



VANUATU NATIONAL POLICY ON RECORDS AND INFORMATION MANAGEMENT



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ABBREVIATIONS

COM	Council of Ministers
EDRMS	Electronic Document & Records Management System
ICT	Information Communication Technology
NAV	National Archives of Vanuatu
NRIMDC	National Records and Information Management Development
OGCIO	Office of the Government Chief Information Officer
PARBICA	Pacific Regional Branch for the International Council on Archives
PMO	Office of the Prime Minister
RIM	Records and Information Management
RTI	Right to Information
RTIU	Right to Information Unit
VIPAM	Vanuatu Institute of Public Administration and Management

ACKNOWLEDGEMENTS

This policy document was prepared by the NRMDC which was appointed by the Hon. Prime Minister Charlot Salwai Tabimasma with endorsement from the Council of Ministers. The NRMDC acknowledges the support it has received from the Hon. Prime Minister especially, to recognize the need to develop this policy that will guide the government to better manage its records and see records as assets belonging to the government. The NRMDC also acknowledges the Director of Vanuatu Cultural Centre for supporting the committee by hosting its meetings and consultations throughout the process of developing this policy.

FORWARD

I am pleased to present this Records and Information Management (RIM) Policy to the people of Vanuatu. This policy has been developed as part of the Government's commitment to open and transparent government, and to ensuring that we develop together in partnership as a nation.


The government has an obligation to maintain good records of its business activities for legal and efficiency purposes. Our records are vital assets that support our operations, enabling us to access the information we require and to preserve our corporate memory. They enable us to operate efficiently and to meet our accountability and compliance requirements. Sound recordkeeping practices are essential for our country to have a well-managed government. To these ends, the National Records Management Policy Strategic statement provides the vision for the government's records management program.

This policy supports the National Strategic Development Plan and articulates the policy framework which will be adopted within government for managing requirements for adequate recordkeeping of business activities and decision-making to increase use and access to information. Individual recordkeeping responsibilities applying to all staff and contractors are stipulated and mandatory. This policy supersedes all previous recordkeeping and records management policies.

This policy establishes a framework for the creation, capture, management and use of complete and accurate records in all formats. This policy supports the transition from paper to digital recordkeeping as a requirement under the RTI Act. The policy also endorses the principles of digital continuity for electronic records to ensure that records are complete, available and useable for as long as needed by all potential users, including for purposes beyond the intended original use.

A Code of Practice on Records and Information Management supports this policy and provides a single reference source for detailed instructions, procedures and guidance on the management of specific types of records and use of the EDRMS. The code of practice is to be made accessible to all government agencies through the RTI Unit website.

Compliance with this policy is mandatory for all staff including contractors and volunteers of government agencies and relevant private entities. All officers working for government agencies and relevant private entities have a responsibility to follow this policy and to maintain sound recordkeeping practices in their daily work.


Honourable Charlot Salwai Tabimasmal (MP)
Prime Minister of Vanuatu and Minister for Information
Ministry of Prime Minister



PREAMBLE

The Vanuatu Government recognizes that sound records management in the government is fundamental to good governance and effective and efficient administration. It forms the basis for formulating policy, managing resources and delivering services to the public. Records management also provides a basis for accountability and protecting the rights of individuals. To support continuing service delivery and provide the necessary accountability, government bodies should create and maintain authentic, reliable and usable records. Government bodies should also ensure that the integrity of the records is protected for as long as they are required as evidence of business operations. Records management is a process of ensuring the proper creation, maintenance, use and disposal of records to achieve efficient, transparent and accountable governance. Sound records management implies that records are managed in terms of an organizational records management programme governed by an organisational records management policy.

VISSION

It is our vision that Vanuatu Government public records, the cornerstone of government transparency and a knowledgeable and informed populace, are recognized and managed as public assets.

MISSION

It is the mission of the Government of Vanuatu to provide, protect, promote, and preserve Government public records, in collaboration with relevant public authorities, for the benefit of the people of the Republic of Vanuatu.

INTRODUCTION & BACKGROUND

Records, as defined in international standards¹, are any 'information created, received, and maintained as evidence and as an asset by an organization or person, in pursuit of legal obligations or in the transaction of business. They may be in any medium, form, or format. It is increasingly important to link together all of the official information required as records, whether it is entered directly in a database, maintained as a digital record or kept on a paper file.

There is evidence based on the National Archives report ²on government records that no government agency in Vanuatu has a current records and information management policy. The assessment made by the National Archives show that officers responsible for recordkeeping have less or no knowledge about their role as records officers thus not performing their duties professionally on records and information management.

Information is currently held by the government in a variety of formats both paper and electronic. It is common in government agencies where there is no corporate approach but rather a culture of silo working which encourages the duplication of work and suspicion that information is not accurate, up to date and reliable. Different approaches mean that information cannot readily be shared nor can access be controlled and security of information guaranteed.

