

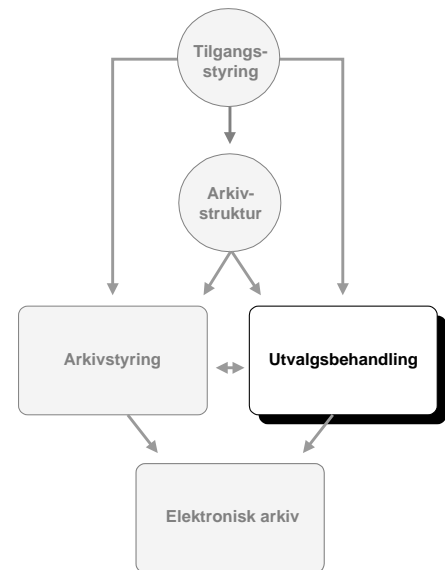
## 9. MODULE FOR BOARD HANDLING

### 9.1 Purpose of module

The module for board handling is meant to cover a number of functions associated with processing carried out by collegiate bodies such as boards, councils, committees, etc., hereafter referred to as boards for short. This module is primarily adapted to politically appointed boards within local and regional government, but the solution may also be used by state organizations where the authority to make decisions rests with the collegiate bodies, for instance within higher education or the church.

The following essential functions are covered:

- registering and controlling the work flow of cases for processing in one or more political bodies
- keeping track of what cases have been sufficiently elucidated by the administration
- assisting the secretary or chair(wo)man of the board in preparing a case plan for an individual meeting
- producing case documents to be sent to the politically appointed members of the board
- registering those who attend a meeting
- producing minutes which show what recommendations/decisions are issued at the meeting
- producing recommendations for higher-level political bodies or reports on decisions



**Figure 9-1: Position of board-handling module in Noark**

### 9.2 Module design

#### 9.2.1 Procedures relating to municipal work flow

Cases and documents relating to local government are discussed in the introduction and at the end in a manner similar to that of the state administration, cfr. the process management of chapter 6. However, there are often considerable differences in the work flows, and in addition to administrative processing, political handling by various boards plays a part in many cases. The political handling follows a particular decision-making process, which is to be handled by the board-handling module of Noark-4.

Cases which are subject to political handling, are called *political cases*. This is the main type of cases in municipal board handling. However, there are also other types of cases which are handled by municipal boards - *delegated cases*, *reported cases* and *enquiries*.

##### 9.2.1.1 Political cases

Political cases have *case type PS* ("politisk sak") in Noark, and the board-handling module is primarily adapted to handling such cases. The module design is based on the following procedures for case and document handling:

- Documents are submitted or presented to the administration of the district or city council, which carries out the registration. The head distributes documents, which initiate the processing. If a case is to be handled politically, the executive officers issues a case draft. The draft contains an elucidating part which covers the background, facts, considerations, etc., concerning the case, as well as a conclusion. In cases where the chief municipal executive has the authority or duty to issue recommendations, a proposal for decision should be presented. The case draft is registered in the recordkeeping system as a registry entry having a particular document type.
- An individual meeting is associated with a summons and documents for processing. The summons to the meeting includes the time and place of the meeting and a list of cases which shows what cases are to be processed. The documents for processing are case drafts and recommendations concerning individual cases on the list, as well as any appendices.
- During the meeting, the secretary of the board registers the attendants as well as any absentees and the names of alternates. Information such as time, location, attendance, etc., is recorded, as well as information on the processing of individual cases (minutes). The minutes for all cases processed, as well as any other recorded information, will constitute the minutes of the individual board meeting. It should therefore be possible to store the minutes electronically as a compound document. Furthermore, the minutes should, in accordance with the Act on Municipalities, be printed on paper as one complete document and signed.
- Case minutes are separate documents which document the processing of a case in a meeting. It should be possible to file case minutes electronically, so that they are available from the board-handling module, but case minutes normally also function as a recommendation for a higher-level body or as a final decision in the case. For that reason, it should be possible to register them as separate entries in the recordkeeping system.
- After being dealt with by one board, the case may be forwarded to another. The last board in the decision-making process makes the final decision. In view of this, the concerned parties and other interested parties are informed about the outcome of the processing.

It should be possible to use the board-handling module for both traditional and completed processing (case handling). For traditional processing, the administration will prepare a new case draft for each board processing the case. Thus, the system must keep track of what case draft forms the basis of the processing in each board. When the processing is completed, the case minutes from one board, possibly supplemented by an introduction or similar, will function as a recommendation for the next board in the decision-making process. The case draft of the administration should, however, be presented in unaltered form to all political boards which deal with the case.

#### **9.2.1.2 Delegated cases**

A delegated case (*case type DS, "delegert sak"*) means a case where a sub-committee, the Chair(wo)man of the Municipal Council or the chief municipal executive is given authority to evaluate an enquiry, etc., and make decisions. According to general delegation rules, the chief municipal executive may delegate the authority to make decisions within the administration.

When a board delegates authority, there usually apply specific rules as to how to provide information on decisions made. This is normally done by presenting one or more documents which contain the decision, as well as any information and justifications, to the board for information. The decisions are reported in the minutes.

A delegated case in Noark will thus be a case where one or more of the documents are to be presented to one or more boards.

