PROFIAP
MESTRADO PROFISSIONAL EM ADMINISTRAÇÃO PÚBLICA

UNIVASF



MANAGEMENT OF INSTITUTIONAL MEMORY

Identity, legitimacy, and access to information

Jáder Barrozo de Carvalho

MANAGEMENT OF INSTITUTIONAL MEMORY

Identity, legitimacy, and access to information

Translation by
Wanderson da Silva Paes

Juazeiro-BA, Brazil
2026

PROFIAP
MESTRADO PROFISSIONAL EM
ADMINISTRAÇÃO PÚBLICA

UNIVASF

Carvalho, Jáder Barrozo de

C331m Management of institutional memory: identity, legitimacy and access to information / Jáder Barrozo de Carvalho; tradução de Wanderson da Silva Paes. – Juazeiro, BA: Univasf, 2026.
35 p.: il.

Contém referências bibliográficas
ISBN 978-85-5322-383-1
Livro digital
Formato: PDF

1. Acesso informacional. 2. Memória institucional. 3. Administração pública digital. I. Paes, Wanderson da Silva. II. Título.

CDD 352.005

Ficha catalográfica elaborada pelo Sistema Integrado de Biblioteca SIBI/UNIVASF
Bibliotecária: Kênia Leandra Ferreira Alves CRB/15: 886

Institutional Memory Management

Technical Report prepared by **Jáder Barrozo de Carvalho** as part of the Professional Master's Program in Networked Public Administration, under the supervision of Professor Dr. **Francisco Ricardo Duarte**, as part of the requirements for obtaining a Master's degree in Public Administration.



Photograph: educoelhoguia

SUMMARY

Abstract 03

Research context 04

Target audience of the proposal 05

Description of the problem situation 06

Objectives of the proposal 08

Diagnosis and analysis 10

Action plan 23

References 31

ABSTRACT

This technical report is based on the dissertation titled "Management of Institutional Memory at Univasf: Access to Public Information as a Fundamental Right." The document addresses the problem characterized by the absence of a structured policy for managing institutional memory at the Federal University of the São Francisco Valley (Univasf), which hinders full access to public information.

Institutional memory can be defined as the collection of information, documents, practices, and narratives that reflect an institution's history and activities over time.

The proposed course of action presented in this report consists of implementing an integrated Institutional Memory Management plan, with technical guidelines for the preservation and dissemination of universities' documentary and historical collections. An analysis of the content of Univasf's regulations and governing provisions revealed that, although there is still no specific legislation for institutional memory management, the documents suggest guidelines that emphasize the importance of adopting this practice.

These guidelines underscore the importance of document management and access to information, indicating that Univasf adheres to the principles of transparency and the preservation of legal and administrative information.

The expected practical contributions include the development of initiatives to consolidate a cohesive, accessible, and representative institutional memory that promotes transparency and engagement with the academic community and society. The creation of a coordinated management plan, involving multiple areas of the university, has the potential to positively impact public management, ensuring the preservation of the institution's history and contributions.

The expected impact of implementing this plan is to optimize public access to information, as regulated by Law No. 12,527/2011, and to strengthen institutional legitimacy. This technical report provides practical guidelines for administrators of public higher education institutions facing similar challenges or wishing to proactively adopt this administrative policy. The management plan can also be adapted and replicated at other institutions.

> "[...] We are what we remember," and this applies to organizations and institutions as well, since they are defined by what they are able to remember and retain; a lack of memory and memory structuring can lead to the loss of potentially competitive or legitimate information and knowledge (Santos & Valentim, 2021).

CONTEXT

Univasf's Institutional Memory Management initiative is particularly significant in 2024, the year in which the university celebrates its 20th anniversary. This historic milestone provides an opportune moment for the institution to formalize the process of documenting its history and the legacies built over two decades of activity.

Since its founding, Univasf has served as a catalyst for change in the educational, social, and economic development of the northeastern semi-arid region, operating across multiple campuses that span the states of Bahia, Pernambuco, and Piauí. In this context, institutional memory management emerges as a key strategy for organizing and fostering a culture that values and consolidates the institution's history.

This initiative not only reinforces aspects related to institutional legitimacy but also aligns with the fundamental values of public administration and the requirements of the Freedom of Information Act (Law No. 12,527/2011).

The implementation of this management practice involves all of the university's campuses, integrating efforts in records management, information technology, institutional communications, and administration to create a comprehensive and diverse institutional collection.

Finally, the plan does not merely propose a review of the past; it lays an administrative foundation designed to equip the university with the tools needed to navigate the challenges ahead and ensure new achievements over the coming decades.



Photograph: Univasf Collection

TARGET AUDIENCE

This Institutional Memory Management Plan is intended for administrators of public institutions of higher education, such as presidents, vice presidents, deans, coordinators, and others responsible for implementing preservation and memory management policies within public administration agencies.



Photograph: Univasf Collection



Photographs: Univasf Collection

DESCRIPTION OF THE PROBLEM SITUATION

In the current context of Brazilian federal universities—characterized by rapid technological change, demands for transparency and accountability, and a constant redefinition of these institutions' role in society (Matos, 2004)—Institutional Memory Management emerges as a means of strengthening institutional identity and as a tool for optimizing access to public information. This challenge is particularly strategic at Univasf, a pioneering institution located in the northeastern hinterland, a region notoriously known for facing significant socioeconomic challenges.

In turn, the ongoing transformation of the role of public universities requires these institutions to adapt their missions to meet new social, economic, and cultural demands. Universities are no longer merely centers of teaching and research, but also key actors in regional development, technological innovation, and the promotion of social inclusion (Matos, 2004). This expansion of responsibilities creates space for new processes, such as institutional memory management, to serve as a support in the strategic adaptation of their new responsibilities and objectives.

In this sense, the management of institutional memory engages with this context by recalling the needs of the past that led to the founding of the Federal University of the São Francisco Valley, as described in its charter: to encourage research and scientific inquiry, aiming at the development of science, technology, and innovation, as well as the creation and dissemination of culture, with the goal of fostering an understanding of the sertanejo and the northeastern semi-arid region, while observing the principles of democratic governance and respect for human dignity and fundamental rights (Univasf, 2012).

The lack of an integrated plan to manage Univasf's institutional memory has resulted in a situation where historical records, administrative data, and documents of public interest are scattered, often unavailable, and, in some cases, even inaccessible. This situation not only hinders access to information by the academic and administrative community but also compromises institutional transparency and compliance with the legal requirements established by the Access to Information Act (Law No. 12,527/2011).

Furthermore, the lack of specific guidelines for managing institutional memory hinders the creation of a cohesive collection that accurately reflects Univasf's history, its values, achievements, and contributions to society. This gap in the organization and preservation of institutional memory affects administrative efficiency and also weakens the university's ability to tell its own story and position itself strategically within the regional and national context.

The current situation calls for administrative action to establish a solid foundation for the preservation and organization of the institution's memory, ensuring that both the internal and external communities have optimal access to the university's historical legacy and that it can reaffirm its legitimacy as an agent of social, cultural, and educational transformation in the region.

> Developing an understanding of men and women, particularly those from the sertão, serves as a guiding light for Univasf's institutional activities. From this perspective, the generation of this knowledge is carried out with respect for these individuals' dignity and their fundamental constitutional rights. As Univasf is a public foundation, it is, logically, subject to the Access to Information Act (Art. 1, II, of Law 8,213/1991). As such, access to public information, guaranteed as a fundamental right by the 1988 Federal Constitution, also directly impacts this institution's practices regarding memory.



Photograph: Univasf Collection

OBJECTIVES OF THE PROPOSAL

Institutional Records Management aims to establish a structured and efficient policy that ensures the preservation, organization, and accessibility of historical records and documents of public interest produced and/or maintained by the institution.

OVERALL OBJECTIVE

Propose evidence-based guidelines for implementing an integrated Institutional Memory Management policy that consolidates and highlights the University's historical legacy, ensuring that its achievements and contributions are organized and accessible.



Photograph: Univasf Collection

SPECIFIC OBJECTIVES

To establish objective criteria for the organization and preservation of historical documents and records: standards and procedures to guide the collection, cataloging, and preservation of Univasf's documentary collections, ensuring the integrity and accessibility of these materials.

