Stockholms läns landsting

Stockholm County Council County Archive

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Instruction for handling official documents in projects within Stockholm County Council

Glossary

Disposal (after sorting)	Destruction of official documents or data in official documents. Disposal of such documents/information or data in conjunction with transfer to a different data carrier is also classed as disposal, if the transfer entails a loss of information, loss of possible compilations of information, loss of search options or loss of the opportunity to verify the authenticity of the document/information.
Document manager	Person at a public agency or other archiving body that preserves archives under the leadership of an archive manager.
Official document	Document created or received by a public agency, e.g. minutes of meetings, a copy of outgoing messages/communications, letters and other communications, journals, directories and financial accounts. Notes, memorandums and similar working papers are also included in this category if they add factual information to cases. The type of medium on which the document is stored is irrelevant. A painting, film, piece of fabric or a metal plate can be an official document in the same way as hard copies, photographs, e-mails, cookie files and global files if they are received by or created at a public agency and are stored at the agency.
Operative unit	Company, administrative division, foundation or institution within SLL
Public document	Official document not classed as confidential.
Secret document	Official document classed as secret by law.
Weeding	Removal of surplus copies, scrap notes, rough drafts and similar documents that do not add any information and that are not official documents.

Background

This instruction applies to the handling of official documents in projects within Stockholm County Council and to the archiving of "ownerless" older projects. The instruction applies to documents in all Stockholm County Council projects from 1950 onwards. Project documents older than 1950 must be retained in their entirety.

In drawing up this instruction, Stockholm County Council's PROJEKTiL project model and the UPPDRAGiL assignment model were taken into account.
Use of PROJEKTiL is mandatory for IT projects and is strongly recommended for other projects. The use of either of the models is not, however, a prerequisite for the obligation to comply with this instruction: the instruction also applies to projects in which UPPDRAGiL or PROJEKTiL have not been used.

The County Council Archive's *Råd för hantering av allmänna handlingar som uppstår i forskningsverksamhet inom Stockholms läns landsting* (Guidelines on handling official documents that are created in research activities within Stockholm County Council) are also available for handling research projects.

If Projektplatsen *or similar web services are used for administration of a project, the documents stored there should only be regarded as copies. The person responsible for the project's documentation must ensure that the documents that are to be retained on completion of the project are stored within the operative unit in question and on a durable medium such as paper or in a lasting digital format.* Projektplatsen *is an external service that is very useful during a project for administration and processing, but it is in no way responsible for ensuring that documents are archived in the long term. The relevant operative unit is responsible for this.*

Project documents

A project is an idea or plan to achieve a specific result. In this instruction the term is synonymous with a task that is to be performed within certain given frameworks, for example in terms of time, finances and work input, in order to attain a set goal. The term "project" is also used to describe work input that is not part of regular tasks for an operative unit (line work), and where the work input comprises several activities – cf. projects that affect several activities. Projects may be run over a long or short period of time and may encompass several distinguishable parts (sub-projects), but they always have a clear start and a clear end.

Projects may have several different focuses, but they all stem from a formal assignment and have a specific goal. A brief description of a few project types:

- **Research projects**
  Much of the research that takes place in Stockholm County Council is in the form of projects. This applies to medical, social and other kinds of research. It is important to bear in mind during the research project who is responsible for the documentation. National and/or municipal government activities often help to fund both medical and social research. Also refer to *Råd för hantering av allmänna handlingar som uppstår i forskningsverksamhet inom Stockholms läns landsting* (Guidelines on handling official documents that are created in research activities within Stockholm County Council) for information on handling documents in research projects.

- **Development projects**
  A development project can be run to develop a new product or service, or to improve an existing one, for example. Development projects may also aim to draw up instructions and guidelines for how to conduct work.

- **Design projects**
  Work to design new buildings and products etc may be run as projects. Design projects are very similar to development projects.

Project documents comprise all the documents that are submitted to/created in a project, irrespective of the media on which they are stored. They can be roughly divided into documents that concern:
- administration pertaining to the project
- working documents
- reporting on the project.

The project documents may also include other types of information that are commonly not classed as documents, such as photographs, drawings and films. If such documents exist, there must be special procedures for handling and archiving them. The operative unit's document manager can provide advice on what these procedures should comprise.

All these project documents may be official documents, and as long as no decision to dispose of them applies (made by the operative unit following consultation with the County Council Archive), these documents must be retained.

