

Master's thesis

One year

Archives and Information Science

E-register – what is that?

A study of how Swedish public organizations use electronic registers.

Monica Fällgren



Mittuniversitetet
MID SWEDEN UNIVERSITY

MID SWEDEN UNIVERSITY

Department of Archives and Computer Science (ADV)

Examiner: Erik Borglund, erik.borglund@miun.se

Supervisor: Karen Anderson, karen.anderson@miun.se

Author: Monica Fällgren, mofa1200@student.miun.se

Degree programme: Master programme in Archives and Information science

Main field of study: Archives and Information Science

Semester, year: Spring, 2015

Abstract

The overall aim of this thesis is to describe the current situation of electronic registers (e-Register) in Swedish public organizations and find out whether or not there is a need for monitoring and compliance auditing. Other aims are to explore the meaning and use of the word “e-Registry”, and to examine competence and responsibility to register public documents (records). Information was collected through a survey (a web questionnaire) distributed to employees connected to the registry or archive in Swedish public authorities on state, regional and local levels with a publicly accessible electronic register. The result of the survey indicates that there is a need and desire for monitoring and auditing. The need is partly demonstrated by critical comments received after inspection of the recordkeeping system and of the registry. Swedish public agencies are independent from the government and applicable legislation mainly consists of framework laws. This requires that the authorities develop best practices and guidelines. Previously, the register was mainly managed and kept by one person, the registrar, but with the use of electronic information systems registration has become a shared responsibility. This development further emphasizes the need for a clear division of responsibilities as well as guidelines and a sharing of know-how within the organization. However, the thesis also includes a study inspired by literary warrant that indicates that current laws and regulations are quite adequate, but also that teamwork and organizational adjustments are required.

Swedish title: E-diarium – vad är det för något? Undersökning av hur elektroniska diarier hanteras i svensk offentlig förvaltning.

Keywords: Public organizations, register, electronic registry, e-Registry, records management, audit

Table of Contents

Abstract	2
Table of Contents	3
Introduction	4
Aim	6
Scope	7
Previous and related research	8
Theory	12
Method	14
Literary warrant	14
Survey	15
Results	19
Results – literary warrant	19
Legal evidence	20
Practical evidence	26
Summary literary warrant	30
Checklist for authorities using e-registers	32
Results – survey	33
Conclusions and discussion	55
...so what is an e-register?	57
References	58
Appendix 1 Survey – selection, accompanying letter, reminder and questionnaire	64
Appendix 2 Responses to question 9 (free text)	74

Introduction

The Swedish Freedom of the Press Act (1949:105), based on the world's first law granting freedom of the press, dated 1766, give citizens the right to access official public documents. However, so far, no government agency has been given the responsibility to co-ordinate registration and document management issues, nor been granted the right to legislate (SOU, 2011a, 25) (The Swedish National Archives, 2011b, 60).

The Swedish system works seemingly safe knowing that the public administration is benevolent; it takes care of what is expected of it, and its employees are just and fair. But not everyone is convinced of the system's excellence. Inga-Britt Ahlenius, former head of the Swedish National Audit Office and former Under-Secretary-General of the United Nations' Office of Internal Oversight Services, points out that:

Openness and transparency are not the same thing! A transparent administration, with an accessible archive that holds no documents, offers no insight. Swedish legislation is exemplary, but how does it work in reality? ¹ (2004, 17).

Ahlenius fears that a generous openness may result in less documentation, and an increasing number of important decisions taking place behind closed doors. In a best case scenario, the actual decision is documented, but the preparation/case management leading up to the decision is not written down.

The Swedish principle of public access to official records (*offentlighetsprincipen*) is meant to be a guarantee of administrative transparency, and a way for citizens to demand accountability. Although no public agency has been given the responsibility to co-ordinate or standardize regulations for registration and case handling issues, the area is far from being lawless. Setting out from the Public Access to Information and Secrecy Act (2009:400), the Parliamentary Ombudsman (Justitieombudsmannen, JO) and the Chancellor of Justice (Justitiekanslern, JK) examines public agencies as well as its employees. The aim is to ensure that laws and regulations are followed and that the

¹ Author's translation.

authorities fulfil their obligations. Case management is controlled i.a through an annual review of the authorities' list of active cases.

The Swedish National Archives (Riksarkivet) is the archival agency for governmental agencies and regulates information administration and archiving. The provisions of the Archives Act (1990:782) also affect the registration of public documents, on the basis of proper management and care of archives. The transition to a process-based archives description model contributes to a more cohesive information management, where the registry and the archive are more closely connected.

At the same time, the administrative workload seems to be increasing. Anders Forssell and Anders Ivarsson Westerberg, both associate professors in business administration, has called the phenomenon "the administration society" (2014, 9). According to the authors two parallel developments can be seen in contemporary public organizations:

Administrative tasks demand more time from more people. Some even claim that the core business in areas such as medical care and police services suffers from this development. At the same time, skilled administrative personnel, such as medical secretaries, are made redundant and their tasks allocated to other employees such as nurses or doctors. Forssell and Ivarsson Westerberg calls this development "amateurism".

According to Forssell and Ivarsson Westerberg, even more administration and documentation are generated through the use of various IT systems (which certainly simplify the work, but also make it easier to do more) and the need for transparency and control from various stakeholders.

Registration of public documents is one of the administrative tasks that is currently shared between new groups of professionals. From an archival point of view, in a digital environment, it is even more important that documents born digital are handled properly from the start. There is certainly no reason to doubt the administrators' ability to carry out registration, but the new routines require both time and care. There is a risk that they will consider the new tasks as undesired and interfering in the core business, just like the doctors and policemen mentioned above. Moreover, one of the purposes of modern

government is to make authorities more accessible and this means using even more communication channels.

In a report from a feasibility study on e-archive and e-register, the National Archives notes that “state authorities have expressed a desire for a more transparent control when it comes to registration and document management” (2011a, 7). The National Archives is reportedly prepared to take on responsibility for the registration as well. They argue that this would further strengthen the relationship between registration and the archival description.

When an e-register is published on the Internet the provisions of the Personal Data Act (1998: 204) must be respected. In electronic document management systems it is easy to select which fields of the index card can be viewed on the Internet, which are in accordance with the Personal Data Act. However, it requires that the person who registers the information is aware of how to handle personal data.

Based on the introductory discussion, the electronic registers of public organizations have been selected as the object of study for this thesis. The subject is relevant as registrars and administrators have come to share responsibilities in the common case and document management systems, which were previously the registrar’s domain. The digital environment also opens for more channels of communication, while digital documents make new and greater demands on document management. Case and document management becomes easier, but at the same time more sensitive.

Aim

The aim of this thesis is to investigate how Swedish public organizations deal with the electronic registry in general, and the electronic register published on the Internet in particular.

The aim is to answer the following research questions: What is the definition of the term e-register and how is it used? How are public documents captured and registered in various electronic feeds? Who has the power to monitor the e-registry in Swedish public organizations and how is the monitoring carried out?

The thesis can contribute with knowledge about how the system of registration of public documents works in a digital environment in Swedish public organizations. The thesis also aims to contribute to the Inter pares Trust's comparative study "Models for monitoring and auditing of compliance in the flow from registration to archive the e-register".

Scope

The thesis is limited to public organizations (state, regional and municipal) that have implemented and are using an electronic register that is publicly available online.

Only Swedish national legislation is addressed in the literature review of the thesis. As a member country of the European Union, Sweden is obliged to adapt its legislation to EU law. Critics, including Nils Funcke (secretary of the Freedom Committee, Dir. 2008:42) argues that the Swedish principle of public access is being increasingly undermined (Funcke, 2014). In addition, Swedish public organizations are involved in the management of EU structural and investment funds, and as such affected by the provisions on control and audit in the funds' support systems, including specific requirements of appraisal. Further investigation could certainly be of interest, but EU laws on document management is outside the scope of this study.

Originally, the purpose of this thesis was to examine the need for supervision of electronic registers and registration, and to develop a model for audit, as stated in the letter accompanying the questionnaire in Appendix 1. However, due to time constraints, no model has been developed. Nevertheless, through the literature review (literary warrant) and the questionnaire sent to selected public organizations, the thesis demonstrates a need and a demand for auditing and control. Through the checklist presented in this thesis a sound basis for future development of a model is laid.

The term "e-register" is one of numerous "e-terms" used to describe modern public administration, also called e-government. According to the Swedish E-delegation terminology (2014A) e-government can be explained as "public administration that takes place with the support of e-services". In turn, "e-services" is explained as "service provided through an electronic interface and fully or partially carried out

electronically.” This thesis uses definitions published in the National Archives project on e-archiving and e-register, the eARD-project (2013).

Table 1: Quotes from the eARD-project definitions of the terms diary, e-register and registration (Source: The Swedish National Archives)

<i>Term</i>	<i>Definition</i>	<i>Explanation</i>
Registry (Swe: <i>Diarium</i>)	Usually refers to records kept in accordance with Chapter 5 of the Public Access to Information and Secrecy Act (2009:400).	Explained indirectly by Chapter 5 of the Public Access to Information and Secrecy Act as a current register of an agency’s incoming and prepared (Swe: <i>upprättade</i>) acts. The registry is in itself not a legal concept according to the Public Access to Information and Secrecy Act, as opposed to registers and registration.
E-register (Swe: <i>E-diarium</i>)	Electronically maintained register.	The definition refers to the basic meaning of e-register. An e-register, however, often tends to refer to integrated information management solutions, where, according to the Public Access to Information and Secrecy Act, registration is only one of many functions.
Registration (Swe: <i>Registrering</i>)	Supply information on public documents when they are received or prepared.	The concept is not actually defined in legislation, but can be regarded as a requirement to note mandatory information in a register in order to establish when a public document (Swe: <i>allmän handling</i>) was received or prepared by an agency according to the Freedom of the Press Act. The register is usually called diary (Swe: <i>diarium</i>). Source: Chapter 5, Public Access to Information and Secrecy Act (2009:400)

Previous and related research

A search for “e-register” in the publication database DiVA gives three hits: all are parts of Maria Kallberg’s thesis (2013), which will be discussed below. The keyword “e-government” results in a hit list of 41 references, including e-identification, e-

government visions, and implementation studies of various e-government projects. Searching for “E-library” returned six hits.

A search for “e-register” in the Emerald Insight database increases the number of hits to e-register³³. The list provides an insight into the challenges of electronic document management in countries south of the Sahara as well as how e-mails are handled in the International Red Cross Committee. It would be interesting to explore the list more thoroughly, but such a review is out of the scope of this paper.

In a Swedish perspective, registration of public documents is absolutely central to public administration. In addition to being of interest from an archival science perspective, registration touches on many other fields, such as law, management theory, political science and history. Below is a small sample of the research that is relevant in this context.

The development of registration

The section “Administrative Systems for the Control of Records” in Anneli Sundqvist’s doctoral thesis (2009, 78) describes the Swedish tradition of keeping registration journals, *‘diarium’*. The oldest preserved journal is from 1551; it is a list of outgoing letters from the King. Before the Secrecy Act (1980:100) came into force in the early 1980s, there were no general rules on registration of official documents. Nor did existing legislation offer any details on how registration should be carried out. As early as the late 1960s, computers were used for registration on an experimental level. Facilitating retrieval of information and increased opportunities for the public to gain insight into the operations promoted computerization. Distributed computer systems, and later on the Internet, allowed simultaneous access to the journal. Transparency increased and public access to information improved. One of the first steps in the introduction of Swedish e-government was to publish the journals of public authorities online. Or rather, an updated version of it: the Data Protection Act regulated the dissemination of information.