Well-managed records provide clear and durable evidence of what the government has promised, what it has done, what services it has provided and how it has spent public funds. Weak records controls result in an ad hoc, potentially misleading national evidence base that opens opportunities for manipulation, corruption and fraud; weakens citizens' ability to claim fair rights and entitlements; undermines the ability to plan and monitor policies and services; and makes it difficult to open information effectively. The quality of the records, especially new forms of digital records, depends on the strength of the control regime, including laws, policies, practices, structures, and skills as developed through international professional collaboration and defined in international records management standards.

¹ <https://www.iso.org/obp/ui/#iso:std:iso:15489:-1:ed-1:v1:en>

² National Archives of Vanuatu: report on the government record officers and Government Ministries and Departments records status, 2015.

POLICY PROVISIONS

Records must be made

Records are to be created to document or facilitate the transactions of all business activities. Business rules and procedures are to be put in place to ensure that requirements to make records are documented and that systems are in place to facilitate the creation of records. All staff are to be made aware of their responsibilities to make records.

Records must be accurate

Records are to be created at the time or after the event to which they relate. All records created by the government are to provide a correct reflection of what was done, communicated or decided.

Records must be authentic

Records created or received by the government are to be routinely captured into an approved recordkeeping system and appropriate metadata created and captured, or otherwise associated with records.

Records must have integrity

Recordkeeping systems and storage facilities are designed and implemented to protect records from unauthorised access, alteration, deletion or loss. Migration of records from one system to another is to be controlled, documented and compliant with best practice.

Records must be accessible and useable

Records are to be linked to their business context, which includes records relating to the same business activity or transaction. The location and use of records is to be recorded and tracked. Records are to be accessible for as long as they are required and disposed of in accordance with National Archives Act 13 of 1992.

Records must be disposed of appropriately

Records must be disposed of in accordance with legislative requirements, policy, and recognised standards of best practice.

POLICY STATEMENT

COMMITMENT TO OPEN GOVERNMENT

Successful open government depends on sound records management to ensure that information is accurate, reliable, accessible, usable and authentic for as long as it may be needed. A reliable and accessible evidence base is vital for all aspects of open government, particularly the right to information and open data, which are dependent upon the ability to access reliable records. Records management will not in itself achieve openness, but without it, openness is not possible.

Every public sector policy maker, auditor, court official and fraud investigator knows the importance of being able to find, use and trust official records as evidence of policies, actions, transactions, expenditure, precedents, rights and entitlements. Most citizens know how important it is to have proof of their rights, for instance land rights or rights in court.

The Government is committed to implementing, maintaining and achieving best practice in its recordkeeping policy, practice and procedure in support of good governance, accountability and transparency.

The Right to Information Unit with assistance from the National Archives of Vanuatu will develop of a National Code of Practice on Records and Information Management to guide the implementation of this policy.

SCOPE

This policy applies to all records and associated metadata from the time of creation or capture and covers:

- All government employees, including temporary and casual employees, and contractors and volunteers
- All aspects of Vanuatu Governments business operations
- All types and formats of records created to support business activities
- All business applications used to create records
- It is also applicable to relevant private entities and private entities as specified under the *Right to Information Act of 2016*³.

DEFINITION OF RECORD

Records are evidence of business conducted by an organization. Any reference to a record in this policy refers to records in any formats.

Government employees, temporary and casual staff, contractors and volunteers are responsible for keeping a record of business transactions conducted as part of their duties for the department. Examples of business transactions include documenting actions, events,

³ Right to Information Act No. 13 of 2016

conversations or other transactions where they provide evidence of formal advice or directions, or significant decisions. These records may be created, received or maintained in hard copy, electronically or a hybrid of the two. They include, but are not limited to, emails, documents, spread sheets, letters, photographs, images, sound, plans and signatures.

Social media and other web based sharing and storage platforms are relatively new forms of collaboration and communication for government agencies. Staff who use these tools for their work should be aware that content published in these forms of media may constitute a record as defined in this policy.

For a record in digital format to be meaningful and to service as admissible evidence of a business transaction, associated metadata needs to be captured or created with the record to provide adequate context and to support its authenticity and management over time.

All government employees are personally accountable for the correct management of documents and records (including electronic records) generated in the course of their duties or under their direct control.

APPLICATION

National Records Management Policy shall apply to records and information in all formats, including both digital and physical records including metadata from the time of creation or capture. Records include files, emails, memoranda, minutes, audio-visual materials, maps and any other documents that are created or received by government officers in the course of their duties. It also applies to all confidential and classified records.

ACCESS

Under provisions of the *Right to Information Act No. 13 of 2016* records created in the government can be released to the public on request, unless it is categorised under exemptions. Failure to maintain or locate reliable records when requested, may lead to lost revenue or excessive retrieval costs, legal action or reputational damage for the government agencies, relevant private entities or private entities.

