



What is a Record?

- * Record in writing
- * Document, manuscript of file
- * A film(including microfilm), negative, microfiche and facsimile copy of a document
- * A map, plan, graph or drawing
- * 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?

- * Better decision making
- * Improves efficiency in accessing records
- * Protects Government information
- * Minimizes litigation risks
- * Ensures Regulatory Compliance



Poor Records Management

- * Poor decision making
- * Waste of resources & money
- * Inability to locate information when needed
- * Time consuming to locate a record
- * Loss and destruction of records
- * Legal action if difficult to produce records in a timely fashion



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.



Policy Objectives



Access

- * 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



Security

- * 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



Legal and Regulatory Framework

- * 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.
- * 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



Disposal, Deletion & Transfer of Records

- * To ensure all government agencies, relevant private entities and private entities understand their responsibility under the Archives Act.
- * 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.
- * Republic of Vanuatu: Archives Act No. 13 of 1992



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.



Duties & Responsibilities

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.



Duties & Responsibilities

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.



Duties & Responsibilities

All public officers

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.



Duties & Responsibilities

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 Government's 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



Duties & Responsibilities

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.



Duties & Responsibilities

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.



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.





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

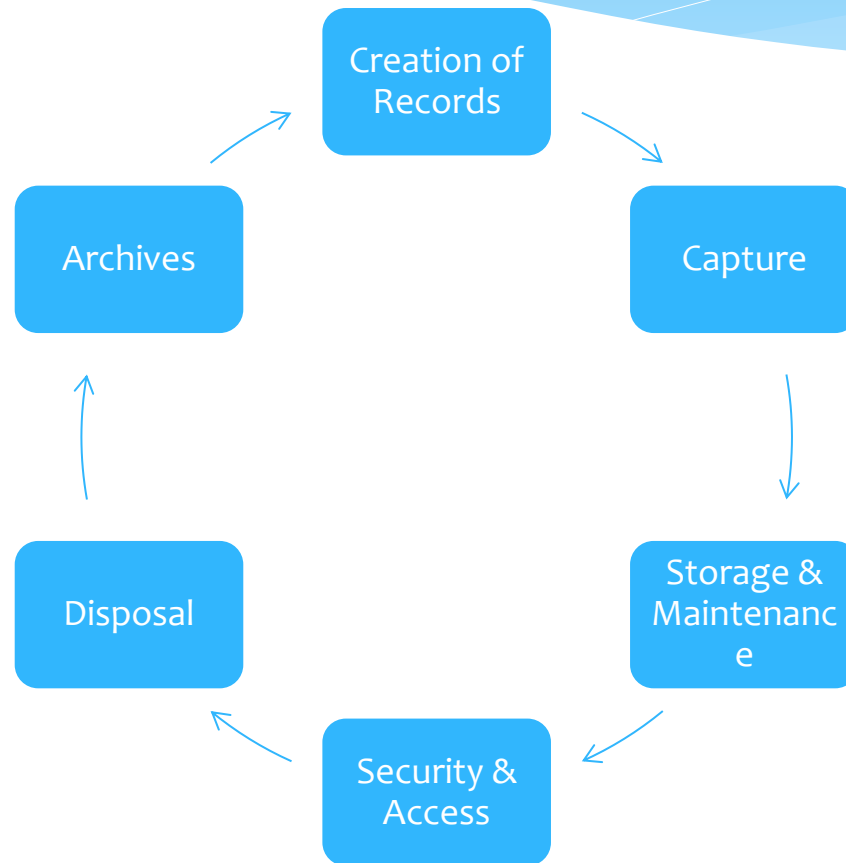


Scope of the Code

- * 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



Creation of Records

- * Government agencies and relevant private entities must have in place a process for documenting its activities in respect of records management. This should take into account the legislative and regulatory environment in which the government agency or relevant private entity operates.
- * Records of operational activities should be complete and accurate in order to allow employees and their successors to undertake appropriate actions in the context of their responsibilities, to facilitate an audit of the agency or entity by anyone so authorized, to protect legal and other rights of the government agency or relevant private entity, its staff and any other affected by its actions and provide authentication of the records so that evidence derived from them is shown to be creditable and authoritative.
- * Records created by the government agency or relevant private entity should be arranged in a record-keeping system that will enable the organization to obtain maximum benefit from the quick and easy retrieval of information.



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 organization operates;
- * **Comprehensiveness:** It should be able to manage records in any formats captured from different activities and transactions of the organization; and
- * **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. Records should remain useable.
- * Decide the format for the storage of records. Ensure that appropriate storage and preservation arrangements are in place.
- * Special care and monitoring for vulnerable or sensitive material and paper files. Consider keeping back-up copies of digital files in a separate secure location.
- * Regardless of location of records, access should be made in a fast and efficient manner.



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



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

- * Disposal means 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 Destroyed or Disposed of Without the Authority of the Archivist

- * No person shall destroy or otherwise dispose of, or authorize the destruction or other disposal of, any public archives of any kind whatsoever that are in his possession or under his control, except with the consent of
- * 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

- * 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.



Archives not in the National Archives

- * The Archivist may from time to time inspect, any public records or public archives that are for the time being in the possession or under the control of any Government office and give instructions as to their safe preservation and such advice as to their efficient and economical administration and management as he considers necessary.



Return of Public Archives to Government Office

- * Where the head of the Government office by which any public archives was deposited in the National Archives or head of the successor of that Government office, satisfied the Archivist that the public archives is required for use in that Government office, the Archivist shall return the public archives to the custody of that Government office for such period as may be agreed upon between the Archivist and head of the Government office, and subject to such conditions as the Archivist may impose to ensure the safe custody and preservation of that public archives during the time it is kept in the Government office.



Public Archives & Records to be surrendered on Demand

- * Where any public archives or public record (being an archives or a record that is the property of the Government) is in the custody or possession of any person, other than a Government office, a public officer or other person authorized to have such custody or possession in his official capacity, and the original of that public archives or public record is not in the possession of any Government office or deposited in the National Archives, that person shall, on demand in writing by the Archivist, deposit that public archives or public record in the National Archives.



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.





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