#### **9.2.1.3 Reported cases**

Reported cases (*case type RS, "referatsak(er)"*) are documents which are presented to a board for information. The documents may relate to a case in the records, but not necessarily. Examples of reported cases are external invitations to conferences, a notification that an opinion from the Municipal Council or County Council is enclosed with the minutes of the Storting, etc.

Information as to what reported cases have been presented, is normally given in the minutes.

### 9.2.1.4 Enquiries

Enquiries (also referred to as questions or interpellations) from a board member may be presented in writing before the meeting, which makes it possible for them to be registered as separate cases having *case type FO* ("forespørsler").

Enquiries may also be presented orally at the meeting. In such a case, they may be entered into the records from the case minutes.

## 9.2.2 Data model and general functional requirements

The module includes tables for registering information on individual boards and their activities. The tables *Board*, *Board member*, *Board meeting* and *Attendance at board meeting* should keep track of the functions of a board, its term of office, composition and meetings, the members' attendance at individual meetings, etc. In addition, the table *Meeting document* keeps track of documents associated with individual meetings, such as case plans and minutes, and provide for references to any electronic versions of these documents in the electronic records (via the table *Document description* in the module for electronic recordkeeping).

Another set of tables - *Political work flow*, *Board case* and *Processing of board case* - are to keep track of and control the processing of individual cases through various boards, including the political decision-making process or work flow. In *Political work flow* is registered general information on the work flow. In *Board case*, the case is associated with the processing in the various boards, and in *Processing of board case*, the processing by the individual boards is described - in advance as a processing plan and afterwards as processing history. The table *Processing/document* provides a connection between information on the processing of a case in an individual board meeting and the documents which are associated with the processing, such as drafts and minutes. It thus contains references to the relevant registry entries in the records management module as well as to the document descriptions in the electronic records.

A slightly simplified data model is presented in the following figure. White boxes refer to tables in the board-handling module, while the gray ones are tables from other modules. They have been included to show the connection between the board-handling module and the modules for records management and electronic recordkeeping.

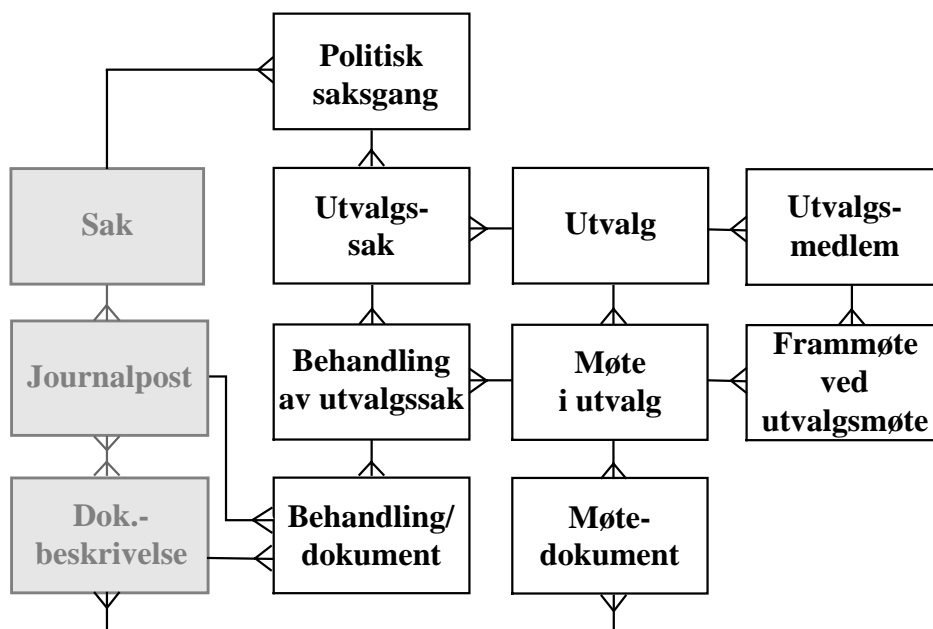


Figure 9-2: Simplified data model for board-handling module (for a complete data model, see sub-chapter 14.6)

As can be seen from the description and data model above, it is assumed that there is a close interaction between the board-handling module and the other modules of the system.

K9.1	The board-handling module should be closely integrated with the other modules. It should be possible to transfer information to/from the board-handling module in a simple and efficient way, and all information in the system should be easily available to the user, irrespective of what part of the system he or she enters. Availability should be restricted only according to the principles which apply to user management and access control, as discussed in chapter 8.	U
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The data model and functional requirements for the board-handling module have been designed with a view to incorporating the political work flow into a Noark system which stands on its own feet. If Noark is integrated with or into a general case handling system according to the specifications of SGK (see chapter 6), it will probably be appropriate to implement the political work flow as part of the general work flow functions of the system. This could change the exact design of the solution compared to the basis for this chapter. Among other things, some of the functions might be performed from the case handling system instead of Noark. However, the functional requirements as formulated here still apply (see K9.11 - K9.27 in particular).

The functionality of the board-handling module is based on all parties working against the same Noark system and Noark base. If several Noark systems are used, for instance within a local (municipal) administration, additional functions are required in order to provide the same options. Such functions are not described in Noark-4.