The phases and documents of a project

Each phase of the project must be documented. The following section is a brief description of the different phases and includes examples of documents that each phase may contain. The examples are taken from the PROJEKTiL and UPPDRAGiL models for projects and assignments respectively. Projects that do not use these frameworks may include additional documents as well as the same documents as listed below, but

with other names. The list should only be regarded as an example and is not exhaustive.

Phase	Documents
Initiation phase	Description of idea Pilot/preliminary study report Project/Assignment directive
Establishment phase	Project plan Utility calculation (or cost/benefit ratio) Agreement for realisation of utility Resource contract
Implementation phase	Reports Detailed plans Compilations/Summaries
Discontinuation phase	Final report Evaluation

Each phase also includes a number of other documents, such as
- Contracts/agreements
- Correspondence
- Decisions
- Memorandums
- Notes from meetings
- Official annotations

The project manager's responsibility for archiving

The function and significance of the documentation need to be clarified as early as in the project's planning stage. Establish who is responsible for the project's original documents, such as the project owner or the project manager. Unless decided otherwise, the project manager has this responsibility.

If the project comprises several activities within or outside the County Council, a written agreement must also be entered into that establishes in which operative unit the documents shall be archived and who is responsible for granting access to official documents. This may be the public agency that has commissioned the work, for example. The project's steering group or equivalent body must ensure that a written agreement is drawn up, thereby coordinating the project owners' interests and deciding how the

project documents – including the steering group's documents – are to be handled. If a consultant's services are used, the agreement must specify that the documents are the property of the client. Please note that the archiving must take place in a public-sector operative unit. A private-sector operative unit, such as a company, cannot assume the role of a public agency, and a county council operative unit may not give original versions of official documents to another party without the approval of the County Council Assembly.

The responsibility for the project documents includes continually ensuring that the project's processes are documented and, in cooperation with the operative unit's document manager, ensuring that relevant information is stored correctly.
This responsibility must also encompass informing other project participants and any consultants about how to handle the project documentation.

If *Projektplatsen* or a similar web service is used, the documents stored there should be regarded as copies. The person responsible for the project's documentation must ensure that the documents that must be retained on completion of the project are stored on durable media, such as paper, or in a lasting digital format. The documents must also be stored within the relevant operative unit, unless contractually agreed otherwise.

Are project documents official documents?

Official documents are documents, irrespective of medium, received or created by and stored in the operative unit. Naturally, it is in the interests of the operative unit that it can easily find what it is looking for among its own documents; to enable this, it is important that the documents are kept in order and can be presented together.

Most documents in a project are official documents and must therefore be kept in order and available to comply with the statutory right of public access. Official documents can either be public or confidential. Many projects include cases concerning procurement, an activity that is safeguarded by confidentiality. The aim of a project affects the level of confidentiality. A project that, for example, includes patient records or similar sensitive data about individuals must comply with Chapter 25 of the Public Access to Information and Secrecy Act.

Classified project documents

Documents may only be secret (classified) if they meet the criteria specified in the Public Access to Information and Secrecy Act. In a project, if the County Council cooperates with a private individual or a private company who demands some form of confidentiality, the parties may not enter into a written agreement on additional confidentiality stipulations besides those in the Public Access to Information and Secrecy Act.

Classified documents should be stored separately from other documents. It may also be appropriate to label such documents as "Hemlig" and state the applicable section of law, date and who labelled the document. This labelling acts as a warning sign in case a request is made to access an official document, but please note that each time such a request is made, the document(s) must be reassessed to ascertain whether they are actually to be considered classified.

Registration

Official documents must be kept in order so that they are easy to find when requested, but project documents usually live a life of their own alongside the administration's more established procedures for case handling. It is therefore extra important to establish procedures for project documents.

A case for the project should be opened as soon as documents start to be produced. In small projects, all documents should be registered. If the project is very extensive, there is an option of registering important documents in the case and in addition stating in the register where other project documents are stored. They may be stored in project folders or digital folders with an established structure, for example.

When a government agency runs an extensive project activity with a large number of documents, the register should be adapted to the circumstances. This can be done by using a separate field for registration of the name or other reference of the project. Another option is to register the project as a separate organisational unit in the register, and that the project participants are stated as administrators in this unit. After completion of the project the data about the unit and administrators can be deactivated.

To comply with the minimum level of registration of the project at the responsible operative unit, besides the legally required data certain basic facts must be entered into the register: the project's name, appointed project manager (responsible for documentation) and "milestone" documents. See "The phases and documents of a project" above for examples of such documents. Note that all confidential documents must be registered, even if they are only copies for information.