New Public Management

Management by objectives, the client/provider model and profit centres are concepts that have been used since the 1980s in the theory of control of the public sector called New Public Management (NPM). The theory gathers ideas from the private business way of controlling organizations and is a research field at the Institute for Local Government Economics, Department of Business Administration at Stockholm University.

In recent years, NPM has been subject to criticism. In the public debate, scientists (Almqvist et al., 2013) have stressed that separating client (i.e. politicians), who decides *what* the public sector should achieve, and provider, who determines *how* it should be done, is impossible in reality. According to the researchers, these issues of definition has led both to micromanagement and excessive control systems. Almqvist et al. argue that control should facilitate professional activity, and that both client and provider need to take more responsibility.

Efforts towards jurisdiction

In her doctoral thesis (2013), Maria Kallberg examines awareness regarding registration of public documents in three arenas: the legal, the political and the workplace. Kallberg's research suggests that the political arena lacks consideration for the legal, which could ultimately affect the archives and archivist's role in the future.

In addition to the records continuum model, Kallberg uses a more a theoretical perspective in her analysis, namely the concept of jurisdiction. According to the American sociologist Andrew Abbott, jurisdiction deals with a profession's authority and claims to certain tasks. Claims can be made at different levels in the three arenas mentioned above.

Claims of full jurisdiction are maintained by a mixture of means. A successful jurisdiction is supported by the legal rules, as for example leaving out other professions for work with a claimed task, as well as by organisational rules within an organisation (2013, 95).

According to Abbott, the goal of each profession is to create a core (heartland of work) over which it exercises absolute control, and to defend and expand this area. Jurisdiction may expand when a new area becomes available, for example when new technology changes the conditions.

Kallberg applies these ideas to an investigation of changes in the relationship between electronic documents, archivist and registrar. Unlike archivists, registrars play an active key role in the administration – in the capture phase according to the records continuum model. Kallberg argues that the functions connected to capture seems to have increased its strategic importance, which leads to a strengthened role for registrars on the expense of archivists (2013, 96).

Municipal archives – supervision guaranteeing democracy

In their archival science Master's thesis, Josefina Andersson and Anna Åkesson (2012) examine how the municipal archives work based on aspects such as title and education, laws and regulations and the situation at the workplace. Using a questionnaire, archivists were asked about responsibilities and procedures. Andersson and Åkesson conclude that there are deficiencies in the municipalities' supervisory functions, which may ultimately affect individual citizens. The authors believe that supervision is a requirement for the municipal archives to be able to serve as the democratic resource they are intended to be, but that the system is not working properly.

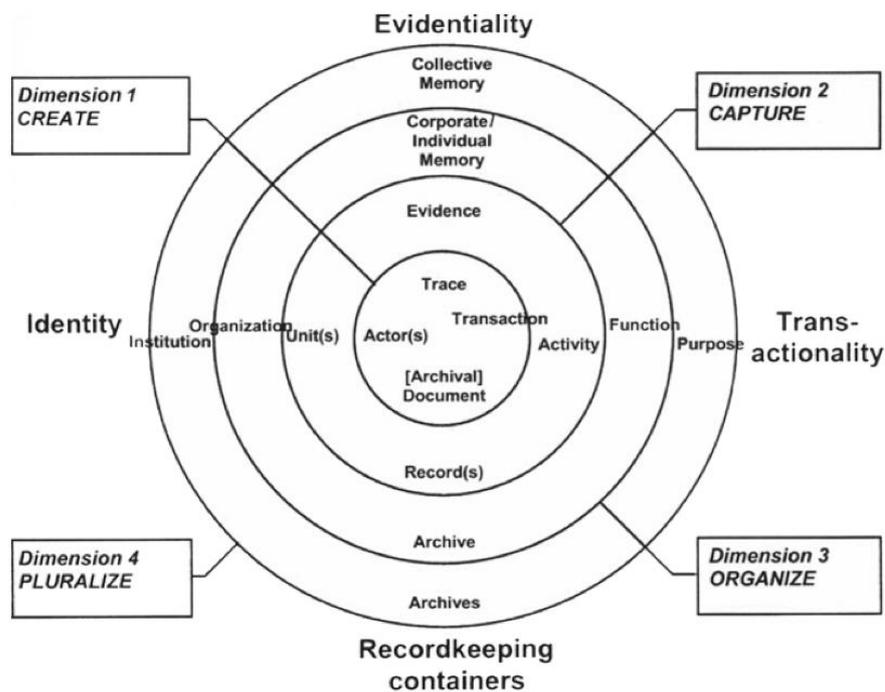
When audit becomes part of the business

To be audited is part of everyday life in public organizations: they are inspected, evaluated, audited, certified and ranked. Emma Ek at the School of Public Administration at the University of Gothenburg has studied how supervision is maintained in education and care – and how the audited make themselves auditable (2012). The resources for state supervision increases, and demand more of the organizations supervised. Facts and figures are delivered to the supervisors before the audit, and according to Ek, the organization about to be audited is also involved in the actual supervision with the hope of learning something new.

Also the Swedish Agency for Public Management has examined the government supervision and notes an increasing trust in, and use of, audit as a regulatory management policy instrument (2012, 37). However, according to the Swedish Agency for Public Management, knowledge about the effects of supervision is limited. “Is it possible that the expectations on supervision as a universal tool are sometimes unrealistic?” (2012, 82).

Theory

In archival science research, the records continuum model has become one of the most influential theories when it comes to electronic document management. According to the model, document management is divided into four interacting dimensions: create, capture, organize and pluralize. The model also contains four axes: evidentially, recordkeeping containers, identity and transactionality, as shown in Figure 1.



Source: © Frank Upward, all rights reserved

Figure 1: Records continuum model. Source: Upward (2005, 203)

Reed (2005, 19) has explained the different dimensions as follows:

- Create = “the locus of all the action” = this is where everything begins, including that which may result in a document (record).
- Capture = this is the first step towards the formation of a document (record). The document is linked to an action and begins to take the form of evidence of an action. In practice, this dimension could imply registration and adding necessary metadata to the document.
- Organize = the document is placed in a context and a chain together with other documents in a case.
- Pluralize = the document(s) is given a wider social role based on applicable laws, rules and procedures.

To determine the limits of the fourth dimension, agreement on what should be included is necessary. In Sweden, each public organization is responsible for managing the registration of public documents, based on applicable laws and regulations. Since the basic laws are intended as framework laws, the frames can be filled with content. One way of doing this is through so-called literary warrant, which will be presented in the Method section.

Neither the Freedom of the Press Act (1949:105) nor the Public Access to Information and Secrecy Act (2009:400) evaluate the content of public documents; rather they set the framework for the management of public documents. A framework law contains only general rules, e.g. principles and guidelines, and leaves the specifics to others (NE, nd).

According to Gränström (2004, 60), case transparency is not a guarantee for insight into how the public authority conducts its operations in general; it only offers insight into individual cases. However, operational transparency is about an overall transparency in the organization, not only in individual cases. Knowledge transparency, finally, is about conveying the information in the organization and the context in which it was created. Common to all three concepts is that they require well-functioning case management (registration of public documents) and document management.

Method

The first part of the thesis consists of a literature review carried out using the method literary warrant as model. This method is further explained below. The thesis' method is qualitative with an inductive approach to the analysis. According to Hartman the inductive method is based on the idea that individual observations are used as starting point in the search for overall relationship sets (2004, 151).

The literature review served two main purposes:

It has been used as basis for the second part of the thesis: a survey conducted among employees in public administration at state, regional and municipal level with a public e-register as common denominator.

It has been compiled into a checklist including key evidence that was used to analyse the survey.

The literature review contains both legal (i.e. official) and practical (i.e. other accepted by the domain) evidence controlling registration of public documents and the e-register. As mentioned, Swedish legislation on document management largely consists of framework law; micromanagement is up to individual public agencies/administrations. A literary warrant can help make visible both strengths and weaknesses in the overall regulatory framework at different levels.

Sweden has no formal regulatory powers concerning registration; the survey aims to compare theory with practice and examine whether existing rules are sufficient.

Literary warrant

The dictionary definition of the word *warrant* includes evidence, power of attorney, authorization, guarantees and sanctions. According to the Society of American Archivists' (SAA) Glossary, the meanings of literary warrant are:

1. "a justification or authorization found in the text", and
2. "a written requirement" (Pearce-Moses, 2005).

An example of the first explanation is the SAA Glossary referring to literature in the field of archival science (“expertise”) to support definitions in the glossary.

As support for the second explanation, the SAA mentions the University of Pittsburgh, who conducted a research project called the *Electronic Record-Keeping Project* in the late 1990s (Cox, 1997, Duff 1998 Iacovino 2006). One of the project’s findings was that the requirements set for electronic case management (e-services) cannot be developed in an isolated environment. It must be based on reliable and recognized sources (authoritative sources). The sources should be accepted in society and be codified in the professional literature. Examples of such authoritative sources are laws, standards, professional best practises and customs.

Literary warrant can thus be called competence through written support. Iacovino formulates the method based on archival science as follows:

Literary warrant is best known to the recordkeeping profession as the identification of professional regulations, standards and best practices for ascertaining the functional requirements for recordkeeping which organisations or individuals comply with because their authority is derived from their own profession’s or industry’s best practices. (2006, 272–273)

Survey

The purpose of the survey was to get an overview of how the registration of public documents is organized in public administration with a public e-register accessible online.

As mentioned earlier, the purpose of this thesis was to examine the need for supervision of electronic registry and registration, and to develop a model for audit. This was also mentioned in the survey’s covering letter (Appendix 1), but due to time constraints no model has been developed.

To conduct the survey, a web-based questionnaire was created using a software provided by the company Netigate (www.netigate.se). The design and content of the questionnaire were tested on a handful of professional archivists. Based on their input the questionnaire was slightly adjusted before an invitation to participate was e-mailed

to selected respondents (more about the sample below) on March 27, 2015. A reminder was e-mailed a week later to those who had not yet responded. In the email, deadline for the reply was set to April 10. This means that the actual period of time for the study was two weeks, which may seem quite short. The response rate was, however, satisfactory.

The questionnaire contained 25 questions and gave respondents the option of adding comments and observations. The first few questions were about the respondent's background, e.g. title, size of organization and distribution of responsibilities. Both so-called "issue" questions as well as "attitude or opinion" questions (Trost, 2012, 65) were used in the survey. Issue questions deal with facts, such as the number of employees in the organization and whether the organization is subject to the Archives Act, while attitude or opinion questions aim to identify the respondent's view on different topics. Both non-structured (open) and structured (fixed answers) questions were used and comments could be added to most questions. Both ways of constructing questions have their drawbacks. Trost mentions that it can be difficult to interpret the meaning of written answers to open questions, but it is also difficult to formulate options corresponding to the recipients' way of thinking (2012, 72–76).

The overview in Table 2 shows the relationship between the thesis' purpose and research questions and the questions in the survey.

Table 2: Relationship between thesis aim and research questions – survey questions

Aim of the thesis	Survey question
<p>Examine how Swedish public agencies deal with their e-registry in general and the registries published online in particular.</p>	<p><i>Question 3:</i> Who has the formal responsibility for the registration of public documents in your organization?</p> <p><i>Question 4:</i> In what form and through which channels are public documents processed in your organization?</p> <p><i>Question 17:</i> What is your assessment of the need for supervision of e-registers in Swedish public administration?</p> <p><i>Question 18:</i> What is your assessment of the need for common EU-regulations for supervision of e-registers?</p> <p><i>Question 19:</i> Who would be best suited to carry out supervision of e-registers in Swedish public administration?</p> <p><i>Question 20:</i> Do you think that there should be a general coordination of the registration of information and cases in Swedish public administration?</p>
<p>Research questions</p>	
<p>Define “e-register”: how is the term used, are there differences in use, if yes, why?</p>	<p><i>Question 9:</i> How would you explain the term “e-register”?</p> <p><i>Question 10:</i> Do you know of any officially accepted definitions of the concept e-register?</p>
<p>How is registration of public documents ensured in a digital environment?</p> <p>Who has the authority to audit e-registers in Swedish public administration and how is it carried out?</p>	<p><i>Question 3:</i> Who has the formal responsibility for the registration of public documents in your organization?</p> <p><i>Question 20:</i> Do you think that there should be a general coordination of the registration of information and cases in Swedish public administration?</p> <p><i>Question 21:</i> Is your organization covered by the Archives Act?</p> <p><i>Question 24:</i> Has records management in your organization been subject to any other supervision/inspection?</p>

Selection

The survey is primarily qualitative; the aim was to reach people working with information management and registration in Swedish public administration who have introduced a publicly accessible online e-register and to present the research questions to them. The aim was not to present statistically reliable results, but to collect the views and opinions of individual professionals.