### 9.2.3 The concept of case - (record) case and board case

The concept of case in Noark is described above in paragraph 4.2.1. In the context of a municipal administration, the concept may appear ambiguous because its usage within board handling differs from the recordkeeping usage. A board processes (or deals with) one or more cases in a meeting, case plans or case lists are prepared, the cases have separate case numbers assigned to them (which are different from the case numbers provided by the registry, cfr. chapter 4), case minutes are issued, etc. There is thus a need to define the concept of case as used in different contexts.

In a logical sense, i.e., as an abstract concept, a case in board handling is the same as a case in a recordkeeping context - an issue for processing. For instance, a construction case concerns the processing of an application for a building license, and the construction case is one and the same case whether it is being processed by the administration or appears in the case plan of a technical committee or the Municipal Executive Board. Different boards may handle different aspects of a case, but this could also apply to the processing by the administration and does not make a difference to the case as such.

In a concrete and technical sense, however, the concept of case may be more ambiguous. In the records, as defined in Noark, a case consists of case information as well as any registered documents associated with it. In a board-handling context, a case is an entry in the case plan of a meeting, including associated documents. The documents will partly be identical, but in general there will be documents associated with the case in the records which are not included in the board handling, and sometimes vice versa. Furthermore, it is quite common that not all boards use exactly the same documents for the processing of an individual case. Even more important is the fact that numbering systems provide different identification numbers for a case in the records and in various boards.

The following uses the concept of *case* where it is common to records management and board handling, and otherwise where it is sufficiently clear whether it refers to a case in the records (registered in the records management module, cfr. chapter 4) or a board case. When it is necessary to specify beyond this, the concept of record case (sometimes written (*record*) *case*) is used about a case in the records and the concept of *board case* about a case for processing by an individual board. Note that *Board case* is a table in the board-handling module (in the same way as *Case* in the records management module), and that a (record) case may include one or more work flows, which again may consist of one or more board cases, i.e., one board case for each board where the case is to be processed.

### 9.2.4 Registering boards, meeting agendas, attendance, etc.

In order to control and keep track of the political handling of the cases, it is necessary to register the boards in operation and their meetings. It is also necessary to keep track of the board members and their alternates, as well as who attends meeting.

It is assumed that the system maintains the following functions:

K9.2	It should be possible to register one or more boards, including information on their names, their administrative functions and terms of office as well as the numbering principle for the board meetings.	U
K9.3	It should be possible to register members of individual boards, including information on their function in the board (chair(wo)man, member, alternate member, etc.) and term of office. It should also be possible to register one or more persons who function as secretaries to the board (see also chapter 8 on the rights and restrictions of the role as board secretary).	U
K9.4	If a member changes his/her function or is not a member of the board for a period of time, it should be possible to register a new entry for him/her in the member table.	U
K9.5	It should not be possible to associate new members or new cases with a board that no longer exists.	U
K9.6	A member who has retired from a board, should be treated by the system as a non-member of the board.	U
K9.7	It should be possible to print a report which shows what boards exist within a given period of time, their members, broken down into regular members and alternate member as well as chair(wo)man and secretary. It should be possible to print the report to a file for further processing using a word processor.	U
K9.8	For an individual board, it should be possible to register one or more meetings, including information on date, deadline for case documents and whether it is a closed meeting, as well as any statutory authority for this. It should be possible to register meetings collectively as part of an agenda, or separately in connection with the remaining board handling.	U
K9.9	In connection with an individual meeting, it should be possible to register information on which members have attended or announced their absence, and which alternates have attended in their place. It should also be possible to register other persons who have attended a meeting, e.g. from the administration.	U
K9.10	There should be a function for copying all regular board members to the table for attendance.	U

The information specified in the table of requirements is the minimum which the system should allow to be registered. Normally, it will be appropriate to register more information than this. Examples of such information are given in the list of attributes to the tables in sub-chapter 14.6.

One should also consider integrating the board and meeting registration with systems or functions for managing assembly rooms, meeting allowance, etc. Such functions are not specified in Noark-4.

### 9.2.5 Political work flow in individual cases: processing plan, decision-making process and history

The political handling of a case which has been entered into the records, may include one or more processing sequences. Each such sequence is called a *political work flow* in Noark-4. A political work flow is defined and initiated by setting up a processing plan which indicates what boards are to process the case, and in what order. Normally, it will be possible to set up the entire processing plan for a work flow at once, but it should also be possible to modify the plan, e.g., change the order, add more boards, etc.

It is normally the case-responsible for the (record) case or his/her manager who defines a work flow by setting up a processing plan, cfr. chapter 8 on roles and rights.

In order to start a decision-making process, a case draft must be prepared and registered (entered into records), and a reference to the concerned registry entry must be registered in the board-handling module.

Any other documents, such as appendices to the case draft, must also be prepared and registered. See otherwise 9.2.7 on document handling in the board-handling module.

The processing plan, including any adjustments made on the way, provides control information for the work-flow process, such as the sequence of processing and the time when the case may be ready for processing by various boards, etc. As the processing is completed in the individual boards, information concerning that board is "frozen", and the processing plan is thus gradually transformed into a processing history. When the last board has processed the case, the history for the entire work flow should remain unchangeable.

The same (record) case may, however, be subject to one or more new work flows. A new processing plan is set up, and a new processing history is established for each work flow.

