



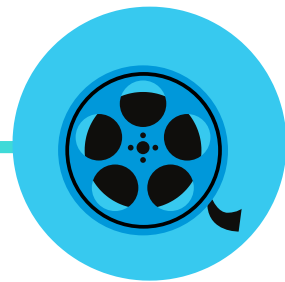
WHAT IS A RECORD?



Record in writing



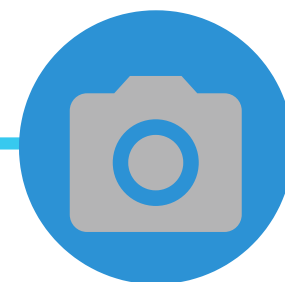
Document,
manuscript or file



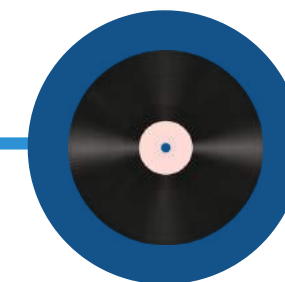
a film (including
microfilm),
negative,
microfiche and
facsimile copy of a
document



a map, plan, graph
or drawing; or



a photograph



a disc, tape, sound
track or other
device in which
sounds or other
data are
embodied,
whether
electronically or
otherwise, so as to
be capable (with
or without the aid
of some other
equipment) of
being reproduced



an email, memo,
opinion, advice,
press releases,
circular, order,
logbook, contract,
report, samples
and models



What is records management?

*Efficient and orderly control of the life cycle of records from creation, maintenance, use and disposition of records.



Benefits of Records Management

16 PEACE, JUSTICE AND STRONG INSTITUTIONS



Supports Better Management Decision Making - In today's environment, the manager who has access to the relevant data makes a better, more informed decision, promoting a positive reputation for state agencies.

Improves Efficiency and Productivity - An applied Records Management program reduces the volume of records stored and improves storage and retrieval systems helping to get the right record to the right person effectively and efficiently: including complying with the Right to Information requests.

Identifies and Protects Vital Information - Every organization, public or private, needs a comprehensive program for protecting its essential records and information from disaster.

Minimizes Litigation Risks - A consistently applied records management program can reduce the liabilities associated with document retention and disposal of records. It can limit the risks associated with litigation and potential penalties.

Ensures Regulatory Compliance - A good Records Management system will help your agency in regulatory compliance.



THE GLOBAL GOALS



Implications of Improper Records Management



Presumption that records are correct and complete



Waste of resources / money to store unnecessary records



Inability to locate information when needed



Destruction of records before they have met fiscal or legal requirements or possible destruction of archival records



Having to produce records in Discovery proceedings that otherwise should have been destroyed

Archives / Records Management - What We Do

- Provide standards, procedures and techniques for effective management of records
- Help establish retention schedules
- Provide training
- Provide assistance in the transfer and retrieval of records



National Records & Information Management Policy

VISION

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.



National Policy Provisions

Records must be made

Records must be accurate

Records must be authentic

Records must be integrity

Records must be accessible and useable

Records must be disposed of appropriately



Application of the Policy

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

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.



Access

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 of easy access to information.



Security

ACTIVITIES

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



Security

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 & Regulatory Framework

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. (Available on the RTI Unit website www.rti.gov.vu)



Legal & Regulatory Framework

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.
- The legal mandate /policies must cover records in all formats.
- Code of practice on records and information management is developed



Disposal, Deletion or Transfer of Records

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.



Disposal, Deletion or Transfer of 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.



Duties & Responsibilities

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 & Director

- 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

- 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

- 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)

- 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

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



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.