According to Hartman, qualitative studies are characterized by an effort to reach and understand the life-world of others (2004, 273). “Life-world” is a concept used in hermeneutic theory and Hartman explains it as the meaning individuals attach to themselves and their situation (2004, 186).

According to this theory, finding answers to questions like “how much ...?” or “how many ...?” is of no interest. Rather, the aim is to describe how individuals experience different phenomena and what meaning they attach to them. Thus, the aim is not to describe the world but to describe people’s perception of the world around them.

The aim of the survey was to reach those actually working with information management, regardless of title and organizational belonging, who have or should have prior knowledge of the subject. Respondents were identified in public administrations on local, regional and national level; their common denominator was that they all had a public e-register accessible online. Initially, 73 such public administrations were selected, and after a second selection, 40 national agencies, 10 regional administrations and 15 municipalities out of the 73 made the final sample. In the organizations, a total number of 87 respondents were identified.

Response rate and non-response

In total, 87 invitations to participate in the survey were sent out. Of these, 61 responded to the questionnaire, resulting in a 70 percent response rate. However, not all respondents answered all questions; the deviations in response rate are noted in the result section.

In some cases, multiple respondents belonging to the same organization have chosen to answer the questionnaire together; several invitations were sent out, but only one

response is registered. Four respondents started to answer the questionnaire, but stopped after the first few questions; these have been considered as non-responses.

Presentation of results

In the results section below, the results of the survey are interpreted and presented based on the checklist compiled from the literature review. The presentation is structured in the same way as the checklist, and is divided into three identified areas: organization, registration and publication.

The presentation mainly consists of numerical summaries, with the exception of questions 1, 2, 9 and 13, which are accompanied by a graphic presentation, a tag cloud. This way of presenting the result does not claim to be scientific, it is only a way to illustrate the result. The questions where this method of presentation is used, are fairly different from each other. Questions 1, 2 and 13 are background questions and even if interesting they are not central for the survey. Question 9, however, is about defining the term e-register and thus more important for the thesis as a whole. In addition to the tag cloud, all answers to this question are presented in Appendix 2.

Results

In this section, the results of the literature review (literary warrant) are presented. The review was used to compile a checklist, presented below, which was used to analyse the survey.

Results – literary warrant

The literature review is divided into two parts: one *legal part* containing applicable laws, regulations, best practices etc. and one *practical part* including other accepted published sources in the domain describing the subject from a practical viewpoint. Both parts are written evidence, and it is based on this evidence the activities studied should be understood and analysed.

Legal evidence

According to an official description (Government Offices, 2014) the Swedish administrative model is based on three levels: national, regional and municipal. In addition to regulations on all three levels, rules from the European Union also apply. At the regional level, the state is represented by the county administrative boards, led by a governor appointed by the national government. The county councils, however, (now mostly converted to regions) are governed by elected politicians. County councils are subject to the Municipal Act (1991:900), as are the 290 municipalities that make up the local level.

The Office of the Chancellor of Justice, is the government's chief ombudsman and is responsible for monitoring that laws and regulations are followed by authorities and their officials. The Chancellor of Justice protects the integrity, freedom of expression and the legal certainty of the public sector and also carries out supervision, primarily focused on finding systematic errors in the public sector. The Chancellor of Justice has no mandate when it comes to official administration and decisions in individual cases, nor any influence on court decisions (JK, nd).

The Parliamentary Ombudsman is the parliament's ombudsman and part of the parliamentary control over government and public administration, which basically consists of parliamentary audit, judicial review and effectiveness review. The judicial review includes the Parliamentary Ombudsman's audit of authorities, the aim of which is to ensure that citizens are treated in accordance with the law. The audit can be initiated by the Parliamentary Ombudsman or a result of notification/report. Inspections are carried out on the authority and court premises. Registration and document management are part of the audit and the reports are available at the Parliamentary Ombudsman website (2015).

National public authorities are subject to the Archives Act (1990:782) and as such under the supervision of the National Archives, who enforce the law through audit and inspection (2014).

On a national level, the following legislation covers registration of public documents in Sweden:

- Freedom of the Press Act (Chapter 2) (1949:105)
- Public Access to Information and Secrecy Act (2009:400)
- Administrative Procedure Act (1986:223)
- Archives Act (1990:782)
- Archives Ordinance (1991:446)
- The Local Government Act (1991:900)
- The Personal Data Act (1998:204)

There are other laws affecting certain types of documents, but they are not addressed in this thesis.

In the following, 10 legal sources covering registration of documents are presented in brief. The foundation of the Swedish principle of public access to official documents (*offentlighetsprincipen*) is laid in 1) The Freedom of the Press Act. The basic regulation of the management of public documents is found in 2) The Public Access to Information and Secrecy Act. 3) The Administrative Procedure Act controls the management of public authorities. Handling of personal data is regulated in 4) The Personal Data Act. Government agencies are subject to 5) The Archives Act, and 6) The Archives Ordinance, which contain registration rules based on archival preservation. When it comes to registration, 7) The National Archives General recommendations for registration (RA-FS 1997:5) serves as a complement to The Archives Act. Registration of documents is also controlled by 8) The National Archives regulation RA-FS 2008:4, applies to the formalization of the archival description, while regulations 9) RA-FS 2009:1–2 applies to electronic documents and technical requirements.

The Freedom of the Press Act does not assess public documents' (evidence) value to the organization. However, in the international standard 10) ISO 15489 Information and documentation – Records management, assessment is a factor.

1. Freedom of the Press Act – *Tryckfrihetsförordning* (1949:105)

Content: Chapter 2: About official documents

Description: Sets the framework for the concept of public documents. Includes regulations on the disclosure of public documents.

2. Public Access to Information and Secrecy Act – *Offentlighets- och sekretesslag*, (2009:400)

Content: Chapter 4: General measures to facilitate access and retrieval of public documents.
Chapter 5: Registration of public documents and secrecy marking.
Chapter 6: Disclosure of public documents and information, appeal etc.

Description: Chapter 4 is about document management; description of the authority's public documents.
Chapter 5 describes the scope of the obligation to register documents. Dictates mandatory information in the register: date, registration number, sender – recipient, short description of content, secrecy marking.

3. Administrative Procedure Act – *Förvaltningslagen* (1986:223)

Content: Section 5: Public authorities' service obligation and digital availability.

Description: Public authorities are obliged to accept visits and answer phone calls from citizens.
Public authorities are obliged to respect the right of citizens to get in touch by fax and email, and reply using the same technology.
Public authorities have to be open at least two hours every weekday in order to receive and register public documents, and to receive requests for public documents that are kept by the authority.

4. Personal Data Act – *Personuppgiftslagen* (1998:204)

Competent authority:	The Swedish Data Protection Authority
Content:	Section 9: Basic requirements on handling of personal data Section 13: Prohibition on processing of sensitive personal data.
Description:	When a public authority, on its own initiative, makes personal data available in registries online it goes beyond its obligations according to Chapter 2 of the Freedom of the Press Act. Thus, the Personal Data Act applies. Depending on department and content, only a restricted part of the data in the register may be published online. The register should not include data such as personal taxation/code number, address and telephone number, sensitive personal data in accordance with section 13 of the Personal Data Act, or personal data related to criminal offenses (The Swedish Data Protection Authority, 2011).

5. The Archives Act – *Arkivlagen* (1990:782)

Competent authority:	The National Archives
Contents:	Section 3 Formation of archives: The archive of a public authority consists of the public documents emanating from the authority's activities and such documents that are referred to in the Freedom of the Press Act, Chapter 2, section 9, that the authority should protect and preserve. Section 5 Care of archives (cf. RA-FS 1997:5): As basis for a proper care of archives, public authorities should at the time of registration take due account of the importance of public documents. When preparing a document, adequate material and methods should be used in order to ensure long-term preservation.
Description:	The Archives Act is linked to the Freedom of the Press Act provisions on the right of disclosure of public documents.

Through the Archives Acts regulations on appraisal (*gallring*) public authorities are to be prevented from disposal of public documents and thereby cause restrictions in access.

6. The Archives Ordinance – *Arkivförordningen (1991:446)*

Competent authority: The National Archives

Contents: Section 3 Archiving of public documents

Description: When a public authority has closed a case, the public documents connected to the case should be preserved in an archive.

When it comes to registration, journals and other lists that are continuously updated, each notation is considered to be archival material as soon as it is made.

7. The National Archives' general recommendations for registration – *Riksarkivets allmänna råd om registrering (RA-FS 1997:5)*

Competent authority: The National Archives

Contents: General recommendations to the Archives Act section 5:1 on how public authorities should organize the registration of public documents.

Description: Deals with measures to be taken to facilitate the keeping of archives. Included are measures promoting access to registered documents and means to inform about restrictions due to secrecy or appraisal.

8. Regulations amending the National Archives' regulations and general recommendations for government authority archives – *Föreskrifter om ändring i Riksarkivets föreskrifter och allmänna råd (RA-FS 1991:1) om arkiv hos statliga myndigheter (RA-FS 2008:4)*

Competent authority: The National Archives

Contents: Chapter 6, sections 1–6 Archival description – The role and extent of archival description

	Sections 7–14 Classification structure
	Section 15 Process descriptions
	Section 16 Archival inventory
Description:	<p>According to the Swedish archival description model, an authority must provide an archive description, a classification structure, including process descriptions, and an archival inventory.</p> <p>According to the Public Access to Information and Secrecy Act Chapter 5, registration should be based on the classification structure.</p> <p>The classification structure includes information on reference and title, document type, secrecy, appraisal etc.</p>

9. The National Archives’ regulations and general recommendations for digital documents (recordings for automatic processing) – *Riksarkivets föreskrifter och allmänna råd om elektroniska handlingar (upptagningar för automatiserad behandling)* (RA-FS 2009:1–2)

Competent authority	The National Archives
Contents	<p>RA-FS 2009:1: Chapter 3 Strategy and preservation plan</p> <p>Chapter 5 Documentation</p> <p>RA-FS 2009:2 includes suggestions for appropriate preservation formats</p>
Description:	<p>RA-FS 2009:1 states that the authority must have a preservation strategy for digital documents, what measures are taken for the preservation of the documents. Measures refers to how digital documents are prepared, transferred, managed, stored and kept during preservation.</p> <p>RA-FS 2009:2 includes suggestions for appropriate formats to use for preservation of digital documents.</p>

10. ISO 15489-1 and 15489-2: Documentation – Records management, Part 1: General information. Part 2: Guidelines. *Dokumentation – Dokumenthantering (Records management), Del 1: Allmänt, Del 2: Riktlinjer*

Contents	Part 1: 3 Terminology and definitions
----------	---------------------------------------

3.15 document [specifically] record – information created by an organization or a person, received and preserved as verification or information, to meet regulatory requirements or to be used in everyday operations.

