

# UNIVERSITY OF TWENTE ARCHIVE MANAGEMENT REGULATIONS 2019

Ex Section 14 of the 1995 Archives Decree

REFERENCE: LISA/A/AB/174

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## CHAPTER 1: GENERAL PROVISIONS

### Section 1 Definitions

In this instrument, the following definitions apply:

a. *Acts, decrees and regulations:*

1. the Act: the 1995 Archives Act;
2. the Decree: the 1995 Archives Decree;
3. 2009 Archives Regulation: Ministerial regulation on the sustainability and the orderly and accessible condition of archival records and the construction and organisation of archive space and archive repositories, dating from 15 December 2009 -WJZ/178205- 8189, in accordance with Sections 11(2), 12 and 13(4) of the Decree;
4. 2012 Amendment to the Archives Decree on replacement (dating from 6 December 2012 - WJZ/466161- 10265): ministerial regulation in accordance with Sections 6(3) and 12 of the Decree;
5. amendment of the Archives Decree on the introduction of the new selection approach: amendment of the Decree of 7 September 2012, in view of section 9() of the 1995 Archives Act;
6. GDPR General Data Protection Regulation, European Parliament, 25 May 2016
7. other regulations that oblige the university to keep records in any form.

b. *archive:*

a set of archival records received or created by a person or group of persons belonging to the university;

c. *archive management:*

set of standards, plans, procedures and activities aimed at the creation of archives, archival processing, the management of archive space, the archival records held in them and the accessibility thereof;

d. *archival records:*

1. records in any format received by the university or created by a person or group of persons that are intended to belong to the university by their nature;
2. records in any format received or created by institutions or persons whose rights or functions have been transferred to the University;
3. records in any format whatsoever which, pursuant to agreements with or decisions by institutions, persons or otherwise, have been placed in a repository for the purpose remaining there and
4. reproductions in any format received to substitute the records specified above;

e. *archive repository:*

an archive depot designated by the state or collection of archive space, built and designed for the long-term storage of archival records.

f. *archive space:*

rooms within the university intended for the storage of records. Archive space includes any rooms for the storage of archival documents on paper and portable data carriers, as well as the automation and server rooms used for the storage of digital documents. The University must keep a register detailing the location of all archive space ;

g. *archive-worthy information systems:*

a data-processing system used for collecting, processing, editing, storing, transferring and providing data with a particular processing scope, with the Basic Selection Document determining what is to be preserved;

h. *Basic Selection Document (BSD):*

a document formally adopted by a competent authority containing selection decisions based on actions, which the archive manager can use to delete data or transfer it to another repository

i. *file:*

any structured set of personal data, whether centralised or functionally or geographically distributed that can be accessed according to specific criteria and relates to different persons;

j. *person involved:*

the person to whom personal data relates;

- k. good, orderly and accessible condition:*  
state of the archive in which the archive components are arranged in such a way that they can be found and made accessible within a reasonable time.
- l. the Minister:*  
the Minister for Education, Culture and Science or their legal successor;
- m. transfer:*  
process in which an archive manager, of the organisational units referred to in Section 3, places archival records under the responsibility of another archive manager within the university;
- n. handover:*  
process by which the university entrusts archival records to the archive manager of an archive depot designated by the State;
- o. personal data:*  
any data relating to an identified or identifiable natural person;
- p. university:*  
the University of Twente;
- q. alienation:*  
Transfer of ownership by the caretaker to another caretaker or a natural or legal person of archival records;
- r. processing of personal data:*  
any operation or set of operations performed on personal data, including in any case the collection, recording, organisation, storage, updating, editing, retrieval, consultation, use, disclosure by transmission, dissemination or form of publication, combination or linking, as well as the blocking, erasure or destruction of data;
- s. caretaker:*  
the person who, under or pursuant to the Archives Act, is charged with the administrative responsibility for the care of the archival records;

## **Section 2 Scope**

1. The Archive Management Regulations apply to the management of all archival records, regardless of their format, of all archiving bodies of the University, as referred to in Section 3, unless the caretaker has determined otherwise.