GOUVERNEMENT DE LA
RÉPUBLIQUE DE VANUATU
LA SECRÉTAIRE-GÉNÉRALE



GOVERNMENT OF THE
REPUBLIC OF VANUATU
COUNCIL OF MINISTERS

Friday 25 May 2018

Hon. Charlot Salwai Tabimasmas [MP]
Prime Minister blong Vanuatu
Kavman blong Vanuatu

Dear Hon. Prime Minister,

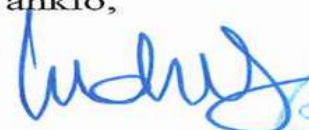
**DESISEN 83/2018: NATIONAL POLICY ON RECORDS AND INFORMATION
MANAGEMENT**

Kansel blong ol Minista (KBM) I bin kat namba 12 odineri miting blong hem long Friday 25 May 2018.

Taem ia, KBM I bin tekem ol decision olsem;

1. Kivim consideration long contents blong pepa ia.
2. Appruvum mo Endorsement National Policy on Records and Information Management.
3. Approvum blong National Records and Information Management Development Committee (NRIMDC) I developem wan Implementation Plan blong Policy ia.
4. Approvum blong NRIMDC I conductem ol RIM woksops mo ol trening blong sapotem Policy ia.

Tankio,


Armstrong Masanga
Aking Sekreteri



CC: Hon. Praem Minista
Hon. DPM



Thank you!

Any Questions







Code of Practice on Records & Information Management



Aim

- To set out the practices which government agencies and relevant private entities should follow in relation to the creation, keeping, management and destruction of their records; and
- To describe the arrangements which government agencies and relevant private entities should follow in reviewing public records and transferring them to the National Archives of Vanuatu