Strengthen transparency and access to information: Align the institutional memory management policy with the requirements of the Freedom of Information Act (Law No. 12,527/2011), ensuring that public documents and records are made available in an organized and accessible manner to the entire academic, administrative, and external community.

Promote the appreciation of institutional identity: Use memory management as a tool to strengthen Univasf's organizational identity and culture, facilitating the development of a historical narrative that reflects the institution's values and achievements over the years.

Integrate the various university departments into the memory management process: involve administrators, administrative staff, faculty, and students in the implementation of the institutional memory policy, fostering a culture of collaboration and shared responsibility in preserving the university's historical legacy.



Photograph: Univasf Collection

DIAGNOSIS AND ANALYSIS

To establish a situational analysis, the study sought to examine the institution's regulatory documentation and how it addresses institutional memory management and access to information; assess the current state of practices related to the preservation of institutional memory; identify existing gaps; and describe the available collections, in both physical and digital formats.

Throughout the study, it was found that, to date, Univasf does not have a structured plan for institutional memory management. Although there are initiatives aimed at preserving and disseminating its history, they are not integrated into a formal management policy. Existing practices are fragmented and carried out in isolation by different university departments. This lack of coordination compromises the efficiency of these actions, resulting in the dispersion of information and, in some cases, the potential loss of important documents and records.

> The lack of institutional memory management practices also undermines transparency and accountability by failing to ensure full access to the information produced and held by the university.



Photograph: Univasf Collection

Content analysis of regulatory documentation

In conducting the content analysis of Univasf's regulatory documentation, a qualitative methodology focused on thematic analysis was employed. The procedure involved identifying and categorizing elements present in the university's founding and regulatory documents, such as the Bylaws, the General Regulations, the Institutional Development Plans (PDI), and regulatory guidelines related to records management and access to information. The analysis was conducted using Atlas.ti software, which enabled the organization of the texts and the coding of excerpts relevant to the research.

Table 1 - Documents collected during the study

DOCUMENTS	
Law No. 10,473/2022 (Establishment of Univasf)	Institutional Development Plan – (2009–2014)
Bylaws	Institutional Development Plan (2016–2025)
General Rules	Open Data Plan PDA (2020–2022)
Supplementary Law No. 113/2001	Administrative Directive No. 13/2019
Resolution No. 08/2015 Undergraduate Regulations	Administrative Directive No. 03/2018
Resolution No. 01/2019 Graduate Program Regulations	Decisions and Recommendations
Resolution No. 11/2014 CPADA	

Source: Compiled by the author (2024)

The results of the analysis indicate that, although Univasf has a comprehensive set of regulatory documents, such as its Bylaws and Institutional Development Plans (PDI), there is a lack of specific guidelines for managing institutional memory. The analysis revealed that the university's founding documents generally address the need for the preservation and organization of records, but do not provide detailed guidance on how these practices should be carried out in the context of institutional memory.

Furthermore, guiding documents, such as the General Regulations, emphasize the importance of transparency and access to information, but fail to integrate these principles into a structured records management policy that addresses institutional memory in a more comprehensive manner. This gap highlights a disconnect between the principles established in the documents and the day-to-day practice of preserving and managing historical collections, resulting in a fragmented and inefficient approach.

The analysis points to the need to overhaul internal policies in order to integrate records management and institutional memory practices. The lack of coordination among the sectors responsible for the production and preservation of documents can lead to the dispersion of information and difficulty in accessing important historical records. To overcome these limitations, it is important that institutional memory management be recognized as a strategic priority, essential for strengthening the university's identity and for complying with legal requirements regarding transparency and access to information.

Table 2 - Categories and subcategories of analysis

CATEGORIES	SUBCATEGORIES (CODES)		
Institutional Memory (MI)	Definition and concept	Management practices	Enhancement and preservation
Access to Information (AI)	Transparency and publicity	Access mechanisms	
Impact of Memory Management (IGM)	Strengthening Institutional Identity	Institutional Legitimacy	
Regulations and Institutional Policies (RPI)	Standards and guidelines	Administrative action	
Accountability (ACC)	Accountability	Inclusion and social participation	

Source: Compiled by the author (2024)

Based on a review of the selected documents, five categories were identified: Institutional Memory (MI), Access to Information (AI), Impact of Memory Management (IGM), Regulations and Institutional Policies (RPI), and Accountability (ACC). These categories were subdivided into subcategories to allow for a better breakdown of the texts, as shown in **Table 2**.

Figure 1 shows the frequency of the codes found in each document collected. The table cells indicate the number of occurrences or the relevance of each document in relation to these categories. The table organizes this data, providing a comparative and quantitative overview of the presence of these guidelines in the analyzed documents.

Figure 1 - Frequency Analysis of Codes/Documents

	ACC 29	AI 47	IGM 43	MI 61	RPI 39	Totals
1. Statute 19	5	6	7	7	3	28
2. General Regulations 11	5	1	2		3	11
3. Founding Law 1			1			1
4: PDI 2009-2014 49	6	7	21	24	14	72
5: PDI 2016-2025 17	4	5	8	7	1	25
6: NI 103 7	1	5		2	2	10
7: NI 01 Open Data 20	7	12	1	7	6	33
8. Ordinance No. 01/2014 2	1	2				3
9: NI 03 Document Management 21		9	1	13	8	31
10: Resolution 11 CPADA 2				1	2	3
12: LC n° 113 1			1			1
13: Res. No. 01 1			1			1
Totals	29	47	43	61	39	219

Source: Compiled by the author (2024)

The first stage of the analysis focuses on the documentation that establishes Univasf's institutional and organizational guidelines. **Figure 2** shows the frequency of citations related to the categories "Institutional Memory Management" and "Access to Information" using the previously established codes (subcategories). This analysis allowed us to identify which documents have a higher frequency of citations, enabling us to establish a framework for interpreting the data.

The numbers on the right-hand side, immediately following the code name and preceded by quotation marks, refer to the total number of citations recorded. The Statute and the General Regulations stand out as having the highest frequency of codes, with the Statute being particularly relevant in citations recorded under "transparency and publicity" and "institutional legitimacy." Second in terms of frequency are the subcategories "Inclusion and social participation" and "Valuing and preservation."

Figure 2 - Frequency of codes in the articles of incorporation

		1: Statute 19	2: General Regulations 12	3: Founding Law 1	12: CL No. 113 1	13: Res. No. 01 1
Accountability: Inclusion and Social Participation	20	4	2			
Accountability: Rendering of Accounts	9	1	3			
Access to Information: Access Mechanisms	18	1	1			
Access to Information: Transparency and Publicity	33	5	1			
Impact of Memory Management: Strengthening Institutional Identity	31	2	2	1	1	
Impact of Memory Management: Institutional Legitimation	14	5				1
Institutional Memory: Definition and Concept	4		1			
Institutional Memory: Management Practice	28	3	1			
Institutional Memory: Appreciation and Preservation	39	4				
Regulation and Institutional Policies: Administrative Action	22	3	1			
Regulation and Institutional Policies: Norms and Guidelines	20		2			
Totals		28	14	1	1	1

Source: Compiled by the author (2024)

With regard to the management of institutional memory, Article 2 of the Statutes states that "Univasf enjoys academic, administrative, and financial and asset management autonomy" (Univasf, 2012, p. 2). This quote (categorized under: management practices) highlights Univasf's autonomy in various spheres, including asset management, which is fundamental to the preservation and enhancement of institutional memory.

Autonomy in heritage management implies that the university has control over its assets, including documentary and historical materials, enabling the development of practices that ensure the preservation of its memory. Dodebei (2011, p. 45) starts from the premise that "protecting heritage means protecting the heritage values attributed to objects produced by society."