3.16 records management – area responsible for efficiently and systematically creating, receiving, preserving, using and appraising records. Note. Included are measures to take care of and preserve records verifying information on measures and transactions in the organization.

3.18 registration – assigning a unique identity to a record in a document management system.

7.2 Document properties

7.2.2 Authenticity

7.2.3 Reliability

7.2.4 Integrity

7.2.5 Utility

Description: Unlike law, the standard makes an assessment records' properties as evidence (of an action).

Describes how policy, routines and methods of record management should lead to reliable documents.

Practical evidence

The practical evidence of the literature review includes published guides, a manual on the subject, routines etc. This is in addition to the policy papers, routines, guidelines and other documents controlling authorities' management of official documents. The survey investigates which documents, and the extent of their prevalence, but because the responses are anonymous, this section only includes a few examples in the form of documents that the authorities have made available online.

1. Web development guidelines – *Vägledning för webbutveckling*

Source/publisher The eGovernment Delegation (2014b)

Contents	Guidelines for official online registers
Description:	Digital resource including recommendations on what the authority should consider before publishing the register and links to two examples.

2. Online registers – Guidelines for authorities – *Diarier på Internet – Vägledning för myndigheter*

Source/publisher	The Swedish Agency for Public Management (2003)
Contents	Regulations on registration
Description:	The compilation is outdated (the Public Access to Information and Secrecy Act is not included), but the publication includes guidelines for working methods, technical issues and information selection.

3. To manage, preserve or appraise digital documents – *Att hantera, bevara eller gallra elektroniska handlingar*

Source/publisher	The Swedish Association of Local Authorities and Regions (Matsson, 2011)
Contents	Storage and information management issues.
Description:	Focuses on the introduction of e-services and electronic case management, in addition to IT system requirements for a sustainable and reliable functionality in the e-administration structure.

4. Do I have to register this? – *Måste jag diarieföra det här?*

Source/publisher	Ewa Larsson (2012)
Contents	Summary of applicable laws and regulations; discussion on organization and registration procedures.
Description:	A working registration keeps official documents in order, which could help the authority plan work, process cases, -

monitor operations, and retrieve cases, now and in the future (2012, 18).

According to Larsson, it is primarily up to the authority in question to develop working procedures for registration, based on applicable law. Clearly defined procedures, that not only meet legal requirements but that are also well established and known throughout the organization, is a requirement for a working and efficient registration of cases. Larsson emphasizes the importance of establishing rules and procedures throughout the entire organization. It is even more important in a digital environment where many employees have access to cases and documents at the same time.

If there are others, in addition to the registrar, for example administrators, that should be authorized to register documents in the register, knowledge about what, when and how to register is required (2012, 24).

Even if registration of official documents is a shared task, Larsson argues that it is important that some of them have the main responsibility for the register and registration procedures. The professional role of the registrar will, in part, change as a result of the digital environment. Rather than being the only person registering documents, focus is placed on being the person with the main responsibility for registration and good knowledge of laws and regulations (2012, 74). Using activity-based archival description, Larsson argues that the authority's archivist should also be involved in the establishment of registration procedures.

**5. Registration policy, execution and preservation of public documents;
Procedure for how to handle public documents; Procedure for how to preserve**

digital documents – Policy för registrering, expediering och bevarande av allmänna handlingar; Rutin för hantering av allmänna handlingar; Rutin för bevarande av elektroniska handlingar

Source/publisher	The Swedish Agency for Marine and Water Management (2013a, 2013 b, 2013c)
Contents	Explanation of the concept public document; how to handle registration and delivery. The internal regulations of the authority, e.g. registration policy, execution and preservation of public documents in addition to procedure for the preservation of digital documents.
Description:	Review of the regulations controlling the handling of public documents. Section 5 (2013b): Registration of public documents. Section 6 (2013b): Handling emails. The procedure for preservation (2013c) corresponds to the National Archives' regulation 2009:1 on strategy for digital documents.

6. Description of the Swedish National Electrical Safety Board's registers and databases etc. according to Ch. 4 section 2 the Public Access to Information and Secrecy Act; Social media policy; Guidelines for the Swedish National Electrical Safety Board's participation in social media – Beskrivning av Elsäkerhetsverkets register och databaser m.m. enligt 4 kap. 2 § offentlighets- och sekretesslagen; Policy för sociala medier; Riktlinjer för Elsäkerhetsverkets medverkan i sociala medier

Source/publisher	The Swedish National Electrical Safety Board (2014, 2013a, 2013b)
Contents	Finding aids for the authority's public documents; technical aids; confidentiality provisions. The policy includes rules on use of social media; the rules are presented in further detail in the guidelines.

Description: The aim of the list of registers and databases is to facilitate access to public documents for the public, in accordance with the Public Access to Information and Secrecy Act, Chapter 2 section 2.

The authority uses Facebook to inform about, among other things, sales ban and press releases. However, there is no direct communication regarding cases. The information published on social media is also available on the authority website.

7. The National Board of Housing, Building and Planning's description of public documents, databases etc. and archival description – *Boverkets beskrivning av allmänna handlingar, databaser m.m. samt arkivbeskrivning*

Source/publisher The National Board of Housing, Building and Planning (2014)

Contents Description of the authority's organization, list of registers and other finding aids to public documents.

Description: The document is a combined list according to Public Access to Information and Secrecy Act Ch. 4 section 2 and archival description according to the Archives Act section 6.

Summary literary warrant

Despite the fact that registration of public documents is not covered by an expressed regulation law, the area appears to be well regulated; there are laws and regulations at different levels with different degrees of detail. When it comes to digital public documents there could be conflict in terms of personal data and publication online: this makes it important for the organization to consider different interests. The Swedish Data Protection Authority is an interpreter of the Personal Data Act and an increasing number of judgements contribute to a clarification of the legal situation.

A Swedish framework legislation combined with more specific regulations, an internationally accepted records management standard, as well as guidance and

checklists means that the organizations are well prepared when it comes to laws and regulations. What remains is adapting the laws and regulations to the organization; this requires knowledge as well as involvement from each organization.

On the following page there is a summary of some of the most important legal and practical evidence in the form of a simple checklist for public organizations who would like to use e-registers.

Checklist for authorities using e-registers

Organization:

- Always appoint one or more responsible for the register, even if the task of registration is shared between a larger number of people (Larsson).
- Make sure that everyone involved in registration knows *what* to register, as well as *when* and *how* (Larsson).
(*Comment:* also make sure that everyone carrying out registration knows *why* the documents should be registered.)
- If social media are used, have clearly defined and established aims, to be able to make appropriate demands on function, technology and security (Larsson).

Registration:

- According to the Public Access to Information and Secrecy Act Ch. 5 section 2 (2009:400), registration must include:
 - 1) the document's date of arrival or when it was prepared
 - 2) the reference number, or similar, that the document received upon registration
 - 3) information about sender or recipient
 - 4) short description of the content of the document.
- Ensure that documents that are going to be preserved are handled according to the Archives Act already at registration (1991:446).

Publication:

- Develop clear routines in writing for online publication.
(The Swedish Data Protection Authority, 1998:204)
- Check personal data before publication.
(The Swedish Data Protection Authority, 1998:204)
- Decide for how long the information in the register should be available.
(The eGovernment Delegation, 2014b)

Question 1: What is your job/title?		
Comments	Percentage	Number of responses
Archivist (incl archive manager, eArchivist, repository manager, region archivist, municipal archivist/head of unit, county archivist/manager, archivist/system administrator, archivist/head registrar, head archivist)	45.9	28
Registrar (incl head registrar, registrar/repository manager, registrar/archivist, registrar/webmaster/librarian, registrar/economy administrator, registrar/administrator)	27.9	17
Document controller (incl document controller/qualified registrar)	3.3	2
Other (incl service manager, chief of staff, chief legal officer, administrative director, operational developer, responsible for registration and case management process and developer, responsible for the central register and archive, administrator, head of unit, municipality secretary, head of IT planning + head of register and archive, senior legal advisor, executive manager of the register and archive)	22.9	14
Total	100	61

As mentioned, the questionnaire was sent to specific registrars and archivists, and in certain cases to shared addresses – to registrars as well as archivists. It could be noted that the registrars more often than the archivists forwarded the emails to administrators, superiors etc. rather than responding to the questionnaire themselves, which is reflected in the number of responses from each group.

In some cases, it has been difficult to tell if the respondent is in fact two people or just one person with multiple jobs/titles. One example is “chief legal officer and repository manger”. It is likely that it is two different people, but based on the response alone, it is impossible to tell for sure. In the example “registrar/webmaster/librarian” it seems more likely to be one and the same person behind the jobs/titles, even if these are completely different jobs. But again, it is impossible to know for sure.



Figure 3: Question 2 is about the size of the organizations that the respondents belong to, and the responses vary greatly. Some chose to answer the number of employees in their unit, while others state the total number of employees.

Question 2 asked the respondents to state the number of employees employed by their organization. The purpose of this question was mainly to get an idea of the size of the organization. In connection to the answers to the next question, who is in charge of registration, it would have been interesting to ask more detailed questions about organization and work distribution. This could have indicated how many are involved in the registration of public documents on a daily basis. However, because of the scope of this thesis, it was excluded.

Based on the answers to Question 2, it is clear that the average number of employees at each of the organizations is 1,744. The size of the organization, however, ranges from 4 employees (unit) up to 12,000 (municipality). The median is 250.

The question is interesting in terms of identification and belonging in the organizations. Based on a transparency perspective it is probably better that individual units consider themselves as a part of a whole, as it clarifies the shared responsibility.

Question 3: Who has the formal responsibility for the registration of public documents in your organization?		
Options	Number of responses percentage	Number of responses
No one has the formal responsibility	1.6	1
Registrar	61.7	37
Archivist	0	0
Administrators who carry out registration	11.7	7
Other, please specify (comments)	25.0	15
Total	100	60
No answer		1

To Question 3, “Who has the formal responsibility for the registration of public documents in your organization?”, a majority, 37 respondents, answer that the registrar has the formal responsibility. The second most common solution among the respondents is that administrators and registrar share the responsibility. It is often the registrar who is responsible for opening and closing cases, while the administrator is responsible for registration of documents added during the process. Only two respondents answer that all employees share this responsibility and one that no one is responsible.

The most common answer to the question about who is responsible for the registration of public documents is “the registrar”. Formally, all employees are responsible for the public documents, but only one respondent seems to be aware of this. For example, when it comes to capturing documents for registration in different digital channels, it is important that everyone in the organization knows about this responsibility.

Question 5: Which of the following policy documents on records management can be found in your organization?		
Options	Number of responses percentage	Number of responses
Archives description	13.4	52

Question 5: Which of the following policy documents on records management can be found in your organization?		
Archives manual	4.65	18
Records management plan	9.3	36
Weeding decisions (appraisal??)	13.2	51
IT policy incl email	12.4	48
Classification structure	10.3	40
Social media policy	9.5	37
Process descriptions	9.8	38
Risk analysis	5.2	20
Risk management policy	3.4	13
Security classification of information (privacy?)	7.2	28
Other (comments)	1.5	6
Total	100	387
No answer		1

In the answer to Question 5, all respondents except one mentioned what regulatory documents there are for the records management in their organization. In addition to the options, the respondents can add their own examples under comments. The following are examples of responses:

- “guidelines for information security”
- “guideline registration and case management
- “the documentation manual”
- “administration manual”
- “order of administration” and
- “the documents are registered according to activity, case, structure”.

Some respondents pointed out that the options listed are not considered regulatory documents, but these are the documents used. One respondent stated that the quality of the organization documents varied greatly, but there are documents.

Some of the documents are required by law, for example the three parts of the Swedish archival description model (description, classification structure and archival inventory). In order for the documents to be of practical use in the organizations, they need to be more than a duty, but rather carefully worked out documents reflecting the operations of the organization. Future work could include an analysis of the documents the respondents mentioned.