For the registration of a processing plan and history for an individual work flow, the tables *Political work flow*, *Board case* and *Processing of board case* are used. The following functional requirements apply:

K9.11	It should be possible to subject a (record) case to board handling in one or more work flows. A work flow consist of processing by one or more boards. A work flow is defined and initiated by registering a processing plan which specifies what boards the case is to pass through, and the system should then create a <i>board case</i> for each of these boards. It should be possible to register the entire processing plan in one operation, and to view the plan in one screen panel.	U
K9.12	If the processing plan includes several boards, specifying the order of processing should be obligatory. This should prevent the case from being processed by a board before it has been processed by those further up on the list.	U
K9.13	It should be possible to use standardized processing plans (work-flow templates) for various types of cases and work flows in the board-handling module.	U1
K9.14	It should be possible to assign the same number in the order of processing to several boards. This should make it possible for these boards to process the case independently of each other (in parallel).	U1
K9.15	It should be possible to register suggestions as to the date for handling by individual boards in the original processing plan or at a later stage. It should be possible to retrieve the meeting date from the meeting agenda of the board, and it should not be possible to register dates which are not in the agenda.	U
K9.16	It should be possible to modify the processing plan at any moment, or to add information for the boards which have not already dealt with the case (i.e., not been added to the case plan). It should also be possible to register additional boards in the processing plan, several processings by the same board, etc.	U
K9.17	It should be possible to register as common information for the work flow (cfr. the table <i>Political work flow</i> ) the fact that the case should be dealt with behind closed doors. In such a case, it should be obligatory to indicate the statutory authority for processing behind closed doors. This information will apply to the processing of the case in all boards (all board cases), but may be modified by the board secretary for the processing in individual boards (i.e., for an individual board case) until the case has been entered into records. See also paragraph 9.3.2.2 on the freedom of access to meetings.	U
K9.18	It should be possible to register the case type common information for the work flow. Permissible values are those specified in the table <i>Board case type</i> . The case type is inherited by individual board cases, but it should be possible to modify its value for individual boards.	U
K9.19	The case title should automatically be transferred from the (record) case to all board cases involved in the processing. However, it should be possible to modify the title of an individual board case.	U
K9.20	It should be possible to register the processing status for an individual board case, as well as for any multiple processing of the same case (cfr. the attribute <i>Processing status</i> in the table <i>Processing of board case</i> ). The processing status should keep track of the status of the processing and to some extent control the process, cfr. K9.21 - K9.27. The specification below uses the values specified in the table <i>Processing status</i> . It is recommended that these values be used, but other divisions and values may be used instead or in addition.	U
K9.21	When a board case is registered for the first time, which may happen when a	U

	processing plan is set up or in connection with subsequent modifications, the processing status should automatically be set to <b>RE</b> (registered as a case for the board) or a corresponding initial value.	
K9.22	When the necessary document(s) for the processing of a case has/have been finalized and entered into records (see 9.2.7 below on document handling), the processing status of the concerned board case should be set to <b>KL</b> ("klar for behandling i utvalget", i.e., ready for board processing) or a corresponding value, and a reference to the pertinent registry entry should be registered. It should be possible to register these values directly or have them set by the system on the basis of a simple command in or associated with the records management module. A status of <b>KL</b> or similar indicates that the case may be added to a case plan for a board meeting, cfr. 9.2.6 below. However, this should prevent the setting up of cases with other status values.	U

K9.23	When a case is added to the case plan of a board meeting, the processing status should be adjusted automatically to indicate this - value <b>SK</b> ("sakskart", i.e., case plan) or similar. If it is removed from the case plan, the status should automatically be changed back to the previous value. When the case plan is locked (see K9.40 below), it should no longer be possible to reset the processing status to a previous stage in the process.	U
K9.24	When a case has been up for processing in a meeting and the fact been registered (processing status <b>BE</b> , <b>UT</b> , <b>TB</b> or corresponding values), it should not be possible to modify any information on the processing of the board case.	U
K9.25	When it is indicated that the processing in a board has been postponed (processing status <b>UT</b> or similar), the system should automatically prepare for new processing of the case in the same board, i.e., the same board case should be set up for renewed processing (cfr. the table <i>Processing of board case</i> ). The board secretary should also be prompted to indicate the status of the new processing of the case by the board.	U
K9.26	When it is indicated that the case is sent back to the previous board (processing status <b>TB</b> or similar), the system should automatically prepare for renewed processing by the last two boards which processed the case. For both processings, the processing status is set to the initial value ( <b>RE</b> or similar).	U
K9.27	After the entire process has been completed, i.e., when the processing status for the last board handling is <b>BE</b> or similar, all information from the processing plan is to be regarded as processing history and should remain unchangeable. It should be possible to view the processing history in the same way as the processing plan, cfr. K9.11 above.	U
K9.28	When a work flow is completed, it should be possible to subject the same (record) case to renewed processing in a new work flow. This requires the setting up of a new processing plan, which may be identical to or different from the previous one. The board cases should be assigned new numbers.	U

### 9.2.6 Preparing for and arranging a board meeting

When the time and place of a board meeting have been decided, cfr. the above remarks on agenda, the preparation consists in setting up a case plan for the meeting and distributing summons to the meeting, with a list of cases enclosed as well as the documents for processing. The documents for processing are usually the case drafts of the administration for the individual cases as well as any appendices to these. Furthermore, for cases where the board is not the first in the decision-making process, recommendation(s) from board(s) which has/have already processed the case should be distributed, provided that completed case handling is used. Tasks relating to the preparations for the meeting are assigned to the role of board secretary for the concerned board.