## CHAPTER 2: ADMINISTRATIVE RESPONSIBILITIES

### Section 3 Archiving Bodies, University of Twente

1. In this instrument, the following definitions apply:
  - a. university bodies: the Supervisory Board, the Executive Board, employee participation bodies, advisory bodies, permanent and temporary committees, the (scientific and business) directors of the services and institutions referred to in the administrative and management regulations;
  - b. faculty bodies: the Faculty Board and the temporary and permanent committees established by the Faculty Board.
2. These regulations also apply to the archival records belonging to students enrolled at the university and natural persons who are employed by the university,  
The regulations do not apply to documents belonging to the Affiliated Institutions. The service department charged with the administration of the records of the affiliated institutions (Foundations, BVs or corporate groups for which the UT handles the administration) shall ensure that said records are in a good, orderly and accessible condition - without TU's assistance and shall store and delete the relevant archival records;
3. The archiving bodies referred to in Section 3(1) shall manage the records they have created by carrying out the actions applicable to them, as referred to in the Basic Selection Document.

### Section 4 Executive Board

The Executive Board of the University serves as the caretaker of all archive documents and bears administrative responsibility for them.

### Section 5 University Secretary

1. The University Secretary has been appointed as the University's archive manager.
2. The University Secretary is responsible for drawing up frameworks and providing recommendations regarding the organisational and operational aspects of archive management at the University, including:
  - a. drawing up management rules for archive management for all archiving bodies; promulgating the Archive Management Regulations within the university;
  - b. establishing and maintaining detailed policy rules, guidelines and procedures for the operational aspects of archive management and the integration of said rules, guidelines in procedure in the University's corporate architecture;
  - c. drawing up a long-term vision document for adequate archive management;
  - d. drawing up an Archive Information Management Plan for the effective and efficient functioning of the University's archive tasks.
3. The University Secretary has sub-mandated their responsibilities as the University's archive manager to the director of the department in charge of Archives.

### Section 6 Service department in charge of Archives

1. The director of the service department in charge of archives shall, in consultation with university and faculty bodies, determine which information systems can be qualified as archive-worthy information systems and keep a record of them.
2. The service department in charge of Archives shall maintain the knowledge and contacts necessary to carry out archive management at the University in accordance with the Act, the Decree, regulations and the standards customary by law. The service department in charge of Archives shall actively make its expertise available to university and faculty bodies.
3. The director of the service department in charge of Archives shall draw up a metadata diagram for archival records, as referred to in Section 19 of the 2009 Archives Regulations;
4. The service department in charge of the Archives shall be responsible for managing the archival records transferred by the faculty bodies referred to in Section 17(1) and (2) and the the officers referred to in Section 3(2). The transferred archival records will be stored in the university's designated archive spaces.
5. The service department in charge of Archives shall also be charged with advising the faculty bodies and the officers referred to in Section 3 (2) with regard to archival matters and with facilitating the transfer referred to in Section 3 (1) and (2), and the quality assurance referred to in Chapter 4, Section 21.

### Section 7 Deans and service department heads/service unit directors

1. The University Information Management cluster of the LISA department is responsible for embedding archive-worthy information systems in the University's information and ICT strategy.

2. The director of the LISA department is responsible for the technical infrastructure and application management of archive-worthy information systems. The functional management of the Document Management System is carried out by the service department in charge of Archives.
3. The university and faculty bodies link metadata to their own archival records, which can be used to trace the aspects referred to in Section 17 of the 2009 Archives Regulations at any time.
4. The university and faculty bodies referred to in Section 3 of these regulations shall ensure that the archival records held by them, insofar as they have not been transferred, are brought to and kept in a good, orderly and accessible state and that eligible archival records are destroyed.
5. The deans and the heads/directors of the University's departments are responsible for the design, implementation and quality of archive management in their faculty or department.
6. The deans and department heads/directors are responsible for the implementation of effective and efficient archive management in the departments within their purview and shall ensure:
  - a. the setup of a physical and digital archive;
  - b. effective and efficient archive management for all archiving components of the faculty bodies referred to in Section 3, in accordance with the provisions of these Archive Management Regulations and other applicable regulations.
  - c. the availability of sufficient, qualified staff and sufficient financial resources.
7. The design and implementation of physical and digital archive management shall be carried out by responsible employees at the departments in question, appointed by the deans and service department heads/directors.