Question 16: Who in your organization decides what information may and may not be published in the online publicly accessible electronic register?		
Options (comments)	Number of responses percentage	Number of responses
Registrar, group of registrars	17.0	8
Administrators	4.3	2
Administrators and Registrar	12.8	6
Registrar in consultation with e.g. administrator, lawyer, manager	10.6	5
Archive manager (administration manager) archivist, chief legal officer, superintendent	2.1	1
Manager, administrative director, service manager, heads of units and departments, competent manager, administration manager, management, head of divisions	23.4	11
Chief legal officer, lawyer, legal secretariat, director general for legal affairs and management counsel	10.6	5
Higher management/IT department	2.1	1
Municipality secretary	2.1	1
Department of purchases and records management after consulting lawyers and security	2.1	1
No designated person (rules, procedures)	12.8	6
Total	99.9	47
No answer		14

Question 16 shows that decisions on what to publish in the e-register, according to the majority (23.4 percent), are made by someone in management. 17 percent responded the registrar and 12.8 that it is the registrar's and/or administrators' decision. The comments mention, among other things, that it is only the mandatory information, date, reference number, sender/recipient and a summary of the document content that can be viewed.

According to one respondent, the IT department decided, after consulting the organization, that all cases/documents in the register will be published externally and that it is the person carrying out registration who is responsible for making sure that no sensitive personal data is published online.

Yet another respondent mentions that two registrars reviews each publication, there are also rules and procedures for different types of cases in addition to the rules on confidentiality and the Personal Data Act.

Question 20: Do you think that there should be a general coordination of the registration of information and cases in Swedish public administration?				
Options	Not important	Quite important	Important	Number of responses
No, the authorities are independent and it should be their decision.	18	17	16	51
No, no general management is needed. Current legislation covers the needs for supervision and control.	19	20	10	49
Yes, it has to become easier to search for public documents.	1	28	19	48
Yes, from a preservation point of view it would be preferable if everyone did it the same way.	3	21	26	50
Yes, the National Archives' FGSS (specifications for government agencies) is the right way.	5	23	21	49
No answer				5

Question 20 shows that opinions differ among the respondents when it comes to co-ordination of information and case registration. 33 respondents consider it quite important or important that the authorities remain independent, and 30 respondents do not think that general management is needed. However, 47 respondents are of the opinion that searching for public documents has to become easier, 47 respondents think that, from a preservation perspective, it would be good if everyone did it the same way, and 44 respondents consider the FGS to be the right way to go.

Example: Comparison checklist and responses Topic Organization

According to Larsson (2012) it is important that a person is appointed responsible for the register, even if several people are involved in registration. A majority of the respondents state that the registrar is responsible; it does not seem to occur to anyone that all employees are responsible for the registration of public documents. Even if the registrar is responsible for the register, as claimed by the respondents, the person deciding what information is published in the e-register is someone in management.

Topic: Registration (questions 4, 6, 7, 8, 9, 10, 21, 22, 23, 24, 25)

Question 4: In what form and through which channels are public documents processed in your organization?		
Options	Number of responses percentage	Number of responses
Letters/mail addressed to the organization	14.1	60
Mail addressed to an individual	13.7	58
Emails sent to the organization mailbox	13.7	58
Emails to individual employees	13.7	58
Texts	8.7	37
Social mead, such as Facebook or Twitter	9.7	41
Electronic forms from the organization e-services	11.1	47

Question 4: In what form and through which channels are public documents processed in your organization?		
Options	Number of responses percentage	Number of responses
Fax messages	12.9	55
Other (comments)	2.4	10
Total	100	424
No answer		0

Question 4 investigates in what channels public documents can be found. The results are relatively evenly divided between mail to the organization, mail to individual employees, emails to the organization, emails to individual employees and (perhaps somewhat surprisingly) fax messages.

Several respondents have used the comments field, where their answers range from “material delivered at meetings and conferences” to “mobile app logs”. One respondent notes that it is likely that public documents are submitted as texts and in social media, but these documents are never registered.

Another respondent believes that there are public documents in the form of texts, but that they are unlikely to be relevant for the processing of the case, and should be considered as of little and temporary importance. This response could be criticized as underrating the telephones of today, which are basically computers and able to manage large amounts of data.

Question 6: Does your organization have any regulations on the procedures to be followed when registering documents?		
Options	Number of responses percentage	Number of responses
No, we all do it our own way.	3.3	2
Yes, the registrar has emailed some advice.	6.7	4
Yes, there are clear routines and guidelines. (+ comments).	90	54

Total	100	60
No answer		1

Also here one respondent chose to not answer the question. Two respondents (one municipality and one region) answer that there are no common rules. The comments to the third option demonstrate that the organizations have multiple rules and guidelines. A few examples:

- “Cheat sheets, templates etc. to help registration.”
- “Case and document types in the case management system connected to default headings for different cases.”
- “County administrative board common registration procedures that apply to certain case categories.”
- “Mandatory fields in the system are for mandatory information according to the Freedom of the Press Act and the Public Access to Information and Secrecy Act.”
- “We use ‘phrase memories’ as case heading and document heading and in addition, there’s regular in-house training.”
- “The registrar goes through the mailing list of the day and the writing at the same time.”
- “There are clear instructions developed by the registrar. These, in combination with information management plans, constitute a clear framework for registration of public documents.”

The Public Access to Information and Secrecy Act’s provisions on registration is, according to the results, far from the first thing on the respondents’ minds when it comes to registration of documents. Even if legal requirements were not clearly expressed in the options, it should not have been unconceivable that a larger number of respondents had used the comments to point this out.

Question 7: Are there public documents in your organization that are not registered?		
Options	Number of responses percentage	Number of responses
Yes	90	54
No	4	4
Don't know	2	2
Total	100	60
No answer		1

Question 8: Is there electronic information that is not registered in your organization?		
Options	Number of responses percentage	Number of responses
Yes	85	51
No	6.7	4
Don't know	8.3	5
Total	100	60
No answer		1

Questions 7 and 8 are about whether there are public documents and digital information that are not registered. A majority answer that there are such documents, for example personnel documents, trivial documents invoices etc. This also applies to digital information, which in some cases is registered separately, even if it is not included in the register. There are also several responses saying that not all emails are registered.

Question 9 “How would you explain the term ‘e-register?’” and question 10 “Do you know of any officially accepted definitions of the concept e-register?” directly correspond to the thesis’ supplementary questions presented in the section Aim. In the questionnaire, Question 9 was an open-ended question (no options), while Question 10 was a yes/no question.

Three respondents provided no explanation and one responded ‘Don’t know’. Because this question is important for the thesis, all comments are provided in Appendix 2, and a selection is presented below:



Figure 4: In the answers to Question 9 “available”, “electronic” and “online register” are three of the words mentioned in several of the explanations of the term e-register.

“Digital register for management of administrative cases, including digital documents connected to the case.”

“A new concept. But would consider it as all documents being available digitally in the e-register, similarly to an e-archive.”

“As I see it, on the one hand, you have a case management system that is completely electronic, including e-services and scanning, preferably papers should be obsolete. On the other hand, the authority has a web register where at least an overview of the cases and documents can be found and where it is possible to access the document.”

“A search engine for the public where the register can be accessed 24 hours a day.”

“Electronic register. A very temporary e, which today only indicates that we are living in two worlds – the analogue and the digital. This also goes for the title e-archivist. As time passes, the need to indicate the digital will cease.”

The recommendation from the Swedish Data Protection Authority to authorities who are looking to publish their register online is to start by developing clear procedures for how to go about it. In this context, it can be noted that a common definition of the concept e-register is a necessary starting point.

Question 10: Do you know of any officially accepted definitions of the concept e-register?		
Options	Number of responses percentage	Number of responses
Yes	22	13
No	78	46
Total	100	59
No answer		2

A majority of the respondents, 46 in total, do not know of any officially accepted definition of the term e-register according to the responses to question 10. Only 13 respondents answered yes to the question, and most mention the National Archives’ eARD project list of concepts as source. Also mentioned are SALAR (Swedish Association of Local Authorities and Regions) and the Public Access to Information and Secrecy Act. Two respondents did not answer the question.

Question 21: Is your organization covered by the Archives Act?		
Options	Number of responses percentage	Number of responses
Yes	98.2	56
No	0	0
Don't know	1.8	1
Total	100	57
No answer		4

Questions 21–23 are about the Archives Act, and a majority state that their organization is covered by the Act. The survey software was supposed to forward those who answered yes to Question 22, and those who answered no to Question 24. But since several of those who are not covered by the Archives Act have also answered Question 23, it seems this did not work as planned.

Question 22: Have the National Archives carried out any supervision/inspection of your organization since the online publicly accessible e-register was introduced?		
Options	Number of responses percentage	Number of responses
Yes	41.1	23
No	37.5	21
Don't know	12.5	7
We don't have such a register.	8.9	5
Total	100	56
No answer		5

About 40 percent of respondents have subject to supervision or inspection by the National Archives since the e-register was introduced.

Question 23: Did the National Archives have any comments on the registration?		
Options	Number of responses percentage	Number of responses
Yes	6.7	2
No	73.3	22
Don't know	20	6
Total	100	30

The answers to Question 23 show that in most cases there were no comments from the National Archives on registration. Considering the importance of registration for archiving, the number is surprisingly low.

Question 24: Has records management in your organization been subject to any other supervision/inspection?		
Options	Number of responses percentage	Number of responses
Yes	51	28
No	34.5	19
Don't know	14.5	8
Total	100	55
No answer		6

The respondents were asked if there had been any other supervision or inspection of records management, in addition to the National Archives. 28 answered yes, 19 no, and 6 respondents did not answer.

Question 25: Were there any comments on your organization's records management?		
Options	Number of responses percentage	Number of responses
Yes	81.5	22
No	18.5	5
Total	100	27
No answer		1

22 respondents answered yes to Question 25. The following are examples of remarks:

- “Insufficient archival space. No strategy for preservation of digital information.”
- “No records management plan.”
- “Authorization system for users in the organization”

Compared to answers to Question 23, there are quite a few more comments and remarks on records management shortcomings, regarding registration as well as publication.

Example: comparing responses and checklist Topic Registration

Only a few mention the Public Access to Information and Secrecy Act's minimum requirements on what information registration should include. While the National Archives' inspections have not generated remarks on registration to any extent, other

supervision (e.g. the Chancellor of Justice) has pointed out serious shortcomings, e.g. that there is no strategy for preservation of digital information.

Topic: Publication (questions 11, 12, 13, 14, 15, 17, 18, 19)

Question 11: Does your organization have a publicly accessible electronic register online?		
Options	Number of responses percentage	Number of responses
Yes	83.1	49
No	16.9	10
Total	100	59
No answer		2

Respondents were selected based on visits to the organization websites and based on whether the organization was likely to have an e-register (see previous section Selection survey). Yet, 10 of the respondents' answer to Question 11 was that there is no such register. There are probably several reasons for this, including differences in how the concept is used and pure mistakes. For example, respondents in two governmental organizations have answered no, despite working links to the e-register on the organization website.

The respondents claiming that they have no e-register provided the following comments:

- “Our register can be found online, but it only includes cases, no documents.”
- “We have an online register where anyone can search for documents and cases, but no documents are uploaded.”
- “There is a simple search feature on the external website, but it is going to be removed.”

It is clear, based on the responses to this question, that the respondents interpret the concept e-register in different ways. In order for the organizations to be able to work efficiently and according to the rules, it is necessary to find a single definition.

