



E-Services between Public Administrations and Records Management, from the Local Government viewpoint in Catalonia

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Aim and purpose

The **aims**:

- How e-Services affects records management and preservation.
- Guidelines to improve policies about e-Services.

The **specific objectives**:

- Debate within the Catalan professional community.
- Influence policies of Public Administrations as e-Services providers.

The current context

Spanish legislation:

- Digital Signature Act (2003)
- E-Government and Electronic Services for citizens (2007)
- Information Systems Security (2010)
- Interoperability between Public Administrations (2011-2012)
- Data Protection (1999)
- Reuse of Public Sector Information (2007)
- Transparency and Good Governance (2013)

Catalan legislation:

- Administrative Procedures (2010)
- Use of Electronic Media (2010)
- Transparency and Good Governance (2014).

The current context

New Spanish law: General Administrative Procedures (October 2015)

- Fully digital case files: **October 2016**.
- Digital archive service in 2 years.
- If not, digital archive service provided by State.
- Exchange data between Public Administrations: less complexity for citizens.

Towards e-Government...

- Technological component > organizational.
- Main objective: economic saving.

Records Management??

- Any law about it.
- Mandatory in Catalan Public Administrations by A&RM Act (2001)

The current context

Spain:

8.000 municipalities

Catalonia:

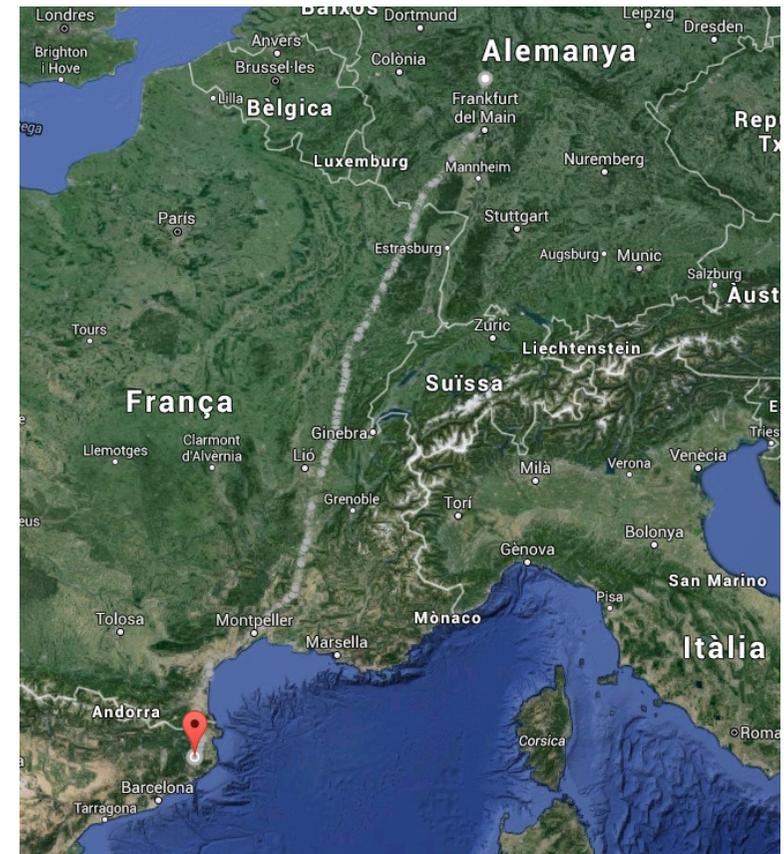
947 municipalities

63% < 2.000 inhabitants

Girona:

100.000 inhabitants

> 1.000 employees



e-Services: who offers what and how

E-Service:

- Technological resources (infrastructures or applications) that facilitate the access to management platforms, information exchange, data interoperability, data validation or the management or provision of services to citizens.

Public Administrations as providers:

- Spanish Government.
- Regional Government (e.g. Catalonia Government).
- Provincial Government.
- *Open Administration of Catalonia (AOC, 2001)*

Consortium of Catalan Public Administration: digital transformation

e-Services: who offers what and how

Can we trust Public Administration?

- Policies? Approved? Published?

Baseline **requirements** for e-Service providers:

- Contract management.
- Information security.
- Confidentiality and personal data protection.
- Records management.