During and after the meeting, the board secretary should pen and finalize the minutes of the meeting. This should include certain common information (time, place, attendance, etc.) as well as case minutes for the individual cases being processed.

For the preparation and completion of board meetings, the system should provide for the following support functions:

K9.29	Using a simple command, the user should be able to retrieve a list of all cases notified for processing in a specific board, hereafter referred to as the queue list. The queue list should be sorted according to the processing priority of the cases at the first meeting of the board. As a default and minimum, Noark systems should offer the following sorting criteria, sorted hierarchically: 1) Processing status: initially status <b>KL</b> , then <b>RE</b> (or similar values if different codes are used) 2) Specified meeting date: ascending order, blank date last. The queue list should be printable.	U
K9.30	Individual organizations should be able to define other sorting criteria for the queue list, either as alternatives to the default criteria or in addition.	U1
K9.31	It should be possible to view the queue list in a screen panel for setting up a case plan.	U

	It should be possible to move cases easily from the queue list to the case plan, and likewise back to the queue list. Cases which are included in the case plan, are automatically removed from the queue list and vice versa. The processing status is modified when cases are moved between the two lists, in accordance with K9.23.	
K9.32	It should be possible to modify the order of cases in the case plan as long as the plan is not locked, cfr. K9.40 below.	U
K9.33	It should be possible to include cases in the case plan which are not on the queue list (e.g., reported cases). It should also be possible to include such cases after the case plan has been blocked against changes (e.g., during or after the meeting), until the minutes of the meeting have been finalized, cfr. 9.2.7 below.	U
K9.34	It should be possible to have regular entries in the case plan, such as Endorsement of minutes, etc. It should be possible to define such entries for each individual board and to modify them as the need arises.	U1
K9.35	It should be possible to assign board case numbers to cases in the case plan. There should be an automated function for this which follows the order of the cases in the case plan. It should be possible to modify the board case number until the case plan is locked, cfr. K9.40.	U
K9.36	Cases which are included in the case plan after board case numbers have been assigned, are assigned the next available number.	U
K9.37	It should be possible to enter default values which control the assignment of case number, for individual boards. The default value should, among other thing, determine whether the board case number should be unique to each single meeting, or if the same number may be used when a case is up for renewed processing in the board (within the same work flow).	U
K9.38	There should be a function for skipping from a case in the queue list or the case plan of the concerned record case, to the processing plan of the case and to the actual case documents, for instance the case draft. Likewise, it should be possible to move back to the same place in the queue list/case plan.	U
K9.39	When the case plan of a board meeting has been set up, be it temporarily or permanently, it should be possible to print a report which includes the summons to the meeting and the list of cases.	U
K9.40	When the case plan is final, it should be possible to lock it in order to prevent changes. The board secretary should nevertheless be able to unlock it (e.g., in order to handle errors which may arise during the distribution). This privilege applies until the minutes are finalized, cfr. paragraph 9.2.7 below.	U
K9.41	There should be functions for electronic dispatch of summons, case list and documents for processing. In connection with such dispatch, the system should keep track of the recipients of the material, cfr. the list of board members. The dispatch should be effectuated through an integrated e-mail system, cfr. chapter 10. There should also be automated functions for making the material available on the Internet (Web) as information to the public.	A
K9.42	The system should provide a simple way of toggling between the case plan and the production of case minutes and minutes for meetings, cfr. paragraph 9.2.7.	U

### **9.2.7 Document handling in the board-handling module**

Efficient and flexible document handling is essential to the satisfactory functioning of political bodies and other boards. Furthermore, quality control is necessary to attain sufficient documentation of the decision-making process and decisions made.

The document handling in the board-handling module follows the same principles as elsewhere in Noark-4. A number of board documents will also be registered, and these will thus be associated with the records management module as well as the board-handling module; in addition, they may be stored in electronic records. However, in municipal case handling, the board documents are mainly standardized types of documents, and the various types have specific functions in the decision-making process. Certain specific needs are thus associated with such documents.

The following standardized types of documents exist for municipal case handling:

