indicate the legal framework governing the restriction

6. Proposed assessment and selection:

C **Permanent conservation:** indicate whether the documentation must be conserved in perpetuity.

C **Partial conservation:** there are several methods for selecting which documents should be stored. Indicate which of the following partial selection methods should be used:

○ **Sampling by selective removal:** the objective of this method is to reduce the space occupied by a file considered to be of interest. Those documents that are repeated or which contain information held in other documents are to be removed selectively and in exceptional circumstances.

○ Other types of sampling:

• **Chronological:** this method involves conserving only those documents produced during particular years and eliminating the rest.

• **Geographical:** this method involves conserving series of documents produced in certain geographical areas chosen on the basis of their physical, social, cultural, economic or other characteristics.

C **Alphabetical:** this method involves conserving some of the files that make up the series of documents conserved in alphabetical order.

C *Numerical or systematic*: this method involves conserving a sample of files chosen systematically on the basis of their numerical order.

C *Random*: this is a statistical technique in which all the files have the same possibility of being selected. To apply this method, it is necessary to do a simple mathematical calculation.

C **Elimination**: indicate whether the document is to be removed permanently.

○ **Deadline**: removal date

○ **Regulations**: indicate which regulations govern the conservation, partial conservation or elimination of the documentation.

7. General comments on the file:

C All issues considered appropriate in order to prevent confusion or ambiguity are to be mentioned here.

PROPOSED DOCUMENT ASSESSMENT AND SELECTION RECORD

File number: 2/2003

1. Body

C *Provenance / originating body or department:* Department of Parliamentary Management

2. Description of the documentation

C *Document series:* MOTION

C *Classification code:* 250

C *Order:* numerical

- *Definition of the document series a parliamentary initiative that calls on the government to undertake certain action in relation to its political action.*

C *File circuit: procedures and documentation (see appendix)*

C *List of documents in the file to be assessed:*

- Motion
- Statement on the agreements of the Presiding Board or Committee
- Amendments
- Statements from the Committee's legal adviser to the Committee's president, vice-president and secretary on the amendments presented

- Committee minutes accepting amendments for consideration
- Resolution

- Y The following may temporarily form part of the file:
- Application to extend time period for presenting amendments
 - Presentation of agreed amendments
 - Withdrawal application in writing
 - Presentation to the Registrar of a correction to the language
 - Application to change the processing committee
 - Application to process using the emergency procedure
 - Application for the agreement of the Presiding Board to be reconsidered

C *Summary documents:* Database of the Information System on Parliamentary Activity (documentary references with information on procedures and documents published in the Official Gazette of the Parliament of Catalonia)

C *Related series:* compliance with resolutions (340), Information session (355)

C *Official Publications:* Official Gazette of the Parliament of Catalonia (wordings are published in the Official Gazette of the Parliament of Catalonia, and the Committee or Plenum debate in the Report of the Parliament of Catalonia)

C *Physical details:*

Type of medium: paper
Replacement medium: no

3.- Legal framework

C Standing Orders of the Parliament, art. 134 and 135

4.- Value of the documentation

- *Parliamentary or political value:* yes, the information contained in motions is of considerable interest to members in their parliamentary work as they can use it in debates, especially if motions give rise to resolutions. It should be noted that this information is of greater value in the current legislature than in earlier legislatures, and hence this value gradually falls.
- *administrative value:* yes. If it gives rise to a resolution, the file will be of administrative validity until such time as the resolution is implemented and will in any case remain valid until the end of the legislature, as the government may implement a resolution more than once and by means of different procedures throughout the entire legislature.
- *legal values:* yes, while the parliamentary process is in progress. In addition, the deadline or the processing time that is passing must be borne in mind given the possibility that a parliamentary group or member may present an appeal to the Constitutional Tribunal due to a disagreement over the Presiding Board's assessment or decision to accept the issue for consideration.

C *tax value:* no

C *information-historical value:* yes.

5.- Access to documentation

- *Free or restricted access:* free, although the Presiding Board may agree to restrict the consultation of or access to this kind of documentation.

C *Type of restriction:*

C *End of the restriction:*

C *Body responsible for the restriction:*

C *Legal framework:*

6.- Proposed assessment and selection record

C *Permanent conservation:* yes

C *Partial conservation:*

C *Sampling by selective removal:*

C *Other types of sampling:*

C *Elimination:*

C *deadline:*

C *Regulations:*

7.- General comments on the file

Signature of the person responsible
for the Parliamentary Archive

Approval of the Director
of the Department

APPENDIX:
File circuit: procedures and documentation. MOTION

file procedures	body or administrative unit	documents in the file	medium ¹ original copies
- presentation of the initiative	- Registrar of the House Clerk	- motion	P
- acceptance of the initiative for consideration	- Presiding Board		
- views of the Board of Spokespeople	- Board of Spokespeople		P
- communications of the Presiding Board	- Presiding Board	- communication of the Board's agreements	P
- order to publish the initiative	- Presiding Board	- publication order	P
- presentation of amendments	- Registrar of the House Clerk	- amendments	P
- acceptance of amendments for consideration	- Committee/Board	- minutes of the Board Committee	P
- communications of the Presiding Board	- Presiding Board	- communication of the Board's agreements	P, V, A
- order to publish amendments	- Presiding Board	- order to publish amendments	P
- adoption in Committee/Plenum	- Committee/Plenum	- resolution/motion	E
- order to publish adoption and debate	- Presiding Board	- publication order	

