



UMEÅ UNIVERSITY

# **RULE FOR RETAINMENT OF ELECTRONIC DOCUMENTS**

Type of document:	Rule <sup>1</sup>
Date of approval:	13 November 2018
Reg. no.:	FS 1.1-1781-18
Approved by:	Vice-Chancellor
Validity:	Until further notice
Field:	Archive and registry
Office in charge:	Legal Affairs Office
Replaces document:	Newly established

---

<sup>1</sup> This document has been translated from Swedish into English. If the English version differs from the original, the Swedish version takes precedence.



# UMEÅ UNIVERSITY

## Table of contents

1.	Description .....	3
2.	Background.....	3
3.	Policy documents.....	3
3.1	External regulations.....	3
3.2	Internal regulations.....	4
4.	Definitions .....	4
5.	Responsibilities and roles.....	5
5.1	Overall responsibility .....	5
5.2	Archive manager .....	6
5.3	System owner .....	6
5.4	Umeå University's employees .....	6
6.	Processing electronic documents .....	6
6.1	Planning and procurement of systems.....	6
6.2	Existing systems.....	7
6.3	Technical requirements.....	7
6.4	Systems for retainment .....	7
6.5	Documentation and retainment plans .....	7
6.6	Phasing out a system.....	8
6.7	Shared electronic documents.....	8
6.8	Transfer to the archive authority .....	9
6.9	Follow-up and assessment .....	9



# UMEÅ UNIVERSITY

## 1. Description

Under the current regulations, all government agencies must have a well-functioning information management system. These regulations describe the measures that Umeå University will take to ensure secure retainment of the agency's electronic documents. These measures include the production, transmission, handling, storage and care of the documents during their statutory retainment period.

## 2. Background

According to the Swedish National Archives' regulations and general advice on electronic documents, RA-FS 2009:1, all government agencies must establish a strategy for the retainment of electronic documents. This strategy describes the measures that the University will take to ensure secure retainment of the authority's electronic documents.

This rule is a local application of the Swedish National Archives' regulation, RA-FS 2009:1, and constitutes the strategy of Umeå University pursuant to the said regulation.

This rule is primarily aimed at archive managers and system owners, but the content applies to all employees who handle electronic documents.

Due to the content and nature of this document, none of the following perspectives have been integrated: student, collaboration, gender equality, sustainability, international, accessibility and work environment perspectives.

## 3. Policy documents

### 3.1 External regulations

- Freedom of the Press Act (1949:105)
- Public Access to Information and Secrecy Act (2009:400)
- Archives Act (1990:782)
- Personal Data Act (1998:204)
- Swedish National Archives' regulations and general advice on electronic documents (RA-FS 2009:1)



## UMEÅ UNIVERSITY

- The Swedish National Archives' regulations and general advice on technical requirements for electronic documents (RA-FS 2009:2)
- The Swedish Civil Contingencies Agency's regulations on information security at government authorities (2016:1)

### 3.2 Internal regulations

- The Vice-Chancellor's delegation of authority, with further delegations
- Guidelines for archive security at Umeå University
- Umeå University's retention and deletion plans
- Information security policy for Umeå University
- IT security plan at Umeå University
- Umeå University's system management model

## 4. Definitions

Official document	A document is official if it is held by a government agency and pursuant to Sections 6 or 7 of the Freedom of the Press Act (1949:105) can be considered to have been received or drawn up by such an agency.
Archive creator	An organisation or individual that generates, processes and collects documents, thereby creating a uniform archive. At Umeå University, each department, office or equivalent is an archive creator.
Archive manager	The head of an archive creating entity at Umeå University. Head of department, section or equivalent.
Storage media	Physical storage media for documents (magnetic tape, CD, hard drive, etc.).
Electronic document	A record for automated processing pursuant to Chapter 2, Section 3 of the Freedom of the Press Act (1949:105).
Dispose of	To delete or destroy official documents or information contained in official documents



## UMEÅ UNIVERSITY

or take other measures with documents resulting in any of the following:

- loss of significant data
- loss of possible summaries
- loss of search options
- loss of ability to assess the authenticity of documents.

Document	A written or pictorial representation and a recording that can only be read or listened to, or otherwise comprehended by means of technical devices.
Intermediate archive	A retainment system for information that is transferred from an organisation's system but remains searchable and accessible to the organisation. In this solution, the organisation retains its responsibility for the documents until the organisation no longer has any need for them.
Metadata	Information about data or their structures.
OAIS model	The accepted framework for electronic archives. ISO 14721:2012 – Reference Model for an Open Archival Information System.
System	In this context, system is understood to mean an IT system, i.e., a computer-based system for collecting, storing, processing and distributing information for a particular purpose.
System for retainment	A system used to ensure the retainment of electronic documents (E-archive).

## 5. Responsibilities and roles

### 5.1 Overall responsibility

The Vice-Chancellor holds overall responsibility for the University's organisational systems, archiving, information security and IT security. The Vice-Chancellor's delegation of responsibilities and roles is shown in the



## UMEÅ UNIVERSITY

University's delegation of authority, internal rules for archiving, the system management model, the information security management system and the IT security plan.

