2023

LUGANVILLE **RECORDS &**
INFORMATION MANAGEMENT

SURVEY

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Introduction

The RTI Unit has conducted a number of workshops which include Records Management and best practices to manage Government records. As part of the best practices in Records Management the Council of Ministers has endorsed a National Records Management Policy in 2018. The RTI Unit has also published a Code of Practice on Records and Information Management as a requirement of the RTI Act.

Following on from workshops facilitated by the Right to Information Unit, the Unit commenced a records Management baseline assessments in different Government agencies. Regular monitoring of records management, and an organisation-wide program for information governance is beneficial for all public offices.

As such, the RTI Unit began this assessment in Sanma Province in June 2023. This is a report on the status of records management in Sanma Province.

The RTI Unit wishes to thank all Heads of Departments in Sanma Province for allowing the Unit to conduct the survey in their agencies.

Legal Requirements

SCORE **37%**

15%

Records & Information management Policy

15% of respondents said that their agency has a Records & Information Management Policy.

69%

File Plan

69% of respondents said that their agency has in place a file plan.

8%

Disposal Schedule

8% of respondents said that their agency has a disposal schedule for physical files only.

Creation and Capture

SCORE **33%**

33%

Policies for Documentation

33% of respondents said that their records management program produced policies or guidelines for documenting: telephone discussions, oral decisions, commitments, Meetings, Voice mail.

Storage

SCORE **33%**

46%

Sufficient Storage Space

46% of respondents said that they have well organized file storage facilities with sufficient space which makes retrieval of filed information simple and straight forward.

46%

Identification of Vital Records

46% of respondents said that their agencies have identified and listed its vital records.

SCORE

8% — Disaster Recovery Plan —

8% of the respondents said that their agency has a disaster recovery plan for records.

8% — Provision for Electronic Records —

8% of the respondents said that their disaster recovery plan makes provisions for electronic records.

42% — Integrity of Paper Records —

42% of respondents identified measures being taken to protect the integrity of paper records.

69% — Storage of Inactive Records —

69% of respondents said they have storage spaces for their inactive records; some respondents said that they stored in their inactive records in their archive/storage rooms, and some respondents said that their records were send to Port Vila for storage after having them digitalized.

SCORE   **Disposal**   **7%**

9% — Culling —

9% of respondents said that they had undertaken culling and disposal activities under authorize disposal schedules and the Archives Act.

0% — Estimation of the Volume of Records Disposed —

0% of the respondents were able to estimate what volume of their agency's records were covered by disposal schedules.

SCORE

8% — Disposal Status

8% of respondents said that the they have disposal status of records that identify when they are created; Paper-based records and electronic records.
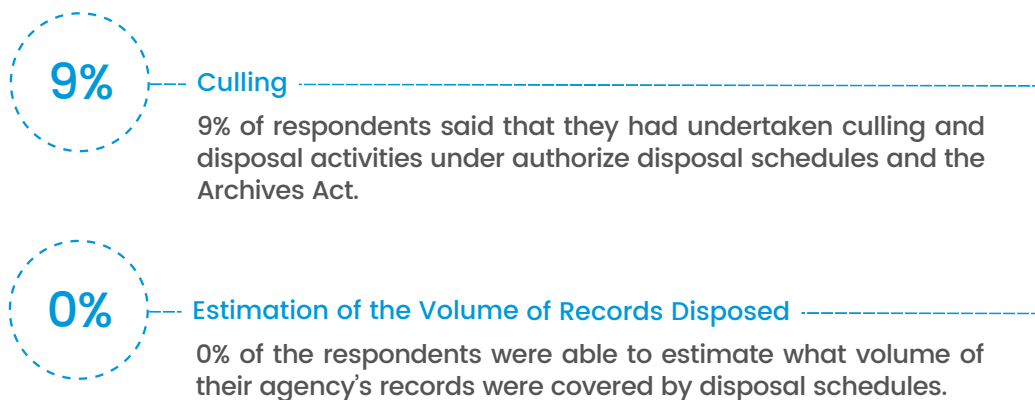
8% — Documented Procedures for Disposal

8% of respondents said that they have documented procedures for disposal.