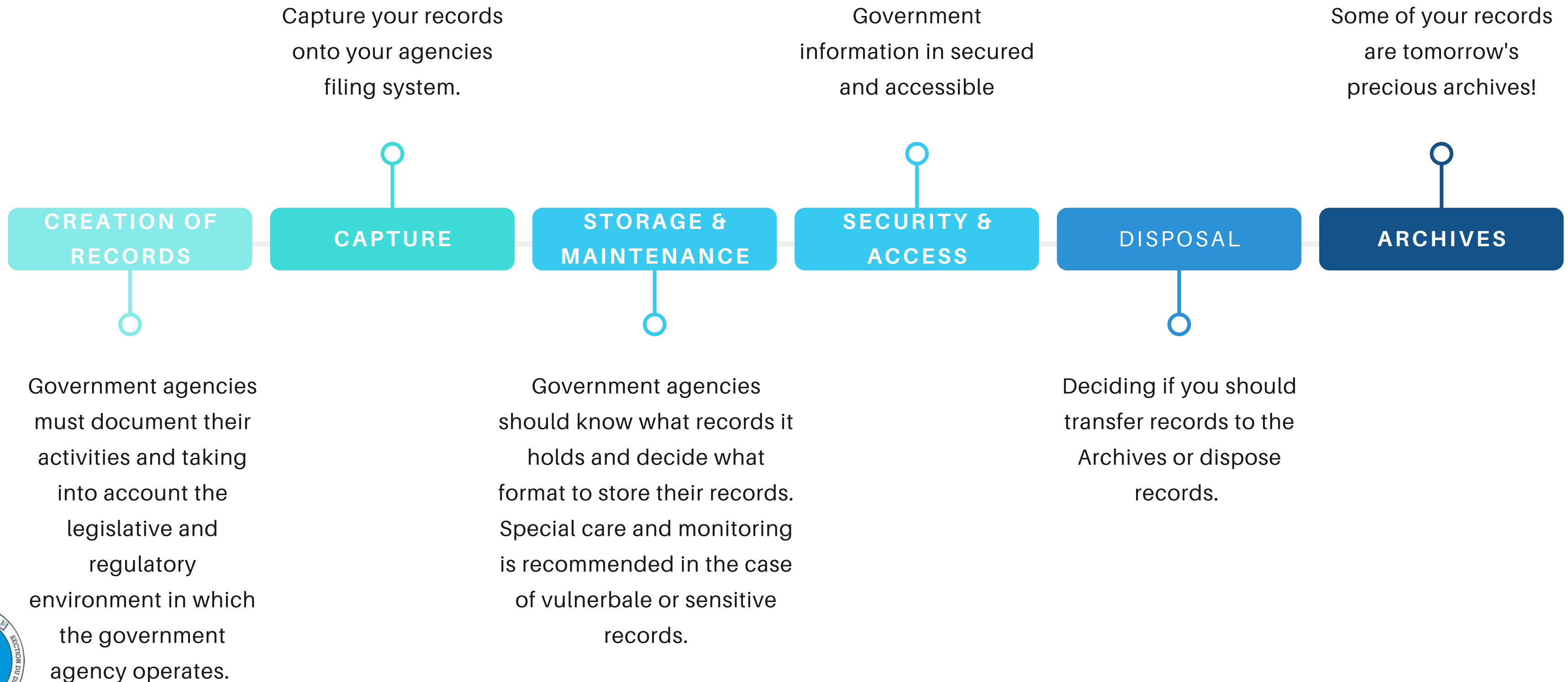
Scope of the Code

- The scope of the Code applies to all records irrespective of the technology used to create and store them or type of information they contain. It includes, therefore, not only paper file series and digital records management systems but also business and information systems and contents of websites.



LIFE CYCLE OF RECORDS

From Creation to Archives



Creation of records

Government agencies must document its activities in respect of records management.



- Be **factual, consistent and accurate**
- be **meaningful**-the record can be understood because of the information it contains and/or the linkages that ensure the context in which the records were created and used is apparent
- contain only the amount of information or context it needs to be meaningful and does not include **irrelevant information**.
- have **context**-the record includes metadata and information that shows the business, legal and social context, relationships to other records, record systems and those who create, manage and use records
- be **authentic**-it can be proven and trusted to be what it says it is and to have been created, used, transmitted in the way and by the person (or agency) that is says it was created, used or transmitted by
- be **secure**-protected to prevent unauthorised access, alteration and removal
- be **accessible**-can be located and accessed as required

Filing systems



Reliability

It should be capable of continuous and regular operation in accordance with established guidelines and procedures.

Integrity

Access and security measures should be in place to prevent unauthorized access, destruction, alteration or removal of records

Compliance

It should be managed to comply with all requirements arising from the legal and regulatory environment and business, and expectations in which the agency operates

