

# Technical Interoperability Standard for E-Document Management Policies



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### III. OTHER PROVISIONS

## MINISTRY OF FINANCE AND PUBLIC ADMINISTRATION

10048 Resolution of the Secretary of State for Public Administration of 28 June 2012, giving approval to the Technical Interoperability Standard for E-Document Management Policies.

The National Interoperability Framework, established in Article 42, Section 1, of Law 11/2007, of 22 June, on Citizens' E-Access to Public Services, is aimed at creating the conditions necessary to guarantee an appropriate level of technical, semantic and organisational interoperability of the systems and applications used in the Public Administration, allowing the exercise of rights and the fulfilment of obligations through e-access to public services, while acting in the interest of effectiveness and efficiency.

Royal Decree 4/2010, of 8 January, regulating the National Interoperability Framework for E-Government, establishes in Additional Provision 1 the development of a series of Technical Interoperability Standards, which must be complied with in the Public Administration.

The Technical Interoperability Standards describe specific aspects of a wide range of topics such as e-documents, digitisation, e-files, authentic copy and conversion, signature policy, standards, data brokerage, data models, e-document management, connection to the communication network of the Spanish Public Administration, and data models for the exchange of registry entries and declaration of conformity, all of which are necessary to guarantee the more practical and operational aspects of interoperability between Public Administration agencies and citizens. These Technical Operability Standards shall be further developed and improved over time, parallel to the progress of e-government services, their supporting infrastructure, and the evolution of technology, in order to meet the provisions in Article 42.3 of Law 11/2007, of 22 June.

Within the Technical Interoperability Standards, those related to e-documents, e-files, the digitisation of paper documents, authentic copy and conversion procedures, and e-document management policies are in accordance with the provisions in the aforementioned Royal Decree 4/2010, of 8 January, on the Interoperability, Retrieval and Preservation of E-Documents, in light of the need to guarantee these aspects for e-documents throughout their lifecycle.

In particular, the Technical Interoperability Standard for E-Document Management Policies describes the concepts related to e-document management policy development, identifies document management processes in e-government and sets forth the principles for the development and implementation of e-document management policies by all Public Administration agencies and related or reporting public bodies.

Drafted in collaboration with all the Public Administration agencies to which it applies, the present Technical Standard has received a favourable report from the Standing Committee of the High Council for E-Government, at the proposal of the E-Government Sector Committee.

In accordance with the provisions in Section 2 of Additional Provision 1 of Royal Decree 4/2010, of 8 January, the Secretary of State decides:

One

To approve the Technical Interoperability Standard for E-Document Management Policies.

Two

That the Technical Interoperability Standard for E-Document Management Policies that is being approved by virtue of this document shall come into force on the day following its publication in the Official State Gazette, irrespective of the clauses in Transitory Provision 1 of Royal Decree 4/2010, of 8 January, regulating the National Interoperability Framework for E-Government.

Madrid, 28 June, 2012. Secretary of State for Public Administration Antonio Germán Beteta Barreda.

## Technical Interoperability Standard for E-Document Management Policies

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#### I. Purpose

The Technical Interoperability Standard for E-Document Management Policies is aimed at establishing the guidelines for the design of policies for the management of e-documents.

#### II. Scope of application

II.1 The clauses in this Standard shall apply to the development of e-document management policies within the scope established in Article 3 of Royal Decree 4/2010, of 8 January, regulating the National Interoperability Framework for E-Government.

II.2 The guidelines set forth in this Standard shall be applicable in hybrid environments where paper documents and e-documents coexist.

### III. Content and background

III.1 E-document management policies are documents containing the following:

1. Scope and application.
2. Roles of the actors involved.
3. Document management process structuring and development.
4. Related training activities.
5. Document management process supervision and auditing.
6. Content review for adequacy to changing document management needs.

III.2 E-document management policies shall:

1. Be part of the general document management framework in the context of each organisation, alongside the other policies applied to its activities.
2. Apply standard criteria, methods and behaviours, as well as national and international standards and good practices to document management, in accordance with the Technical Interoperability Standard for Standard Catalogues.

