

This is an English translation of Circular on the notification and approval of IT systems (*Cirkulære om anmeldelse og godkendelse af it-systemer*). In the event of a conflict between the Danish version and the English translation, the Danish version shall supersede.

Circular on the notification and approval of IT systems

Pursuant to Section 3(2) and Section 5(1), as well as Section 10, of Executive Order no. 591 of 26 June 2003 on public archives and the activities of public archives the following is laid down:

Scope

1. The provisions of this circular apply to government authorities and the courts (hereafter called authorities).

2.-(1) The provisions of this circular apply to IT systems used for the collection and storage of information that is created or obtained in conjunction with an authority's activities (digital administrative material).

(2) The term IT system (hereafter called system) refers to all opportunities for structured storage of data, including any digital documents, by the authority.

3.-(1) The area of use of systems named in Section 2 must be delineated in terms of organisation and subject.

(2) For systems with documents, the following requirements must also be fulfilled:

- 1) there must be a clear delineation in terms of organisation or by subject of the areas in which paper-based archiving is used, and of the areas in which digital archiving is used; and
- 2) the transition from paper-based archiving to digital archiving must apply to all documents and files within the area in question, and take place on the same date.

Notification

4. Authorities must notify new systems as described in Section 2 to the State Archives by no later than three months before the system is implemented.

5.-(1) For systems that have already been approved, notification must be made in connection with significant changes, including

- 1) change of registration system for systems with documents
- 2) significant changes in the system's area of application, including in conjunction with changes in the responsible authority
- 3) significant changes in the registration component's structure and content for systems with documents
- 4) full or partial transition to digital archiving of documents.

6.-(1) Systems to be used by several authorities must be notified by the authority that undertakes the introduction, development and maintenance of the systems.

(2) On the notification of systems, as described in (1), it must be stated which authority is responsible for undertaking the archiving obligations, including submission to the State Archives.

7.-(1) State authorities must notify systems that are used by both state and municipal and/or regional authorities to the State Archives.

(2) Systems for which a state authority has powers of instruction, and/or is the data controller authority of a system, must be notified to the State Archives by the relevant state authority in accordance with the regulations for the systems of state authorities laid down in this circular.

(3) If systems named in (1) and (2) are to be preserved, they must be submitted to the State Archives.

8.-(1) Notification must be made on the State Archives' notification form.

(2) The notification must be attached to existing documentation, including descriptions of tables and columns, possibly in draft form.

9.-(1) Authorities named in Section 1 must notify retrospective scanning and digitisation of analogue archives that are worthy of preservation, if the analogue archives are required to be discarded after digitisation.

(2) Notification of digitisation as named in (1) must take place using the State Archives' notification form.

(3) Notification must take place before digitisation commences.

Preservation and discarding

10.-(1) On notification, the State Archives will decide whether the content of the system is to be preserved or discarded.

(2) In systems with documents, the authorities may request the State Archives to prepare a provisional appraisal of digital documents on the implementation of the system.

11. Systems of which the content is to be discarded are not required to be approved by the State Archives.

12. Analogue archives that are worthy of preservation, and that are scanned or digitised by other means, cf. Section 9, may not be discarded before the approval of the State Archives has been given.

Approval

13. Systems of which the content is to be preserved, cf. Section 10, must be approved by the State Archives.

14.-(1) In conjunction with approval, the authority must provide full documentation if this has not already been given in connection with the notification.

(2) By full documentation is meant

1) technical documentation in the form of table and column descriptions, E/R diagram and documentation that a submission information package in relational form can be produced

2) for systems with documents: draft instructions for use of the system, cf. Section 28.

(3) The State Archives may set requirements of the format and quality of the documentation.

15.-(1) For systems that are implemented on a uniform basis by several authorities, the required technical documentation, as named in Section 14(2) 1), may be replaced by a reference to previously approved implementation, as well as a description of any deviations from this.

(2) The State Archives maintain and publish a list of the systems that pursuant to (1) may be exempted from certain documentation requirements.

16. If a system is implemented before the State Archives' approval has been given, the State Archives may require the authority to subsequently make the required changes to the system's design and operation, in order to safeguard the archive considerations.