Question 12: Who took the initiative to the online publicly accessible electronic register?		
Options	Number of responses percentage	Number of responses
Management	35.1	27
Archivist	9.1	7
Registrar	15.6	12
The IT department	12.9	10
Other (comment)	20.8	16
Don't know	6.5	5
Total	100	77
No answer		9

Respondents could answer Question 12 about who initiated the introduction of the e-register, by selecting multiple options. Approximately a third (35 percent) of respondents answered “Management” and about 20 percent “Other”. In these cases it was often joint projects where several professions were involved.



Figure 5 There was a wide variety of answers to Question 13, about what year the e-register was introduced.

In Question 13 the respondents were asked to state for how long the e-register had been in use. Again, there was a wide range of answers; several stated that they did not know and eleven did not answer the question. It is a background type of question, but it would be interesting to compare to, for example, how many inspections the authority has had since the e-register was introduced. This will be discussed further in the following section. Knowledge and understanding about their own organization and reasons for decisions taken could also contribute to an improved result when it comes to use. Lack of a historical background may be restrictive and negative in many ways, also for organizations.

Question 14: What were the organization's reasons for choosing to publish the e-register online?					
Options	Not important	Not particularly important	Important	Very important	Number of responses
Our electronic records management software has such a function.	12	12	14	3	41
Operational transparency is important.	1	3	16	22	42
The organization would increase efficiency if the public could to search the register directly on their own.	1	2	20	22	45
So that the public would have better access to public documents.	1	0	15	28	44
Don't know					6
No answer					11

Also here, many did not answer the question (11 respondents), and 6 respondents stated that they do not know the reasons behind the decision to publish the e-register online. The comments on interpretation in connection to Question 13 is relevant here too.

When it comes to the options, most respondents state that better access to public documents for the public is an important reason when deciding to publish the e-register online. Improved efficiency for the organization is also considered important.

Several respondents have explained their “Don’t know”-answers in the comments; they were either not employed by the organization when it was decided, or they did not participate in the preceding discussions. An example of the opposite is the organization that according to the respondent formulated the keywords “transparency, information, influence and inclusion” prior to the introduction of the e-register – keywords they still use.

Question 15: What information is included in your online publicly accessible electronic register?			
Options	Yes	No	Don't know
Minutes	16	17	1
Decisions	23	10	1
Complete mailing lists	8	21	4
Governing documents	17	15	2
Agreements & contracts	16	18	0
Documents on exercise of public authority, such as permits, licenses	15	16	4
Internal communication, such as policy papers	13	17	3
External communication to authorities, businesses, private citizens	18	13	2
Incoming communication from authorities, businesses, private citizens	21	13	0
Project and research documents	16	15	4
No answer			10

Question 15 asked the respondents to state what information can be found in the e-register. Many of the respondents answering no to any of the options clarify that no documents are available.

One respondent comments that everything that has been registered can be viewed; when it was registered, where it came from and the subject line. However, the documents cannot be viewed online. They are only available upon request from the Registry. Minutes can be found on the website.

The following examples are found in the answers:

“The online register includes information on all registered documents, however, not the document (file) itself. Personal and confidential information is not published.”

“We publish information about cases, not individual documents. However, many documents are published on the website outside the register.”

“The documents cannot be viewed in the online register, only the subject heading of the document.”

Question 17: What is your assessment of the need for supervision of e-registers in Swedish public administration?		
Options	Number of responses percentage	Number of responses
1 (Non-existent)	1.8	1
2	1.8	1
3	8.9	5
4	1.8	1
5	5.4	3
6	21.4	12
7	12.5	7
8	23.2	13
9	3.6	2
10 (Great)	19.6	11
Total	100	56

No answer	5
-----------	---

Questions 17 and 18 investigate the need for supervision, on a national and EU level. Respondents were asked to rate their perception of the need for supervision on a scale from 1 (non-existent) to 10 (great). Mean value of Question 17 (national level) is 6.9. Respondents rating the need as great as well as those rating it as non-existent work in government organizations.

Based on the literature review, the legal situation when it comes to registration seems quite clear, even if legal text is always subject to interpretation. Part of the uncertainty found in the answers, demonstrated by expressing a need for supervision, could easily be rectified through changes in the organization in question.

Question 18: What is your assessment of the need for common EU-regulations for supervision of e-registers?		
Options	Number of responses percentage	Number of responses
1 (Non-existent)	4.3	2
2	23.9	11
3	15.2	7
4	8.7	4
5	13.0	6
6	10.9	5
7	6.5	3
8	8.7	4
9	0	0
10 (Great)	8.7	4
Total	99.9	46
No answer		15

Question 18 was similar to the previous question, but when it comes to perceived need for common EU regulations in terms of supervision of e-registers, the answers are basically the reverse. The mean value is 4.6. It can also be noted that many respondents have not answered the question; there are only 45 answers.

Question 19: Who would be best suited to carry out supervision of e-registers in Swedish public administration?					
Options	Unsuitable	Less suitable	Quite suitable	Very suitable	Number of responses
The Swedish Data Protection Authority	2	17	22	12	53
The Office of the Chancellor of Justice	4	8	22	11	45
The Parliamentary Ombudsmen	5	14	16	9	44
The National Archives	3	11	20	15	49
The Swedish National Audit Office	5	19	16	0	40
A new supervisory authority	15	9	9	8	41
No answer					5

According to Question 19, a majority of respondents do not consider a new supervisory authority as a suitable option for the supervision of e-registers. In addition to the Swedish National Audit Office, this option is considered the least suitable among the respondents. Respondents consider the National Archives closely followed by the Swedish Data Inspection Authority and the Chancellor of Justice most suitable for the supervision of e-registers.

Among the comments it is pointed out that who is most suitable depends on what the supervision would involve. According to one respondent, because registration is the first step towards long-term preservation, it would make sense if the National Archives was in charge of supervision, however, it would require acquiring new competencies.

Examples: comparison responses and checklist Topic Publication:

The Swedish Data Protection Authority recommend checking all personal details before publication (1998:204). One respondent comments that everything that has been registered can be viewed in the public e-register. Hopefully this is a misunderstanding, if not, it is likely that the Swedish Data Protection Authority would have something to say about it.

Conclusions and discussion

As mentioned, there was a fear that generous transparency and publicity would lead to decreased documentation. The Swedish principle of public access to official records guarantees public access to documents, but what is the guarantee that documents are created to be transparent about?

The literature review shows that despite the lack of right to legislate when it comes to registration, there are several laws and other regulations that cover the processing. The simple checklist based on identified evidence mainly covers what is necessary in terms of organization, registration and publication.

The Swedish laws in this area are to a great extent framework laws. An advantage is that this means there is room for each authority to organize their own work. A disadvantage is that it means the advantages of a common strategy are lost. Co-ordination and overview are likely losses.

Forssell and Ivarsson Westerberg indicate an additional fact that could decrease overview: the ever increasing administration and IT systems facilitating the generation of more documents.

Traditionally, it has been a given that registrars carried out registration of public documents in public organizations. But by using common IT systems, administration has changed, and it is becoming more common that most employees carry out registration. The survey conducted here also illustrates this development: registrar and administrators often share the task of registration, while it is still the registrar's job to open and close cases. Eva Larsson claims that the role of registrar is changing, and today, it is more about knowledge management and co-ordination.

The Swedish legislative framework has (possibly unintentionally) the same holistic perspective that characterizes the records continuum model. Legislation does not control who carries out registration of public documents, only that it is done. However, organizations in Swedish public administration have traditionally been based on a life cycle perspective: the document is registered by the registrar, after which the administrator processes it, and finally it is preserved by the archivist. The digital reality

changes this, but it could be argued that the legislation is already adapted to a digital continuum perspective.

The holistic perspective combined with a legislation, which to a great extent consist of framework laws, require that the authorities take responsibility for records management and registration of public documents. In other words, freedom with responsibility. A downside to this could be uncertainty as to whether you are doing the right thing, which in turn could explain the request for supervision.

When it comes to supervision and monitoring of e-registers the survey shows that a majority consider it a necessity, but they do not see the need to introduce a new supervisory authority. The National Archives, the Swedish Data Protection Authority and the Chancellor of Justice are the authorities considered best suited for the task of supervision. There is little interest for common EU regulations.

Forssell and Ivarsson Westerberg indicate the importance of clearly defined procedures and documentation when it comes to transferring knowledge in an organization. The survey shows that the organizations are well provided for when it comes to governing documents (procedures, policy, etc.) on case management. When it comes to memory, it is quite the opposite: several respondents do not know why the organization has decided to introduce an e-register. The reason they give is that at the time they did not work at the organization. This suggests there is a need for organizations to improve their knowledge transfer.

There also seems to be some confusion when it comes to the issue of what information can be found in the e-register. The options listed a number of common types of documents and the respondents were asked to answer yes or no to the question of whether such information could be found in the e-register. Several respondents answered that the information could not be found in the e-register, and commented that no such documents were available. That is, there was information, but no documents could be viewed. A simple analysis of this is that also a note stating that there is such a document could be sensitive. According to the checklist it is important to develop routines for online publication, in part because of the occurrence of personal data.

Even if the survey cannot be used as statistical basis, it could be argued that it suggests that there is a need for common definitions of, for example, e-register. The survey also shows there is interest among the organizations, which is an important part when it comes to working on a Swedish model for supervision of the e-registers – this extensive work will have to be take place in the organizations and by the organizations.

The results presented here could be used as basis for a more comprehensive work on a supervisory model. In such a context a more extensive literature review (literary warrant) could also include know-how from adjacent areas such as law, IT, administration etc.

...so what is an e-register?

According to the National Archives, cited in the introduction, an e-register is a digital archive. But if you take closer look at this definition, you will soon realize that it is not particularly clear. That the word e-register could mean a number of things depending on who you ask becomes evident when you look at the answers to Question 9 of the questionnaire, which can be found in Appendix 2. Of course, it is a shortcoming that the definition of the word has not reached the organizations to any extent, for example from the National Archives, or perhaps the word is of no importance and we will soon be able to forget it again. One of the respondents argued that the prefix “e” will soon be a memory, and what is “e” today will be as normal as the paper-based archive was yesterday. But we will still not know for sure what it is.

References

Ahlenius, Inga-Britt (2004). Myten om vår öppenhet. I *Handlingsoffentlighet utan handlingar?* Rapport från ett seminarium i Stockholm den 7 mars 2003, Skrifter utgivna av Riksarkivet nr 21, Kerstin Abukhanfusa (red.), 15–20. Stockholm: Riksarkivet

Almqvist, Roland, Catusus, Bino and Wällstedt, Niklas (2013). “New Public Management har skapat rädda organisationer”. Replik 2013-11-27, *DN Debatt*. <http://www.dn.se/debatt/new-public-management-har-skapat-radda-organisationer>, retrieved 2015-05-19.

Andersson, Josefina och Åkesson Anna (2012). *Den kommunala arkivfunktionen – en studie i demokrati*. Examensarbete, Lunds universitet.

Boverket (2014). Boverkets beskrivning av allmänna handlingar, databaser m.m. samt arkivbeskrivning. Dnr 412-504/2014, 2014-02-05.