SECURITY

Information Security includes measures such as the application of procedures for the handling, storage and disposal of official information, and information communications and technology controls.

Electronic and physical security of records is important. Agencies must ensure that Official Records owned by the agency are sufficiently protected by storage methods, equipment and handling procedures, disaster response plans and security measures.

It is the responsibility of government officials to be familiar with records management procedures and the general principles of handling and managing sensitive information, including the 'need-to-know' principle, and to apply them where relevant to their business

and recordkeeping in accordance with other individual recordkeeping responsibilities as set out in Section Duties and Responsibilities of this policy.

LEGAL AND REGULATORY FRAMEWORK

There is a wide range of laws, regulations and standards that have an impact on how the government manages its information resources, including records. It is important that all government agencies, relevant private entities and private entities are fully aware of legislations, policies and standards available in relation to records and information management.

DISPOSAL, DELETION OR TRANSFER OF RECORDS

Government agencies have a responsibility to ensure that Official Records are disposed, deleted or transferred of in accordance with the Archives Act. Disposal, deletion and transfer is an important part of records management. When it is properly done, it ensures that the organisation retains records for as long as they are needed and then, when they are no longer needed, destroys them in an appropriate manner or disposes of them in some other way such as a transfer to the National Archives.

It is an offence to dispose of, delete or destroy any Government record without authorization from the National Archivist under the Archives Act⁴. No person shall destroy or otherwise dispose of, or authorize the destruction or disposal of, any public archives of any kind whatsoever that are in his possession or under his control, except with the consent of the Archivist given in accordance with the provisions of the Archives Act.

All public archives of the age of fifteen years or over (other than those which any Act are required to be held in the custody of a specific person or Government office) shall be transferred to the custody of the Archivist and be deposited in the National Archives.

The Archivist may allow the deposit in the National Archives of public archives of less than fifteen years of age if he or she considers that they are sufficient value of deposit.

IMPLEMENTATION

Records management is the backbone of accountable and transparent government. Thus effective implementation of this policy is essential to the success of records and information management and Right to Information in Vanuatu. To enable implementation, the following structures and activities will be prioritised:

- The official appointment of the NRIMDC to regularly monitor and advice the government on the implementation of the National Records and Information Management Policy.
- Appointment of Records Management officers in public bodies

⁴ Republic of Vanuatu: Archives Act No. 13 of 1992

MONITORING AND EVALUATION

The monitoring of records management performance within agencies is critical to understanding the effectiveness and efficiency of agencies' records management programs. Improvements in performance can be achieved only when an agency is accurately informed about its current performance. It is therefore, important that performance information is used to improve, shape and refine the existing records management program. State Records' records management assessment survey provides the basis for monitoring and review of agencies' records management performance. This survey tool should be supplemented by agency specific benchmarks and key performance indicators, and results of any reviews should be reported to senior management who act promptly to redress any shortcomings.

PROFESSIONAL DEVELOPMENT

The development of professional capacity for government agencies, relevant private entities and private entities in RIM is essential to ensuring the government has an efficient and well managed records and information management system. Access to appropriate training and other professional opportunities will be provided for records officers in their carriers.

INFRASTRUCTURE

Infrastructure capacity is essential to ensure that the Government's records management systems cover electronic records and also ensure that government digitise as much records as it can. It is essential that the ICT policy ensures that security of electronic records created by the government is priority and provides measures to ensure records are being digitised.

RESOURCES

Most importantly, the Government recognises that without adequate resources, the activities required under this policy will be constrained. The Government therefore commits to ensuring the appropriation of the resources necessary for implementation activities and calls upon the active cooperation and assistance of its local and international development partners in enabling the success of this Policy by providing extra-budgetary support where needed, and incorporating information disclosure and records management as a priority in existing and future development assistance programmes, projects and activities.

DUTIES AND RESPONSIBILITIES

All records created by public officers in the course of their duties are public records. All government officers are responsible to ensure that full and accurate records are created and managed by government, and that these records are kept for as long as they are needed for administrative, accountability and historical purposes. Some areas of government also have particular responsibilities.

This policy identifies and defines responsibilities to public officers as follows:-

- **Council of Ministers**

The Council of Ministers shall approve, authorise and issue this policy

- **Ministers**

They shall provide policy directions and be responsible and accountable for records created or received in their Ministries/Institutions

- **Public Service Commission**

The Public Service Commission shall ensure that public servants implement, monitor and evaluate compliance with this policy.

The Public Service Commission shall:-

- recruit, develop skills and deploy records management officers in Civil Service;
- administer the scheme of service for records management officers;
- supervise records management officers in the civil service; and
- consult National Archives of Vanuatu on the development of systems, standards and procedures for records management.

