ELECTRONIC RECORDS MANAGEMENT IN SWEDEN

A PRESENTATION OF THE GOOD INFORMATION GOVERNANCE PROJECT

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AGENDA

SWEDEN

E-GOVERNMENT DEVELOPMENT AND IMPLEMENTATON

RECORDKEEPING LEGISLATION

GOOD GOVERNANCE PROJECT
      - AIM AND DURATION
      - RESEARCH ACTIVITIES

E-GOVERNMENT DEVELOPMENT AND IMPLEMENTATON

- E-government is a form of business development, through which authorities continue to improve their core business by using information technology (IT) to become more productive and effective.

- The term is also used to describe state administration, the use of IT to exchange information and services with citizens and other parts of the administration (Swedish government report, SOU:2009:86, p. 31)

- Hence, optimal e-government require a holistic view on the information processes, from creation to long-term preservation in order to make the information accessible, authentic as long it is needed.

E-GOVERNMENT DEVELOPMENT AND IMPLEMENTATON

- Public organisations continue to improve their core business by using information technology to become more productive and effective by for example implementing e-services, crossing organisational as well as national borders, exchanging information between systems, integrating systems and centralising functions regarding information capture.

- However, the legislation determines the frames, i.e. what records are needed to fulfil the legislative requirements.

DIGITAL AGENDA OF SWEDEN

- EASIER LIVING FOR INDIVIDUALS AND BUSINESSES

- MORE OPEN MANAGEMENT THAT SUPPORTS INNOVATION AND PARTICIPATION

- HIGHER QUALITY AND EFFICIECY OF OPERATIONS

The long term goal of this work to address interoperability can be expressed as: Managing information easily and securely between organizations within and outside the public sector.

RECORDKEEPING LEGISLATION

MAJOR LAWS THAT AFFECT RECORDKEEPING PRACTICE

- The Freedom of the Press Act (SFS 1949:105)

- The Public Access to Information and Secrecy Act (SFS 2009:400)

- The Archives Act (SFS 1990:782)

THE FREEDOM OF THE PRESS ACT

- Roots back in 1766

- Ensures the public right to free access official documents

- The concept "official documents" consider a document offical, that is a record, as soon as it is created or recieved by a certain agency

- A document is official if it is held by a public authority

- The concept is medium neutral

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THE FREEDOM OF THE PRESS ACT

"THE PRINCIPLE OF PUBLIC ACCESS TO OFFICIAL DOCUMENTS"

EVERY SWEDISH CITIZEN SHALL BE ENTITLED TO HAVE FREE ACCESS TO OFFICIAL DOCUMENTS, IN ORDER TO ENCOURAGE THE FREE EXCHANGE OF OPINION AND THE AVAILABILITY OF COMPREHENSIVE INFORMATION.

THE PUBLIC ACCESS TO INFORMATION AND SECRECY ACT

- Regulates what official documents are classified as secret

- The general rule is nevertheless free access, secrecy is an exception

- Stipulates that official documents are to be registered immediately in order to be identified for release or classification
(identity code, date, name of sender and reciever and subject heading)

- The register in itself is considered as a official document

THE ARCHIVES ACT

- A framework law and stipulate general rules

- Official documents are defined as the public authority's archives

- The official documents are part of the cultural heritage and must be preserved, kept and managed so that they meet the right of access to information, the need for justice, administration and research. This includes appraisal, retention, disposal, description, protection and responsiblity issues

- The main rule is that official documents are to be preserved

THE GOINFO PROJECT

GOOD INFORMATION GOVERNANCE (GOINFO) IS A RESEARCH AND DEVELOPMENT PROJECT, WHERE MID SWEDEN UNIVERSITY COOPERATES WITH:

- LOCAL AND NATIONAL GOVERNMENT AGENCIES

- THE NATIONAL ARCHIVES

Duration: 2013-01-01 – 2015-01-01

INFORMATION GOVERNANCE

IS ABOUT ACHIEVING:

- RELIABILITY
- COMPLETENESS
- AUTHENTICITY
- USABILITY

= Preconditions for a good long-term information support

The focus of GOINFO is the business and its' needs. Business information should account for activities such as transactions, decisions, applications, invoices etc. For governmental agencies this is important for the function of the democratic society and the trust of the public.