#### **Section 8 Retention obligation and power of substitution**

1. The archival records that are eligible for permanent preservation pursuant to an adopted Basic Selection Document shall be preserved in such a way that when those records are consulted after at least one hundred years, their quality will not have deteriorated significantly.
2. The bodies and officers referred to in Section 3(1) and (2) shall be authorised to substitute archival records with reproductions in order to destroy the original documents. In doing so, Section 13 must be observed, as well as the substitution manual drawn up by the service department in charge of archives.
3. Permanent archival records may only be substituted after an official statement of substitution has been issued by the caretaker or their authorised representative.

#### **Section 9 Archive space and staff**

1. All archiving bodies, as referred to in Section 3, shall provide sufficient archive space for the archival records held by the university and faculty bodies. The archive space must be organised and set up in such a way that the archival records they contain will not be endangered in the event of an emergency.
2. During the construction, renovation, furnishing and alteration of the furnishing of archive space, as well as the opening of new archive space, the general and special regulations for the construction and furnishing of archive space shall be observed in accordance with the 2009 Archives Regulations, chapters 4 and 5.
3. All archiving bodies referred to in Section 3 shall ensure that they have a sufficient number of qualified staff members.

## CHAPTER 3: MANAGEMENT

### Section 10 Organisational change

1. In the event of reorganisation, privatisation, external privatisation or dissolution of university or faculty bodies, a provision shall be made in consultation with the service department in charge of Archives for the allocation and management of archival records, and archive-worthy information systems and associated matters.
2. Should this involve the provision of archival records and archive-worthy information systems available, the service department in charge of Archives will draw up a declaration of transfer.
3. The declaration of transfer shall be signed by the University's caretaker.

### Section 11 Privacy

Archival records may contain personal data. The caretaker shall take the necessary measures to ensure that these personal data are processed in compliance with the requirements set out in the General Data Protection Regulation and the laws and legislation derived therefrom.

### Section 12 Post registration

The university and faculty bodies shall ensure that the records they receive and send are registered in such a way that at least the provisions of the Act are complied with. The service department in charge of Archives will draw up a post registration procedure for this purpose.

### Section 13 Archive creation and organisation

1. Archive records must be organised in accordance with the overarching structure recommended by the Archives service department. This should take into account the subsequent preservation or destruction of records based on the Basic Selection Document.
2. With regard to archive creation and organisation, the provisions laid down in the Archive Information Management Plan shall be observed.
3. The Archive Information Management Plan referred to in the second paragraph shall be adopted by the relevant university or faculty body or by the relevant officers referred to in Section 3 (2).

### Section 14 Destruction

1. Archival records shall be destroyed on the basis of a Basic Selection Document adopted by or on behalf of the Minister of Education, Culture and Science for the universities. The University's caretaker will contribute to the creation of said Basic Selection Document.
2. The bodies and officers referred to in Section 3(1) and (2) shall ensure that eligible archival records are destroyed as soon as possible after the specified time limit has expired. They shall draw up a statement justifying the destruction, containing at least a detailed description of the destroyed archival record, as well as the grounds for and method of destruction.
3. Only designated staff may destroy archival records.

### Section 15 Alienation

1. The caretaker is authorised to alienate archive documents insofar as these do not qualify for destruction on the basis of the Basic Selection Document.
2. In the event of the alienation of archival records, Section 2(1) of the Decree shall be observed.
3. Alienation requires prior permission from the Minister. No prior permission is required if the record in question is alienated on the basis of a statutory provision.
4. If, as a result of alienation, archival records will be kept in an archive repository, the caretaker shall at, while preparing to decide on the alienation of said records:
  - a. involve one or more persons with thorough knowledge of the organisation and tasks of the University;
  - b. one or more persons with thorough knowledge of record management at the University;
  - c. the General State Archive Manager.
5. The request for permission shall state the manner in which the experts referred to in the preceding paragraph are involved in the preparations for a decision to alienate records and the content of the consultations held with them, as well as the provisions of Section 2(1) of the Decree.
6. The caretaker shall communicate their decision to alienate archival records in writing. The provisions of Section 15(5) shall apply to the decision.
7. A declaration of alienation shall be drawn up for the archival records in question, describing the records and indicating on what basis and in what way the alienation took place.