Comprehensiveness

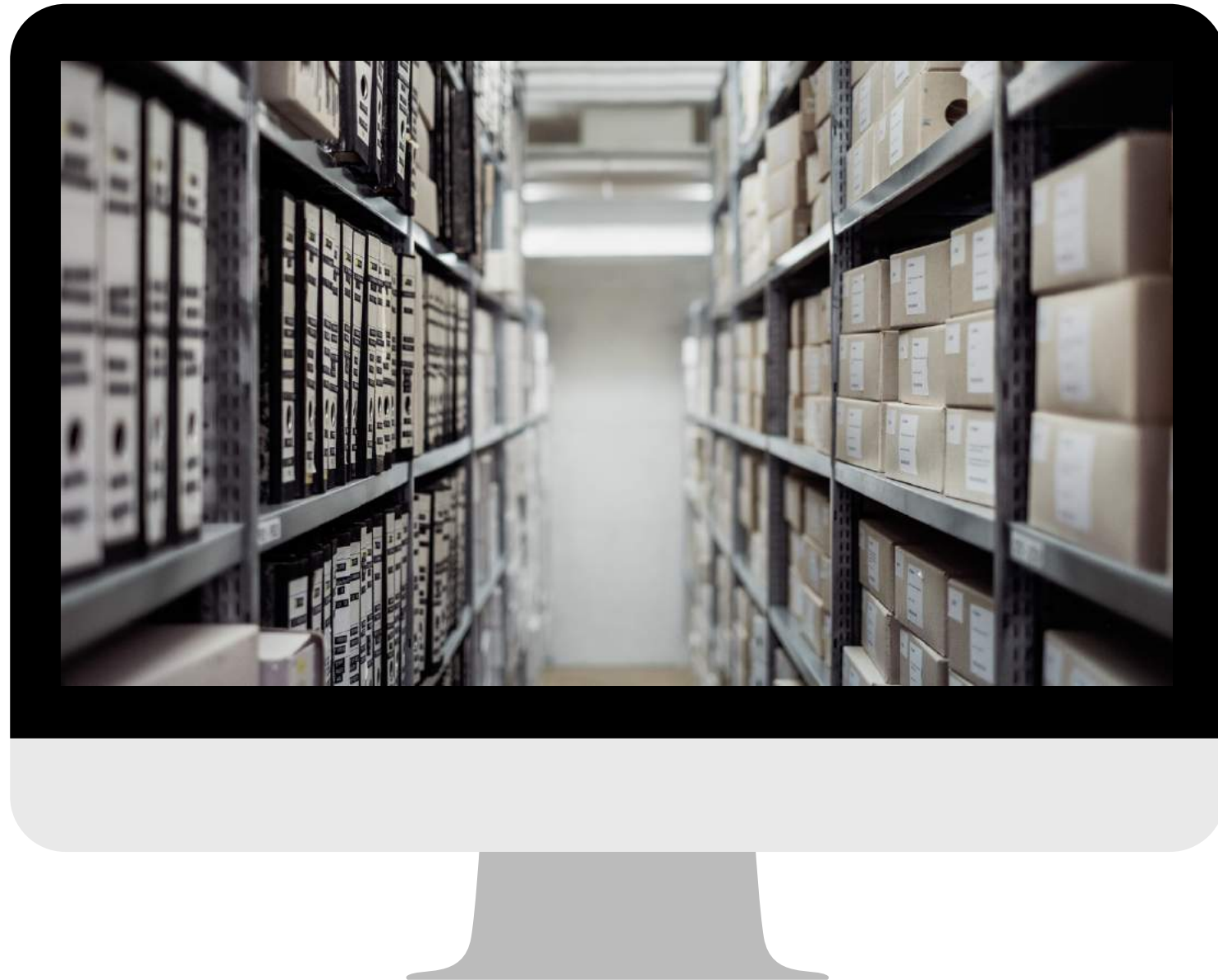
It should be able to manage records in any formats captured from different activities and transactions of the agency

Systematic

It should be able to capture, maintain and manage records systematically



Storage & Maintenance of Records



- Know what records your agency holds and where they are.
- Decide which format to store electronic records and manual records.
- Special care and monitoring is recommended in the case of vulnerable and sensitive material and paper files.
- Consider keeping back up copies.
- All information held by the government is treated the same for purposes of RTI.

Security & Access

- Government agencies and relevant private entities should have an information security policy in place
- Restrict access where necessary especially to personal data or confidential information.
- Keep record of who has accessed the records and when records have been transferred to another location to enable access to the records.
- Access should be granted according to RTI procedures if a RTI request is made.



Monitoring & Evaluation

- Undertake compliance monitoring to ensure that the records management processes and controls are being implemented
- Consider arrangements to deal with loss or unauthorized destruction of records.
- Progress on records management activities should be provided in the RTI Officers report to the RTI Unit on a monthly basis. RTI Officers Monthly report submitted must include information on the agency's compliance with statutory duties related to records management



Records Management Training

- Regular training of government officials on records management requirements and practices
- Records officers must receive training on records management concepts, principles and practices
- Records management training should be provided to staff at the appropriate timing to facilitate their work.



Disposal of Records

The decision as to whether the record should be destroyed or transferred to the National Archives.

- Records should be kept as long as they are needed by the government agency or relevant private entity
- Do not keep records after they have ceased to be of use to the government agency or relevant private entity unless:
 - It has outstanding litigation purposes
 - Long term historical value to the agency
 - Contains information recently released in response to a request under RTI.



