



InterPARES 3 Project

TEAM Mexico

International Research on Permanent Authentic Records in Electronic Systems

DOCUMENT PRESERVATION POLICIES AND GUIDELINES FOR THE MEXICAN ELECTORAL COURT

A Case Study

Interpares 3 Summit
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InterPARES Project DOCUMENT PRESERVATION POLICIES AND GUIDELINES FOR THE MEXICAN ELECTORAL COURT : A Case Study

Researcher Name

Research Position

Purpose of this paper

This paper provides an overview of the activities and findings of TEAM Mexico's case study about the development of policies and guidelines for the management and preservation of digital records inside the Mexican Electoral Court, developed from April 2010 to December 2010.



The Mexican Electoral Court

The Electoral Court of the Federal Judicial Branch - Tribunal Electoral del Poder Judicial de la Federación (Trife)

The Federal Electoral Court of Mexico is part of the Mexican judiciary system. It is a specialized court where all cases derived from elections complains are turned to. Its authority goes to local, state and federal cases.

Due to its functions, many documents are produced on a daily basis. In the last years, many digital records have been issued within.



The Case Study:

InterPARES TEAM Mexico Case Study CS02

Type: Test Bed Partner

**Partner: The Mexican Electoral Court of the Federal
Judicial Branch - Tribunal Electoral del Poder
Judicial de la Federación (Trife)**

<http://portal.te.gob.mx/>

Subject: Public Records and Archives

**Goal: To help the court to develop their Digital
Preservation Policies & Guidelines, both for
paper and electronic records**



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Policies and guidelines for management and preservation of digital records

- Methodology of InterPARES project 
- To analyze the juridical-administrative, provenancial, technological and procedural contexts of digital records in selected areas within court 
- To organize a seminar with court staff to inform findings and to stablish a strategy to construct policies and guidelines for management and preservation of digital records 
- To work in coordination with court staff to write draft papers of policies and guidelines and submit it for discussion 
- To develop the final versions of documents



Background:

- The Electoral Court, being an independent organization of the judicial branch, is responsible for its own records and archives, both administrative and jurisdictional.
- In 2009, the court issued the “*Guidelines for Organization, Description and preservation of the Institutional Archives*”, which are general norms, establishing that finer items must be detailed.
- It also created a “Directorate for Archives” as responsible unit to manage and preserve archives and to develop finer norms.



Analysis of the juridical-administrative, provenancial, technological and procedural contexts of digital records in selected areas within court. Activities.

Responsible Unit in court for project: Coordinator office of information, documentation and transparency (CIDT)

Nine Selected Areas to perform contextual analysis:

Secretaría General de Acuerdos (Acts office)

Coordinación de Jurisprudencia y Estadística Judicial (Jurisprudence Office)

Coordinación de Asuntos Jurídicos (Juridical Issues Office)

Coordinación de Comunicación Social (Public Relations Office)

Secretaría Administrativa (Administrative Office)

Coordinación de Recursos Humanos y Enlace Administrativo (Human resources and Administrative Liaison Office)

Dirección General de Sistemas (ICT Office)

Centro de Capacitación Judicial Electoral (Electoral Juridica Training Office)

Contraloría Interna (Auditing Office)

Activities: designing, sending and applying questionnaires, interviews with CIDT staff, responsables and staff of each selected area, survey of law and regulations. Analysis and organization of recovered information.



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Main findings to design strategies for development of policies and guidelines

Existence of a responsible office to coordinate de institutional archives

Existence of regulations for archives, information security, access to information and transparency

Identified issues:

- Two information and creation systems with partial process
- A system for records management; it handles records in many formats from the moment there are declared as records; it has no creation function
- A system for human resources management
- A virtual classroom in where digital records are handled
- Several information systems and databases for many activities within offices
- There are photographs and videos created by the court in analogue and digital formats
- Automated process of records within offices with paper printing
- Digitizing processes and equipment inside the court



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Main findings to design strategies for development of policies and guidelines (2)

- **Strong trend to use electronic systems to manage information and records as a tool for efficient and timely access to current documents. Nevertheless, due to regulations for the main issues (such as juridical court issues and human resources) their paper archives remain. Thus, digital born records are printed later.**
- **Many issues are found in the main record management system (SADAI) which are to be weighted for policies and guidelines, as well as the jurisdictional information system.**
- **Currently there are digitizing processes of paper records from finished issues to build up their digital archive. Due to current regulations paper records still are preserved.**



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Fixed form and stable content

- **From contextual analysis:** In general, digital records within SADAI system have fixed form and stable content. Nevertheless, there are “bugs” still to be fixed.

Findings in other systems: there is lack of rules for bounded variability of information. Intrinsic and extrinsic elements are only partially defined in documentary forms.

- **Regulations:** current regulations establish that e-records must fulfill rules, but so far there are no guidelines or procedures.



Identity / SADA

- Identity metadata still missing within SADA: documentary form, transmission date, attached documents, copyright issues, digital signature existence or removal, other authentication forms, draft version or number, existence and locations of duplicates, juridical or administrative annotations to documents, technological annotations.
- Current regulations do not establish as mandatory identity metadata for a single digital record; just for aggregations (file, series, etc.)



Organization

- **Organization: Grouping of records into logical sets and classification schema must be refined.**
- **Regulations: they establish use of classification codes and schema; nevertheless, the information systems do not have any code since they do not identify and capture records. Although the creation system and the digitalized records for juridical issues use the classification schema.**



Authentication

- There are issues about technological independent authentication that need to be specified.
- Regulations: they establish use of certification tools; nevertheless, there is a lack of specifications about these tools (digital signature, digital seals, etc.)



Some other issues reviewed.....

- **Personal data protection, backups, technological obsolescence, accessibility, digitization, e-mails, etc.**



The principles for the development of policies, strategies and standards for the long-term preservation of digital records were used:

- Stable content and fixed form; digital components of records can be separately maintained; record creation maintenance requirements and fulfillments; record creation and maintenance should address issues of record reliability, accuracy, etc. ; a trusted record-making system should be used to generate and maintain records; custodian principles; property and privacy rights, sharing records jurisdictions; reproduction of records; authentic copies issues, etc., etc.**





TRIBUNAL ELECTORAL
del Poder Judicial de la Federación

TRIBUNAL ELECTORAL DEL PODER SUPERIOR DE LA FEDERACIÓN

Coordinación de Información, Documentación y Transparencia

**POLÍTICAS DE DE PRESERVACIÓN DE DOCUMENTOS DE ARCHIVO
DIGITALES DEL TRIBUNAL ELECTORAL DEL PODER JUDICIAL DE LA
FEDERACIÓN**

**(POLICIES FOR DIGITAL RECORDS PRESERVATION OF THE MEXICAN
ELECTIONS COURT)**



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Coordinación de Información, Documentación y Transparencia

**LINEAMIENTOS PARA UN SISTEMA DE GESTIÓN DOCUMENTAL PARA
ARCHIVOS EN CUALQUIER SOPORTE Y UN SISTEMA DE
PRESERVACIÓN DE ARCHIVOS DIGITALES EN EL LARGO PLAZO.**

**(GUIDELINES FOR A RECORDKEEPING SYSTEM (ANY SUPPORT) AND A
LONG-TERM PRESERVATION SYSTEM FOR DIGITAL RECORDS.)**



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Other documents prepared and delivered by InterPARES TEAM:

- Contextual Analysis summary and detail
Questions answered by researchers for policy case studies
- Court baseline authenticity requirements
- Ontologies
- Full compilation of laws and norms, in federal and local environments, related to records of the court.



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