### **Section 16 Transfer**

1. The bodies and officers referred to in Section 3(1) and (2) shall ensure that archival records not eligible for destruction are transferred to the service department in charge of archives.
2. If a university or faculty body or a unit, council or committee referred to in Section 3(2) is dissolved, the body or officer in question shall transfer the archive documents to the service department in charge of Archives.
3. The archival records to be transferred must be in a good, orderly and accessible condition. The service department in charge of Archives shall draw up a working method with criteria for the transfer of said records.
4. The director of the service department in charge of Archives shall ensure the availability of an up-to-date, complete and logically coherent summary of the archival records under their control, as referred to in Section 18 of the 2009 Archives Regulations.

### **Section 17 Handing over**

1. The service department in charge of Archives is responsible for the handing over of qualifying archival records to the archive repository.
2. The service department in charge of Archives shall draw up a declaration, containing at least the following descriptions:
  - a. The sustainability, organisation and accessibility of the archival records in question;
  - b. The application software and associated documentation for the management of said software;
  - c. A description of the records to be handed over;
  - d. If the caretaker imposes restrictions on the accessibility of archival records, as referred to in section 15 of the Act, the decision in question shall be added to the declaration referred to in Section 17 (4).
3. For the purpose of managing the archive repository, an archive inventory is drawn up of every archive, containing a systematic set of descriptions of all archival records presently or formerly contained in the archive, whether or not bundled.
4. The declaration of handing over shall be signed by the University's caretaker.

### **Section 18 General accessibility**

1. The archival records kept in the archive repository shall, subject to the provisions of the following paragraphs, be public: subject to the restrictions arising from the provisions of those paragraphs, everyone shall be authorised to consult the archive documents free of charge and to take pictures, copies or extracts of them or to have them taken at their own expense.
2. During the handing over of archival records of the bodies and officers referred to in Section 3 to the archive repository, the caretaker may, after obtaining advice from the manager of the archive repository, only impose restrictions on general accessibility with a view to the provisions of the Act with regard to:
  - a. respect for privacy;
  - b. the prevention of any disproportionate advantage or disadvantage to the natural or legal persons concerned or to third parties.

Such restrictions may not apply to archival records older than 75 years.

3. After the handing over referred to in Section 18(2), the caretaker may not impose restrictions on the general accessibility of the archival records held in the archive repository, unless circumstances have arisen after the time of transfer which, had they been known at that time, would have led to the imposition of restrictions on general accessibility pursuant to the second paragraph.

### **Section 19 Consultation and use of archival records**

1. The service department in charge of Archives shall make archival records available to any person submitting a request for the consultation or use of records, unless the general accessibility of said records is restricted.
2. The service department in charge of Archives is authorised to reject a request for the consultation of archival records if, in its opinion, this is impossible due to the condition of the records or if they cannot be safely entrusted to the requestor.



3. The director of the service department in charge of Archives or one or more persons to be appointed by them shall have access to the archive space under its management and shall in all cases be entitled to consult, copy or borrow the archival records contained therein free of charge.

## CHAPTER 4: SUPERVISION AND QUALITY ASSURANCE

### Section 20 Supervision and directions

1. The director of the service department in charge of Archives shall supervise, on behalf of the caretaker, the management of the archival records within the university and faculty bodies referred to in Section 3.
2. The director of the service department in charge of Archives may give instructions and advice to the archiving bodies and officers of the University of Twente referred to in Section 3(1) and (2) in order to promote sound archive management.

### Section 21 Quality assurance

1. The director of the service department in charge of Archives shall develop a quality assurance system for the management of the University's archival records and archive-worthy information systems.
2. The caretaker and their deputies shall ensure that the management of archival records and archive-worthy information systems meets the verifiable requirements of a quality assurance system to be applied by them, as referred to in Section 21(1) and Section 16 of the 2009 Archives Regulations.
3. The quality and implementation of archive management within the University shall be periodically audited by the service department in charge of Archives.
4. The audit reports shall then be forwarded to the caretaker.
5. The employees involved in archive management shall give their full cooperation with audits by the service department in charge of Archives.
6. In view of Section 11, the University's Data Protection Officer shall monitor Privacy Compliance with regard to the protection of personal data.