Public archives not to be disposed of without authority of the archivist

*No person shall dispose of, or authorize the destruction or other disposal of any public archives without the consent of the Archivist.



Destruction of Routine Public Archives

- The Archivist may authorize the immediate destruction, or the destruction after the expiration of such specified time as may be agreed upon between the Archivist and the head of the Government office concerned, of any specified classes of public archives that -
 - By reason of their number, kind or routine nature do not in his opinion possess any enduring value for preservation in the National Archives as public archives; and
 - Are not required for reference purposes in any Government office after action on them is completed, or
 - after the expiration of such period of years from the date on which action on them is completed as may
 - be agreed upon between the Archivist and the head of the Government concerned.



Documenting the destruction of records

- Details of destruction of records should be kept
- It should be possible to provide evidence that a records has been destroyed as part of routine records management processes
destruction



Transfer of records to National Archives

Public archives of Vanuatu which are considered worth permanent preservation shall be deposited and preserved in the National Archives.

- All public records of the age of fifteen years or over (other than those which are under any Act are required to be held in the custody of a specified person or Government office) which in the opinion of the Archivist are of sufficient value to warrant their preservation as -
- Evidence of the organisation, functions and transactions of the Government office in which they were originally made or received; or
- Evidence of public or private personal or property rights or civic rights; or
- Containing historical or general information.
- Shall be transferred to the custody of the Archivist and be deposited in the National Archives.



Deposit of Public Archives less than fifteen years of age

- The Archivist may allow the deposit in the National Archives of public archives of less than fifteen years of age if he considers that they are of sufficient value for deposit.
- Any deposit of public archives may be subject to any special conditions imposed by the head of the Government office making the deposit.



