



NATIONAL ARCHIVES
OF ICELAND



RECORD MANAGEMENT OF THE STATE 2016

Results from NAI surveillance survey,
comparison and follow-up

SURVEILLANCE SURVEY. WHY?

- NAIS inspection role
- Easy way to obtain data about records management from agencies
- Data used to better surveillance and reinforce cooperation with the agencies
- Questionnaire: 69 questions, 8 chapters



QUESTIONNAIRE: 69 QUESTIONS, 8 CHAPTERS

- Information regarding agencies
- Record schedule
- Case files
- IT systems
- Appraisal and retention
- Delivery of paper archives to NAIS
- Rules and directions
- About the survey



IMPLEMENTATION / PARTICIPATION / ANSWERS

- Questionnaire sent to 200 agencies
- 160 agencies replied
- 80% response rate
- Good response rate but every agency should answer the questionnaire



Ministry	Fjöldi spurðra	Fjöldi svara	Svarhlutfall
Parliament	1	1	100%
Ministry of fisheries	14	12	86%
Ministry of finances	14	11	79%
Prime ministry	5	4	80%
Ministry of interior	42	34	81%
Ministry of education and culture	52	44	85%
Umhverfis- og auðlindaráðuneyti	15	11	73%
Ministry for foreign affairs	2	1	50%
Ministry of welfare	28	21	75%
Government owned companies	27	21	78%
Alls	200	160	80%



Type of agency	Asked	Number of answers	Answer rate
Courts	9	8	89%
Surveillance agencies	27	23	85%
Schools	28	23	82%
Government owned companies	27	21	78%
Healthcare agencies	10	6	60%
Sheriffs	9	8	89%
Police	10	10	100%
Cultural agencies	12	9	75%
Ministries	8	8	100%
Universities	4	4	100%
Other agencies	56	40	71%
All	200	160	80%



MAIN RESULTS 1/2

- Records management in government agencies is getting better
- Too many agencies do not comply rules and instructions from NAIS
- Agencies do not have overview regarding records management
- Case registration and usage of filing plans is lacking
- Emails regarding agency cases are not fully archived
- A group of government agencies need a push in the right direction regarding records management
- Illegal destruction of records is still going on
- Notifications regarding electronic information systems is lacking and archive versions do not arrive on the right time
- NAIS should be notified about outdated electronic information systems



MAIN RESULTS 2/2

- Agency record storages are rarely approved
- 70 km of paper records are going to be delivered to NAIS in the next 30 years
- It is recommended that agencies have a special employee that oversees the archives
- Agencies that didn't answer the survey



RESULTS FOR UNIQUE QUESTIONS

1/4

- Too many agencies used the “I don’t know” option in answering a question
- “I don’t know” was chosen 249 times
- 181 times by agencies without a special employee supervising the archives
- 68 times by agencies with a special employee supervising the archives

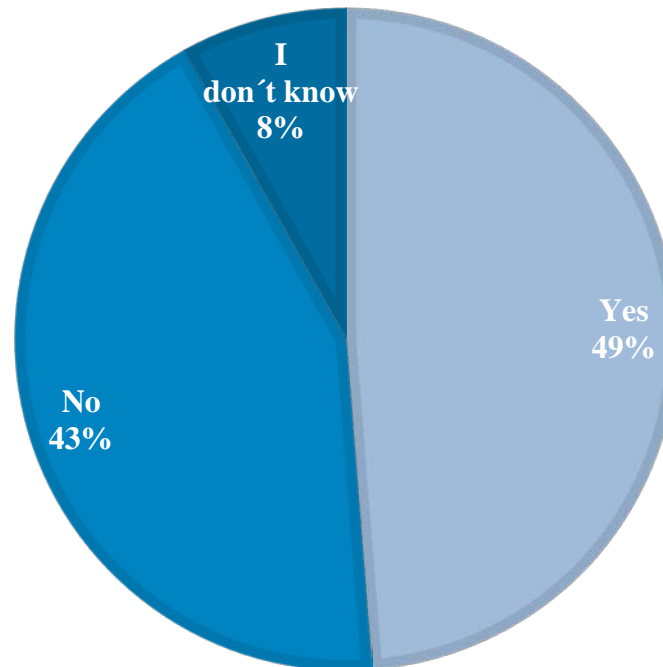


RESULTS FOR UNIQUE QUESTIONS

2/4

ARE EMAILS ARCHIVED IN THE CASE FILE?

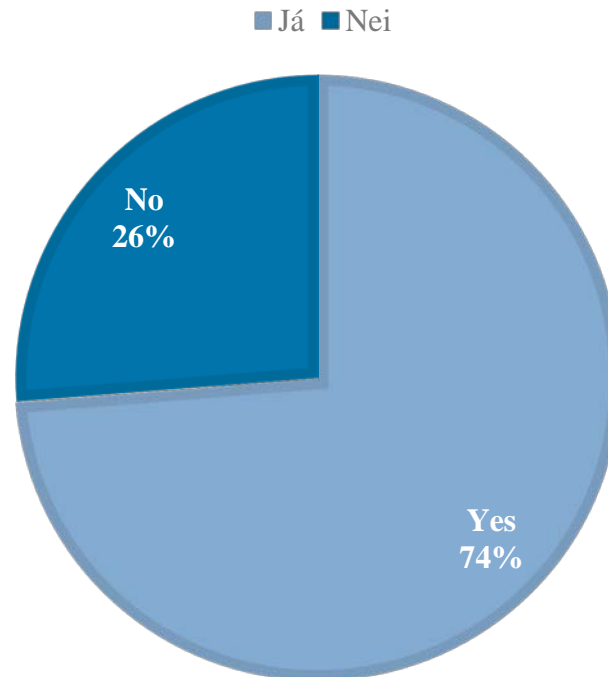
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RESULTS FOR UNIQUE QUESTIONS

4/4

DOES THE AGENCY REGISTER INFORMATION
REGARDING CASES?