AIMS OF GOINFO

- TO CREATE CONDITIONS FOR GOOD INFORMATION GOVERNANCE BY USING AND IMPLEMENTING SUITABLE METHODS AND TOOLS

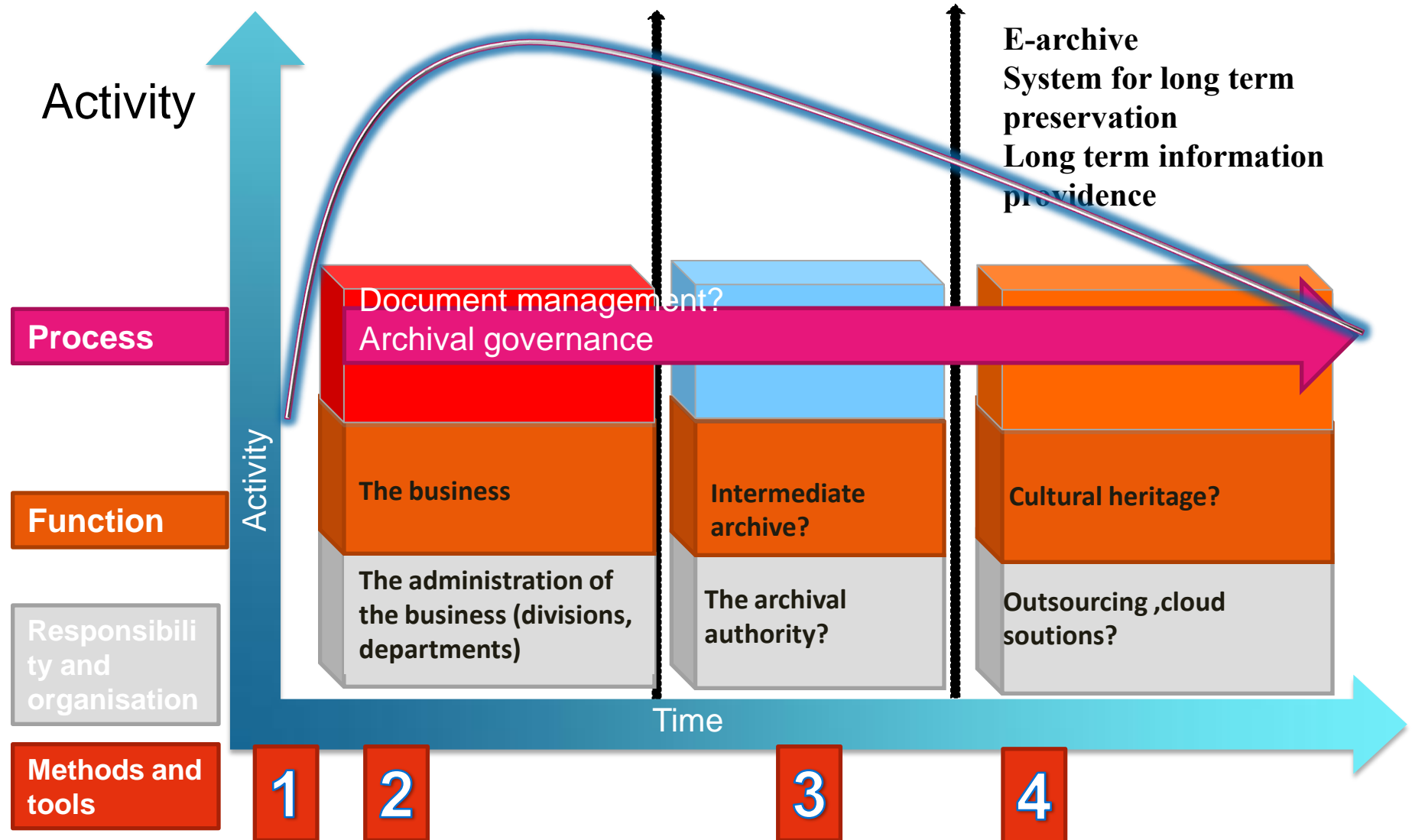- A MAIN FOCUS IS ON TRANSFERRING INFORMATION FROM BUSINESS SYSTEMS TO AN E-ARCHIVE SOLUTION

The transfer of information is also addressed by the Swedish National Archives' project eARD (e-archive and e-registry). eARD aims to form specifications that are common for the whole public administration (a sort of standards) that will make it easier to transfer information between business systems and e-archives, thereby enhancing interoperability.