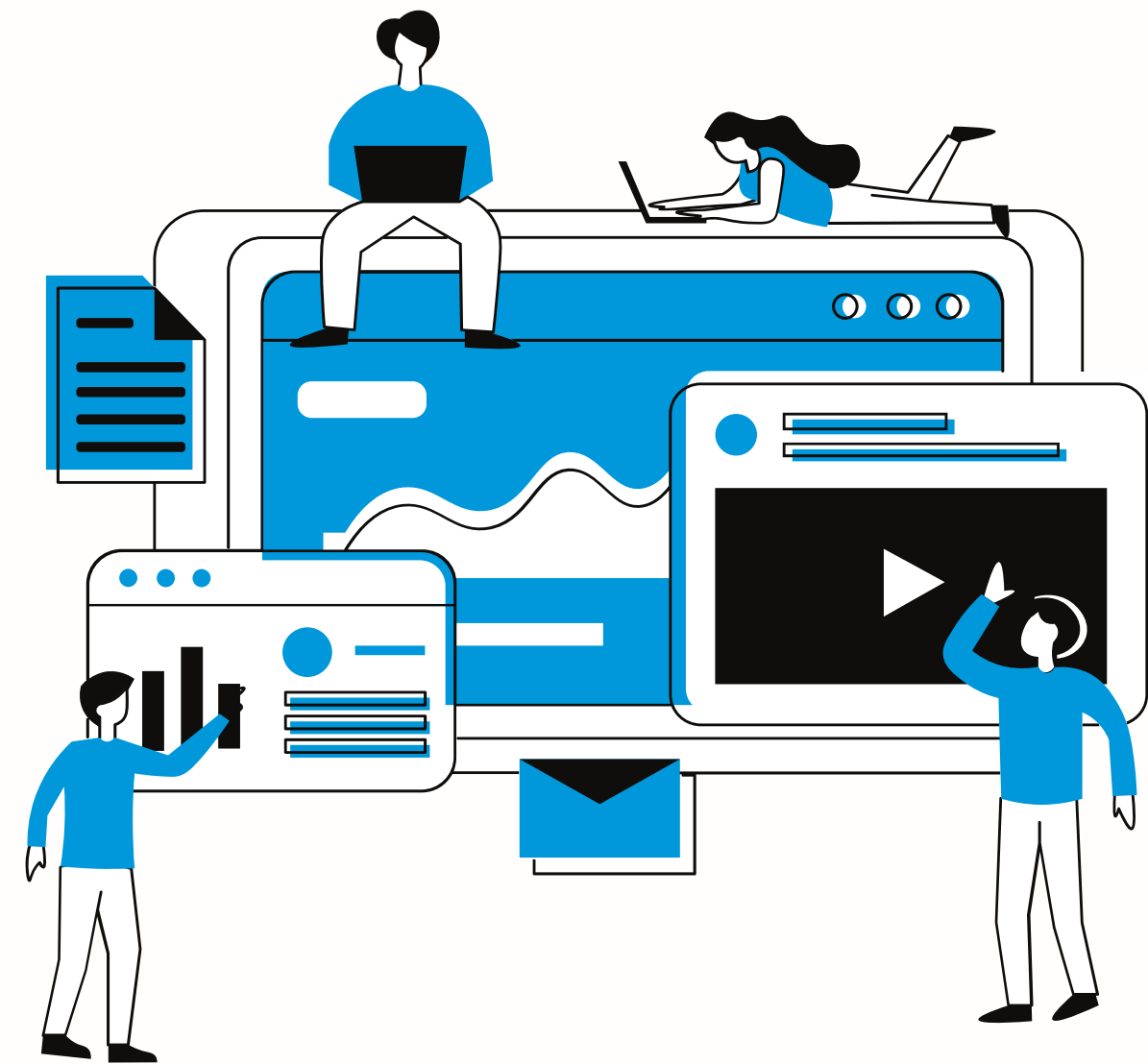
Access after transfer of public records

- All archives deposited in the National Archives shall be available for public reference.
- No actions described in the Code of Practice affects the statutory right of access to information established under the RTI Act.
- When an information ceases to be exempt under RTI the records will become automatically available to members of the public.
- If an agency wishes to extend the exempt period, it may do so according to section 51 of the RTI Act.