Issues:

- Regulation on the provision of services
- Subcontracting
- Information portability
- Data location
- Security measures and audits
- Confidentiality agreement
- Responsibility for personal data protection
- Rights of access
- Destruction of data
- Corporate management
- Characteristics of records

How can it affect records management

Spanish Government' e-services:

- *E-government and services to citizens*: 47 services in 11 sections.
- *Internal management*: 7 services.
- *Infrastructures*: 5 services.

AOC' e-services (Open Administration of Catalonia):

- *Relations with citizens*: 10 services.
- *Internal management*: 7 services.
- *Relations between Public Administrations*: 5 services (intermediation with Catalogue of Interoperable Data and Records of Public Administrations, included)
- *Identity and electronic signature*: 8 services.

How can it affect records management

E-services Classification: actions upon records or in relation to them

- 1. Publication** of data and records on platforms, official registers or official journals.
- 2. Verification** and consultation of data and records, which substitutes documentation provided by citizens.
- 3. Transmission** of data and records.
- 4. Creation** of records, usually by means of a structured form.
- 5. Records management and preservation.**
- 6. Software applications**, used to manage official registers or services.
- 7. Identity and digital signature** as a means of access and validation.

How can it affect records management

Main problems:

- How to manage the traceability of the actions carried out?
- The capture of evidences to be integrated into the RMS is not always easy or possible.
- No control on the on line creation of records
- Sometimes an abstract “substitutes” the record, and it is not possible to access the record.
- E-Services provider as the *preserver* by default.
- Simple copies as evidences.
- Software as a service: preservation measures are rarely foreseen.

How can it affect records management

Records management and preservation applications:

Equivalent applications, similar strengths and weaknesses.

- Document management service (AOC: *DESA'L*; Spanish Government: *INSIDE*)
- Digital archive platform (AOC: *iARXIU*; Spanish Government: *ARCHIVE*)

Document management services (*DESA'L* or *INSIDE*):

- Storage, classification, standardized description, digital signature, transferences to *iARXIU* or to *ARCHIVE*, respectively.

Digital archive platforms (*iARXIU* or *ARCHIVE*):

- OAIS model, management of transferences, partial or total disposition, access restrictions, user roles, format conversions, digital re-signature, in local or in the Cloud.

How can it affect records management

Preservation of the authenticity

- Services are clearly oriented towards digital signature and, even, the re-signature of records.
- Can they guarantee the authenticity of records and the traceability of the actions outside the digital signature?
- Review under the perspective of InterPARES criteria:
 - *Benchmark Requirements Supporting the Presumption of Authenticity of Electronic Records.*
 - *Baseline Requirements Supporting the Production of Authentic Copies of Electronic Records.*

As a conclusion

- Legislative and technological effervescence, expected results in the medium term.
- Legal framework appropriated, but with an important lack about records management regulations.
- E-Services designed in a modular and interoperable way. Particularly useful the brokerage service of AOC.

Some weaknesses:

- Development of a RMS is left entirely at the discretion of each organization.
- Integration of e-Services to the business systems of user administrations: partial solutions.
- Approach of Governments as services providers is more collaborative than cooperative: needs of PPAA as customers haven't been taken into account.
- Authenticity based on the digital signature is clearly a very short term viewpoint.

As a conclusion

Expected **results** regarding Girona City Council:

- The improvement of **policies** on the use and also on the provision of e-Services and procedures about the management of authorized users.
- The regulation of **procedures** to properly integrate records created into these e-Services to the Record Management System of the City Council.
- The implementation of **tools to control** the use of e-Services, such as registers of authorized users, registers of e-Services, and registers of types of transactions carried out and related to the classification system.

As a conclusion

Expected **results** with a possible general interest:

Model of reference requirements for e-Services, useful for:

- The verification of public service providers.
- The bid specifications for contracting providers.
- The design of models of statement of responsibility for contractors.
- The design of an assessment checklist for private providers.
- The identification of actions on records whose traceability and value must be maintained as evidence.

And to stimulate the debate within the Catalan professional community with a clear intention to influence the way in which records are handled in the services provided in the Cloud.



Danke für Ihre Aufmerksamkeit.
Thank you for your attention.

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