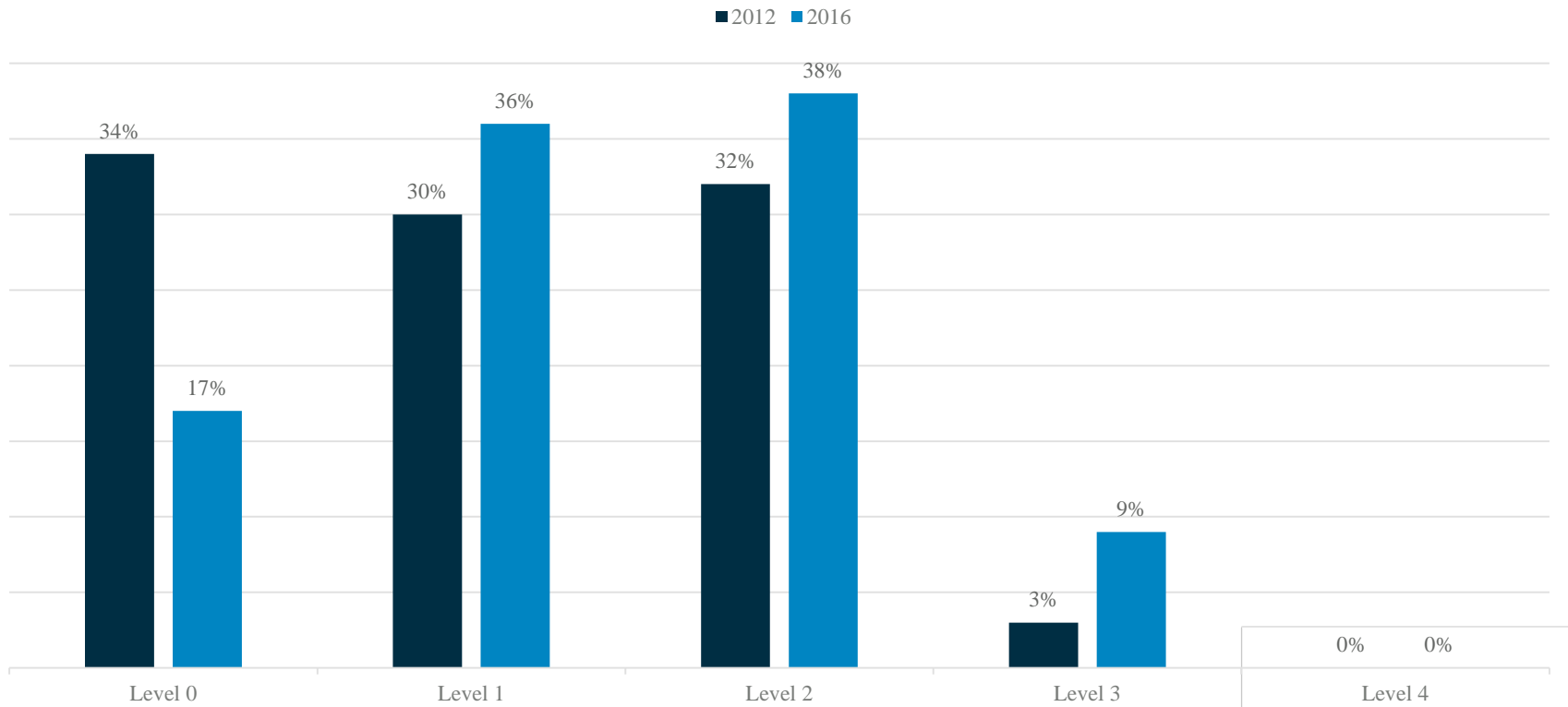
FIVE MATURITY LEVELS

- Level 0 – No conscious record management. 0-4 points.
 - No record management at all.
- Level 1 – Unsatisfying record management. 5-9 points.
 - More awareness of record management, proper methods are practiced to some extent.
- Level 2 – Traditional record management. 10-14 points.
 - More communications with NAI. Rules and handbooks are followed and the agency has started taking first steps to be able to transform from paper based record management.
- Level 3 – Professional record management. 15-19 points.
 - The agency has transformed into partly approved electronic record management. Some approvals still needed.
- Level 4 – Exemplary record management. 20-25 points.
 - All approvals are in order, the agency follows an approved record schedule.



COMPARISON

Comparison between 2012 and 2016 surveys



NEXT STEPS

- Maturity level – 0: Contact agencies and offer assistance
- Contact agencies that are possibly breaking the law
- Better our service in accordance with the data provided by the survey