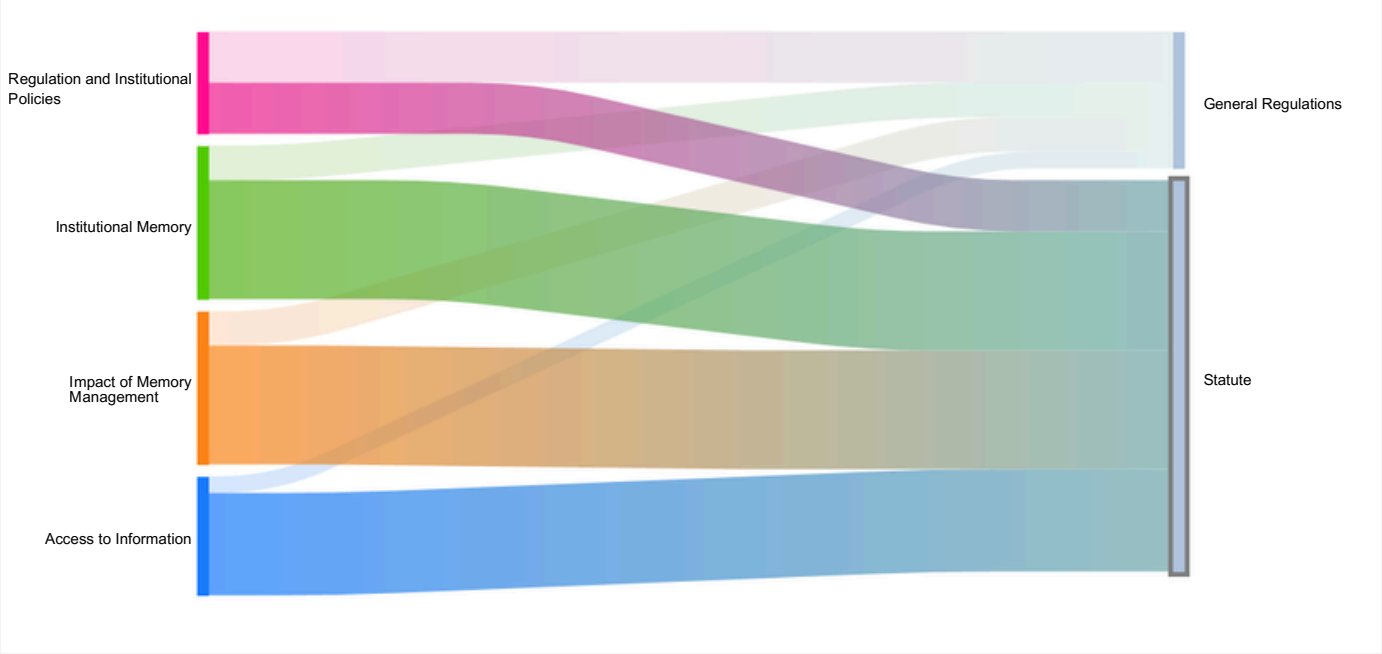
Another notable quote is found in Article 4, subsection III: "to encourage scientific research and investigation, with a view to advancing science, technology, and innovation, as well as fostering and disseminating culture, and thereby deepening our understanding of humanity and the environment in which we live" (Univasf, 2012).

Promoting culture as a means of fostering an understanding of humanity and the environment in which it lives lends Univasf legitimacy in its role as an institution that responds to social demands, acknowledging its role as an integral part of the northeastern semi-arid region. Thiesen (2013) suggests that institutions gain legitimacy through their ability to organize and regulate social practices in such a way that they are recognized as necessary and valid by society.

Although the primary purpose of the Statute is to regulate the organizational structure of Univasf, its provisions include elements that address—albeit in abstract terms—the management of records and access to information. By establishing, in Article 5, that Univasf must respect human dignity and fundamental rights, it follows that access to information, being one of these rights, must be guaranteed as an integral part of the university's institutional obligations.

Article 2, subsection XI, mandates the obligation to "disclose and keep up to date the budget and financial execution" (Univasf, 2012). It is clear that Univasf's expenditures are subject to public oversight. According to Martins and Reis (2014), the Freedom of Information Act represents a step forward in transparency policies and the strengthening of democracy itself. In the same vein, Ferreira et al. (2012) state that transparency facilitates social control, contributing to the promotion of a culture of accountability.

Figure 3 - Sankey diagram (Categories / Statutes and General Regulations)



Source: Compiled by the author (2024)

Figure 3 shows the Sankey diagram, also generated by Atlas.ti, and highlights the Statute as the most influential document in the construction of Univasf's institutional memory. This predominance in the Institutional Memory and Memory Management Impact codes indicates that the Statute is the normative foundation that not only structures the university's identity but also guides practices for the preservation and appreciation of its cultural and historical heritage. This suggests that the Statute is fundamental to ensuring that memory management practices are institutionalized and recognized as an essential part of the university's mission.

In contrast, the General Regulations stand out in the category of Institutional Regulations and Policies, demonstrating that they are the document that details the rules and guidelines governing the university's day-to-day activities. This concentration of codifications (records in which citations are inserted) in the General Regulations underscores its role as the normative instrument for the practical application of the policies established in the Statute, ensuring that general guidelines are implemented consistently and effectively.

While Univasf is institutionally defined by its founding documents, its actions and strategies are guided by policy documents that shape its long-term planning and development. These documents are the Institutional Development Plans (PDI), which outline the university's goals and priorities in areas such as teaching, research, extension, and administrative management, ensuring the coherence and continuity of academic and institutional policies.

Institutional Development Plans

An analysis of **Figure 4** reveals that the 2009–2014 Institutional Development Plan (PDI) has a more significant presence in categories related to Institutional Memory and the Impact of Memory Management, particularly in the subcategory "Strengthening Institutional Identity." This indicates that, during this period, there was a significant emphasis on building and consolidating Univasf's identity, which may have been a priority given the institution's stage of development.

The 2016–2025 PDI, on the other hand, shows a decrease in the number of entries, although it still includes passages related to the categories of Institutional Memory and Impact of Memory Management. Furthermore, it is observed that both versions of the PDI address Accountability and Access to Information, with a particular emphasis on Transparency and Publicity, which indicates a constant concern for social responsibility and transparency in the university's operations.

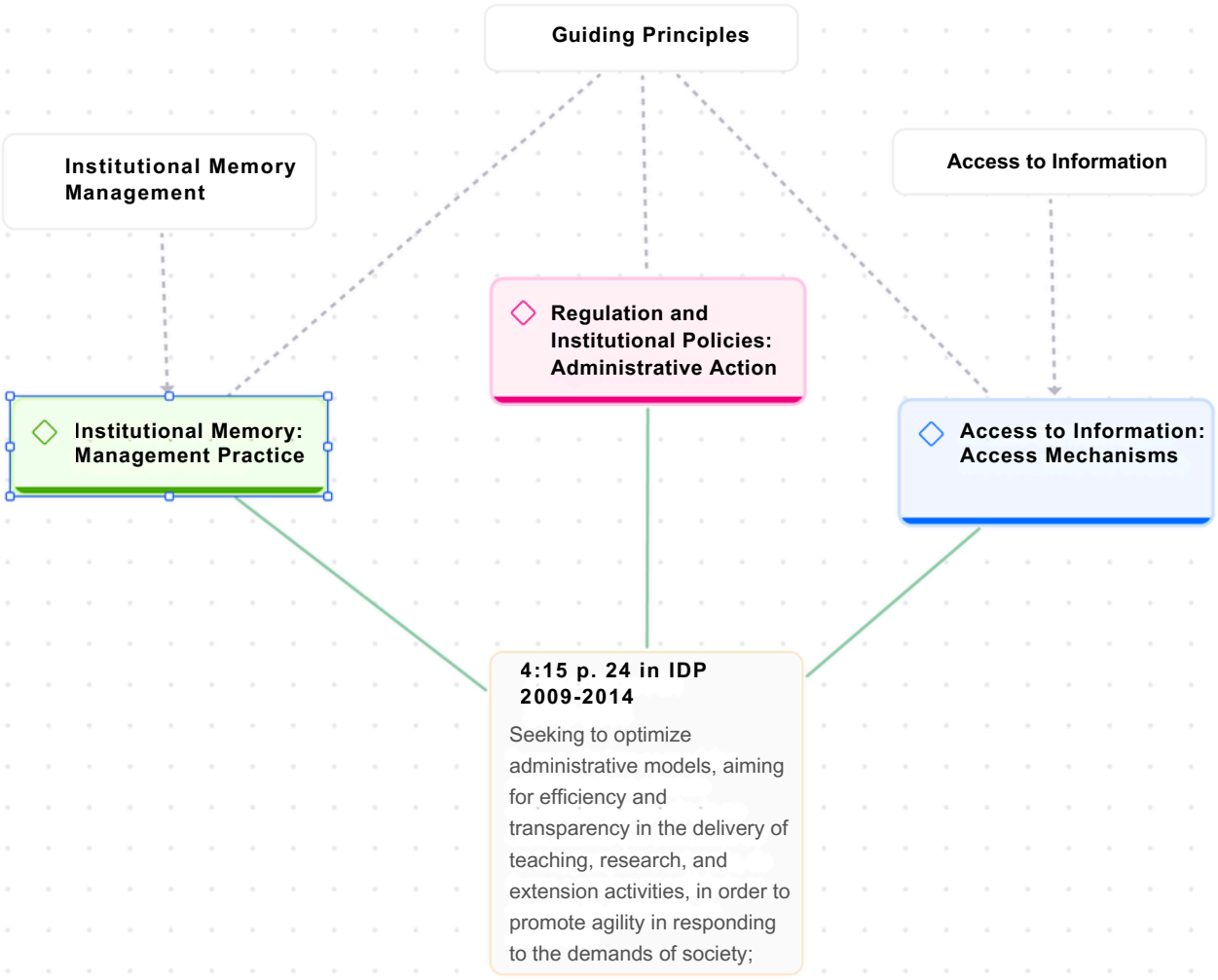
Figure 4 - Frequency of codes in the guiding documents