### Section 22 Management supervision

1. The Supervisory Board of the University is responsible for supervising the care for and management of archival records.
2. The Supervisory Board, the caretaker or the director of the service department in charge of Archives may have an external party carry out audits of the organisation of the quality assurance system referred to in Section 21.
3. The results of said audits and any incidents found shall be reported to the University's caretaker.
4. Employees of the archiving units and the service department in charge of Archives shall cooperate with third-party audits.

## CHAPTER 5: FINAL PROVISIONS

### Section 23: Additional rules

1. In all cases in which these Regulations does not set any rules, the caretaker shall decide or lay down additional rules.

### Section 24: Entry into force

1. These archive management regulations will come into force after they are adopted by the caretaker.
2. These regulations will be announced within the university by publication on the website of the service department in charge of Archives.
3. After these archive management regulations are adopted, the 2015 archive regulations will lapse.

### Section 25: Citation

These regulations may be cited as:

**University of Twente Archive Management Regulations 2019.**

Adopted at the meeting of the Executive Board on 27 January 2020 .

## ANNEX 1 PROCEDURES, REGULATIONS AND REGISTERS

### UNIVERSITY PROCEDURES, REGULATIONS AND REGISTERS

- a. Archive Management Regulations : these Regulations, Ex Section 14 of the 1995 Archives Decree, Reference: LISA/A/WD-239 - March 5, 2019 for the University's Archive Management Rules;
- b. Archive Management Regulations 4-7-2015: the University's previous archive management regulations with reference B&A15.1034;
- c. BSD 2009: the Basic Selection Document 2009, in accordance with Section 5 and 9 of the Act, retroactively effective from 1985, which was adopted in the Government Gazette - No. BSD 2009: NA/09/2418 - 20 August 2009. Selection list for the outcomes of actions by the University of Twente - Scientific Education 1985 - present;
- d. Administrative and Management Regulations: the regulations adopted by the Board of Governors for the organisation of the administration and management of the University, as referred to in section 9.4 WHW;
- e. Metadata diagram: a metadata diagram, as referred to in Section 19 and Section 24 (for electronic documents) of the 2009 Archives Regulations;
- f. Quality assurance system: a set of testable requirements that make up a quality assurance system  
by providing a verifiable and up-to-date framework of standards, set up and implemented for the management of archival records and archive-worthy information systems;
- g. Summary and structure: An up-to-date, complete and logically coherent summary of all archive documents held by university and faculty bodies, as referred to in Section 18 of the 2009 Archives Regulations;
- j. Substitution manual: Manual describing the technical and processual aspects of substitution, (in accordance with Section 6(1) of the 1995 Archives Decree) for the purpose of requesting permission from the Head of Archives to grant an Authorisation for Substitution, issued on behalf of the Executive Board of the University;
- k. Transfer procedure  
Semi-static Archives: Guideline for the transfer of archives to the UT's archive depot - 31 Jan 2018
- l. Archive Information Management Plan: A plan that sets out the way in which the general accessibility of archival records is organised, as well as the organisation and classification of archival records. In principle, each archive and archive-worthy information system within university and faculty bodies has its own Archive Information Management plan.
- m. Archive Management Vision Document: A strategic document drawn up by the managing officers of the  
service department in charge of Archives, describing which developments the University considers important with regard to archive and its function within the university, what added value the service department responsible for Archives can offer the University, what its long-term ambitions are and how it intends to achieve them.
- n. Post registration procedure: The post registration procedure is part of the substitution manual.

## REGISTERS KEPT BY THE UNIVERSITY

- o. Register of Archive spaces: a dynamic digital register in Excel format that makes up part of the Document Management System, contains a record of archive space within the university. This register is kept up to date by a record manager of the service department in charge of Archives.
  
- p. List of archive-worthy information systems:  
An up-to-date list on which, in conjunction with the university and faculty organs, archive-worthy information systems are registered;

# EXPLANATORY NOTES TO THE 2019 ARCHIVE MANAGEMENT REGULATIONS - UNIVERSITY OF TWENTE

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## CHAPTER 1: GENERAL PROVISIONS

### **Section 1 Definitions**

Just as every field has its own jargon, so archives have their own terminology and definitions. These definitions are precise and it is of paramount importance that they are used carefully. In 2007, a “community archive 2.0” initiated the development of the ArchiefWiki (Archive Wiki, [www.archiefwiki.org](http://www.archiefwiki.org)) with information on archiving, including a glossary of Dutch terms. The definitions used in the Dutch version of this document have been harmonised with ArchiefWiki where possible, as these are considered standard definitions.