Cox, Richard J. (1997). More than diplomatic: functional requirements for evidence in recordkeeping. *Records Management Journal*, Vol. 7, No. 1, pp. 31–57. <http://dx.doi.org/10.1108/eb027102>, retrieved 2015-04-14

Datainspektionen (2011). *E-förvaltning och personuppgiftslagen, Statliga myndigheters behandling av personuppgifter*. <http://www.datainspektionen.se/lagar-och-regler/personuppgiftslagen/e-forvaltning/statliga-myndigheters-behandling-av-personuppgifter/>, retrieved 2015-04-14

Datainspektionen (2012). *Checklista för kommuner och landsting, Webbpublicering av protokoll och diarier*. <http://www.datainspektionen.se/lagar-och-regler/personuppgiftslagen/e-forvaltning/webbpublicering-av-protokoll-och-diarier>, retrieved 2015-04-14

Datainspektionen. *Vägledning för kommuner: Personuppgifter och e-förvaltning*. <http://www.datainspektionen.se/Documents/vagledning-eforvaltning.pdf>, retrieved 2015-05-08

Duff, Wendy M. (1998). Harnessing the Power of Warrant. *The American Archivist*, Vol. 61, No. 1, pp. 88–105. <http://www.jstor.org/stable/40294076>, retrieved 2015-03-17

Ek, Emma (2012). De granskade. Om hur offentliga verksamheter görs granskningsbara. Diss., Göteborg: Förvaltningshögskolan

The eGovernment Delegation (2014a). *Termer och begrepp*. <http://edelegationen.se/Stod-och-verktyg/Termer-och-begrepp/>, retrieved 2015-05-04

The eGovernment Delegation (2014b). *Gör det möjligt att läsa och söka i diariet*. Riktlinje nr 44. <http://webbriktlinjer.se/r/44-gor-det-mojligt-att-lasa-och-soka-i-diariet/>, retrieved 2015-02-16.

Elsäkerhetsverket (2014). Beskrivning av Elsäkerhetsverkets register och databaser m.m. enligt 4 kap. 2 § offentlighets- och sekretesslagen. Dnr 14EV2741, 2014-08-22.

Elsäkerhetsverket (2013a). Policy för sociala medier. Dnr 13EV2467, 2013-09-23.

Elsäkerhetsverket (2013b). Riktlinjer för Elsäkerhetsverkets medverkan i sociala medier. Dnr 13EV2776, 2013-09-23.

Forssell, Anders och Ivarsson Westerberg, Anders (2014). *Administrationssamhället*. Lund: Studentlitteratur.

Funcke, Nils (2014). Offentlighetsprincipen är på väg att vittra sönder. *DN Debatt* 2014-03-10, <http://www.dn.se/debatt/offentlighetsprincipen-ar-pa-vag-att-vittra-sonder/>, retrieved 2015-05-19.

Geijer, Ulrika, Lenberg, Eva och Lövblad, Håkan (2013). *Arkivlagen: en kommentar*. 1 uppl. Stockholm: Norstedts juridik.

Gränström, Claes (2004). Arkivverksamhetens syften. I *Handlingsoffentlighet utan handlingar?* Rapport från ett seminarium i Stockholm den 7 mars 2003, Skrifter utgivna av Riksarkivet nr 21, Kerstin Abukhanfusa (ed.), 58–65. Stockholm: Riksarkivet.

Havs- och vattenmyndigheten (2013a). Havs- och vattenmyndighetens policy om registrering, expediering och bevarande av allmänna handlingar. Beslutad den 7 maj 2013.

Havs- och vattenmyndigheten (2013b). Rutin för hantering av allmänna handlingar. Beslutad den 7 maj 2013.

Havs- och vattenmyndigheten (2013c). Rutin för bevarande av elektroniska handlingar. Beslutad den 7 maj 2013.

Hartman, Jan (2004). Vetenskapligt tänkande. Från kunskapsteori till metodteori. 2 edition Lund: Studentlitteratur.

Iacovino, Livia. (2006). *Recordkeeping, Ethics and Law: Regulatory Models, Participant Relationships and Rights and Responsibilities in the Online World*. Dordrecht: Springer. <http://link.springer.com/book/10.1007%2F1-4020-4714-2>, retrieved 2015-04-15. [Digital resource]

Justitiekanslern (nd). *JK:s arbetsuppgifter*, <http://www.jk.se/sv-SE/Arbetsuppgifter.aspx>, retrieved 2015-06-04.

Justitieombudsmannen (2015). *Riksdagens myndighet*, senast uppdaterad 2015-03-17. <http://www.jo.se/sv/Om-JO/Riksdagens-myndighet/>, retrieved 2015-06-04.

Larsson, Eva (2012). Måste jag diarieföra det här? En handbok om regler och rutiner för ärenderegistrering. Stockholm: SKL Kommentus Media.

Matsson, Per (2011). E-förvaltning och informationshantering: att hantera, bevara eller gallra elektroniska handlingar. Stockholm: Sveriges kommuner och landsting, SKL

McKemmish, Sue (2001). Placing records continuum theory and practice. *Archival Science*, No 1, pp. 333–359

Nationalencyklopedin (nd) Ramlag, <http://www.ne.se/uppslags-verk/encyklopedi/lang/ramlag>, retrieved 2015-06-05

Nilsson, Maria (2012). Vem försvarar demokratin? En exempelsamling från en myndighet där e-posten och diarieföringen har granskats. Bachelor's thesis, Mid Sweden University

Pearce-Moses, Richard (2005). Literary warrant. *A Glossary of Archival and Records Terminology*. Society of American Archivists, SAA., [http://www2/archivists.org/glossary/terms/l/literary-warrant](http://www2.archivists.org/glossary/terms/l/literary-warrant), retrieved 2015-05-19

Picard, Alison Jane (2013). *Research methods in information*. 2 edition London: Facet Publishing

Reed, Barbara (2005). Reading the records continuum: Interpretations and explorations. *Archives and Manuscripts*, Vol. 33, No. 1, pp 19–43

Regeringskansliet (2014). *Den svenska förvaltningsmodellen – tre nivåer*. <http://www.regeringen.se/lattlast-information-om-regeringen-och-regeringskansliet/den-svenska-samhallsmodellen/den-svenska-forvaltningsmodellen---tre-nivaer/>, retrieved 2015-06-04.

Riksarkivet (2010). Rapport rörande enkätundersökning – myndigheters hantering av elektroniska handlingar. Dnr RA 20-2010/313

Riksarkivet (2011a). *Förstudie om e-arkiv och e-diarium. Rapport*. http://riksarkivet.se/Media/pdf-filer/Projekt/Forstudie_e-arkiv_e-diarium_Rapport.pdf, retrieved 2015-02-04.

Riksarkivet (2011b). *Förstudie om e-arkiv och e-diarium. Bilagor*. http://riksarkivet.se/Media/pdf-filer/Projekt/Forstudie_e-arkiv_e-diarium_Bilagor.pdf, retrieved 2015-02-04.

Riksarkivet (2013). *Ordlista*. Delprojekt 1 (DP1) inom e-arkiv och e-diarium (Begreppsdefinitioner). Version 1.1. https://riksarkivet.se/Media/pdf-filer/Projekt/eARD_Begreppslista_DP1_v2.xls, retrieved 2015-02-05.

Riksarkivet (2014). *Tillsyn och rådgivning*, senast uppdaterad 2014-09-23. <http://riksarkivet.se/tillsyn-och-radgivning>, retrieved 2015-06-04.

SFS 1949:105. *Tryckfrihetsförordning*. http://www.riksdagen.se/sv/Dokument-Lagar/Lagar/Svenskforfattningssamling/Tryckfrihetsforordning-19491_sfs-1949-105/, retrieved 2015-03-14.

SFS 1986:223. *Förvaltningslag*. http://www.riksdagen.se/sv/Dokument-Lagar/Lagar/Svenskforfattningssamling/_sfs-1986-223/ retrieved 2015-05-09.

SFS 1990:782. *Arkivlag*. http://www.riksdagen.se/sv/Dokument-Lagar/Lagar/Svenskforfattningssamling/Arkivlag-1990782_sfs-1990-782/, retrieved 2015-03-14.

SFS 1991:446. *Arkivförordning*. http://www.riksdagen.se/sv/Dokument-Lagar/Lagar/Svenskforfattningssamling/Arkivforordning-1991446_sfs-1991-446, retrieved 2015-05-08.

SFS 1994:1383. *Lag om överlämnande av allmänna handlingar till andra organ än myndigheter för förvaring*. http://www.riksdagen.se/sv/Dokument-Lagar/Lagar/Svenskforfattningssamling/sfs_sfs-1994-1383/, retrieved 2015-05-19.

SFS 1998:204. *Personuppgiftslag*. http://www.riksdagen.se/sv/Dokument-Lagar/Lagar/Svenskforfattningssamling/Personuppgiftslag-1998204_sfs-1998-204/, retrieved 2015-05-09.

SFS 2001:453. *Socialtjänstlag*. http://www.riksdagen.se/sv/Dokument-Lagar/Lagar/Svenskforfattningssamling/Socialtjanstlag-2001453_sfs-2001-453/, retrieved 2015-05-19.

SFS 2009:400. *Offentlighets- och sekretesslag*. http://www.riksdagen.se/sv/Dokument-Lagar/Lagar/Svenskforfattningssamling/Offentlighets-och-sekretessla_sfs-2009-400/, retrieved 2015-05-09.

SOU 2011:27. *Så enkelt som möjligt för så många som möjligt. En bit på väg*. Betänkande av E-delegationen. Stockholm: Fritzes.

Statskontoret (2003). *Diarier på Internet. Vägledning för myndigheter*. Rapport 2003:1.

Statskontoret (2012). *Tänk till om tillsynen*. Om utformning av statlig tillsyn.

Sundqvist, Anneli (2009). *Search processes, user behaviour and archival representational systems*. Dissertation, Mid Sweden University.

Trost, Jan (2012). *Enkätboken*. 4th edition. Lund: Studentlitteratur.

Tough, Alistair (2011). Accountability, open government and record keeping: time to think again? *Records Management Journal*, Vol. 21, No. 3, pp 225–236.

Upward, Frank (2005). The records continuum. I Sue McKemmish, Michael Piggott, Barbara Reed och Frank Upward (red.). *Archives: Recordkeeping in Society*, 197–222. Wagga Wagga, NSW: Centre for Information Studies, Charles Sturt University

Appendix 1: Survey – selection, accompanying letter, reminder and questionnaire

Selection of authorities, county councils, regions and municipalities

The Mining Inspectorate of Sweden	The County Administrative Board of Skåne	Norrbottn County Council
The National Board of Housing, Building and Planning	The County Administrative Board of Stockholm	Region Gotland
The Swedish National Electrical Safety Board	The County Administrative Board of Södermanland	Region Halland
The Swedish Energy Markets Inspectorate	The County Administrative Board of Västerbotten	Region Jönköping County
The Swedish Energy Agency	The County Administrative Board of Västernorrland	Region Kronoberg
The Swedish Financial Supervisory Authority	The County Administrative Board of Västmanland	Västerbotten County Council
The Swedish Agency for Marine and Water Management	The County Administrative Board of Västra Götaland	Ale municipality
The Swedish Board of Agriculture	The County Administrative Board of Örebro	Arvika municipality
The Swedish Competition Authority	The County Administrative Board of Östergötland	Borås municipality
The Swedish Consumer Agency	The Swedish Broadcasting Authority	Eskilstuna municipality
The National Land Survey of Sweden	The Swedish Pensions Agency	Falkenberg municipality
The Swedish Gambling Authority	The Swedish Post and Telecom Authority	Halmstad municipality
The County Administrative Board of Blekinge	The Sami Parliament of Sweden	Helsingborg municipality
The County Administrative Board of Dalarna	The Swedish Schools Inspectorate	Huddinge municipality
The County Administrative Board of Gotland	The Swedish National Board of Institutional Care	Kalix municipality
County Administrative Board of Gävleborg	The Swedish Agency for Public Management	Linköping municipality
The County Administrative Board of Halland	The Swedish Radiation Safety Authority	Lund municipality
The County Administrative Board of Jämtland	The Swedish Customs	Luleå municipality
The County Administrative Board of Jönköping	Kalmar County Council	Säffle municipality
The County Administrative Board of Kalmar	Uppsala County Council	Uppsala municipality
The County Administrative Board of Kronoberg	Kronoberg County Council	
The County Administrative Board of Norrbotten	Västernorrland County Council	

Accompanying letter

Hello,

My name is Monica Fällgren and I'm currently enrolled in the Master programme in Archives and Information science at Mid Sweden University in Härnösand. I'm about to start writing my thesis; my topic is "Supervision and auditing of e-register in public administration: a Swedish model for monitoring and control?"