		4: IDP 2009-2014 (49)	5: IDP 2016-2025 (17)	Totals
Accountability: Inclusion and Social Participation	20	3	3	6
Accountability: Rendering of Accounts	9	3	1	4
Access to Information: Access Mechanisms	18	4	1	5
Access to Information: Transparency and Publicity	33	3	4	7
Impact of Memory Management: Strengthening Institutional Identity	31	17	6	23
Impact of Memory Management: Institutional Legitimation	14	6	2	8
Institutional Memory: Definition and Concept	3	3		3
Institutional Memory: Management Practice	27	11	1	12
Institutional Memory: Appreciation and Preservation	39	13	6	19
Regulation and Institutional Policies: Administrative Action	22	6	1	7
Regulation and Institutional Policies: Norms and Guidelines	20	10		10
Totals		79	25	104

Source: Compiled by the author (2024)

Figure 5 illustrates the interrelationships among three codes (subcategories)—Institutional Memory: Management Practices; Institutional Regulations and Policies: Administrative Action; and Access to Information: Access Mechanisms—in the context of institutional memory management at Univasf. Based on a quote from the 2009–2014 Institutional Development Plan (PDI), the diagram highlights how memory management practices, aligned with institutional policies and mechanisms for access to information, interconnect to promote efficiency, transparency, and accessibility in the dissemination of institutional information.

Figure 5 - Network of codes linked to a PDI citation (2009–2014)



Source: Compiled by the author (2024)

This network of codes demonstrates the interdependence between institutional memory management, institutional policies, and access to information at Univasf. The citation recorded in the PDI (2009–2014) emphasizes the need to optimize administrative models to promote greater transparency and efficiency in supporting teaching, research, and extension activities, as well as in interacting with society. It is clear, then, that the implementation of an institutional memory management model would contribute to achieving these objectives by providing a structured means of organizing and accessing information, which could streamline the fulfillment of various institutional demands.

Access to information

The right of access to public information is a fundamental right of the individual that must be guaranteed by the State (Figueiredo, 2016, p. 67), as established in Article 5, item XXXIII of the Constitution (Brazil, 1988). Law No. 12,257, of November 18, 2011 (Brazil, 2011), establishes the procedures necessary for citizens to exercise this right:

> The LAI consists of guiding concepts and principles regarding the fundamental right of access to information and establishes general guidelines regarding the procedures that public authorities must follow" (Figueiredo, 2016, p. 67).



Photograph: Univasf Collection

Acesso à informação

This section of the analysis focused on the regulations governing access to information at Univasf, specifically Normative Instruction No. 103/2019, Normative Instruction No. 01/2020 (Open Data Plan—PDA), and Administrative Order No. 01/2014, as shown in **Figure 6**.

Figure 6 - Frequency of codes in information access documents

	6: NI 103 (7)	7: NI 01 Open Data (20)	8: Ordinance No. 01/2014 (2)	Totals
Accountability: Inclusion and Social Participation (20)		7	1	8
Accountability: Rendering of Accounts (9)	1			1
Access to Information: Access Mechanisms (18)	3	1	2	6
Access to Information: Transparency and Publicity (33)	3	11	2	16
Impact of Memory Management: Strengthening Institutional Identity (31)		1		1
Institutional Memory: Management Practice (27)	1	5		6
Institutional Memory: Appreciation and Preservation (39)	1	3		4
Regulation and Institutional Policies: Administrative Action (22)	2	3		5
Regulation and Institutional Policies: Norms and Guidelines (20)	1	3		4
Totals	12	34	5	51

Source: Compiled by the author (2024)

The data reveals a concentration of citations in IN No. 01/2020 (Open Data Plan – PDA), which has the highest number of occurrences, particularly in the subcategories related to Access to Information: Transparency and Publicity, and Accountability: Inclusion and Social Participation. The predominance of these citations suggests that the PDA serves as a guiding document for the university's transparency policies, with a focus on making public information easily accessible and available in a planned manner.

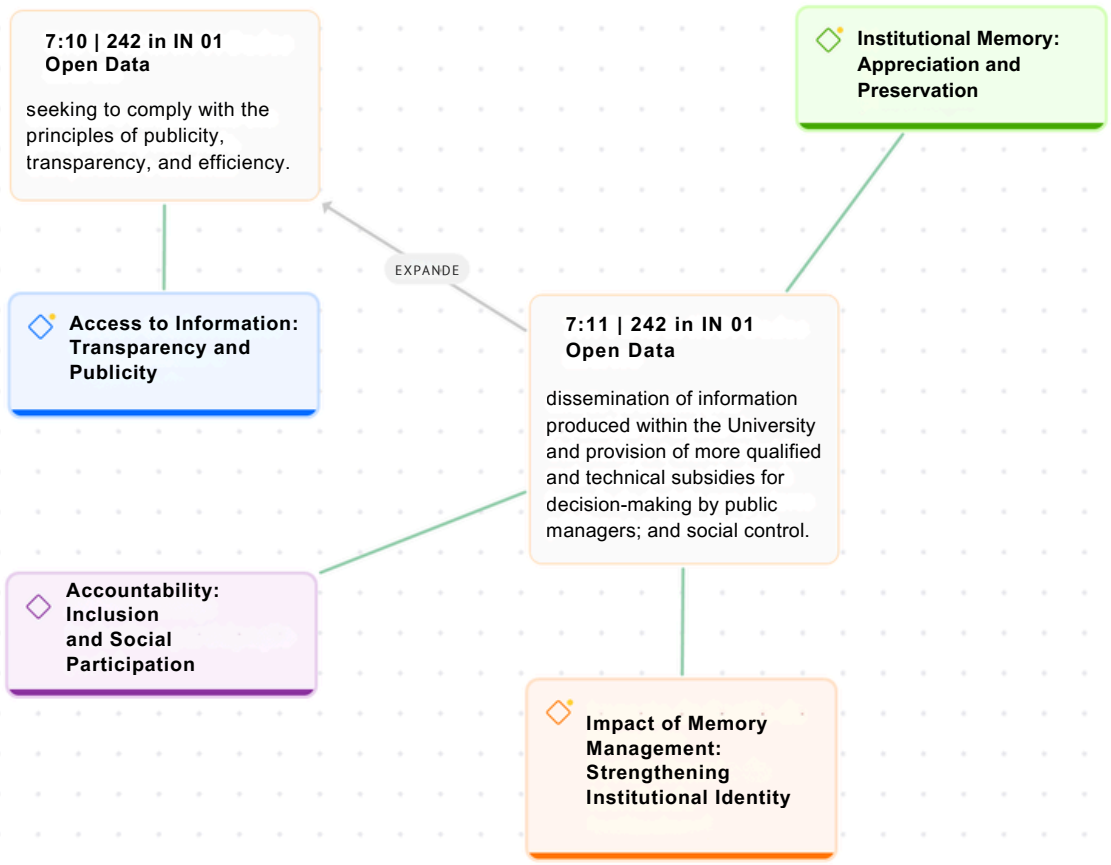
IN No. 103/2019, which establishes the rules for the operation and processing of requests within the Citizen Information System – SIC-Univasf Network, states: "Information available immediately is that published on the Univasf website." This statement emphasizes an important aspect of transparency in public administration, namely the Administration's proactivity in making various types of information available on institutional portals and websites.