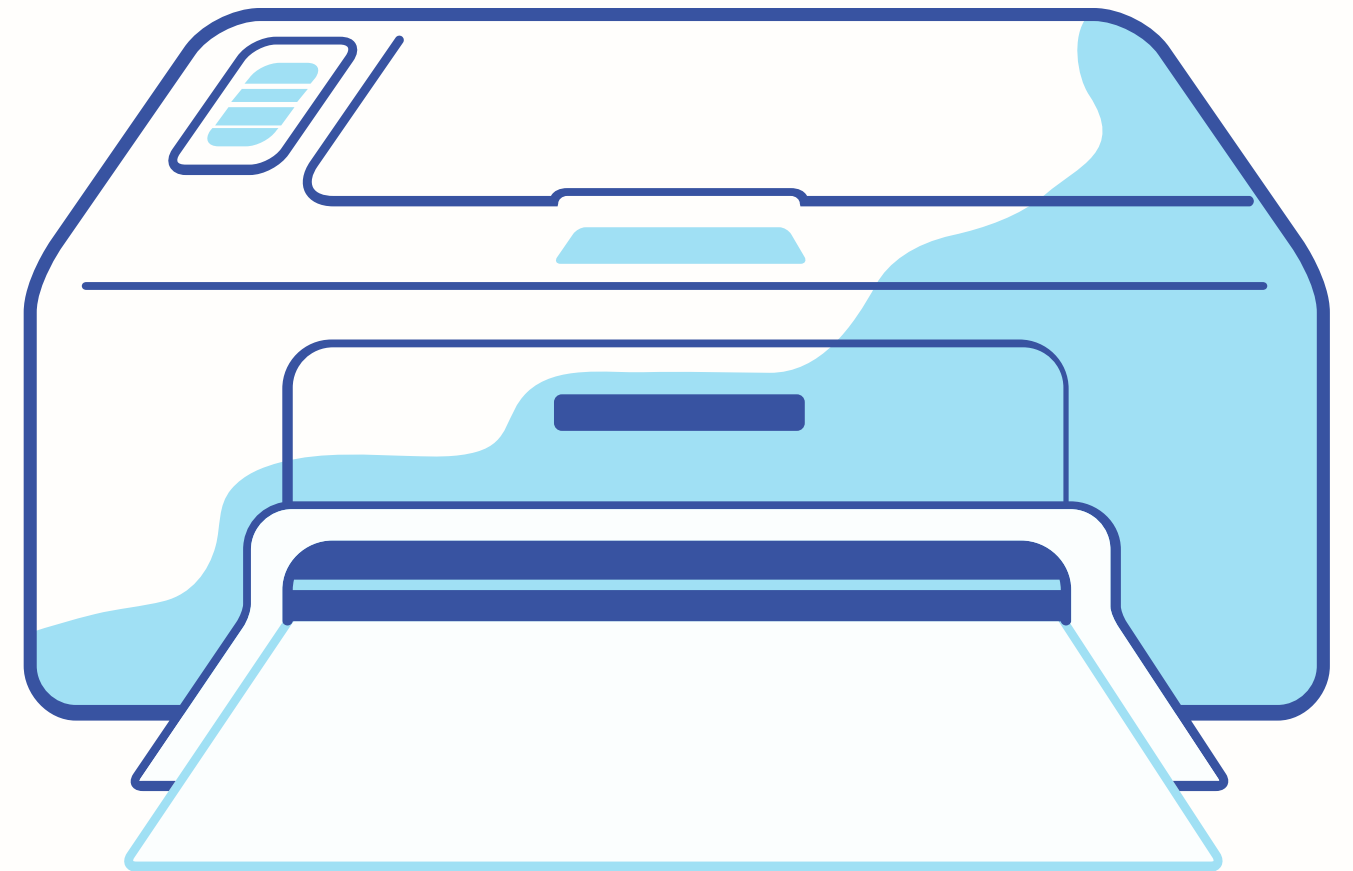
Digitization

Subject to the availability of resources, a Government agency or a relevant private entity must, within a reasonable time, cause as many records as possible to be digitized and made available through a country-wide network.



Scanning

- Prepare documents for scanning
- Document Handling Training
- Support documents
- Page turning, unfolding corners
- Staples, pins, paperclips
- Keeping documents in order
- Scanning area
- Use gloves, tools, cleaning liquids and related items
- Scanning equipment
- Image capture and quality
- File format
- Metadata



Recordkeeping systems

An appropriate recordkeeping should:

- Contain logical, organized naming conventions that can be followed by all staff;
- Ensure the preservation and accessibility of records over time;
- Protect against accidental or unauthorized access, alteration, copying, movement or deletion;
- Minimize duplicate storage of records; and
- Permit the retention requirements of information schedules to be applied accurately and efficiently.