- The *case draft* of the administration: This is the basic document for the board handling, and it should normally be registered. When the case handling is completed, a single case draft is prepared which follows the decision-making process through all the boards. For traditional case handling, the administration prepares a new case draft for each new board which deals with the case. The case draft consists of an *elucidation* and a *recommendation* which includes a proposal for decision. The recommendation and proposal for decision will often be repeated in subsequent documents in the case (recommendation from one board to another; final decision), and it ought thus to be easy to identify this part of the document and copy it as part of the subsequent document production.
- *Summons to meeting, including list of cases*: This is a document which the system should be able to produce automatically for dispatch to the attendants of the meeting. The document has documentational value until the meeting has been held, but may usually be removed when the minutes of the meeting have been written.
- *Case minutes*: This is the minutes for the processing of one specific case in one specific board. It usually contains all proposals for decision in the case as well as information as to what was decided. Parts of the document may be copied straight from the case draft.
- *Minutes of meeting*: This is the minutes for a specific meeting in a specific board. It includes some common information such as time and place, attendance, etc., as well as case minutes for all cases which have been processed. It should be possible to print municipal minutes on paper and sign them in accordance with the provisions of the Act on Municipalities. In electronic form, the meeting minutes may be stored as a compound document.
- *Recommendation from one board to the next*: When the case handling is completed, a case is sent from one board to another, accompanied by a recommendation. The recommendation will always contain the entire case minutes from the board's processing of the case. The recommendation is often identical to the case minutes, but one may occasionally choose to use a separate heading, write an introduction, etc. The recommendation should normally be registered (entered into records). If the recommendation is identical to the case minutes, the most rational thing to do is to enter the case minutes into records (and thus not produce a separate document for the recommendation).
- *Complete case exposition*: This is a document (or a report) which it should be possible to produce automatically in order to juxtapose all relevant documents in a case, i.e., case draft and recommendations, including any appendices, for dispatch to the attendants at the meeting. The document will be a handy juxtaposition of the case documents, particularly for boards which are not the first in the decision-making process. There is normally no need to file this document, since it is an automated juxtaposition of other documents.
- *Final decision*: The case minutes for the final board in the decision-making process comprises the final decision in the case. The decision may take the form of a separate document including an introduction or additional information beyond the case minutes. The final decision (possibly as pure case minutes) may be registered as a separate document, or it may be treated as an appendix to the outgoing letter which informs the involved parties of the decision.

The following functional requirements apply to the processing of board documents:

K9.43	The production of documents which are subject to board handling, should be integrated in or with the Noark system, preferably according to the principles described in paragraph 6.2.4.	U
K9.44	The system should be able to handle the types of board documents defined in the table <i>Document type for board handling</i> . It should be possible to distinguish between documents which <ul style="list-style-type: none"> <li>• <i>must</i> be entered into records (standard: case drafts, recommendation from a board)</li> <li>• <i>may</i> be entered into records (standard: case minutes)</li> <li>• <i>should not</i> be entered into records (standard: summons and case list, meeting minutes)</li> </ul> The system should control the document handling in accordance with these definitions.	U
K9.45	Board documents which are not entered into records, should be registered in the table <i>Meeting document</i> or similar.	U
K9.46	It should be possible to store the standardized board documents <i>case draft</i> , <i>case minutes</i> and <i>recommendation from a board</i> electronically. If the Noark system does not include electronic records (i.e., level O or O1), the electronic version is to be regarded as a work copy for use in the decision-making process. Noark then makes no	U

	demands concerning electronic filing of the documents, but it is assumed that the electronic filing is designed in a way which provides credible work copies. (In such cases, all documents of archival value should be filed in paper form, in accordance with the current regulations).	
K9.47	If the organization uses electronic records, the guidelines for electronic recordkeeping should be followed in accordance with the specifications of chapter 5 and paragraph 6.2.4. Board documents which are filed electronically, such as the case drafts of the administration, case minutes, recommendations from one board to the next, etc., are final and unchangeable documents.	U1
K9.48	Board documents which are stored electronically, should be available from the board cases with which they are associated, and from the meeting (e.g., via case plans) where they are processed. Documents which have been entered into records, should, furthermore, be available from the concerned record case (records management module).	U
K9.49	The production system should provide simple opportunities for copying entire board documents or parts of a board document to another.	U
K9.50	It should be possible to produce a document which consists of a chronological juxtaposition of the administration's case drafts, including any appendices and all case minutes and/or recommendations which have been entered into records in the same (record) case. The document is called <i>Complete case exposition</i> . The document should be editable. If the document is stored electronically, it should be registered as a separate registry entry (but see the last paragraph of 9.3.3).	U
K9.51	It should be possible to file an electronic version of the meeting minutes as a compound document consisting of a common part (introduction, formalities, etc.) and case minutes for all cases which have been processed. It should be possible for the same minutes to cover an assembly of meetings over several days.	U1
K9.52	When case minutes are finalized, it should be possible to register the fact that the case has been protocolled ( <i>Minutes endorsed</i> attribute in the table <i>Processing of board case</i> ). This should lead to the case minutes being blocked against changes.	U
K9.53	When the entire minutes for a meeting have been finalized and endorsed, it should be possible to register the fact that the minutes of the meeting are final ( <i>Minutes locked</i> attribute in the table <i>Board meeting</i> ). This should lead to all parts of the minutes for the meeting (common part and case minutes) being blocked against changes.	U

### 9.2.8 Controlling read access in the board-handling module

The read-access control in the board-handling module follows the same principles as in the rest of the system, cfr. paragraph 8.2.3. The screening is based on *access codes*, *access groups* and *administrative function*. The following control functions are required:

K9.54	The read access of the board-handling module should be limited to the (record) cases to which the concerned user has access according to K8.49. For information which is not associated with record cases (e.g., information on boards, meetings, attendance and non-registered meeting documents), read access should be controlled through separate attributes, cfr. the table <i>Person-Role</i> .	O
K9.55	A user who is registered as board secretary, should have access to all cases which have been notified for processing in the concerned board, irrespective of K9.54. The read access should apply to all information and documents associated with these cases, limited only by any access codes defined.	U