Active transparency is provided for in the Access to Information Act, which stipulates that data of collective or general interest must be disclosed ex officio by public agencies, even in the absence of a prior request, as can be inferred from Article 3, II, of Law No. 12,527/2011. By requiring the public sector to disclose data on its own initiative, regardless of any request, the law aims, above all, to ensure the fundamental right of access to information:

> Art. 3 The procedures set forth in this Act are intended to ensure the fundamental right of access to information and must be carried out in accordance with the basic principles of public administration and the following guidelines: [...] II - Disclosure of information of public interest, regardless of whether a request has been made" (Brazil, 2011).

One notable quote from the PDA, which has a broader scope, is its general objective: "to promote the openness of UNIVASF data, seeking to uphold the principles of public access, transparency, and efficiency, as well as; the dissemination of information produced within the University and to provide more qualified and technical support for decision-making by public managers; and social control," and it documents the relationship between the codes provided.

Figure 7 - Network of codes linked to a PDI citation (2009–2014)



Source: Compiled by the author (2024)

Figure 7 illustrates how the dissemination of information produced within the scope of Univasf links the central categories of this dissertation: Institutional Memory Management and Access to Information. The content of the citation demonstrates the strategic relevance of disseminating data and technical information as a tool designed to aid decision-making in public administration and also to foster social inclusion and participation.

Soares, Jardim, and Hermont (2013) argue that, by democratizing access to their information, institutions promote transparency and significantly enhance their legitimacy in the eyes of society.

According to Costa (1997, p. 80), "For an institution to have staying power, it must have social credibility." Access to information, especially in its proactive form, is based on the careful management of documents produced and received by Univasf.

The management of institutional memory gives concrete form to the fundamental right of access to information. This relationship is not a static one, as if they were two compartmentalized fields or spheres, but rather one of constant interaction. It is the socialization of information that underpins the legitimacy of Univasf, as reflected in its history, which has been shaped by preservation techniques and procedures.

Initiatives to preserve institutional memory

To describe and evaluate institutional memory preservation efforts at Univasf, a qualitative approach was adopted that combined the analysis of institutional documents with direct observation of ongoing initiatives. The study focused on mapping projects and activities aimed at memory preservation—such as museums, archives, and cultural productions—that were available on the Univasf website or mentioned in any document found online. Table 3 presents a summary of the initiatives identified.

Table 3 - Assessment of initiatives to preserve institutional memory

INICIATIVA	POSITIVO	NEGATIVO
History Page	It recounts the history of Univasf's founding and development, providing a comprehensive overview of its major milestones.	• Provides a summary version; • The lack of captions for the photographs limits accessibility.
Timeline	Organize important facts and events in chronological order.	Lack of frequent updates and records of events that occurred after 2019
Gallery of University Presidents	Records the contributions of the University's administrators	
Explore Our Campuses	It documents the physical expansion of the campuses and also provides information about their history.	• Lack of captions for the images; • Summary of historical information.
Univasf by the Numbers	It collects quantitative and qualitative data on university administration	
General Archives	Management and preservation of Univasf's archival records of permanent value	Lack of space dedicated to items and objects of historical value in other formats.
ASCOM	It contributes to the ongoing development of institutional memory through journalistic content and outreach	
Image Library	Preserves visual documentation	• Limited access to the collection; • Last updated in 2016;
Caatinga TV	It serves as a guardian of audiovisual heritage	Do not make the collection available on other platforms
Univasf Brand and Visual Identity Guide	Preserves the symbolic legacy of the university's visual identity	
Caatinga Fauna Museum	Preserving the environmental and scientific heritage of the Caatinga.	
Space for Art, Science, and Culture (EACC)	It promotes the integration of science, art, and culture.	
E-book: Life Stories of Univasf Alumni	It documents the career paths of alumni, contributing to the institution's history	
Digging into memories: physical education, sports, recreation, and dance	It preserves and brings to light important memories in the fields of physical education, sports, and recreation.	

Source: Compiled by the author (2024)



EACC

A space where science and art come together to enrich the community's educational and cultural experience.

Caatinga Fauna Museum

"To provide the academic community and society at large with access to natural and cultural heritage assets of the utmost significance" (Univasf, 2020).



Photographs: Univasf Collection

The results of this study indicate that, although Univasf has undertaken several important initiatives, such as the Caatinga Fauna Museum and TV Caatinga, these are carried out in isolation, without a consolidated institutional policy to link them into a unified effort to preserve institutional memory. The analysis also revealed a lack of systematization and coordination among the different initiatives, which limits the university's ability to create a cohesive and accessible institutional memory.

The fragmentation of responsibilities, combined with the lack of an organizational structure dedicated to this function, undermines preservation efforts and hinders the development of a strong institutional identity. To address these shortcomings, it is recommended that a specific organizational structure be established for the management of institutional memory, with the allocation of adequate resources and a specialized team. This will not only ensure the continuity and expansion of current practices but also lead to a greater appreciation of Univasf's historical legacy, strengthening its role as a leading institution in the region.

In line with the mapping, the homepage of Univasf's official website serves as the primary platform for promoting these initiatives aimed at preserving the institution's memory. Through this interface, the university has been able to compile and make available historical information, significant events, and other relevant activities that reflect the development of its identity over the years. Figure 10 shows the current layout of the Univasf homepage, illustrating how some of the content is organized and accessible to the public.

Institutional Memory Management at Higher Education Institutions

To obtain an up-to-date overview of memory management initiatives at Brazilian federal universities, a mapping exercise was conducted, as shown in **Figure 2**, with the aim of cataloging and analyzing practices aimed at preserving the institutional memory of these institutions.

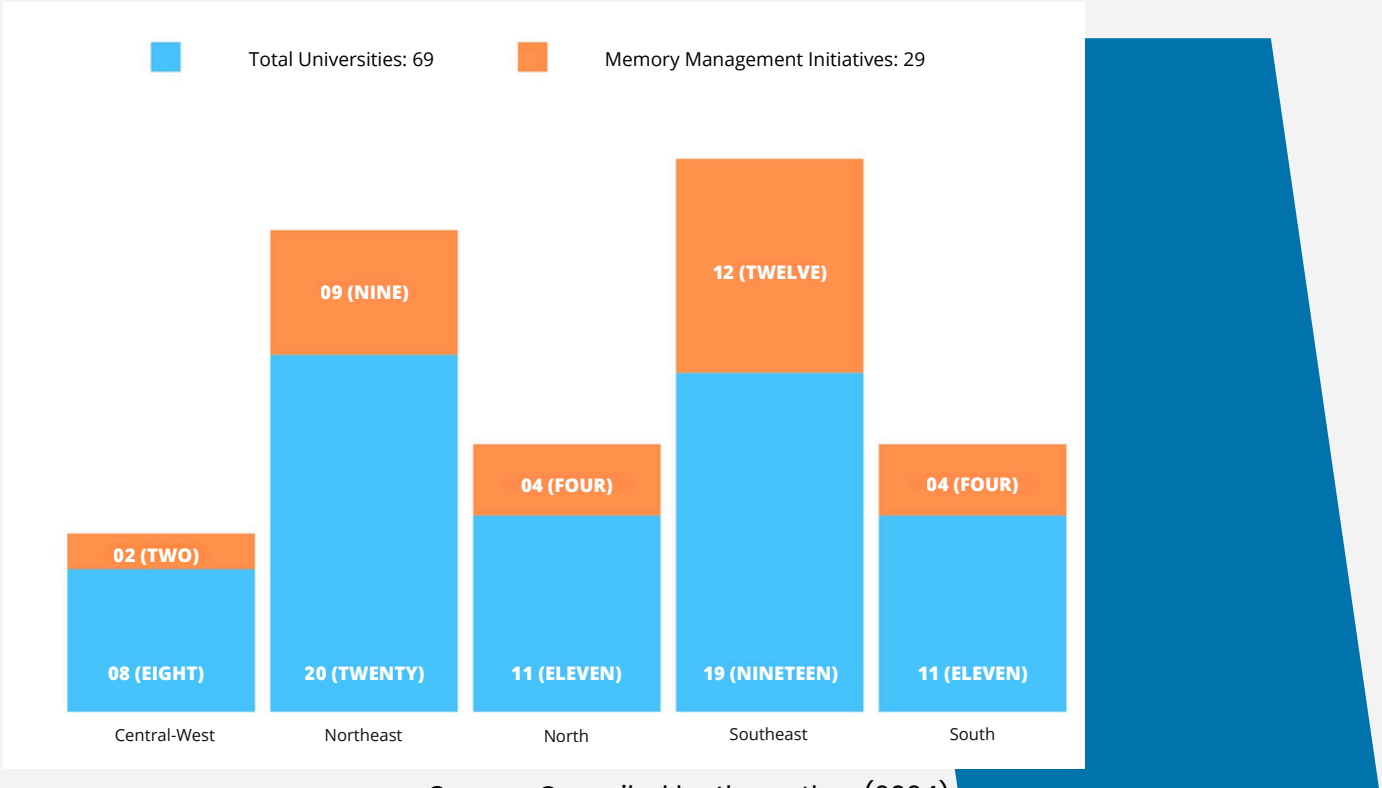
The research was conducted exclusively online, by consulting the official websites of each federal university. This method was chosen to provide direct access to official information released by the institutions themselves and to consider only what is publicly available.