Recordkeeping systems

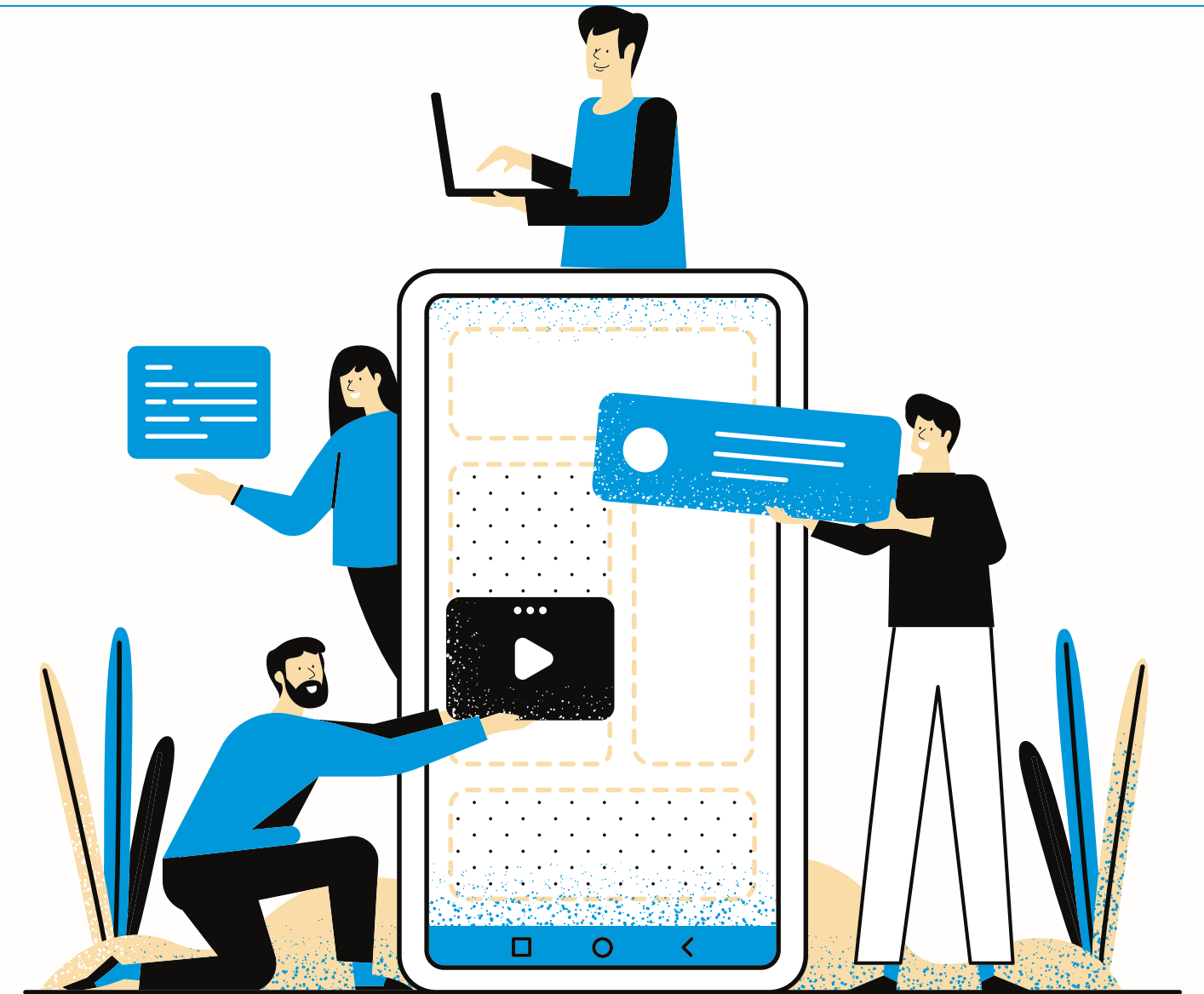
Responsibilities

- **Employees**

at all levels are responsible for managing government information in the course of their work. Employees are responsible for documenting their work by ensuring key records they create or receive are filed in the appropriate recordkeeping system.

- **Government Bodies**

should clearly define roles and responsibilities for information management within their respective organizations. This can include designating staff to champion and promote information management. Such staff should be at a sufficiently senior level and have relevant knowledge and skills. They should also have clear authority, and clear, committed and ongoing Senior Executive support, respecting all aspects of information management, including the adoption and administration of recordkeeping systems.



Thank you!

Right To Information Unit
Department of Strategic Policy, Planning and Aid Coordination
Ministry of the Prime Minister
PMB 9053, Port Vila, Vanuatu
Tel: 23150 | VOIP: 2680 | Email: navitij@vanuatu.gov.vu
|<https://rti.gov.vu/>