K9.56	Within the framework provided by K9.54 and K9.55, read access to registered information and electronic documents in the board-handling module should be controlled by access codes according to the principles of chapter 8 (see in particular K8.43 -K8.45). It should be possible to apply access codes to board cases and meeting documents. If the system permits the use of screening through access groups (see K8.46 - K8.47), it should also be possible to apply such screening to board cases and meeting documents.	U
K9.57	It should be possible to screen parts of a case title for board cases by using access codes and access groups in the same way as the case title in the record case, cfr. K8.60. When the case title is transferred from the record case (see K9.19), any access code, including statutory authority, as well as access group and checking off for screening of the title, should accompany it. It should be possible to modify all this information for an individual board case.	U
K9.58	The screening of registered board documents (case drafts and any case minutes and recommendations) should be performed from the records management module (registry entry) in the same way as for other registered documents, cfr. K8.72 - K8.74. It should not be possible to modify the screening from the board-handling module.	U
K9.59	It should be possible to screen parts of the description of contents for board documents which are not registered (cfr. the table <i>Meeting document</i> ), using access codes and access groups in the same way as for the description of contents in a registry entry, cfr. K8.61.	U
K9.60	The screening of board documents which are not registered, should be performed from a registered meeting document (i.e., from the table <i>Meeting document</i> or similar) and follow principles which correspond to those of the screening of registered documents, i.e., K8.72 - K8.74.	U

## 9.3 Procedure requirements

### 9.3.1 Tasks and responsibilities

The board-handling module of Noark should support and contribute to the control of case handling in political bodies and other boards. Strict routines and a clear distribution of responsibilities between the various involved parties are required for this to function as intended.

The two principal types of involved parties in the political decision-making process are the *case-responsible* for the individual (record) case and the *board secretary* for the individual board. The case-responsible performs his/her tasks in interaction with the administrative head, while the board secretary interacts with the chair(wo)men of the respective boards. The authorities of the case-responsible and board secretary, as well as the types of cases and tasks which they have to present to their heads, must be made clear through the instructions of the individual organizations.

The *case-responsible* initiates a work flow by setting up a processing plan, and this leads to the processing being taken over by the board secretary of the first board. In traditional case handling, the case is returned to the case-responsible after being processed by each board, and the case-responsible as well as the administrative unit will often change as the processing progresses. New case-responsibles may also find it necessary to modify the processing plan. When the case handling is completed, as is common in Norwegian municipalities today, the case will be returned once more to the case-responsible only after the last board has processed it. The signal that the case is returned to the case-responsible will be the change of processing status for the last board in the pertinent work flow to **BE** or similar.

The *board secretary* of the first board in the decision-making process receives the case for processing through its being listed in the queue list of the board. The board secretary of the last board completes the political processing of the case by locking the case minutes through the final decision. Between these two extremes, the progress is controlled by an interaction between the involved board secretaries and possibly the administration.

In traditional case handling, the case is returned to the case-responsible the moment when the board secretary locks the minutes of the case. It is included in the queue list of the next board when the case-responsible has registered a new case draft and given all clear for the processing of the next board (processing status KL or similar).

When the case handling is completed, the case goes straight from one board to the next. It must be established what tasks each of the two board secretaries are charged with. It will probably be appropriate to have the board secretary who has just finished processing, perform the registration (entry into records) of the recommendation to the next board (case minutes or separate recommendation document based on the case minutes) and give all clear for the processing of the next board (processing status KL or similar). The secretary of the "recipient" board will then not need to do anything before the case is in the queue list of his/her board.

### **9.3.2 Freedom of information in board handling**

As part of the preparation for a board meeting, it is necessary to make decisions on issues like *freedom of access to documents* and *freedom of access to meetings*. These two different issues must be treated separately. Even if the case draft or other essential documents are exempt from public access, it does not automatically follow that the meeting in which they are processed, is to be held behind closed doors.

#### **9.3.2.1 Freedom of access to documents**

The freedom of access to documents is regulated by the Freedom of Information Act, and the same rules apply to board documents as to other case documents, cfr. paragraph 8.2.3.5.

The summons to the meeting, including the list of cases, is always public, just like the public registry. It is not permitted to issue so-called A and B plans for meetings within a board. It is thus assumed that any information to be exempt from public access has been screened before the list of cases is distributed.

The list of cases and documents for processing should be available to the public. Meeting documents which are public, are presented for inspection in e.g. an office or a library. The list of cases may be distributed to the press by appointment, and it may be published on the Internet (World Wide Web).

#### **9.3.2.2 Freedom of access to meetings**

Meetings in publicly elected bodies (boards) should normally be open to the public, unless professional secrecy dictates otherwise or a decision is made in accordance with § 31 of the Act on Municipalities.

The district or city council or the county council may decide that the meetings to be held in other boards, or certain types of cases in other boards, should be held behind closed doors. This may apply to:

1. the entire meeting of a board
2. certain types of cases in a board
3. individual cases in a board

The board itself must decide whether the processing is to be behind closed doors. If a meeting behind closed doors is to be announced in advance, there must be a statutory authority for this, i.e., meeting behind closed doors must either be fixed by law (see § 31 nos 3 and 6 as well as § 60 of the Act on Municipalities), or be vested in a decision, cfr. § 31 no 4 of the Act on Municipalities.