Delineation for approved systems with documents

17. Systems with digital registration of information on files and documents, but storage of paper-based files and documents, must be divided into periods of approximately five years, possibly with an overlap period of up to six months.

18.-(1) Systems with digital registration of information on files and documents, and storage of files and documents in digital form, are delineated in one of the following ways with regard to a submission information package to the State Archives.

A: Delineated period of approximately five years with change of period

B: Snapshot view approximately every five years of all files and documents not previously submitted, and all metadata from the entire system's lifetime

C: Submission of closed files approximately every five years, and all metadata from the entire system's lifetime.

(2) By change of period is meant that the system's registration component and all files are closed. Files that have not been concluded are restored in the new period, possibly after an overlap period of up to six months.

19.-(1) Delineation of the submission information package as B or C requires the authorisation of the State Archives, after completion of its inspection, cf. Section 31.

(2) After completion of its inspection the State Archives may require an authority to delineate systems with documents in accordance with A.

20. Delineation in accordance with C requires the authority to convert documents that have been registered in the system for more than five years to archive format.

21.-(1) Significant changes to a system that has already been approved require a change of period and a submission information package before the changes are implemented.

(2) After notification, cf. Section 6, the State Archives will decide whether the change requires a change of period.

Design and operation of approved systems with documents

22.-(1) In a system with documents, each document must be linked to a case, to ensure precise and complete retrieval of objectively related documents.

(2) The State Archives may grant dispensation from the requirement in (1).

23. For each case, information to enable identification and retrieval must be registered, including

- 1) case identification
- 2) case title
- 3) subject from a systematically structured list describing the entire area of responsibility covered by the system.

24.-(1) For each document, information to enable identification and retrieval must be registered, including

- 1) document title
- 2) document date
- 3) for incoming and outgoing letters: sender/recipient
- 4) storage form
- 5) link to the relevant file.

(2) Each document must have a unique ID, and the relation between documents must be registered.

(3) If the relation between documents named in (2) is not immediately implemented directly in the system, on notification the authority must report on how the relation is registered in the submission information package.

(4) The State Archives may grant exemption from the requirements in (1).

25. In a system used by several authorities, the case or document registration must show which of the authorities using the system has registered the case or document.

26. On notification, the authorities must state which file formats are stored in the system.

27.-(1) Systems with documents must include the history of tables with details of files and documents, as a minimum concerning the information stated in Sections 23-24.

(2) It must be possible to include the history in a submission information package .

28.-(1) For all systems with documents worthy of preservation, instructions must be drawn up with guidelines for the archive procedures for the system.

(2) The instructions must include a detailed description of:

- 1) The purpose and content of the system, including the relation to the authority's systems in general
- 2) The authority's practice and procedures in the system for the
 - Naming of files and documents
 - Creation and conclusion of files
 - Description and use of the registration system, including rules for maintenance of the system
 - Handling the storage format, including storage of any paper-based documents, etc. that are registered, but not stored, in the system
 - Permitted file formats
 - Scanning or digitisation of analogue material in the system
 - System conversions
 - Changes in the responsible authority
 - Submission to the State Archives.
- 3) Quality assurance of the registrations in the system, and control of registration practice.
- 4) Other factors considered necessary by the authority in order to ensure the appropriate use of the system.

Inspection and control of approved systems with documents

29.-(1) The authorities must control that mandatory information, cf. Sections 23-24, is registered correctly.

(2) The control must be described in the authority's instructions for the use of the system, cf. Section 28.

30. The authorities must control whether other file formats are registered in the system than those stated in the instruction, cf. Section 28.

31.-(1) The State Archives perform inspection of the use of systems with documents that are to be preserved. Inspection takes place approximately two years after the implementation of the system.

(2) The inspection consists of control that the system is being used as described in the instruction, including whether the authority has performed the correct control, cf. Sections 29-30.

Commencement etc.

32.-(1) The circular enters into force on 27 June 2013.

(1) Circular no. 8 of 1998 is repealed.

(2) Circular no. 23 of 8 March 2002 is repealed.

(3) Circular no. 24 of 8 March 2002 is repealed.

(4) Section 2, no. 6 of Executive Order no. 639 of 27 June 2001 is repealed.