- **Director General's, Directors**

Director General's, Directors and heads of government bodies shall be responsible for the management of records in their organisations. They shall:

- endorse this policy for use in their own organisation or ministry;
- ensure the implementation of this policy;
- ensure that all staff within their organisations know about and understand this policy;
- promote compliance by all staff with the policy;
- enforce appropriate disciplinary action against staff who do not comply with the policy;
- assign responsibility for the management of their organisation's records to relevant senior officers and records officers;
- ensure that there is an adequately resourced records management program within their organisation;

- ensure that employees create and maintain complete and accurate records of their official transactions and activities;
- ensure early identification of vital records and their preservation;
- ensure the establishment of organisational records centres for storage and maintenance of semi-current records;
- ensure development and implementation of a disaster management programme; and
- establish records management committees in their organisations.

○ **Records officers**

Records officers including clerical or filing staff shall be responsible for records management activities in their respective ministries /departments/ organisations. They must:

- comply with this policy and follow any procedures for records management issued by respective government agencies, private entities and relevant private entities; ;
- plan for appropriate accommodation for records;
- train all members of staff on relevant records keeping systems;
- initiate the disposal of records in line with agencies/entities procedures;
- carry out records survey and appraisal;
- prepare records retention and disposal schedules; and
- provide advice to other staff on records management that is consistent with this policy.

○ **All public officers**

While the other groups mentioned above have special responsibilities in relation to recordkeeping, they also have the same responsibilities as all other staff within the organisation. All staff of the government, including contractors and volunteers, are responsible for record keeping. All staff must, therefore, be aware of their obligations under this policy and take reasonable

All staff must:-

- comply with this policy and with any recordkeeping procedures issued by the organisation;
- ensure that they make and file records of all official actions and decisions they take as government officers, including:
 - writing and filing notes of telephone conversations;

- printing and filing emails (including emails regarding government business sent from or received by private email accounts); and
- taking and filing minutes of minutes.
- handle records with care so that they are not lost, damaged or destroyed;
- prevent unauthorised access to government records; and
- ensure that they do not alter, destroy, misplace or render unusable any official document, record or file that is intended to be maintained as official records without the authorisation of the national archivist and the senior officer who has been assigned responsibility for records management.

○ **Office of the Government Chief Information Officer (OGCIO)**

Many computer systems within the government organisations are used to carry out government business, which means that they may create evidence of the organisation's actions and decisions that should be preserved as records. OGCIO is responsible for maintaining technology that supports the Governments records management framework, databases and systems on which records and information is stored including developing and maintaining appropriate system accessibility, security, backup and disaster recovery, planning and testing. OGCIO must ensure that:

- ICT Officers must consult with them before they buy, design or decommission information technology systems that relate to management of records;
- any information technology systems that store government information, documents or records have back-ups;
- regulate and develop policies on appropriate devices to be used by the Government of Vanuatu to store digital information;
- policies, procedures and systems are in place to protect government information from inappropriate access or destruction; and
- ensure better management of electronic records to enhance social and economic sustainable development, good governance and security through better access and use of ICT;

○ **Archivist, National Archives of Vanuatu**

The Archivist of the National Archives of Vanuatu shall:

- implement the provisions of Archives Act [CAP 216];
- develop and review policies, systems, and guidelines for the management of public records;

- advice on the development of training curriculum on records management in consultation with VIPAM and other training institutions;
- guide public officers in the implementation of this policy;
- forge partnerships with public institutions whose Acts of Parliament or regulations bear instructions on management of records;
- conduct regular surveys on records management activities in public offices;
- consult with senior corporate managers to determine which records can be responsibly destroyed and which must be retained as part of the archival resources of the nation;
- accept transfers of records that have been assessed as being of archival value so that they can be preserved for future generations; and
- assist the government with the monitoring and review of this policy.

○ **Right to Information Unit**

The Right to Information Unit after consulting all relevant and interested parties, and on the recommendation of the Archivist appointed under section 5 of the Archives Act [CAP 2016], issue a Code Practice relating to:

- the creation, keeping, management and disposal of records; and
- the transfer of records to the National Archives.

STRATEGY STATEMENT

The records management strategy has a number of aims and objectives which are geared towards ensuring that Government agencies, relevant private entities and Private entities manage all of their recorded assets effectively. In particular, the strategy will constitute an approach for realizing the benefits of effective records management.

This policy therefore, encompasses objectives, activities and indicators that are developed within a framework of inter-connecting, complementary strategies. The ten (10) key strategic areas are:

1. Access
2. Security
3. Legal and Regulatory Framework
4. Disposal, Deletion or Transfer of Records
5. Implementation
6. Monitoring and Evaluation
7. Professional Development
8. Infrastructure
9. Resources

OBJECTIVES AND PLAN OF ACTION

ACCESS

OBJECTIVES

- To ensure timely access to records and information about the Government of Vanuatu
- To ensure easy access to records and information about the Government of Vanuatu

ACTIVITIES

- Create a Records Management position in all government agencies to coordinate records and information management initiatives in the government agency.
- Improve the government's records management program by establishing annual awareness and training for government Records Management Officers and all other government officers
- Provide workforce training on the benefits, best practices, and requirements of securely sharing data and information.
- Make provisions for all government agencies to have access to relevant technology for easy access to information.