The data suggest that these initiatives are concentrated in regions with higher levels of economic development or at universities with a long academic tradition. For example, institutions such as the Federal University of Rio Grande do Norte and the Federal University of Rio de Janeiro are at the forefront of this field, employing a variety of memory management practices, including museums, archives, and specialized departments dedicated to the subject.

With regard to federal universities established between 2000 and 2023, the survey reveals a significant lack of such initiatives. Of the total 21 institutions, only two —the Federal University of Recôncavo da Bahia (UFRB) and the Federal University of Agreste de Pernambuco (UFAPE)—have developed systematic initiatives in this regard, notably the Recôncavo Memory and Documentation Center (NUDOC) and the UFAPE House Museum.

This low level of engagement with institutional memory management among younger universities can be attributed to several factors. First, the initial focus of these institutions tends to be on consolidating their academic and administrative structures, pushing memory preservation efforts to the background. The lack of specific resources and an established tradition can also hinder the implementation of such initiatives, as these universities are still in the process of building their institutional identities.

Figure 8 - Regional distribution of memory management initiatives in higher education institutions



Source: Compiled by the author (2024)





Photographs: Univasf Collection

MANAGEMENT PLAN

Principles and guidelines

The implementation of an institutional memory management plan at Univasf requires the establishment of a structured set of actions and guidelines to direct practices related to the preservation, organization, selection, and access to the university's historical and documentary collections. This initiative serves as the foundation for consolidating institutional identity, promoting active transparency, and strengthening Univasf's commitment to society, particularly within the regional context in which it operates.

The principles underlying this proposal are based on the recognition of institutional memory as a collective heritage and emphasize freedom of expression and diversity, promoting respect for the many voices and perspectives that make up the academic community and society at large.

Another core principle is public accountability, emphasizing the duty of Univasf staff to ensure the preservation and accessibility of the historical artifacts produced or held by the institution. Furthermore, the appreciation of memory as a source of identity and knowledge, underscoring the importance of documenting and sharing the history and values that shape Univasf.

To translate these principles into concrete actions, the proposal includes a set of guidelines for implementing the institutional memory policy. The first guideline is institutional integration, which calls for coordination among the university's various units and departments to create a coordinated network of initiatives aimed at preserving, restoring, and disseminating the collections, in both physical and digital formats.

This integration is necessary to ensure that memory initiatives are comprehensive and representative of the entire university community. As such, Univasf's multi-campus structure offers an opportunity to gather diverse perspectives on the northeastern semi-arid region from within the institution

The guidelines should also promote the integration of teaching, research, and outreach activities with the management of institutional memory. It is important to encourage research and outreach projects that focus on the preservation and promotion of memory.

These projects may include historical research on aspects of Univasf's history, the organization of exhibitions and cultural events, and the publication of materials that highlight the university's historical heritage. In addition, it is necessary to ensure the preservation of the record of research and outreach activities, guaranteeing that the results, processes, and impacts of these initiatives are systematically documented and preserved for future reference.

In addition to guidelines, it is necessary to strengthen digital preservation measures, including the digitization of critical documents and the implementation of regular backups, to ensure the integrity and long-term preservation of these records.

The organization and standardized cataloging of documents are intended to enable the easy identification, location, and retrieval of collections, facilitating access for both internal use and the public, while always respecting confidentiality and privacy standards. Ensuring open access and transparency must be a guiding principle, guaranteeing that documents and records of historical value are accessible in accordance with the provisions of the Access to Information Act (Law No. 12,527/2011).

The adoption of technologies for managing institutional collections is another important step toward ensuring the preservation and accessibility of Univasf's historical records. The creation of a digital platform dedicated to providing public access to academic works about Univasf is equally important, as it facilitates the consultation and research of available materials by the academic community and the general public.

Investments in digital preservation should be allocated to ensure that electronic records are maintained in up-to-date and accessible formats, in accordance with the principles of digital archiving, to guarantee the authenticity, integrity, and usability of the records over time.

Finally, Univasf's memory policy should include mechanisms for ongoing monitoring and evaluation to ensure that the guidelines are effectively implemented and that the established objectives are achieved. To this end, it is necessary to define clear performance indicators that assess progress in the implementation of memory policies, covering aspects such as the preservation of collections, the accessibility of information, and the level of community participation. Periodic reviews of memory management policies and practices should be conducted, adjusting the guidelines as necessary to respond to new challenges and opportunities.

ORGANIZATIONAL STRUCTURE

Univasf's institutional memory, as a collective heritage, must be managed in an integrated manner, ensuring that the selection of historical facts and records is representative and aligned with the university's values. To this end, it is necessary to establish an organizational structure to coordinate activities related to institutional memory, ensuring compliance with the institution's guidelines and objectives. In this regard, we propose the creation of an Institutional Memory Management Committee, responsible for implementing and coordinating the memory policy at Univasf.

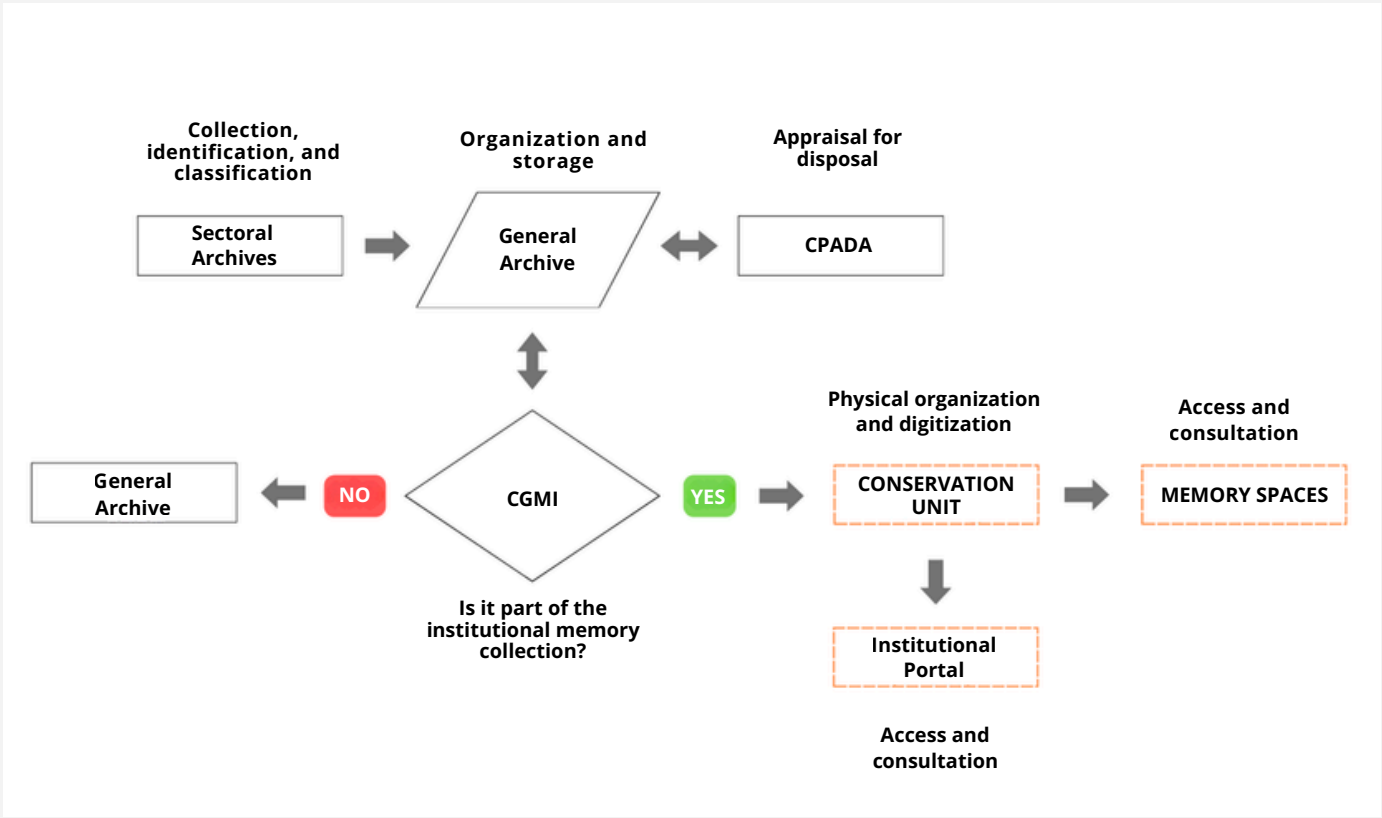
In this context, integrating institutional memory management with records management is a necessary step that can be implemented by making adjustments to existing workflows. This adaptation does not require profound changes, but rather the coordination of current stages to ensure that the preservation of and access to information are managed efficiently and in alignment with institutional objectives. Thus, it is important that the institution's organizational structure take this interconnection into account, ensuring that documents, from their creation to their final disposition, contribute to the preservation and accessibility of memory.



