

Appendix III

of the

**AGREEMENT GOVERNING THE DELEGATION OF
STATUTORY CERTIFICATION AND SERVICES
FOR SHIPS REGISTERED IN SWEDEN**

between

THE SWEDISH TRANSPORT AGENCY

and

XXX

Issued on 4 October 2019, enters into force on 1 November 2019 covering the:

**REQUIREMENTS REGARDING
DOCUMENTATION MANAGEMENT****III.1 Documentation management**

The term "documents" in this appendix refers to both paper and electronic documents that are received or drawn up by the RO on behalf of the STA within the scope of this agreement. Such documents are to be regarded as public documents and are subject to the terms in this appendix.

III.2 Requirements regarding disclosure

When the documents are to be regarded as public documents, they may be requested by the public. If the RO receives such a request, the request and the requested documents must be delivered to the STA promptly, i.e. the same day or, at the very latest, the next business day. The STA will then determine whether or not the documents in question may be disclosed.

If a request for disclosure of documents kept by the RO is made directly to the STA, the RO shall, at the request of the STA, promptly deliver the requested documents to the STA. The STA will then determine whether or not the documents in question may be disclosed.

III.3 Requirements regarding registration and keeping

The RO shall have a system for registration of documents that are received or drawn up by the RO on behalf of the STA. *Paper documents* are to be safely archived in a room approved for use as an archive or in approved filing cabinets, and shall be kept separate from documents that are not related to tasks covered by this agreement. Server halls are to be regarded as archives for *electronic documents*, which, like paper documents, shall be kept separate from documents not related to tasks covered by this agreement.

The RO may not discard any documents received or drawn up by the RO on behalf of the STA within the scope of this agreement, unless otherwise instructed by the STA.

III.4 Information owner

All documents received or drawn up by the RO within the scope of this agreement belong to the STA, always subject to the rights of the intellectual property holders.

III.5 Archive deliveries

The documents are to be kept with the RO for five years, after which they are to be sent to the STA either in paper or electronic format. Deliveries shall be done in such a manner as agreed upon by the STA and the RO, prior to the first delivery. The RO is entitled to keep a copy of the documents for archive purposes.

III.6 Delivery when operations have ceased

If this agreement ceases to be valid, any documentation belonging to the STA must be delivered to the STA at the latest 90 days after this agreement has ceased to be valid. However, the RO should always be entitled to keep a copy in archives for reference purpose.

III.7. Management of electronic documents

The connection between electronic documents and other documents shall be maintained over time and the document management system shall fulfil search needs and ensure traceability.

The document shall also be provided with relevant meta data and other relevant information to ensure that the document can be understood.

The document shall be produced in a format that ensures preservation of the document, see list of acceptable document formats in paragraph III.8. It shall be possible to export the document to the STA for long-term preservation with the connections and information intact. The system used for creating the document shall therefore allow export in an approved format.

III.7.1 Electronic certificates

Electronic certificates, issued on behalf of the STA, must comply with the following requirements, in line with the IMO circular FAL.5/Circ.39/Rev.2.

III.7.2 Format and preservation

The certificate must ensure validity and consistency with the format and content required by the applicable instrument.

III.7.3 Protection from unauthorised edits, modifications or revisions

The certificate shall be protected from edits, modifications or revisions other than those authorised by the issuer or the Administration.

III.7.4 Verification of the validity of electronic certificates

The certificate shall contain a unique tracking number used for verification. The certificate shall also contain a printable and visible symbol that confirms the source of issuance.

III. 8 Document formats

Databases and registers:	XML or sequential text files with fixed field or post lengths or with inter-byte separated fields.
Office documents including e-mail:	XML or text files , corresponding with SS-ISO/IEC 8859-1:2004 8bits coded graphic character sets- Part 1: Latin alphabet no. 1 (ISO/IEC 8859-1:1998, IDT), or PDF/A-1-b : SS-ISO 19005–1:2005 Document management - File format for electronic documents for long-term preservation - Part 1: Use of PDF 1.4 (PDF/A-1) (ISO 19005-1:2005, IDT).
Documents with electronic signature:	IETF RFC 2315 PKCS #7 : Cryptographic Message Syntax Version 1.5, or XML-signatures for structured documents in XML.
Photographs and other images:	JPEG : SS-ISO 10918 Image representation - Digital compression and coding of stills continuous range of hues. TIFF : ISO 12639:2004 TIFF/IT - Tag image file format for image technology, Section 7.7 Binary picture (BP) file. If data compression is used, it shall follow the recommendation ITU-T (CCITT) T.6 Facsimile Coding Schemes and Coding Control Functions for Group 4 Facsimile Apparatus. PNG : ISO/IEC 15948:2004: Information technology – Computer graphics and image processing – Portable Network Graphics (PNG): Functional specification.

- Moving image and sound: **MPEG-4** (ISO/IEC 14496).
Sound, **Wav** (Waveform Audio File Format) only.
- Scanned office documents: **XML**: Recommended for structured documents, such as forms prepared for interpretation and markup with metadata.
PDF/A1-b: SS-ISO 19005–1:2005 Document management - File format for electronic documents for long-term preservation - Part 1: Use of PDF 1.4 (PDF/A-1) (ISO 19005-1:2005, IDT).
TIFF: ISO 12639:2004 TIFF/IT - Tag image file format for image technology, Section 7.7 Binary picture (BP) file. If data compression is used, it shall follow the recommendation ITU-T (CCITT) T.6 Facsimile Coding Schemes and Coding Control Functions for Group 4 Facsimile Apparatus.
- Web and other documents based on markup languages: **HTML**: ISO/IEC 15445 Information technology – Document description and processing languages – Hypertext Markup Language, or XHTML or XML.