



**Ajuntament
de Barcelona**

Resource Management
Municipal Archives System Management

DOCUMENT MANAGEMENT POLICY



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INSTRUCTION FOR BARCELONA CITY COUNCIL'S DOCUMENT MANAGEMENT POLICY

Preamble

In recent years, the way in which documents are managed within organisations has undergone a major transformation owing to the progressive implementation of electronic means, definitively established in Spanish Act 11/2007, of 22 June, on Electronic Access for Citizens to Public Services.

Similarly, Spanish Act 10/2001, of 13 July, on archives and documents of Catalonia, establishes that the municipal archives shall define, implement and maintain document and archive management systems within the general conditions provided for by the title-holding entities.

In 2010, the Barcelona City Council approved the Municipal Archives System Regulations, which regulate the integral management of their documents.

Furthermore, the development of an electronic documents management policy is viewed as one of the practical and operational components required for interoperability between public administrations and citizens, and is regulated by the Resolution of 28 June 2012, of the Secretary of State for Public Administrations, approving the Technical Standard for Interoperability (NTI) of the electronic documents management policy.

Pursuant to the fundamental principles set out in the aforementioned Regulations, adapting them in equal measure to both paper and electronic formats, the new legal framework, and aligning them with the Regulatory Bye-law on e-Government (ORAE) and the Technical Standard for Interoperability of the electronic documents management policy,¹ the Barcelona City Council felt it necessary to incorporate this instruction into the corporate document management policy that governs activities carried out across the Municipal Administration, both for paper-based documents and those in electronic format.

¹ Details on the structure and development of document management processes, related training activities, and monitoring and auditing activities, which are outlined in the NTI of the electronic documents management policy, are established in the electronic documents management model and in the procedures, instructions and protocols developed therein.



The instruction for the Barcelona City Council's document management policy establishes the management concepts and principles applicable to the management of documents in an environment in which there are both paper-based and electronic documents, identifies tools that make the application of these principles possible and establishes the commitments required to bring them into practice.

1. Purpose

The purpose of this instruction for the document management policy is to determine the principles that govern the integral management of municipal documents from the point of their creation, as well as to define the management tools and assign roles and responsibilities needed to carry it forward.

The term "document" includes any information or record, regardless of its nature or the medium in which it is held, created or received by the Municipal Administration in the exercise of its powers and functions.

The term "document management" includes any operations or techniques grounded in the analysis of the production, processing and document values, deployed in the planning, control, use and conservation of these same documents.

Document management must be viewed as a substantial part of the set of policies and procedures that make up the administrative management model of the Municipal Administration, and align itself with the measures promoted by the municipal government for the implementation of the e-administration.

2. Scope of application

This instruction pertains to the management of documents generated and received by the Municipal Administration.

To this effect, the term "Municipal Administration" refers to all government bodies and administrative departments of the Barcelona City Council, individuals that serve in a position of political representation, independent bodies, publicly owned business entities and municipal trading companies, consortia in which the majority of representatives are from the Barcelona City Council, and concessionary companies and entities of municipal public services, within the framework of the provision of municipal public services.

3. Document management principles

Document management is conducted in accordance with the current legislation, and is based on the principles listed below:

1. Ownership



Documents generated and received in the course of municipal activities are the property of the Barcelona City Council, whose obligation it is to manage them in accordance with the current legislation, this instruction and the principles of administrative effectiveness, efficiency and transparency, whilst respecting citizens' rights.

2. Completeness and accuracy

All documents and records must be created accurately and completely, capturing decisions made and activities carried out in the most appropriate way and in compliance with all of the legal and regulatory requirements. At the time of creating or receiving documents, it is also necessary to capture the necessary information that enables them to be placed into context, understood and retrieved in the long term.

3. Effectiveness and efficiency

All documents and records are related to the activities and functions that have resulted in their creation. Therefore, all documents and records must be associated with a single corporate classification (Barcelona City Council's document classification table) and security classification, enabling contextualisation, standardisation of nomenclature and the application of document policies.