Photograph: Univasf Collection

The institutional memory management flowchart model proposed to Univasf (Figure 14) applies the stages of records management in an organized manner, reflecting the interdependence between memory management and records management. These stages, based on internal regulations and legal guidelines, ensure the optimization of the management process, from the production and classification of documents to their archiving and eventual disposal, when permitted.

Figure 9 - Flowchart of Institutional Memory Management



Source: Compiled by the author (2024)

Univasf's records management process begins with the collection and identification of documents in departmental archives. These documents, which may include administrative, academic, and other types of records, are organized and prepared in accordance with the guidelines established by Normative Instruction No. 03/2018. This regulation defines standards for the entire document lifecycle, from production, processing, and use to evaluation and archiving.

Documents deemed to have permanent value must be organized and classified according to the Retention Schedule before being transferred to the General Archives Section. This process follows the guidelines of the Normative Instruction, as well as the current archival laws and standards established by CONARQ. Proper classification ensures that documents are stored correctly and can be accessed efficiently in the future. After collection, the documents are organized and stored at the General Archives.

The departments that produce documents are responsible for organizing their own records. Only documents classified as having permanent value are transferred to the General Archives, in accordance with the classification code assigned at the time of their creation.

The flowchart presented here aims to clearly integrate institutional memory management with records management, highlighting how these practices are interconnected. It is important to note that the boxes and steps represented by dotted lines in the flowchart are part of what is being proposed as part of the implementation plan. The other steps, represented by solid lines, are already part of the institution's existing processes. However, it is essential to consider implementation challenges, such as the need to engage the responsible professionals and ensure that procedures comply with current regulations.

For documents moving from the current phase to the intermediate phase, the transfer must be accompanied by a Document Transfer Form. The relevant department is responsible for preparing, sending, and monitoring the transport of these documents, while the Records Management Office is responsible for receiving them and verifying the transferred materials.

Documents may only be disposed of after the IFES Document Retention Schedule has been applied and the Disposal List has been approved by the Permanent Commission for the Evaluation of Archival Documents (CPADA) and the Rector. Pursuant to Decree No. 10,148, dated December 2, 2019, Permanent Document Evaluation Committees are established within federal public administration agencies and entities to guide and conduct the analysis, evaluation, and selection of documents, ensuring their final disposition in accordance with current legislation and Siga regulations.

A key step in the flowchart is the decision regarding the preservation of documents related to institutional memory. At this stage, the Institutional Memory Management Committee (CGMI) would assess whether the document is part of the memory collection, based on the criteria set forth in the memory policy. If approved, the document proceeds to organization and digitization; otherwise, it is returned to the General Archives for possible disposal.

The creation of this committee aims to ensure the implementation of the plan by coordinating and guiding practices related to the preservation and organization of the collections, as well as promoting a memory policy that is inclusive, representative, and aligned with institutional guidelines.

Once organized and stored, both physical and digital documents are made available for access and consultation, in accordance with institutional needs and following technical standards that ensure their authenticity and integrity. The digitization of documents is an essential step to facilitate access and ensure long-term preservation. This process includes preparation, scanning, inspection, and indexing, in accordance with the guidelines of Decree No. 10,278, dated March 18, 2020.

Finally, certain documents of public interest are intended for publication, particularly those of historical and institutional significance. The publication of these documents, as well as the information generated through their processing, reinforces Univasf's commitment to transparency, the dissemination of knowledge, and the preservation of its institutional memory.

The CGMI should be composed of representatives from different areas and sectors of the university, as well as from the external community, ensuring a multidisciplinary and integrated perspective on the needs and opportunities related to institutional memory.

This diverse composition will enable the committee to act in a representative manner in identifying and selecting the elements that make up the history of Univasf, while also promoting the active participation of the entire academic and external community.

In addition, it is suggested that the Institutional Memory Management Committee (CGMI) be made part of Univasf's standing committees, as its ongoing work is necessary to ensure that the institution's memory is preserved, accessible, and properly managed.

Responsibilities of the CGMI

a) Coordinate Univasf's institutional memory management policy, ensuring that all actions are aligned with institutional guidelines and best practices in memory preservation;
b) Establish objective criteria for the selection, organization, preservation, and display of the documents and objects that make up the institutional memory collection, ensuring that the documentation is accessible and well preserved;
c) Identify and collect documents relevant to institutional memory, including textual records, audiovisual materials, physical artifacts, and oral testimonies, in order to build a comprehensive collection representative of Univasf's history and culture;
d) Develop and/or implement a system for cataloging and indexing documents, using standardized technical norms to facilitate the retrieval of and access to information stored in the collection;
e) Coordinate the creation of a website to make digitized documents available, promoting public access to the institutional memory collection and ensuring the transparency and accessibility of information;
f) Promote the integration and dissemination of research and outreach initiatives related to institutional memory, encouraging academic and scientific work on the history and culture of Univasf;
g) Establish partnerships and promote collaboration among different areas of Univasf (archives, library, museum, etc.) and with other memory institutions, in order to enrich the collection and expand practices for the preservation and dissemination of memory;
h) Perform periodic maintenance and evaluation of the collections, identifying possible inaccuracies and the need for updates, ensuring that the preserved materials remain relevant and in good condition;
i) Provide input on the acceptance of donations and determine the disposal of materials that are not relevant to the collection or are in a state of preservation that makes restoration unfeasible, ensuring that the collection remains relevant and of high quality;
j) Prepare annual reports and opinions on the Commission's activities, presenting suggestions and requesting administrative measures when necessary, as well as inviting experts for consultations and debates on topics relevant to the management of institutional memory.

ORGANIZATIONAL STRUCTURE

This proposed composition for the Memory Management Commission of Univasf is structured to ensure the broad and multidisciplinary representation necessary for the preservation of institutional memory. The inclusion of representatives from different sectors of the university, such as the Permanent Archive, the Library System (SIBI), Information Technology, and the President's Office, along with the participation of representatives of technical-administrative staff, faculty members, each campus, and the external community, aims to ensure that the diversity of perspectives and needs is contemplated. This diversity enables the implementation of a memory policy that also reflects the plurality of voices and experiences that make up the institutional identity.

