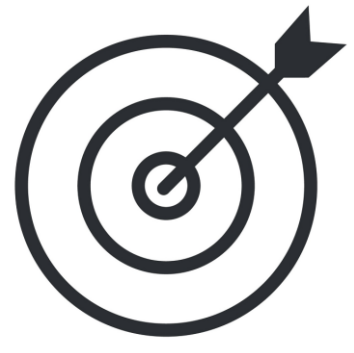
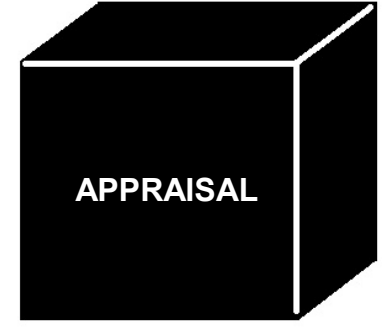


FUNCTIONAL ANALYSIS FOR A TRANSPARENT AND UNDERSTANDABLE APPRAISAL



GOAL

Propose and develop a pattern of analysis for an agile, systematic, homogeneous, and transparent Archival Appraisal, potentially applicable to Artificial Intelligence solutions.



WHY TRANSPARENT? Appraisal = complex processes and a BLACK BOX for Citizens.

CONTEXT?

Methodology developed and applied for the last 10 years at the **City of Girona (Catalonia)** mainly aimed to municipalities. Currently, it is being tested and complemented in the project **CoP-Valora**, led for the **Andalusian Archivists Society** to the whole of **Public Administrations in Spain**.

WHAT is Functional Analysis?

Decomposing the main function of a complex system into simpler functions until reaching the lowest level of consistent subfunctions to explain how the system works. These subfunctions can be replicable in different areas of the system or organisation.



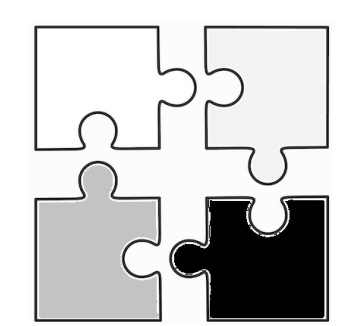
WHY Functional Analysis?

What is not? Analysis of functions referred to the classic archival trinomial: functions / activities / transactions.

- Subjectivity of categorization based on **Functions / Activities / Transactions**.
- Lack of standardization of **F / A / T** between organisations.
- Current multi-hierarchical, complex, and unstable administrative structures
- High degree of prediction and pattern definition for automated solutions (AI).

WHEN can I use it?

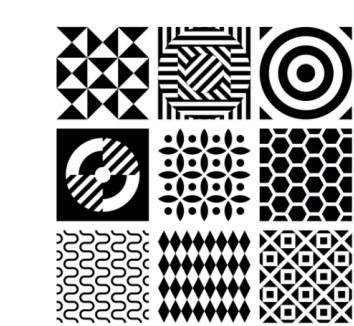
- Traditional processes of **Archival Appraisal** to identify **retention periods** and **disposition** of records.
- **Access** and **data protection** of records, but also **transparency**, **security** of information, or any **other analysis** about assessment of information systems.



HOW to apply it?

Three dimensions of analysis

FUNCTIONS OF MANAGEMENT (FoM)	Decision-Making Self-Organisation Control of Resources Rulemaking Planning Administrative Control Community Development Management of Services	
BASIC DOCUMENTARY FORM (BDF) & DOCUMENTARY PRE-EMINENCE (DP)	Register → Principal / Secondary File → Principal / Secondary Dossier	
FUNCTIONS / ACTIVITIES / TRANSACTIONS	Government General Administration Financial Management Territory Management Economic and Social Development General and Community Services Social and Personal Services Inter-Administrative Cooperation	



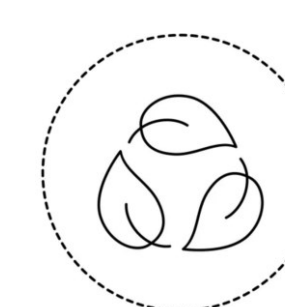
PATTERN OF ANALYSIS

FUNCTION OF MANAGEMENT	SUBDOMAIN	DOCUMENTARY FORM	PRE-EMINENCE	DISPOSITION	RETENTION
DECISION-MAKING		REGISTER	1	PERMANENT	5 years
		FILE	2	∅	1 year
SELF-ORGANIZATION		FILE	/	∅ / PERM.	7 years
	Financial & Tax Resources	DOSSIER	/	∅	7 years
FILE		2	∅	7 years	
REGISTER		2 ↑ ↓ 1	∅ / PERM.	7 years	
CONTROL OF RESOURCES	Patrimonial Assets	REGISTER	1	PERMANENT	7 years
		FILE	1	PERMANENT	7 years
	Human Resources	REGISTER	2 ↑ ↓ 1	∅ / PERM.	4 / 5 years
		FILE	2 ← → 1	∅ / P	4 / 5 / 7 years
Resources Provision	FILE	/	∅ PARTIAL	7 years	
Information Assets	REGISTER	2 ← → 1	∅ / PERM.	4 / 5 years	
	FILE	2	∅	4 years	
RULEMAKING		FILE	1	PERMANENT	4 / 5 years
PLANNING		FILE	1	PERMANENT	7 years
ADMINISTRATIVE CONTROL		FILE	2 ← → 1	∅ / PERM.	4 / 6 / 7 years
COMMUNITY DEVELOPMENT		FILE	/	∅ PARTIAL	7 years
MANAGEMENT OF SERVICES		FILE	/	SAMPLING	4 / 5 / 7 years



GRANULARITY OF THE ANALYSIS

TYPOLGY OF RECORDS	SECONDARY VALUE	FREE ACCESS	PERSONAL DATA RESTRICTIONS	MATTERS RESTRICTIONS
Authorizing	-	X	X	-
Constancy	-	-	X	X
Decision	-	-	X	X
Formalization	X	X	-	-
Impulse	-	-	X	X
Informative	X	X	-	X
Instrumentals	-	-	-	-
Regulations	X	X	-	-
Planning	X	X	-	X
Protocol	-	X	-	-
Accountability	X	X	-	-
Transmission	-	-	X	X
Assessment	X*	-	X	X
REGISTERS				
Administrative Control	X*	-	X	X
Financial Control	X*	-	X	-



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