Noark makes it possible for the case-responsible to indicate that a case is to be processed behind closed doors when the processing plan for a case is set up, or for a board secretary to indicate that one or more cases are to be processed behind locked doors when the case plan of a meeting is set up and distributed. In cases where processing behind locked doors is not fixed by law, such an indication should always be regarded as a suggestion which the board must decide on. The indication should always be accompanied by the statutory authority for processing behind closed doors.

### 9.3.3 Document-handling procedures

As mentioned above, the essential documents for the board handling will be among a limited set of standardized document types - case drafts, case minutes, etc. It is sensible to prepare templates for each document type, so that the user does not need to define the structure and layout in each single case. Such document templates are not defined in Noark-4 - they must be based on the traditions and needs of individual organizations.

It is assumed that all board documents may be stored electronically, either as work copies while the archival copy is on paper, or as electronic records. Both options require strict quality control in connection with the document handling, to ensure that the correct versions of the documents are stored, and that their integrity is maintained as long as they have informational or documentational relevance. As far as electronic recordkeeping is concerned, this generally means for posterity.

Text from one board document may often recur in another. This applies e.g. to elucidations and recommendations from the drafts of the administration which are copied into case minutes and recommendations. In extreme cases, the entire case draft as well as all case minutes from the processing of a previous board may be included in the recommendation of the next board. Noark-4 provides for this multiple filing of information to be reduced as much as possible. It is recommended that case minutes and recommendations are limited to what concerns the last stage of the processing so far, and that the document/report *Complete case exposition* is used, cfr. paragraph 9.2.7 above, to provide a complete presentation of the relevant documents in the case. Since *Complete case exposition* is only a juxtaposition of other documents, this document should normally not be filed. Filing may nevertheless be an option if the document has been edited in a way which gives it documentational value in itself.

### 9.3.4 Implementing decisions

The chief municipal executive is responsible for ensuring that a decision is implemented, and this authority will normally be delegated to the case-responsible for the concerned case. When the political processing is completed and the case minutes containing the final decision have been locked, the case is returned to the case-responsible, who issues letters of reply to all parties involved in the case. A printout of the case minutes may be included in the letter itself, or be enclosed as an appendix to the letter. When the reply letter is completed, it is registered and dispatched.

In case it is desirable to have a method for keeping track of what decisions have been implemented, or perhaps rather what decisions have not been implemented, one may use the processing status of the board case. The value IV (implemented) may be set by the case- responsible for this purpose.

## 9.4 Essential tables in the module

Table name	Text
Board	<p>A table for registering individual boards, councils or committees which are associated with the organization. Account has been taken of the life cycle whereby a board is appointed, comes into operation and is dissolved.</p> <p>Where a board appoints a sub-committee (working committee), it is possible to specify a reference to the organization which has appointed the board.</p> <p>In the table, it is possible to specify a standardized file code for documents associated with the meeting documents of the board and their reference to records section.</p> <p>It is possible to define one or more persons who are to act as secretaries to the board.</p>
Board member	<p>A table keeping track of the members of a board. It is possible to specify a function, such as alternate, schedule for appointment and whom they represent in the board (political group).</p> <p>It is possible to rank alternates in the order in which they are to be</p>

	summoned, or there may be personal alternates.
Board meeting	<p>Contains information on an individual meeting which a board has held. This should as a minimum include the time and place of the meeting. In addition, it is possible to register whether the meeting is to be held behind closed doors, the place of the meeting and the room number.</p> <p>When the meeting has been held, it is possible to indicate that the minutes are locked.</p> <p>It is possible to link together meetings which last several days, such as the negotiations of the county council.</p>
Attendance at board meeting	Contains information on who attended an individual meeting and in what capacity. If alternates have been summoned, it should be possible to register whom they replace.
Political work flow	Contains information on an individual work flow (processing sequence) in political bodies.
Board case	Contains information on the cases which have been notified to a board. As additional information, it is possible to indicate whether the case is to be processed in public or behind closed doors. The board case is closely associated with the record case which contains the associated documentation. There should be a reference from the board case to <i>Political work flow</i> , as well as to the record case and the document which initiated the board handling.
Processing of board case	<p>Contains information which describes the individual processings of a case in one or more boards.</p> <p>Where a case has been postponed or returned, the same case may be processed one or more times by the same board.</p> <p>It is possible to specify the identity of the responsible executive officer and his/her administrative function.</p> <p>It is possible to lock an individual case minute (i.e., whatever is registered about the individual case).</p>
Handling/ document	Links meeting documents and registered documents to the processing of a case in a board. The same document may be processed several times by a board, for instance when the processing of a case draft has been postponed and been subject to renewed processing.
Meeting document	<p>Describes the documents created in connection with the board handling, e.g., summons, list of cases and (meeting) minutes.</p> <p>The attributes mainly correspond to those that exist for case documents in the records management module. This has been done in order to allow documents to be associated with individual meeting and not necessarily with a record case.</p>

## 9.5 Changes from Noark-3 and Koark

The board-handling module of Noark-4 is slightly enhanced in comparison with the functionality of Koark. Following are the most important changes, which are all related to obligatory functions in Noark-4 (requirement type U). For a complete technical specification of the changes, see chapter 16.

- In Koark, it is only possible to associate one political work flow (processing sequence) with a registry case; in Noark-4, there may be several.
- In Noark-4, it is possible to have a link to the registry entry which initiates a work flow. This is new.