Any procurements that are part of the project must be registered as separate cases and must refer to the project case.

If the project comprises several activities, the activities that are not responsible for the documentation must also enter the project into their registers. In such cases, the information registered must include legally required data, the name of the project, the name of the operative unit that is responsible for the documentation and the responsible operative unit's registration number for the project. In such cases, not all documents within

the project must be registered: only a copy of the project plan and of the final report.

Granting access to project documents

The general public is entitled to read official documents. This right applies to both Swedish and foreign citizens, because people who request access to official documents are entitled to remain anonymous. We do not have the right to ask for the person's name or the purpose of their request. In addition, we may not demand that the request to access information is made in writing. Exceptions apply if the project documents are confidential. If so, it may be necessary to ask the name of the person making the request for information and the purpose of this request. If a person requests access to project documents that may be confidential, an assessment of confidentiality must always be performed by the person responsible in the operative unit. If someone is denied access to confidential information, the rejection of the request must be made in writing and signed by someone in the organisation who has formal authorisation to deny access, i.e. authorisation to make and sign public agency decisions. The rejection must also include information on how to lodge an appeal against the agency decision.

Requests for access to information are to be handled promptly.

Retention and disposal of project documents

Retention of documents means that the document must be kept in a long-term perspective for at least 1000 years. Disposal of documents/data means destroying them as per an established disposal decision. Official documents may not be disposed of unless their disposal is authorised by law and a public agency decision. At Stockholm County Council no individual project manager may make decisions on disposal of official documents; such decisions must always be made at public agency level and in consultation with the County Council Archive. If no disposal decision has been made, official documents must be retained.

When the operative unit establishes a document structure for which documents are included in different types of projects, a decision to dispose of documents must also be drawn up. The Swedish Archives Act, Arkivlagen, states that when drawing up such a decision, the needs of the general public, the operative unit, auditing and future research must be taken into account. Contact the operative unit's document manager and/or the supervisory archivist at the County Council Archive to find out how to draw up a decision about disposal of documents.

Documents that may be disposed of must be marked before the project manager transfers them to the document manager or equivalent official for final archiving. Seeing as all documents become official when they are archived, it is also important that weeding is performed before their transfer.

Which project documents should be retained and how?

To enable people to understand the aim, implementation and results of the project, the following documents should be retained
:

- Analyses
- Contracts, written agreements and other agreements
- Correspondence
- Cost/benefit calculations (utility calculations)
- Decisions
- Directives
- Descriptions of ideas, other basis for decisions from the operative unit or political decisions
- Evaluations (may be a separate project)
- Memorandums
- Notes from meetings
- Official annotations
- Plans
- Reports/compilations/summaries
- Risk analyses

The above documents should be seen as a minimum of what should be retained of the documentation that is produced within a project. In extensive projects, large quantities of certain types of documents may occur, such as notes/memorandums made in construction meetings. If these are not essential to understanding the project's progress and if the data is documented in another way, it may be suitable to include them in a decision to dispose of documents.

When official documents are produced in a project, it must be remembered that most of them will be retained for all time. This means that approved material/formats must be used for producing the documents. By material/format we mean durable paper, archive-quality pens, approved printers or approved digital formats such as XML or PDF-A, depending on how the documents are intended to be retained.

SP, the Technical Research Institute of Sweden, regularly issues a list of approved materials in SP-INFO. More information is available on the institute's website www.sp.se.

Documents and information produced digitally and that must be retained must be created in a format that enables their preservation for long-term storage and use. See the website of the County Council Archive for information on which digital formats are approved by Stockholm County Council for archiving and long-term storage.

Completion and long-term storage of project documents

Before a project is due for completion it is a good idea to contact the document manager and find out what procedures apply for the transfer of project documents to archives.

Project folders and digital folders are common and practical tools for organising project documents. When working with project folders in a tab system and/or digital folders, the operative unit must have an established document structure (contents specification) of which documents are included in different types of project. The tables of contents used in the folders and the catalogue structure in the computer must be built in the same way.

Documents that are to be retained should be kept separate from the documents that are to be weeded/disposed of, such as scrap notes, copies of invoices, newspaper cuttings and works of reference, to facilitate project completion.

Contact

If you have questions not answered in this instruction and that the document manager cannot answer, you can contact your operative unit's supervisory archivist, whose contact details are available on the website of the County Council Archive.