Composition of CGMI

I. Representative from the Permanent Archive;

II. Representative from SIBI (Library System);

III. Representative from the Information Technology Sector;

IV. Representative from the President's Office;

V. Representative from CPADA;

VI. Representative of the technical-administrative staff;

VII. Representative from each campus;
VIII. Faculty representative;

IX. Student representative;

X. Representative from the external community.



Photograph: Univasf Collection

RESPONSIBLE PARTIES FOR THE INTERVENTION PROPOSAL AND DATE

Jáder Barrozo de Carvalho
Master in Public Administration in a National Network – PROFIAP
Institution: Federal University of the São Francisco Valley (UNIVASF)

Francisco Ricardo Duarte
PhD in Knowledge Dissemination
Professor of the Master's Program in Public Administration in a National Network – PROFIAP
Institution: Federal University of the São Francisco Valley (UNIVASF)

Juazeiro, Bahia, Brazil – October 31, 2024



Photograph: Univasf Collection

REFERENCES

BRAZIL. **Constituição Federal de 1988**. Brasília, DF: Senado Federal, 1988.

BRAZIL. **Lei Nº 8.159, de 8 de janeiro de 1991**. Dispõe sobre a política nacional de arquivos públicos e privados e dá outras providências. Brasília-DF. Disponível em: https://www.planalto.gov.br/ccivil_03/leis/l8159.htm. Acesso em: 15 jul. 2024.

BRAZIL. **Lei nº 10.473, de 27 de junho de 2002**. Institui a Fundação Universidade Federal do Vale do São Francisco. Disponível em: https://www.planalto.gov.br/ccivil_03/leis/2002/l10473.htm. Acesso em: 03 abr. 2023.

BRAZIL. **Lei nº 12.527, de 18 de novembro de 2011**. Regula o acesso a informações previsto no inciso XXXIII do art. 5º, no inciso II do § 3º do art. 37 e no § 2º do art. 216 da Constituição Federal; altera a Lei nº 8.112, de 11 de dezembro de 1990; revoga a Lei nº 11.111, de 5 de maio de 2005, e dispositivos da Lei nº 8.159, de 8 de janeiro de 1991; e dá outras providências. Diário Oficial da União, Brasília, DF, 18 nov. 2011. Seção 1, p. 1. Disponível em: http://www.planalto.gov.br/ccivil_03/_ato2011-2014/2011/lei/l12527.htm. Acesso em: 01 maio 2023.

BRAZIL. **Lei complementar Nº 113, de 19 de setembro de 2001**. Autoriza o Poder Executivo a criar a Região Administrativa Integrada de Desenvolvimento do Polo Petrolina/PE e Juazeiro/BA e instituir o Programa Especial de Desenvolvimento do Polo Petrolina/PE e Juazeiro/BA. Disponível em: http://planalto.gov.br/CCIVIL_03/LEIS/LCP/Lcp113.htm. Acesso em: 15 abr. 2023.

CONSELHO NACIONAL DE JUSTIÇA. **Manual de gestão de memória do Poder Judiciário**. Brasília: CNJ, 2021. 153 p. Disponível em: https://www.cnj.jus.br/wp-content/uploads/2021/02/Manual_de_Gestao_de_Memoria.pdf. Acesso em: 15 abr. 2023.

COSTA, Icléia Thiesen Magalhães. **Memória institucional:** a construção conceitual numa abordagem teórico-metodológica. 1997. 169 f. Tese (Doutorado em Ciência da Informação) - Universidade Federal do Rio de Janeiro / Instituto Brasileiro de Informação em Ciência e Tecnologia, Rio de Janeiro, 1997. Disponível em: https://repositorio.ibict.br/bitstream/123456789/686/1/icleiaCosta1997.pdf. Acesso em: 04 abr. 2023.

DODEBEI, Vera Doyle. Memória e patrimônio: perspectivas de acumulação/dissolução no ciberespaço. **Aurora**: revista de arte, mídia e política, São Paulo, v. 10, p. 36-50, 2011. Disponível em: https://revistas.pucsp.br/aurora/article/view/4614. Acesso em: 04 set. 2024.

FERREIRA, Emanuelle Geórgia Amaral; SANTOS, Elisete Sousa; MACHADO, Miriam Novaes. **Política de informação no Brasil:** a lei de acesso à informação em foco. Múltiplos Olhares em Ciência da Informação, Belo Horizonte, v. 2, n. 1, mar. 2012.

FIGUEIREDO, Renata Alves de. A importância da gestão da informação para aplicação da Lei de Acesso à Informação. In: RONCAGLIO, Cynthia; SIMEÃO, Elmira (Org.). **Gestão da Memória:** Diálogos sobre políticas de informação, documentação e comunicação para a Universidade de Brasília. Brasília: Editora UNB, 2016.

MARTINS, Ana Amélia Lage; REIS, Alcenir Soares dos. A informação pública como direito e acesso ao poder: a Lei 12.527/2011 em debate. In: MOURA, Maria Aparecida (Org.). **A construção social do acesso público à informação no Brasil**: contexto, historicidade e repercussões. Belo Horizonte: Editora UFMG, 2014.

REFERENCES

MATOS, Maria Teresa Navarro de Britto. **Memória institucional e gestão universitária no Brasil**: o caso da Universidade Federal da Bahia. 2004. Tese (Doutorado em Educação). Universidade Federal da Bahia, Salvador, 2004. Disponível em: https://repositorio.ufba.br/handle/ri/10976. Acesso em: 05 abr. 2023.

SANTOS, Juliana Cardoso dos; VALENTIM, Marta Lígia Pomim. Memória institucional e memória organizacional: faces de uma mesma moeda. **Perspectivas em Ciência da Informação**, [S. l.], v. 26, n. 3, 2021. Disponível em: https://periodicos.ufmg.br/index.php/pci/article/view/36235. Acesso em: 6 set. 2024.

SOARES, Fabiana de Menezes; JARDIM, Tarciso Dal Maso; HERMONT, Thiago Brazileiro Vilar. **Lei de Acesso a Informação no Brasil**: O que você precisa saber: Brasília. 2013. Disponível em: https://www2.senado.leg.br/bdsf/bitstream/handle/id/496325/LAI_2013.pdf?sequence=1&isAllowed=y. Acesso em: 12 abr. 2023.

THIESEN, Icléia. **Memória Institucional**. Campina Grande: Editora UFPB, 2013.

UNIVASF. **Estatuto da Universidade Federal do Vale do São Francisco.** Petrolina, 2012. Disponível em: https://portais.univasf.edu.br/arquivos-gerais/base-juridica/estatuto-univasf.pdf. Acesso em: 03 abr. 2023.

UNIVASF. **História**. Univasf Universidade Federal do Vale do São Francisco. 2016. Disponível em: https://portais.univasf.edu.br/apresentacao-univasf/historia. Acesso em: 03 abr. 2023.

UNIVASF. **Instrução Normativa Nº 03, de 02 de abril de 2018**. Dispõe sobre o Manual de Assistência às Atividades de Gestão de Documentos da Univasf. Petrolina, 2018. Disponível em: https://portais.univasf.edu.br/normas-institucionais/InstruoNormativan.03ManualdeAssistnciasAtividadesdeGestodeDocumentosdaUnivasf.doc/view. Acesso em: 17 jul. 2024.

UNIVASF. **Reitoria**. Univasf em números 2012 a 2019: dados e ações da gestão universitária. 2020. Disponível em: https://portais.univasf.edu.br/reitoria/univasf-em-numeros-2012_2019.pdf. Acesso em: 07 mar. 2024.

UNIVASF. **Resolução Nº 11, de 05 de setembro de 2014**. Estabelece o Regimento Interno da Comissão Permanente de Avaliação de Documentos de Arquivo da UNIVASF – CPADA. Petrolina, 2014. Disponível em: https://portais.univasf.edu.br/dados-institucionais/comissoes-permanentes/comissao-permanente-de-avaliacao-de-documentos-de-arquivo/arquivos/resolucao-no-11-regimento-interno-cpada.doc/view. Acesso em: 17 jul. 2024.

Master: Jáder Barrozo de Carvalho

Advisor: Francisco Ricardo Duarte, PhD

Translator: Wanderson da Silva Paes

Federal University of the São Francisco Valley

May 2026

PROFIAP

MESTRADO PROFISSIONAL EM
ADMINISTRAÇÃO PÚBLICA