The digital archive: an example of long-term preservation. The state of the Universities of Spain

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Brief introduction of the Conference of Archivists of Spanish Universities

The Conference of Archivists of Spanish Universities (CAU) celebrated its 20th anniversary in 2014. Its members are archivists working at public and private Spanish universities and its objective is to collaborate with and improve the management of the documentary heritage of higher education centers in Spain.

The CAU is a Permanent Working Group on the Sectoral Committee of Secretaries General of the Conference of Rectors of Spanish Universities (CRUE), by agreement of the Committee at a meeting held in Seville on July 3 and 4, 2002. By virtue of the regulations of this committee the CAU has a presidency, chosen from the Secretaries General of the Sectoral Committee members.

According to a survey of 75 universities carried out in 2014, 55 universities have archives today. It is notable that currently 96,3% of Spanish university archives play some role in the life cycle of

documents while 3,7% only participate in the semi-active or inactive phase of documents' life cycles .

The CAU's activities are carried out in working groups and their findings are presented in the meetings that are held annually at a member university.

Steps taken by the archives of Spanish Universities with regard to long-term preservation

Responding to the needs that continue to arise regarding the preservation and long-term access to documents produced in our universities, the CAU has been working since 2010 on the requirements for and analysis of existing tools for secure digital repositories. In this regard, assistance was received on more than one occasion from the Grupo CRUE/TIC in the establishing of the computing requirements for these repositories.

To this work the following should be added: the reform of the metadata schema with a new one based on elements of the eEMGDE[1] on account of its scope, flexibility, interoperability and extendibility, and its relationship with the Technical Interoperability Standard Management Policy Document, the Electronic Document Guide and National Interoperability Framework and metadata management of documents necessary for preservation and long-term access, with special emphasis on the signature metadata, access and security, all basic and important in the processes of the university. These documents, which result from these processes, will have the required

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[1] Metadata Scheme for Management of Electronic Records -Esquema de Metadatos para la Gestión del Documento Electrónico (e-EMGDE).

guarantees of authenticity, reliability, integrity and truthfulness, and also of interoperability when necessary.

The two tools successfully introduced so far are iArxiu, developed by AOC for use by Catalan universities, and Archiviun by the Universidad de Navarra.

Conciliation of concepts

This is related to the necessity for a terminological conciliation of concepts originating in English such as the differences between "document", "record" and "archive", in order to better understand the differences between our original "records" in our records management system and archives. It is an integrated system in which the preservation must ensure that the record is complete, true and can be used over time. As required by Section 9.6 of ISO 15489-1:2001, the records system must preserve the authenticity of the document and ensure its accessibility and reliability as well as its use throughout the storage period. And to ensure this long-term preservation, the "archive" will be conserved in accordance with ISO standard 14721:2012; "open model file reference information, both digitalized and physical, to preserve the information and make it available to the community in need of it".

Cooperation and interdisciplinarity

It is appropriate to note the importance within the university of the records management system and archives and the framework of electronic administration which allows for it.

Specifically, the digital archive projects developed so far would not have been possible without the cooperation and interdisciplinarity of archivists, lawyers and IT professionals.

Thanks to this collaboration - the reliability, security, usability and integrity that the documents should have and that archivists and records managers work to achieve - and lawyers and IT professionals it has been possible to carry out this work online and integrated with records management and other university management applications, and expand its use throughout the university until it reaches users.

Then there is cooperation between archives, promoted by CAU, which enables the dissemination of successful experiences among its members and promotes digital file seeking synergies between universities in the immediate environment for their development and thanks to the unification of the various activities in a common format, which facilitates the integrated management and use of transversal resources and makes its implementation possible. Noteworthy in this area is the experience of the Catalan universities but it is also spreading to other communities, as well as the work being done by the Ministry of Finance and Public Administration in this area.

Metadata in digital archiving

Digital Archives applications based on ISO 14721: 2012 (OAIS) use different metadata schema. In the case of Archiviun, the digital archive of the University of Navarra has established its own metadata schema. In the case of iArxiu, the digital archive of our universities, the model is a METS descriptive metadata schema, but this has not prevented its extension and integration with other metadata schema. Pompeu Fabra University has started its own schema based on Metadata Vocabularies of the Technological Innovation Group and the University of Lleida has based itself on an eEMGDE schema. In both cases the successful

transfer of documents has been possible as well as integration with the respective document manager.

Metadata in the digital archive

These examples illustrate the experience of universities in digital archives and for this reason the CAU is promoting work to complete a common metadata schema based on EMGDE. To this end it is taking into account its own experience since in 2009 it adopted a v.2 metadata schema so that the new schema to be used by Spanish universities could use it as a reference point to introduce metadata in their records management system and archives.

An important legal requirement, the right of citizens

Article 6.2.f) of the Ley 11/2007, de 22 de junio, the law which regulates electronic citizen access to public services, establishes the right to "the preservation in electronic form by public authorities of documents part of a record", the right to obtain electronic copies of them and the right not to provide data and records also covered in the same law. This right places an obligation on universities to retain records and data in electronic form and ensure their availability, access, integrity, authenticity and confidentiality. Electronic records are the result of different activities in universities and must be supported by the records management system and archives. There is a need to ensure their legal admissibility during their retention period. The difficulty for universities to maintain a long-term digital archiving makes it necessary to look for ways to achieve this. Possible pathways include cooperation between universities or administrations in their own territory to ensure their viability and maintenance over time.

A solution, a trusted third-party repository

One possible type of digital file management in universities is to have a trusted third-party repository. There are different ways of doing this: by creating a repository in the university; through a partnership with a number of universities, through a supra-administration by way of the digital file management systems those services provide.

This repository must be established with the records management system and archives of the university and that is led by its archivist. This means completing the system with the part that keeps electronic records reliable and complete over time. It is also necessary that the appropriate contractual relationship be established with the guarantees necessary for the preservation of the records in the long term. Real confidence in auditing and evaluation services must be established so that the archives can be a source of reliable evidence.

Conclusions

The records management system and archives in universities need to be completed with the addition of digital archives to ensure preservation of the records in the long term. Electronic records must keep their properties with a metadata schema to cover these needs.

This context makes the Conference of Archivists of Spanish Universities a driving force behind the requirements that must be met by secure digital archiving systems in Spanish Universities and it can provide the knowledge necessary for their implementation.

In the current context, the administration –in this case the university – needs to generate the added value required by

citizens in order to legitimize itself before them by providing them what they need with the necessary guarantees and without them even having to request it.

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ABSTRACT: This presentation summarizes the work of the Conference of Spanish University Archivists on long-term preservation and access to the electronic records of our universities through secure digital repositories. It also includes the management of the metadata schema to ensure long-term preservation.