All documents, whether in electronic or paper format, which correspond to an administrative procedure shall be placed in an administrative file that cannot be reopened, and once closed, documents cannot be added.

Records that are selected for conservation in databases or corporate applications must equally be associated with activities and functions using the corporate classification system. Applications used must guarantee the integrity and authenticity of any data which is considered as evidence and must not enable its modification.

4. Retention, availability and sustainability

All municipal documents and records must be assessed to decide whether they shall be retained or disposed of. Document retention time frames are included in the conservation and access calendar, approved by the competent authority.

Paper-based documents must be retained in an appropriate manner throughout all stages of their life cycle: from the time of their creation in the various municipal bodies, their safekeeping in management archives, until the moment in which they are definitively conserved, if appropriate, in the archive centres of the Municipal Archives System.



e-Documents must be retained in electronic mediums, in a way that ensures their integrity, authenticity, confidentiality, availability and quality throughout their retention period, in spite of the possible obsolescence of applications used to manage them, user identification or access control.

Electronic copies of documents originally generated or received in paper format shall be considered as authentic copies provided that their digitalisation has been carried out under the conditions proposed pursuant to the Barcelona City Council's Secure Digitalisation Protocol.

5. Confidentiality and security

All documents must be secured and protected from unauthorised access, unauthorised destruction or loss, and must be held in accordance with the necessary recovery, retention and storage requirements.

The way in which the confidentiality of documents and files is determined shall be in accordance with the applicable legislation, such as the protection of personal data, industrial property and commercial secrecy, public security and tax information, etc.

Security and access levels for the documents and files shall be established using the conservation and access calendar for municipal documentation.

Documents that are considered essential, those that are crucial to business continuity at the Barcelona City Council, in the event of a serious emergency or catastrophe, shall be subject to special protection measures and contingency plans to ensure continuity in municipal activity.

6. Transparency and accessibility

All documents and files, both on paper and in electronic format, not subject to confidentiality measures, will be freely available for citizens to consult as per the terms established in the general administrative regulations on transparency and good governance and the Regulations for accessing municipal documents.

All employees at the service of the Municipal Administration shall have access to the documents necessary for them to accomplish their assigned duties. The use of any information contained in the documents, for purposes other than municipal management duties, is forbidden.

The City Council shall facilitate the consultation of documents and files through electronic means, and make consultation tools available that do not require intervention from municipal staff.

Consulting documents and files held in paper format shall be carried out directly in the offices of the managing bodies and in the Municipal Archives System centres, under the conditions described in the procedures established to this effect.



7. Modernisation and technological competence

The creation of documents and files that are entirely in electronic format shall be encouraged. To this effect, any documents received from citizens in paper format must be converted into authentic electronic copies. Any automation or optimisation of internal City Council processes must aim to avoid the creation of paper-based documents.

When a process requires electronic documents to be sent to citizens who have selected to receive paper-based documents only, authenticated copies will be made in this medium, and only the original document in electronic format will be kept on file.

All documents and records created and received in the exercise of municipal jurisdiction, regardless of their format, must be entered into the appropriate corporate computing systems (which may be paper-based document control systems, electronic documents management systems or corporate management applications that incorporate the principles of document management).

8. Technological independence

For the management of electronic documents and records, neutrality, technological independence and the use of open formats shall be encouraged in order to facilitate document management and conservation, despite any changes to or replacement of technology-based platforms.

9. Inter-administrative cooperation and interoperability

Cooperation and collaboration among institutions shall be promoted in regard to document management.

Document management shall be based on the most widely accepted international standards and regulations. e-Documents and files, as well as the applications used to manage them, must comply with the interoperability standards, in such a way that they can be shared and exchanged with other organisations and form part of cooperation programmes on a local, regional, state and international level.

4. Instruments for the document management policy

The development and application of the Document Management Policy shall be carried out by employing the following tools.

1. Regulations and procedures governing document management:

- a. The regulations that govern the functions and responsibilities of the various competent authorities.