¹ Medium: P (paper), E (electronic), V (video), A (audio), F (photograph), O (specify others)

Section for Archives of Parliaments and Political Parties (ICA/SPP). Madrid (Spain), Senat 11-13 of September 2003

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Other documents that may form part of the file to be assessed²

- application to extend time period for presenting amendments
- presentation of agreed amendments
- withdrawal application in writing
- presentation to the Registrar of a correction to the language
- application to change the processing committee
- application to process using the emergency procedure
- application for the agreement of the Presiding Board to be reconsidered

² These documents in the file initiate different procedures. In a general way and for each of them, the Presiding Board assesses them and agrees to admit them for consideration or not, communicates its agreements to the Government, members and parliamentary groups, and publishes the documents and agreements in the Official Gazette of the Parliament of Catalonia.

Section for Archives of Parliaments and Political Parties (ICA/SPP). Madrid (Spain), Senat 11-13 of September 2003

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PROPOSED DOCUMENT ASSESSMENT AND SELECTION RECORD

File number 1/2003

1. Body

- *Provenance / originating body or department*, Department of Parliamentary Management

2. Description of the documentation

- *Document series*: WRITTEN QUESTIONS TO THE GOVERNMENT WITH AN ANSWER
- *Classification code*: corresponding code in the functional classification table (powers/control function, information and political management or put forward by the government)
- *Order*: numerical (correlative number in accordance with the Entry Registry).
- *Definition of the document series*: Questions put by members to the government and each of the government members for which a written answer is requested.
- *File circuit*: procedures and documents (see appendix).
- *List of documents in the file to be assessed*: all those listed under the file circuit.
- *Dates*: first year of the series (it normally remains open).
- *Summary documents*:

Databases
Board minutes
Reports on activities
Other control instruments

Inventories

- *Related series*: Oral questions in committee

Interpellations

- *Official publications*: Official Gazette of the Parliament.

- *Physical details*:

Type of medium: paper.

Replacement medium: digitised copy of the original document in some cases. Publications are also mostly digital now.

3.- Legal framework

Standing Orders of the Chamber.

4.- Value of the documentation

- *parliamentary or political value*: yes, to be used in political or parliamentary debates. Its value gradually falls as the theme in question (which must be specific according to Standing Orders) becomes less topical, yet an earlier legislature can become important due to a political change in the government.
- *administrative value*: yes, while processing lasts. Not once the answer has been communicated to the member.
- *legal value*: yes in the case of appeals to the Constitutional Court
- *tax value*: no.

- *information-historical value*: yes, as evidence of the activity of members, parliamentary groups and the Chamber itself. Past evidence of this activity is to be held in the Parliamentary Archive.

5.- Access to the documentation

- *Free or restricted access*: free.
- *Type of restriction*: ---
- *End of the restriction*: ---
- *Body responsible for the restriction*: Assembly of the Parliament of Valencia
- *Legal framework*: Standing Orders of the Parliament of Valencia

6.- Proposed assessment and selection

- *Permanent conservation*: yes.
- *Partial conservation*: ---
 - *Sampling by selective removal*
 - *Other types of sampling*
- *Elimination*: ---
 - *deadline*
- *Regulations*: ---

7.- General comments on the file

Date:

APPENDIX File circuit: procedures and documentation

WRITTEN QUESTIONS TO THE GOVERNMENT WITH AN ANSWER

file procedures	body or administrative unit	documents in the file	medium ¹	
			original	copies
Question presented by the member	General Register (Department of Parliamentary Management)	Question	P	E
Acceptance for consideration	Board	Decision of the Presidency		P
Publication of the question	Publications Service	Communication to the government Official Gazette of the Parliament of Valencia		P
Council's answer	General Register	Written answer	P	E
Acceptance of the answer for consideration	Assembly of the Parliament of Valencia ²	Decision of the Presidency		P
Publication of the answer	Publications Service	Communication to the member Official Gazette of the Parliament of Valencia		P
			P	E

¹ Medium: P (paper), E (electronic), V (video), A (audio), F (photograph), O (specify others)

² Since the start of the fifth legislature, written answers have not passed through the Presiding Board. The First Secretary sends them directly to the member who presented the question and the Presidency orders their publication.

Other procedures and documents that may form part of the file to be assessed³

Extension of the reply period

- Request from the Council

Presentation of an appeal (e.g. in cases where the question is not accepted for consideration.).

- Appeal

Application to withdraw the question

- Withdrawal application

Repetition of the question

- Repetition application

³ Each of these procedures and documents are accepted for consideration or not by the Board, are communicated to the interested parties (the Government, members and parliamentary groups) and are published, if appropriate in the Official Gazette of the Parliament.