4 PHASES

INFORMATION GOVERNANCE CAN BE DESCRIBED THROUGH 4 PHASES. THE IDENTIFIED PHASES OF THE INFORMATION FLOWS ARE:

1. TO PLAN AND GOVERN INFORMATION FLOWS

2. TO BUILD AND ADMINISTER INFORMATION FLOWS

3. TO TRANSFER AND PRESERVE INFORMATION FLOWS

4. TO PRESERVE AND MAKE INFORMATION FLOWS ACCESSIBLE

Phases of providing information

Activity

Process

Function

Responsibility and organisation

Methods and tools

E-archive
System for long term preservation
Long term information providence

Document management?
Archival governance

The business

The administration of the business (divisions, departments)

Intermediate archive?

The archival authority?

Cultural heritage?

Outsourcing ,cloud soutions?

Activity

Time

1   **2**   **3**   **4**

NATIONAL AGENCIES IN GOINFO

- THE SWEDISH COMPANIES REGISTRATION OFFICE

- THE AGENCY FOR FINANCIAL AID FOR STUDIES

- THE NATIONAL GOVERNMENT EMPLOYEE
  PENSIONS BOARD

- THE SWEDISH CUSTOMS

All of these are information intensive authorities, currently
in need of changing the way to manage and preserve their
archival records electronically.

COMMON CONCERNS

- THE NEED OF PROACTIVITY

Archives and Registries are more symbiotic in the electronic environment. Private companies that provide systems and services to public authorities is a relatively new phenomenon (that was not needed for paper records). It is important to be proactive about archival issues when making deals/agreements. Internally there is the need for archival, technical, legal and economic competence, for example when purchasing a new information system. Externally there is the question of issuing rules and guidelines and checking that they are being followed.

COMMON CONCERNS

- THE ROLE OF THE NATIONAL ARCHIVES

The National Archives are responsible for issuing rules and regulations concerning public archives. Governing authorities often say the National Archives should be clearer on their demands. However the National Archives says the authorities have the responsibility of their own records until they are to be transferred to the custody of the National Archives. The State Service Center, a new authority originated in 2012, that delivers services and administrative support to governmental authorities will possibly be including e-archive and e-registry in the future.

COMMON CONCERNS

- CLOSING CASES

In Sweden closed cases should be separated from active ones. This is done physically with paper records but with electronic records it could either mean to transfer the information to a separate system (called intermediate archive) or it might be done by closing records in the originating system, for example by not allowing them to be changed after a particular date.

RESEARCH QUESTIONS

OVERARCHING QUESTION:

HOW ARE RESPONSIBILITIES AND POWER OF PUBLIC AUTHORITIES' ARCHIVES IN SWEDEN (RE)ORGANIZED AND (RE)NEGOTIATED WITHIN THE FRAMEWORK OF ELECTRONIC INFORMATION GOVERNANCE?

SUB QUESTIONS:

- WHAT EFFECT DOES THE TRANSITION FROM PAPER RECORDS TO ELECTRONIC RECORDS HAVE ON THE ROLE AND POWER OF THE NATIONAL ARCHIVES? WHY IS THE ROLE AND POWER OF THE NATIONAL ARCHIVES SUBJECTED TO QUESTIONING/CHANGE?

- WHICH DIFFERENT VISIONS ARE THERE OF THE FUTURE ORGANIZATION OF ARCHIVAL RESPONSIBILITIES AND POWER? WHY DO THE VISIONS DIFFER?

- HOW ARE SIGNIFICANT ACTORS POSITIONING THEMSELVES IN RELATION TO THE ARCHIVE AND EACH OTHER? WHY DO DIFFERENT ACTORS TAKE DIFFERENT STANDS?

- HOW DOES THE ORGANIZATION OF ARCHIVAL RESPONSIBILITIES AND POWER AFFECT THE PRACTICE AT PUBLIC AUTHORITIES?

Questions?

Thanks for listening!

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