### **Article 2 Scope**

The scope sketched out in Section 2 serves to indicate that the regulations apply to all archival records received, created and sent by the University as an independent legal entity, regardless of format. This includes records on paper and film, reproductions, digital files, maps and others.

As stated in the previous paragraphs, archival records do not have a predefined format. Digital files in particular deserve extra attention in this respect. The digitisation of archives has been gaining pace for quite some time now. This development does not affect the archive management rules presented here. Seen in the context of the Archives Act, the University’s approach to digital archive management will be described in detail in a yet to be written vision document and Archive Information Management Plan.

## CHAPTER 2: ADMINISTRATIVE RESPONSIBILITIES

### **Section 3 Archiving Bodies, University of Twente**

Although the Executive Board (Section 4) formally bears final administrative responsibility for the archive, the Archiving Bodies, as referred to in Section 3, are responsible for managing the archival records they receive and create. Once the archival records have been transferred to the service department in charge of the Archives (Sections 6 and 16), the latter is responsible for managing them.

### **Section 4 Executive Board**

The Act uses the term “caretaker”. For the purposes of these regulations, this means the Executive Board. This body is responsible for the University’s Archive. The Executive Board

mandates the Secretary of the University as the archive manager, who then gives a mandate to the service department in charge of Archives for the actual archive management (Section 5)

#### **Article 5 University Secretary**

The University Secretary serves as the archive manager. For the actual management of the archives, the University Secretary has mandated the service department in charge of Archives (Section 6). This service department shall therefore ensure adequate archive management, which shall including the introduction of management rules and the preparation of vision documents, management plans and procedures.

#### **Article 6 Service department in charge of Archives**

The service department in charge of the Archives carries out the actual management of the Archives. As such, it shall comply with the requirements set out in the Act, Regulations and common standards.

The service department must know which records it has to manage. It is therefore sensible that the department consults with information system owners and other archive managers to determine which archival records the University has and where these records are. The service department in charge of Archives shall register all digital archive-worthy information systems and other archives and coordinate with the officers responsible for them.

The service department in charge of the Archives shall ensure that it keeps its knowledge in the field of Archive Management up to date with current professional trends and theories. As an expert, it will also play an advisory role to the University and Faculty bodies. It will also contribute to vision development, preparing policy rules, guidelines and procedures. In consultation with the University Information Board, it shall also develop an Archive Information Plan (AIP) with the aim of effectively and efficiently processing and consulting archival records. This AIP is a plan that lays down how the general accessibility of archival records is organised, as well as the organisation and classification of archival records. In principle, each archive and archive-worthy information system within university and faculty bodies has its own Archive Information Management plan.

#### **Section 7 Deans and service department heads/service unit directors**

Section 7 describes strategic, tactical and operational responsibilities. Essentially, this means that they are responsible for the archival records held by them, insofar as these have not been transferred to the service department in charge of Archives.

The service department in charge of Archives is, in turn, responsible for all archival records transferred to it, as referred to in Section 16 of the Regulations.

#### **Section 8 Retention obligation and power of substitution**

The Act lays down rules regarding the retention obligation of the caretaker. Under certain circumstances, physical archival records may be converted into electronic archival records. To this end, the service department in charge of Archives has drawn up a "Substitution Manual" in accordance with the legal requirements, describing the preconditions, processes and procedures for substitution.

#### **Section 9 Archive space and staff**

Archive space must meet the requirements laid down by law. These requirements are set out in the 2009 Archive Regulations. In order to ensure that this is managed properly, it is evident that those responsible must have enough qualified staff members at their disposal.

## CHAPTER 3: MANAGEMENT

#### **Section 10 Organisational change**

The caretaker shall ensure that, in the event of organisational changes, the archival records under

its control are not lost.