INDICATORS

- Efficient access to records and information about the Government of Vanuatu held in different government agencies
- Save time and costs to access records and information about the Government of Vanuatu held in different government agencies
- All Government agencies have access to appropriate technology for easy access to information.

SECURITY

OBJECTIVES

- To ensure records are stored securely and protected from unauthorised access, alteration, deletion or loss
- Ensure access controls are changed when employees leave their positions
- Ensure information is protected from "leaking" (i.e. prevent files from leaving building through mechanical/electronic means; ensure sensitive electronic information cannot be emailed, downloaded, posted or otherwise made available electronically) – clearly identify such safeguards in policy

ACTIVITIES

- Develop and implement a RIM security policy
- Develop and implement a vital records program

INDICATORS

- Records and information about the Government of Vanuatu are securely stored and safe
- Unauthorised disclosure, use and loss of records and information held by government agencies are prevented through implementation of a RIM security policy
- Government records can be trusted to be authentic, reliable and retain integrity.

LEGAL AND REGULATORY FRAMEWORK

OBJECTIVES

- To ensure all government agencies, relevant private entities and private entities are fully aware of legislations, policies and standards available in relation to records and information management. There is a wide range of laws, regulations and standards that have an impact on how the government manages its information resources, including records. These may include, but are not limited to, the:
 - [Archives Act](#)
 - [Copyright and Related Rights Act](#)
 - [Deposit of Books Act](#)
 - [Electronic Transactions Act](#)
 - [Expenditure Review and Audit Act](#)
 - [Financial Transactions Reporting Act](#)
 - [Official Secrets Act](#)
 - [Ombudsman Act](#)
 - [Public Finance and Economic Management Act](#)
 - [Public Service Act](#)
 - [Right to Information Act](#)
 - [Trade Disputes Act](#)
 - [Vanuatu National Cultural Council Act](#)
 - *This policy is developed according to the International Standard on Records Management (ISO 15489).*
- To ensure government agencies, relevant private entities and private entities can develop their own internal policies and procedures on records and information management
- To ensure Vanuatu has a Code of Practice on Records and Information management

ACTIVITIES

- Government agencies, relevant private entities and private entities must develop their own records and information management policy and procedures which must be approved by the senior management
- Conduct awareness and training sessions with government agencies, relevant private entities and private entities on records and information management legislations, policies and standards available
- Right to Information Unit with assistance from the National Archives of Vanuatu to put out a Code of Practice on Records and Information Management by 2018.

INDICATORS

- Government officials are fully aware of relevant legislations, policies and standards on records and information management.
- Government agencies, relevant private entities and private entities have legal mandates/policies and a procedure for records management with which the organisations must comply with is developed by 2020.
- The legal mandate /policies must cover records in all formats.
- Code of practice on records and information management is developed by 2018.

DISPOSAL, DELETION OR TRANSFER OF RECORDS

OBJECTIVES

- To ensure all government agencies, relevant private entities and private entities understand their responsibility under the Archives Act⁵.
- To ensure both physical and digital records are disposed of in line with authorised procedures
- If records are converted or migrated to new media, disposition of the previous media may also be warranted.
- Disposition of relevant records must be suspended in the event of pending or ongoing litigation or audit. The organization should designate records that are to be held pending resolution of the litigation or audit and notify all affected personnel when the hold is issued and when the hold is released.
- Destruction of records must be performed in a secure manner, ensuring that records to be destroyed are transported securely and destroyed completely. The organization may choose to utilize “green” methods of destruction, but destruction must always be performed in a manner that renders the records completely and irreversibly destroyed.
- The transfer of records to the custody of a historical archives, library, or museum should be documented as part of the organization’s records retention policy.
- Disposition of records must be governed by appraisal of the records by a qualified professional upon the basis of the historical or intrinsic value of the records.

⁵ Republic of Vanuatu: Archives Act No. 13 of 1992

ACTIVITIES

- Conduct training and awareness sessions on the Archives Act provisions
- Ensure sufficient space is available for the National Archives to house all relevant /historical government records.

INDICATORS

- Unnecessary storage costs are avoided by using office or server space to maintain records no longer needed by the government agency, relevant private entity or private entity
- Government agencies, relevant private entities and private entities comply with the Archives Act by depositing their valuable records that are over fifteen (15) years old by 2020
- Increased National Archives storage facility to accommodate all government records.
- finding and retrieving information is quicker and easier because there is less to search
- Responding to Right to Information (RTI) requests becomes more efficient by 2019.