### IV. Actors involved

The actors in the design, approval and implementation of an organisation's e-document management policy will be at least the following:

1. The authorities promoting and approving said policy.
2. The people in charge of management processes applying said policy to the management processes they are in charge of.
3. The people in charge of the planning, implementation and management of document management programmes and their operation. They shall be trained and qualified in, and dedicated to document conservation and management, taking part in document conservation and management system update and implementation tasks.
4. The people performing e-document management tasks, who shall comply with the clauses in said policy using the implemented management programme.

### V. E-document management programme

V.1 The design, development and implementation of e-document management processes, operations and techniques will be realised through a specific programme for e-document and e-file management.

V.2 Said programme will be continuously applied to all the stages or periods in the lifecycle of e-documents and e-files, guaranteeing their authentic, integrity, confidentiality, availability and traceability while enabling the protection, retrieval, and logical and physical conservation of documents and their contexts.

### VI. E-document management processes

Every organisation shall have at least the following e-document management processes:

1. Document capture, including the handling of the minimum required metadata as established in the Technical Interoperability Standard for E-Documents.

2. Legal registration, in accordance with Law 30/1992, of 26 November, on the Legal Regime for the Public Administration and Common Administrative Procedures, comprising both the management of the e-documents received and the digitisation of paper documents in compliance with the Technical Interoperability Standard for Document Digitisation.

3. Document classification according to the file creation and e-document grouping criteria in the Technical Interoperability Standard for E-Files, and functional classification according to the organisation's classification chart.

4. Document description in accordance to section VII in this Standard and, if available, the organisation's metadata schema.

5. Access to documents, institutional regulation of said access and traceability of related actions.

6. Document rating, including:

- i. Identification of fundamental documents.
- ii. Appraisal and decision on conservation periods.
- iii. Report by the rating authority.

7. Document conservation according to value and report by the rating authority, based on previously drafted conservation calendars.

8. Document transfer, including considerations for transfers between repositories and custodian responsibilities.

9. Document destruction or deletion, in compliance with the Documentary Heritage destruction regulations and the security measures in Royal Decree 3/2010, of 8 January, regulating the National Security Framework for E-Government: document deletion and destruction under "Information Media Protection [mp.sj]" and document cleaning under "Protection of Information [mp.info]."

## VII. Metadata assignment

VII.1 Organisations shall guarantee the availability and integrity of their e-documents' metadata, permanently preserving the relation between each document and the associated metadata.

VII.2 The application of e-document management metadata for internal handling and management shall be designed by each organisation according to its own needs, criteria and regulations.

VII.3 E-document management metadata shall be structured in metadata schemata according to each organisation's specific management characteristics and needs.

VII.4 The E-Document Management Metadata Schema (e-EMGDE), available at the Semantic Interoperability Centre, including the minimum required metadata as established in the Technical Interoperability Standard for E-Documents and the Technical Interoperability Standard for E-Files, as well as additional metadata relevant to e-document management and conservation policies, can be used as a reference for the adequacy of interoperability requirements in document management.

## VIII. Documentation

Every organisation shall develop and update the document management procedures to follow in the various document management processes.

## IX. Training

IX.1 The staff at the organisations shall get adequate training to perform e-document and e-file management and conservation tasks.

IX.2 Organisations shall objectively and non-discriminatorily demand adequate management quality and service maturity levels of document management and conservation service providers.

## X. Supervision and auditing

X.1 The procedures and actions in document management processes shall be registered for proof of adequate application according to each document's requirements and each organisation's needs.

X.2 Organisations shall conduct well-document evaluations and audits on a regular basis in order to guarantee the adequacy of document management policies and the implementation of e-document management processes in compliance with said policies.

X.3 The evaluation results shall be taken into account in the update of policies, document management programmes and e-document management processes.

## XI. Update

E-document management policies, programmes and processes shall be updated on a regular basis in order to guarantee their adequacy to the actual e-document management needs and applicable regulations.