### **Section 11 Privacy**

Archival records and archival-worthy systems often contain data that must comply with privacy legislation. Section 11 refers to the obligation of the caretaker to comply with this privacy legislation, which is regulated by various laws and treaties. The privacy legislation is too extensive to explain briefly. For in-depth questions, please consult the University's Data Protection Officer.

### **Section 12 Post registration**

The post registration procedure should be used to register incoming and outgoing post. This procedure is part of the "Generic Substitution Manual".

### **Section 13 Archive creation and organisation**

One of the purposes of the archive is, in addition to its role as a repository, is to serve as evidence for the operational management of the University. Archive records must be kept in a well-ordered fashion so that they be consulted easily. For this purpose, please make use of the overview made by the service department in charge of Archives, the metadata and the ordering structure. The methodology and technical infrastructure used to create and order the archives are described in the Archive Information Management Plan, drawn up by the Archives service department. Since the University Information Management cluster of the LISA department is responsible for embedding archive-worthy information systems in the University's information and ICT strategy, this cluster will play a role in creating the first and subsequent versions of the Archive Information Management Plan.

### **Section 14 Destruction**

Not all archive records can be stored indefinitely, nor is this necessary. The retention periods are determined in a Basic Selection Document established by the Minister. After this period has expired, the archiving bodies should proceed to destruction in accordance with the procedure as soon as possible, assisted by the service department in charge of Archives, where necessary.

### **Section 15 Alienation**

Alienation means the transfer of ownership from the caretaker to another caretaker or a natural or legal person; In the context of these Regulations, this concerns the ownership of archival records. In practice, this virtually never happens. When it does happen, the service department in charge of Archives may play an active role in the process.

### **Article 16 Transfer**

A transfer shall be deemed to have taken place when archival records that are not eligible for destruction are transferred to the Archives service department for safekeeping. The transferring party must transfer the archival records in good, orderly and accessible condition, accompanied by a general description of the files, their numbering or other features, their content and dating and their number. The service department in charge of Archives will then store these archive documents until they are transmitted (Section 17) to an archive repository designated by the State.

### **Section 17 Handing over**

The service department in charge of Archives is responsible for the transmission of qualifying archival records to the archive repository. By signing the declaration of handing over, the University is no longer responsible for the archival records handed over.

### **Section 18 General accessibility**

After the handover, the transferred archival records are public. Before the handing over, the University shall first screen the archival records for privacy-sensitive information, so that restrictions can be placed on public access. Restrictions may be imposed at a later date only in

very exceptional cases, as referred to in Section 18.

#### **Section 19 Consultation and use of archival records**

The Archives service department is responsible for making the archival records available to the University. This may involve physical archival records stored in an archive space. More and more often, however, it will involve digital archival records. The way in which records are to be made available depends on the digital information systems developed or purchased for this purpose. The resources and procedures that can be used for this process are described in the Archive Information Management Plan.

## CHAPTER 4: SUPERVISION AND QUALITY ASSURANCE

#### **Section 20 Supervision and directions**

The service department in charge of Archives shall supervise, on behalf of the caretaker, the management of the archival records. In doing so, it may make use of the instruments referred to in Section 21.

#### **Section 21 Quality assurance**

Section 21 stipulates that archive management within the Archives service department, as well as archive management within the other service departments and faculties, must comply with archiving laws, regulations and standards. To this end, the University must set up a quality assurance system to ensure that these are complied with. The Archives service department is responsible for monitoring and implementing this quality assurance system.

#### **Section 22 Management supervision**

One instrument included in the quality assurance system is that the University's Supervisory Board can have the University's archive management practices audited. From the point of view of segregation of duties, this audit cannot be carried out by the Archives service department, but will have to be carried out by an independent party instead.

## CHAPTER 5: FINAL PROVISIONS

#### **Section 23: Additional rules**

In all cases in which these Regulations does not set any rules, the caretaker shall decide or lay down additional rules.

#### **Section 24: Entry into force**

1. These archive management regulations will come into force after they are adopted by the caretaker.
2. These regulations will be announced within the University by publication on the website of the service department in charge of Archives.
3. After these archive management regulations are adopted, the 2015 archive regulations will lapse.

#### **Section 25: Citation**

These regulations may be cited as:

University of Twente Archive Management regulations 2019.