IMPLEMENTATION

OBJECTIVES

To provide a structure that facilitates the application of this policy, provide for an effective government program that raises awareness and training to public officials, and engage government agencies, relevant private entities and private entities in implementing this policy.

ACTIVITIES

- Formalise appointment of NRMDC members;
- Develop and gauge the progress of implementation of this policy by government agencies, relevant private entities and private entities;
- Identify and execute innovative methods of engagement with government agencies in outlying provinces;
- Develop educational materials on RIM for government officials ; and
- Develop and execute government RIM educational activities using a wide range of communication means and networks and which are suited to the Vanuatu geographical and socio-economic contexts.

INDICATORS

- NRMDC formally appointed by Honourable Prime Minister
- NRMDC regularly monitors and advise the government on the implementation of the National Records and Information Management Policy.

- Government agencies, relevant private entities and private entities are fully aware of their responsibilities under the National Records and Information Management Policy.

MONITORING AND EVALUATION

OBJECTIVES

- To ensure this policy is regularly monitored and reviewed;
- To review and evaluate the overall progress of implementation activities under this policy;
- To review and evaluate the performance of public bodies in the discharge of their RIM obligations;
- To distil best practices and promote their replication;
- To identify areas for improvement; and
- To make recommendations for review and reform.

ACTIVITIES

- The NRIMDC will have overarching oversight of the National RIM's policy implementation activities, with multiagency membership of representatives comprising of government officials with records management experience and background.
- Establish reporting systems between NRIMDC, Government agencies, relevant private entities, private entities and the Information Commissioner;
- All government agencies, relevant private entities and private entities covered by this policy establish monitoring systems, whether paper or computer based to evaluate the effectiveness of their RIM systems;
- Information collected on evaluation of RIM systems is published in their reports and presented to the Information Commissioner;
- The Information Commissioner receives monthly status reports from government agencies, relevant private entities and private entities on their RIM activities and progress as per the standard reporting template provided by the Information Commissioner; and
- The Information Commissioner will produce an annual report which will include matters such as an analysis of each public body's implementation of the National RIM policy.

INDICATORS

- NRIMDC established in 2017;
- Government agencies, relevant private entities and private entities develop monitor systems and conduct records management surveys by end of 2019;

- Improvement in records management practices is demonstrated through records management surveys ; and
- Reporting relationships between government agencies, relevant private entities and private entities and the Information Commissioner and PMO established by end of 2019.

PROFESSIONAL DEVELOPMENT

OBJECTIVES

To ensure that the government agencies, relevant private entities and private entities have a records management officer appointed. The records management officials are appropriately trained and provided with professional development opportunities in the value and application of the National RIM policy including proper Records Management procedures, proper incentives are in place.

ACTIVITIES

- Development of a National RIM Training manual;
- Ensure that RIM training is provided by VIPAM;
- Develop a “Training of the trainers” activity to enable RIM Officers to conduct trainings in their own organisations as required;
- Completion of RIM training established as a performance indicator for public officers; and
- National Archives, RTI Unit and other regional/international bodies provide training and refresher courses on Records and Information Management.

INDICATORS

- Heads of Public bodies, RIM Officers can access training appropriate to their needs;
- Trained officers are able to understand the correlation between RTI and the country’s development;
- RIM Officers are equipped to promote RIM in their organisations and to train other staff;
- Staff designated with records management responsibilities is appropriately trained.
- Effectiveness of RIM Officers evaluated in Performance Evaluation exercises; and
- Records and information managers and officers trained and demonstrate adequate knowledge in performing records management duties.

INFRASTRUCTURE

OBJECTIVES

To ensure that the National ICT legal framework⁶ and ICT infrastructure facilitate and support:

- The development of a National Document Management system to organise and keep government records;
- The digitising of government records;
- The storage and dissemination of government records through electronic formats;
- The security of electronic records created and stored by government agencies.

ACTIVITIES

- The National “ICT for All” Policy, and the implementation activities to be carried out in line with an electronic records formation, security and validity of government electronic records;
- Implementation of the ICT Policy, including provision of access to training and human resource development for RIM Officers; and
- ICT policy and its implementation reviewed periodically to ensure that government agencies, relevant private entities and private entities have adequate access to ICT facilities.

INDICATORS

- Government agencies, relevant private entities, private entities and RIM Officers have access to forms of electronic records management systems that are easy to use and accessible;
- The country has a coherent ICT policy which meets the records and information management needs of the government.

RESOURCES

OBJECTIVES

To enable the success of the RIM regime by ensuring that implementation activities are adequately resourced and adequate financial and human resources are provided by the government and to seek the support of development partners where extra-budgetary assistance, in these respects, is required.

ACTIVITIES

- Ensure funding support for government agencies to appoint RIM Officers;
- The provision of financial support for training activities of RIM Officers and other relevant public officers;

⁶ National Information and Communication Technology Policy, December 2013, Port Vila, Vanuatu.

- Ensure the provision of financial support for the development of government RIM educational materials and activities.

