

UNIQUE E-ARCHIVES IN SPANISH PUBLIC ADMINISTRATION: CHALLENGES, ROADMAP AND TOOLS

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- Basis were settled in 2007, when citizens' right to accede electronically to Public Administration was both recognized and regulated (L11/2007).
- Public powers have developed not only legal but technical tools too, oriented to reach unique e-archives in 2018 (laws 39/2015 and 40/2015).

FIRST STEPS: THE NATIONAL SCHEMAS

- In 2010, National Security (RD 3/2010) and National Interoperability (RD 4/2010) Schemas were first published.
- Between 2010 and 2017, both schemas have been improved, updated and developed in several technical standards and implementation guidelines, all of them available through the E-Administration Portal (https://administracionelectronica.gob.es/pae_Home.html).

NATIONAL SECURITY SCHEMA (ENS)

- **National Security Schema** settles the security policy to protect electronic systems.

ENS ELEMENTS

- ENS elements:
 - Basic principles and
 - Minimum requirements to protect e-information.

ENS APPLICATION

- Public Administration will use ENS to guarantee data, information and services in electronic media access, integrity, confidentiality, availability, traceability and preservation.

SCOPE AND PURPOSES

- **Make electronic media confident for citizens and public administrations**, a guaranteeing security in information to encourage both citizens and public powers to use e-administration systems.
- **Establishing security policy for e-administration systems**: basic principles and minimum requirements.
- **Introducing common elements** to guide Public Administration (local, regional, national...) in IT security.
- **Providing a common language** to facilitate public administrations interaction.
- **Providing homogeneous treatment for security** to enable cooperation between different entities offering e-administration services.
- **Avoiding security continuous treatment.**
- ENS develops security as whole; no isolated actions or temporary situations are contemplated, for weakness in a system is determined by its fragile points.

ELEMENTS IN ENS

- **Basic principles** to take into account when security decisions must be taken.
- **Minimum requirements** for information accurate protection.
- Mechanisms to guarantee both basic principles and minimum requirements through **security measures according** to the information and services to protect.
- **E-communications.**
- **Security audit.**
- **Quick answer to security incidents.**
- **Security certification.**
- **Certificate of compliance.**

PHASES

- Different issues must be adopted:
- Preparing and approving a security policy (defining roles and assigning responsibilities).
- Classifying systems according to the value of the information and services.
- Risk analysis according to current security measures.
- Preparing and approving these measures applicability according to ENS annex II.
- Redacting an adaptation plan to improve security. This plan will be based on systems weaknesses and will include deadlines to execution.
- Implementing, operating and monitoring security measurements by continuous security management.
- Auditing security.
- Informing about security status.

NATIONAL INTEROPERABILITY SCHEMA

- Cooperation between Public Administrations is essential to offer e-services to citizens and guarantee them their right to use these system to relate to Public Powers. For fluency in these relations interoperability is essential.
- Interoperability must be conceived as a whole, no punctual or relevant actions must be taken to avoid system fragility.

ENI OBJECTIVES

- Public Administration must understand and take into account ENI criteria and recommendations in taking technical decisions to guarantee interoperability for performing rights and duties in electronic access to public services.
- Introducing common elements to guide Public Administrations through interoperability.
- Providing a common language to enable Public Administration interaction and communicate interoperability requirements to industries.

ENI ELEMENTS I

- Interoperability specific principles: Interoperability as an integral quality since the moment services and systems are conceived and through the whole lifecycle; interoperability as a multidimensional quality; multilateral solutions.
- Organizational interoperability: Publishing services using Public Administration network (Red SARA); using interoperability nodes; maintaining administrative information.
- Semantic interoperability: Publishing and applying exchange data models, infrastructures, services and common tools using Administration Semantic Interoperability Centre.
- Technical interoperability: using approved standards and guaranteeing citizens will not be discriminated for their technical election.
- Infrastructures and common services, invigorating elements and simplifying and disseminating interoperability mechanism. Public Administrations will use those infrastructures and mechanisms they will be able to implement in their environment using common infrastructures and services provided by State General Administration.

ENI ELEMENTS II

- Spanish Public Administration Communications Network will be the system for Administrations to communicate through SARA Network.
- Information reuse.
- E-signature and certifications interoperability.
- Recovering and preserving e-document.
- Interoperability Technical Standards and tools will be created.

E-DOCUMENTS MANAGEMENT POLICIES

- E-documents management policy includes suggestions and guidelines defined by an organization to create, manage and maintain authentic, reliable and usable documents through their lifecycle. Policy is approved in a high level and establish responsibilities related to coordination, application, revision and management for documents.

GUIDELINES

- E-Documents management policy Technical Interoperability Standard: establishes guidelines to define e-documents management policies.
- E-Documents management policy model can be used as a reference to design policies according to the National Interoperability Schema, which follows the Interoperability Technical Standard and its Implementation Guidelines.

CURRENT E-DOCUMENTS MANAGEMENT POLICIES

National level

- Ministry of Education, Culture and Sports
(<http://www.mecd.gob.es/cultura-mecd/areas-cultura/archivos/recursos-profesionales/documentos-electronicos.html>)

- Ministry of Tax and Public Administrations
(<http://www.minhfp.gob.es/Documentacion/Publico/SGT/POLITICA%20DE%20GESTION%20DE%20DOCUMENTOS%20MINHAP/politica%20de%20gestion%20de%20documentos%20electronicos%20MINHAP.pdf>)

- Ministry of Defence
(<http://www.ame1.org/depot/images/ORDEN%20MINISTERIAL%205-2017.pdf>).

DEADLINE: 2018

- In 2015 two new laws, one about common administrative procedures and public administration juridical regime become e-procedure as common and preferential system for relationships between citizens and public administrations.

E-ARCHIVING

TOOLS FOR PUBLIC
ADMINISTRATIONS

E-ARCHIVING. *INSIDE* SYSTEM

- *Inside* is an e-document and e-files management system designed according to ENI requirements for them to be created, maintained, updated and archived. *Inside* allows record management entirely electronic in office archives and creates SIPs to transfer information to central and historical repositories.

LONG TERM ARCHIVING. *ARCHIVE* TOOL

- *Archive* is a long term archives web application which allows working with e-documents and e-files.

ARCHIVE TOOLS

- Archives management.
- Repositories management.
- Technical Standards metadata management.
- Files management.
- Transferring files from archives.
- Custody change certificates automatic generation.

INFORMATION PACKAGES

- *ARCHIVE* includes SIP generating and AIP visualizing tools, automatically generated by archiving software.
- At the same time it generates demi-automatically DIP to transfer Information Packages between archives.

APPRAISAL

- According to Preservation Policies, *Archive* recognizes partial and permanent disposal, permanent preservation and waiting for judgment states.

@FIRMA

- Solution offered to Public Administrations for e-signature.
- Designed by a regional administration (Andalucía) and offered to the rest of Public Administrations.

FUNCTIONALITIES UNDER DEVELOPMENT

- E-document resealing,
- Massive format conversions
- SIP and AIP definition metadata advanced management.

**THANKS FOR YOUR
ATTENTION!!**

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