The system management model and internal rules for archiving together regulate the University's planning for the retainment of electronic documents. The University's system management model is managed by the IT Office, and the Legal Affairs Office's Registry and Archives unit draws up the internal archive rules. The University's retention and deletion plans specify which documents are to be retained and which can be disposed of.

### 5.2 Archive manager

The archive manager is responsible for ensuring that the electronic documents that are received or drawn up by the respective archive creators are processed, retained and disposed of according to the University's retention and deletion plans. The archive manager ensures that the organisational systems, where the archive creator's official documents are handled, conform to legal requirements. The archive manager ensures that the documents contained in the organisational system are included in the archive list and that the retainment plans for the systems are included in the current archive report.

### 5.3 System owner

The system owner is responsible for the establishment of retainment plans for each system. Retainment plans may also be established for administrative units, or for specific types of documents, if that is deemed more appropriate. System owners must also ensure that all organisational systems within the administrative unit meet the legal requirements for the documents dealt with by the systems.

### 5.4 Umeå University's employees

All Umeå University employees are responsible for ensuring that official documents, regardless of format, are processed in accordance with applicable regulations.

## 6. Processing electronic documents

### 6.1 Planning and procurement of systems

When planning procurement for a new system, system owners must examine the needs and options for retainment of electronic documents in the planned system. This examination must then be considered when procuring a system. When a new system has been purchased, a retainment



## UMEÅ UNIVERSITY

plan (see 6.5), based on the examination, is to be developed. For centrally managed systems, the retainment plan must be included in the management plan for the relevant administrative unit.

Systems must be tested and evaluated according to RA-FS 2009:1 before they are commissioned. The evaluation must then be included in the system documentation.

### 6.2 Existing systems

A retainment plan (see 6.5) must be drawn up for existing systems as an activity in the management of the system. For centrally managed systems, the retainment plan must then be included in the management plan for the relevant administrative unit.

### 6.3 Technical requirements

When producing electronic documents, Umeå University must endeavour to comply with the Swedish National Archives' regulation RA-FS 2009:2. If this is not possible, the documents must comply with the requirements of RA-FS 2009:2 no later than when they are transferred to systems for retainment. All electronic documents drawn up by Umeå University must be converted to the approved formats set out in RA-FS 2009:2.

### 6.4 Systems for retainment

Umeå University currently lacks a system for retainment of electronic documents (E-archives). Electronic documents will thus be stored in existing organisational systems and digital storage spaces until the University has a dedicated retainment system. For this reason, the administrative unit's retainment plan must include information on how to ensure availability to this storage and how to store the electronic documents if the administrative unit is phased out before the University has a retainment system in place.

Umeå University has begun a pilot study for introducing a retainment system, and export solutions for transfer to retainment systems will be created as they are drawn up for each organisational system.

### 6.5 Documentation and retainment plans

Umeå University documents its electronic documents in retention and deletion plans. These are to contain information about available electronic documents, which documents are retained or disposed of, which file formats are approved, the time limits for disposal and the systems in which the documents are processed. However, electronic documents are to be



## UMEÅ UNIVERSITY

documented in an archive list instead when they are transferred to a retainment system.

There must also be a list of the University's systems, current system descriptions and retainment plans for each system in accordance with Chapter 5, Section 4 of RA-FS 2009:1. The retainment plans must contain the following information:

- System description (overall description of the system, with reference to a more detailed system description, in accordance with Chapter 5, Section 4 of RA-FS 2009:1)
- Information report (general report showing what information is contained in the system)
- Information evaluation (report of retainment and disposal requirements, search requirements, and processing of personal data and confidentiality for the information contained in the system)
- Information security (description of risks, protection, physical security and reference to any other documentation related to the system and information security)
- Technical specifications (description of operational format, format for retainment, format for transfer to the archive authority and use of metadata)
- Transfer to retainment (time/periodicity of transfer to retainment systems or to other storage media – description of how to ensure retainment is preserved in the absence of a retainment system)
- Decommissioning (potential planning for decommissioning the system).

### 6.6 Phasing out a system

Phasing out organisational systems must follow the system's retainment plan. No organisational system may be phased out without conducting a disposal study.

### 6.7 Shared electronic documents

If Umeå University shares access to, and responsibility for, electronic documents with another government agency, the division of responsibility for the shared documents must be regulated and documented in an agreement. This also includes regulating responsibility for the development of retainment plans. The agreement must be added to other system documentation for the system.





## UMEÅ UNIVERSITY

### 6.8 Transfer to the archive authority

Transfer of electronic documents to the Swedish National Archives must take place in accordance with the system's retainment plan.

### 6.9 Follow-up and assessment

Umeå University's rules for the retainment of electronic documents must be followed up and revised in accordance with Umeå University's rules for policy documents that apply to the whole university.

The retainment plans must be revised as necessary, as an activity in the management of the system.