INDICATORS

- The NRMDC is sufficiently funded to implement activities under this policy;
- Training activities are supported by sufficient levels of financing to enable frequent, sustained and quality roll-out; and
- Government education activities are sufficiently supported to enable use of a range of formats such as the media, educational materials, and holding of RIM forums to raise awareness.

AUTHORITY

This policy has been approved by the Council of Ministers on Friday 25th May 2018. It shall remain valid until such time as amended, revoked or otherwise superseded by the direct authority of the Council of Ministers.

REVIEW DATE

This policy will be formally reviewed within three years of the date of issue. Later reviews may take place after a longer period, once the efficient and effective operation of the policy has been confirmed.

ANNEX I DEFINITION

Access	The opportunity to, and means of, finding and using information.
Accountability	The principle that those individuals, organisations and the community are responsible for their actions and may be required to explain them to others.
Archives	Records of an organisation or individual that has been selected for indefinite retention because of their continuing value for legal administrative, financial or historical research purposes. An organisation whose main function is to select, manage, preserve and make archival records available and ready for use.
Business activity	A term covering all the functions, processes, activities and transactions of an organisation and its employees.
Creation and capture	Creation and capture is the process of determining whether a record should be made (created) and kept (captured). The information contained within it must be able to reconstruct activities or transactions that have taken place. Records must be created when there is a need to be accountable for decisions, actions or outcomes. Staff members are required to create records which adequately document the activities and decisions of the Government in which they take part and capture these records in the Government agencies record keeping system.
Digital Record	A record that is communicated and maintained in a digital format. Same as an electronic record.
Disposal	A controlled and authorised process by which records are either: <ol style="list-style-type: none">1. Destroyed in a secure way to ensure confidentiality up until the moment of destruction; or2. Transferred to the National Archives of Vanuatu
Electronic Document	A document that is communicated and maintained in an electronic format.
Electronic Record	A record that is communicated and maintained in an electronic format. Same as a digital record.
Governance	The systems, structures, processes and rules that an organisation uses to make decisions, take action, manage resources and monitor progress.
Information Commissioner	A person appointed under Section 52 of the RTI Act

Metadata	<p>Structures data or other information that describes context, content and structure of records and their management through time. It allows users to find, manage, control, understand or preserve the information it relates to.</p> <p><i>Adapted for : International Standard, ISO 15489, 2001, part 1, Clause 3.12</i></p>
Multimedia Message Service (MMS)	<p>An extension of Short Message Service (SMS), by which users can transfer not only text but other kinds of materials (images, video, audio) to mobile telephones.</p>
Preservation	<p>Process and operations involved in ensuring the technical and intellectual survival of authentic, complete and accurate records through time.</p> <p><i>Adapted from: International Standard, ISO 15489, 2001, part 1, Clause 3.14</i></p>
Private entities	<p>Private entities means:</p> <ul style="list-style-type: none"> a) A person who carries on or has carried on a trade, business or profession, but only in that capacity; or b) A partnership which carries on or has carried on any trade or business; or c) Any former or existing person or any successor in title, but does not include a Government agency or a relevant private entity.
Record	<p>Information created, received and maintained as evidence by an organisation in the course of carrying out its business activities.</p>
Recordkeeping	<p>The process of creation and maintaining complete, accurate and reliable evidence of business transactions in the form of recorded information into an electronic document management system or authorised business system. The recorded information includes the record itself and relevant association metadata.</p>
Records management	<p>Field of management responsible for the efficient and systematic control of the creation, receipt, maintenance, use and disposition of records, including processes for capturing and maintaining evidence of and information about business activities and transactions in the form of records</p> <p><i>Adapted from: International Standard, ISO 15489, 2001, part 1, Clause 3.16</i></p>
Relevant private entity	<p>Relevant private entity means an entity:</p> <ul style="list-style-type: none"> a) That is owned, controlled or substantially financed directly or indirectly by funds provided by the Government, but only to the extent of that

financing; or

- b) That carried out statutory or public services or functions, whether financed directly or indirectly by funds provided by the Government or other source by only to the extent of the statutory or public services or functions; or
- c) Which the Prime Minister by order designated as a relevant private entity.

Storage

The function of storing records for future retrieval and use.