The aim of the study is to find out if there is a need for, and whether it is possible, to develop a Swedish model for supervision and auditing. Hopefully, this thesis will be able to contribute information that can be used in the InterPARES Trust project's comparative study "Models for monitoring and auditing of compliance in the flow from registration to archive in e-register".

The objective of the study is to gather as much data facts as possible, which is why I have decided to send this questionnaire to public administrations (governmental authorities, county councils, regions, municipalities). In addition to the questionnaire, a number of in-depth interviews will be conducted.

Responding to the survey will take approximately 10 minutes. The tool used is provided by Netigate <http://www.netigate.net/sv/om-foretaget/>.

The questionnaire will be used to get an overview of the situation, rather than describe the circumstances of any single organization. Responses provided will be anonymous in the presentation of the results.

Supervisor is Professor Karen Anderson at Mid Sweden University, email: karen.anderson@miun.se.

If you have any questions about the questionnaire or the thesis, feel free to contact me: Monica Fällgren, phone: ***-*** ** **, email: mofa1200@student.miun.se.

Thank you in advance for your participation!

Reminder

Hello!

My name is Monica Fällgren and a while ago I sent you an email asking you to respond to a questionnaire, which is a part of my study for my Master's thesis in archives and information science.

The objective of the study is to find out if there is a need for, and whether it is possible, to develop a Swedish model for supervision and auditing. In an attempt to gather as many facts as possible I've decided to send out a questionnaire. The intention is not to describe the circumstances of any single organization; responses provided will be anonymous in the presentation of the results.

Responding to the questionnaire will take approximately 10 minutes, and I would greatly appreciate your participation. I need your responses by 10 April 2015.

If you have any questions at all, feel free to contact me: Monica Fällgren, phone: ***-*** ** **, email: mofa1200@student.miun.se.

Supervisor is Professor Karen Anderson at Mid Sweden University. You can reach her by email: karen.anderson@miun.se.

The below link will take you to the questionnaire:

[[LINK]]

Thank you in advance!

Sincerely,
Monica

Questionnaire

1. What is your job/title? Enter job/title:

2. How many people are employed by your organization? Enter number:

3. Who has the formal responsibility for the registration of public documents in your organization?

Select one option.

- No one has the formal responsibility
- Registrar
- Archivist
- Administrators who carry out registration
- Other, please specify: _____

Comments:

4. In what form and through which channels are public documents processed in your organization?

You may select more than one option.

- Letters/mail addressed to the organization
- Mail addressed to an individual
- Emails sent to the organization mailbox
- Emails to individual employees
- Texts
- Social media, such as Facebook or Twitter
- Electronic forms from the organization e-services
- Fax messages
- Other: _____

Comments:

5. Which of the following policy documents on records management can be found in your organization? You may select more than one option.

- Archives description
- Archives manual
- Records management plan
- Weeding decisions
- IT policy incl. email
- Classification structure
- Social media policy
- Process descriptions
- Risk analysis
- Risk management policy
- Security classification of information
- Other, please specify: _____

Comments:

6. Does your organization have any regulations on the procedures to be followed when registering documents? Select one option.

- No, we all do it our own way.
- Yes, the registrar has emailed some advice on e.g. the formula of notice.
- Yes, there are clear routines and guidelines.

If you have answered yes to the above, what rules and guidelines are there?

Comments:

7. Are there public documents in your organization that are not registered?

Select one option.

- Yes
- No
- Don't know
- If yes, what type/s? _____

Comments:

8. Is there electronic information that is not registered in your organization?

Select one option.

- Yes
- No
- Don't know
- If yes, what type/s? _____

Comments:

9. How would you explain the term "e-register"? My explanation:

10. Do you know of any officially accepted definitions of the concept e-register? If yes, which?

Officially accepted refers to a definition found in legislation, standards etc.

Select one option.

- Yes
- No

The definition/s I know of:

11. Does your organization have a publicly accessible electronic register online?

Select one option.

- Yes
- No

Comments:

12. Who took the initiative to the online publicly accessible electronic register? You may select more than one option.

- Management
- Archivist
- Registrar
- IT department
- Other: _____

Comments:

13. For how long has your organization had an online publicly accessible electronic register? Year of introduction:

14. What were the organization's reasons for choosing to publish the e-register online?

Rate the reasons. Please specify other reasons under Comments.

	Not important	Not particularly important	Important	Very important
Our electronic records management software has such a function	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Operational transparency is important	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
The organization would increase efficiency if the public could to search the register directly on their own	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
So that the public would have better access to public documents	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Comments:

15. What information is included in your online publicly accessible electronic register?

You may add to the list under Comments:

	Yes	No	Don't know
Minutes	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Decisions	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Complete mailing lists	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Governing documents	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Agreements & contracts	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Documents on exercise of public authority, such as permits, licences	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Internal communication, such as policy papers	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
External communication to authorities, businesses, private citizens	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Incoming communication from authorities, businesses, private citizens	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Project and research documents	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Comments:

16. Who in your organization decides what information may and may not be published in the online publicly accessible electronic register?

Appointed responsible person/s:

17. What is your assessment of the need for supervision of e-register in Swedish public administration?

Tick a box on the scale below.

- Non-existent
- 2
- 3
- 4
- 5
- 6
- 7
- 8
- 9
- Great

18. What is your assessment of the need for common EU-regulations for supervision of e-registers? Tick a box on the scale below.

- Non-existent
- 2
- 3
- 4
- 5
- 6
- 7
- 8
- 9
- Great

19. Who would be best suited to carry out supervision of e-registers in Swedish public administration?

You may select more than one option.

Rate the options.

	Unsuitable	Less suitable	Quite suitable	Very suitable
The Swedish Data Protection Authority	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
The Office of the Chancellor of Justice	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
The Parliamentary Ombudsmen	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
The National Archives	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
The Swedish National Audit Office	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
A new supervisory authority	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Comments:

20. Do you think that there should be a general coordination of the registration of information and cases in Swedish public administration?

Rate the options.

	Not important	Quite important	Important
No, the authorities are independent and it should be their decision.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
No, no general management is needed. Current legislation covers the needs for supervision and control.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Yes, it has to become easier to search for public documents.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Yes, from a preservation point of view it would be preferable if everyone did it the same way.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Yes, the National Archives' FGSs (specifications for government agencies) is the right way.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Comments:

21. Is your organization covered by the Archives Act?

Select one option.

- Yes
- No
- Don't know

22. Has the National Archives carried out any supervision/inspection of your organization since the online publicly accessible e-register was introduced?

Select one option.

- Yes
- No
- Don't know
- We don't have such a register

Comments:

23. Did the National Archives have any comments on the registration?

Select one option.

- Yes
- No
- Don't know

Comments:

24. Has records management in your organization been subject to any other supervision/inspection?

- Yes
- No
- Don't know

If yes, please specify.

25. Were there any comments on your organization's records management?

Select one option.

- Yes
- No

If yes, please specify.

Thanks for taking the time to complete the survey! If you have any comments or questions, please feel free to contact me.

Sincerely,
Monica Fällgren

Phone: 070-*** ** **

Email: mofa1200@student.miun.se

Appendix 2: Responses to question 9 (free text):

“Digital register for management of administrative cases, including digital documents connected to the case.”

“Digital compilation of metadata connected to public documents in our document and case management system, which corresponds to the requirements of the Publicity and Secrecy Act, Chapter 5 section 2.”

“Electronic system for case management and registration. Mainly internally within the authority, but should as far as possible, with respect to privacy, be available externally, e.g. on a website.”

“Electronic registration and electronic filing.”

“A new concept. But would consider it as all documents being available digitally in the e-register, similarly to an e-archive.”

“An electronic register, a register allowing extensive management of digital information.”

“In a compilation of registered documents at the authority which can be read using electronic devices. An excellent example is [xxx] web register, as opposed to the authority IT system for registration.

“Electronic register including available documents.”

“Our register which is not paper-based but electronic. There is no paper-based register anymore. All cases and documents can be found in the system Platina.”

“Maybe all registration that nowadays takes place on computers as opposed to old paper-based registers.”

“An electronic register system (which often doubles as a case management system)”

“An electronic register system made for (among other things) registration of public documents.”

“A digital system for registration of public documents. Could be for registration only, or as a part of a case management system.”

“Registration (system) in electronic format.”

“I would say that it is a register where information is stored digitally.”

“Computerized register.”

“That the content of the register is available and searchable on our website.”

“An electronic register system.”

“Computer-based collection of records.”

“IT system where public documents are registered.”

“A register for electronic documents.”

“An electronic register, as opposed to an analogue register.”

“As I see it, on the one hand, you have a case management system that is completely electronic, including e-services and scanning, preferably papers should be obsolete. On the other hand, the authority has a web register where at least an overview of the cases and documents can be found and where it is possible to access the document.”

“An electronic register.”

“A search engine for the public where the register can be accessed 24 hours a day.”

“A register including electronic documents connected to the register entries.”

“Electronic register. A very temporary e, which today only indicates that we are living in two worlds – the analogue and the digital. This also goes for the title e-archivist. As time passes, the need to indicate the digital will cease.”

“An electronic register, as opposed to manual. A register is a list of incoming, outgoing and drawn up documents.”

“A case management system where documents are available as well. The information in the system is in such format that long-term preservation has been ensured.”

“The public can search the authority register directly, which is published online.”

“IT-based register, which, among other things, is externally available.”

“Digital register, searchable through a website.”

“Cases are registered and information including documents are stored digitally. The documents could be submitted in different ways and found in the register.”

“A presentation interface to present public documents online (Online register).”

“Publication is a service to the public and media, making case management transparent, for open as well as closed cases, but who will not be able to access the documents.”

“Electronic and physical documents are registered in an e-register, published online.”

“A mirroring of the register online.”

“Parts of our case management system is published online.”

“The term is now used to mean three things: (a) Electronic register of registered documents. (2) The part of a register, which, according to 1 above, is published on the external website (cf. the Swedish Agency for Public Management’s report ‘Diarier på internet’ (Online registers) from early 2000 (web register) and (3) E-register as defined by the eARD project and its prestudy (and at the Swedish Ministry of Enterprise, Energy and Communications’ e-government unit), i.e. an integrated IT solution for case and records management, where registration according to the Public Access to Information and Secrecy Act could be a part of the solution, but doesn’t necessarily have to be.”

“Our e-register is a mirroring of some parts of our register, which can be viewed on our website.”

“An electronic register. Could go as far as saying that the documents are available electronically in the register, but it’s almost as a support for processing, and not just a register.”

“An electronic register.”

“The National Archives/eGovernment Delegation use it. It probably means electronic records and case management.”

“The register in the W3D3 system.”

“Electronic register also available on an external website. Includes case metadata as well as documents and connected electronic documents when possible (Personal Data Act).”

“A register kept like a journal but which is digital, incoming and outgoing, but digital.”

“A solution that is not only registration of documents but which also includes case management, such as processes and records management.”

“The register is digital, not paper-based.”

“Registration of electronic information in a case management system that could be integrated with other business systems.”

“Electronic register, could include records management.”

“Information about documents is registered in a database and published and made searchable online.”

“A register which is electronic and included in for example a case management system.”

“A platform developed electronically used to facilitate registration and filing in a future (hopefully) paperless society.”

“An electronic register, not analogue.”

“Digital registration.”

“My first thought is an online register, a web application of a registration system only showing selected files online.”

“Registration carried out in a database and the public can search cases in our online register.”