- b. The e-document management model and protocols, instructions and regulations developed therein.
 - c. Technical regulations and actions procedures.
 - d. The corporate document management software (AIDA) tools for the application of methodological and technical criteria: the unified classification table, the conservation and access calendar, description method, and the Metadata framework among others that may be integrated.
2. Assigning the necessary roles and responsibilities for the development of this policy:
 - a. Organisational units and job profiles associated with document management defined in the Municipal Administration.
 - b. Decision-making or advisory bodies established in the various regulations and procedures.
 - c. Coordination mechanisms with various bodies within the Municipal Administration.
3. The development of IT tools to support document management:
 - a. The electronic document repository that supports the Electronic Archives of the City of Barcelona.
 - b. The City Council's own e-document management applications.
 - c. Applications for the management of paper-based documents.
 - d. Business applications and databases that generate documents and records.
 - e. Applications to store e-documents.
4. Municipal action plans that can be approved and which define and prioritise the objectives, goals and resources regarding document management projects.

5. Responsibilities

In the field of document management, the following functions will be assigned to the following bodies:

- a. Resource Management
 - Promote the application of this instruction and the tools developed, both for paper-based documents and those in electronic format.



- Establish the organisational structure required for this instruction to be implemented.
- Approve action plans that define the projects required for this instruction to be implemented, in terms of both paper-based documents and those in electronic format.
- Provide the relevant bodies with the necessary resources for the implementation of this instruction and their action plans.
- Provide the relevant bodies with the necessary resources for the development of the information and technology systems necessary for the management, treatment and conservation of e-documents.

b. Municipal Archive System Executive Directorate

- Establish, develop and implement the methodological procedures and tools necessary for the implementation of the principles defined in this instruction.
- Develop regulations for the principles and procedures included in this instruction to be implemented in the IT tools associated with document management and administrative management methods, together with the Municipal Institute of Information Technology and other competent municipal bodies.
- Propose and approve contingency plans and special measures to protect essential documents.
- Establish the criteria of the archives as regards the management and treatment of the documents they retain.
- Ensure compliance with the principles of this instruction in the management of e-documents.
- Foster cooperation with other institutions and the use of international standards in document management.
- Design action plans for the implementation of the corporate document management system (AIDA) in collaboration with other municipal bodies involved.

c. Legal Services Directorate

- Provide advice about the documents that comprise the Document Management Policy.
- Issue reports on municipal regulations regarding document management, in order to ensure that they comply with current legislation.



d. Municipal Institute of Information Technology

- Develop, implement and maintain corporate computer systems that allow the management of both paper-based documents and those in electronic format (paper-based document control systems, e-document management systems or corporate management applications that incorporate the principles of document management).
- Develop regulations required to implement the principles and procedures of this instruction in IT tools associated with document management and in administrative management processes, together with the Municipal Archives System Executive Directorate and other competent municipal bodies.
- Ensure the integrity and authenticity of documents and electronic records managed in corporate applications, as well as their usability throughout the time they are needed, regardless of the potential obsolescence of the applications used to store them.
- Implement contingency plans for any e-documents defined as essential.
- Implement international technological standards that promote system interoperability.

e. Managers of the Municipal Administration bodies

- Be familiar with and promote the application of this instruction and the document management procedures and regulations, ensuring that only corporate methods are applied.
- Examine how the principles of this instruction shall be applied in the incorporation of new technologies and work methods in administrative management, together with the Municipal Archives System Executive Directorate and the Municipal Institute of Information Technology.
- Provide the relevant bodies with material resources and the necessary staff for the treatment of paper documentation in the phase prior to its entry into the Municipal Archives System centres.
- Establish document management coordination mechanisms and participate in the collegiate bodies requiring coordination.

f. Municipal Administration Staff

- Be familiar with and apply the rules and procedures outlined in this instruction.
- Create accurate and complete documents and records that appropriately capture and reflect the decisions and activities carried out.



- Manage documents in accordance with the corporate document management system (AIDA) tools.

Final provisions

One. Development and execution of this instruction

Pursuant to Article 26.d of the Barcelona Municipal Charter, the Mayor's Office is the competent authority to dictate the implementation and execution of the provisions required by this instruction.

Two. Entry into force

This instruction will come into force the day after its publication date.