ANNEX II - RIM IMPLEMENTATION OUTLINE

STRATEGIES	IMPLEMENTING AGENCY	ACTIVITIES	SHORT TERM 2017-2019	MEDIUM TERM 2017-2021
APPOINTMENT OF NRRMDC	Lead-PMO	Membership made up of Government officials with experience in records management.	1 st quarter 2017	
DEVELOPMENT OF RIM POLICY	Lead-PMO Secondary- NRRMDC	Prepare Draft RIM Policy Circulate for Public Consultation, Comments, etc. Revise Draft Submit Final Draft for Council of Ministers approval	3 rd -4 th Quarter 2017 2 nd Quarter 2018	
ACCESS	Lead – PSC Secondary- Government	Create a Records Management positions in each government agencies to coordinate records and information management initiatives in the government agency		4 th Quarter 2020
	Lead – National Archives Secondary – NRRMDC Secondary – RTI Unit	Improve the government’s records management program by establishing regular awareness and training for government Records Management Officers and all other government officers Provide workforce training on the benefits, best practices, and requirements of securely sharing data and information.	Ongoing Ongoing	
SECURITY	Lead – NAV Secondary- All Government Agencies	Develop and implement a RIM security policy		Being drafting by 2 nd Quarter 2020
	Lead – NAV Secondary – All Government Agencies	Develop and implement a vital records program		Ongoing
LEGAL AND REGULATORY FRAMEWORK	Lead-All Government Agencies Secondary-NRRMDC	Government agencies, relevant private entities and private entities must develop their own records and information management policy and procedures in line with this National RIM Policy and must have it approved by the senior management		2 nd Quarter 2020

	Secondary-NAV/RTIU			
	Lead-NAV/NRIMDC/RTIU	Conduct awareness and training sessions with government agencies, relevant private entities and private entities on records and information management legislations, policies and standards available		Ongoing
	Lead- RTIU Secondary - NAV	Right to Information Unit with assistance from the National Archives of Vanuatu to put out a Code of Practice on Records and Information Management by 2018.	2 nd Quarter 2019	
DISPOSAL, DELETION OR TRANSFER	Lead-NAV	Conduct training and awareness sessions on the Archives Act provisions		Ongoing
	Lead –Ministry of Justice Secondary- NAV	Ensure sufficient space is available for the National Archives to house all relevant /historical government records.		2021
IMPLEMENTATION	Lead- PMO Secondary - RTIU	Formal appointment of NRIMDC members;	1 st Quarter 2017	
	Lead- NRIMDC/NAV Secondary - RTIU	Develop and gauge the progress of implementation of this policy by government agencies, relevant private entities and private entities	1 st Quarter 2019	
	Lead- NRIMDC/NAV Secondary-RTIU	Identify and execute innovative methods of engagement with government agencies in outlying provinces		Ongoing
	Lead- NRIMDC/NAV Secondary - RTIU	Develop educational materials on RIM for government officials		Ongoing
	Lead- NRIMDC/NAV Secondary-RTIU	Develop and execute government RIM educational activities using a wide range of communication means and networks and which are suited to the Vanuatu geographical and socio-economic contexts.		Ongoing
MONITORING AND EVALUATION	Lead-NRIMDC/NAV	The NRIMDC will have overarching oversight of the National RIM's policy implementation activities. The NRIMDC reports to the PMO and will: <ul style="list-style-type: none"> ○ Track and monitor the progress of implementation, and ensure the 	3 rd Quarter 2018	Annually

		<p>achievement of milestones under the National RIM policy implementation;</p> <ul style="list-style-type: none"> ○ Develop a broad training strategy for RIM in the public service and monitor the progress of sound records management practices in public bodies; and ○ Develop a communication strategy to sensitise civil servants of the value of the National RIM policy and increase awareness and understanding of the policy and their RIM obligations. 	1 st Quarter 2019	
	<p>Lead – NRRIMDC/Information Commissioner</p> <p>Secondary- RTIU/NAV</p>	Establish reporting systems between NRRIMDC, Government agencies, relevant private entities, private entities and the Information Commissioner	2019	
	Lead-NRRIMDC/NAV	All government agencies, relevant private entities and private entities covered by this policy establish monitoring systems, whether paper or computer based to evaluate the effectiveness of their RIM systems		2021
	Lead-NAV/NRRIMDC	Information collected on evaluation of RIM systems is published in their reports and presented to the Information Commissioner		Annual
	<p>Lead-All Government Agencies</p> <p>Secondary- Information Commissioner</p>	Right to Information Unit receives monthly status reports from government agencies, relevant private entities and private entities on their RIM activities and progress		Ongoing
	Lead-Information Commissioner	The Information Commissioner will produce an annual report which will include matters such as an analysis of each public body's implementation of the National RIM policy		Annual
PROFESSIONAL DEVELOPMENT		<p>Identify Trainers/Presenters (use Records Management Officers who have experience and interest in working with records)</p> <p>Schedule and conduct formal and informal training sessions with general staff, heads and middle to upper managers for public bodies.</p>		Ongoing
		Development of a National RIM Training manual		2020
		Arrange for RIM training to be included as part of Public Administration courses conducted by VIPAM		2020

		Develop a "Training of the trainers" activity to enable RIM Officers to conduct trainings in their own organisations are required		2021
		Completion of RIM training established as a performance indicator for public officers		2021
		National Archives, RTI Unit and other regional/international bodies provide training and refresher courses on Records and Information Management.		Ongoing