8% — Documentation of Disposal Actions

8% of respondents said that their disposal actions (eg transfer of records to the National Archives) is documented.

SCORE   **Control**   **60%**

58% — Classification Scheme

58% of respondents said that their agency has a classification scheme, file plan or filing index derived from analysis of business activity.

62% — Controlled Vocabulary Classification for Paper Based Records

62% of respondents said that they use controlled vocabulary in the classification of Paper based records.

69% — Controlled Vocabulary Classification for Electronic Records

69% of respondents said that they use controlled vocabulary used in the classification of Electronic records.

54% — Monitoring of Paper Based Files

54% of respondents said that they have procedures that monitor the movement of paper-based files within the **agency**; management system, registry process, recorded manually and other procedures.

SCORE

58% — Registry of Access to Records

58% of respondents said that these procedures enabled the agency to know who had access to all records.

SCORE **Training** **55%**

31% — Staff Training

31% of respondents said that their staff were provided with training about agency recordkeeping practices and the use of agency records and systems.

33% — Training Provider

33% of respondents said that training was provided to agency staff; **25%** said that training was provided during their induction program and **8%** said that they received software training in office systems.

100% — Skills Audit and Needs Analysis

While **8%** of respondents said they receive occasional Skills audit and needs analysis of their records management staff, and it must also be noted that the performance of all public officers is appraised annually by the Office of the Public Service.

SCORE **Electronic Recordkeeping** **37%**

15% — Guidelines

15% of the respondents indicated that their agency has developed a guideline for their electronic records (electronic messages included), while **85%** of the respondents said that they use other methods.
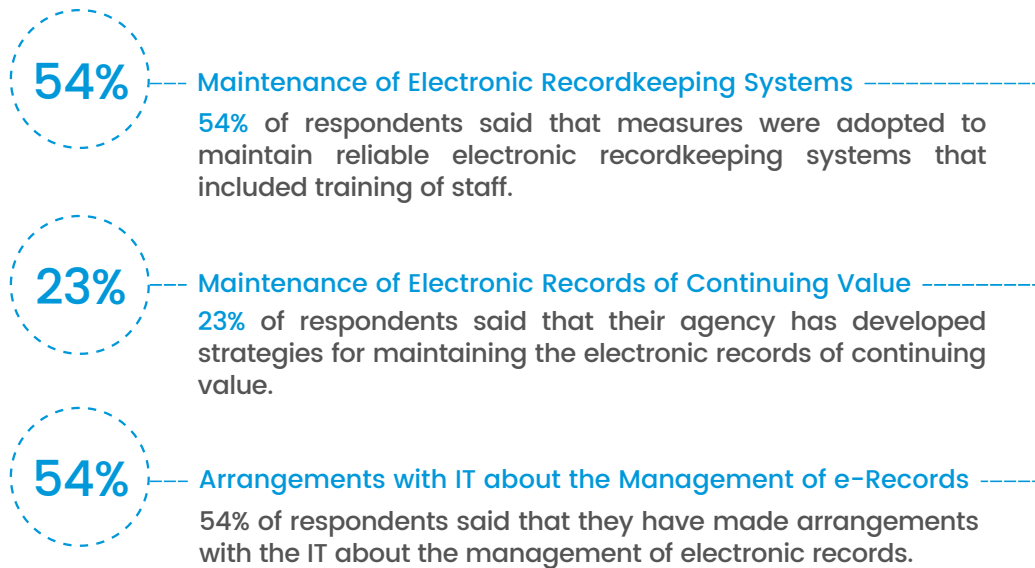
39% — Storage Type

39% of respondents answered that their electronic records are saved as information within directory structures while **31%** of of respondents said that their electronic records are captured directly into an electronic recordkeeping system.
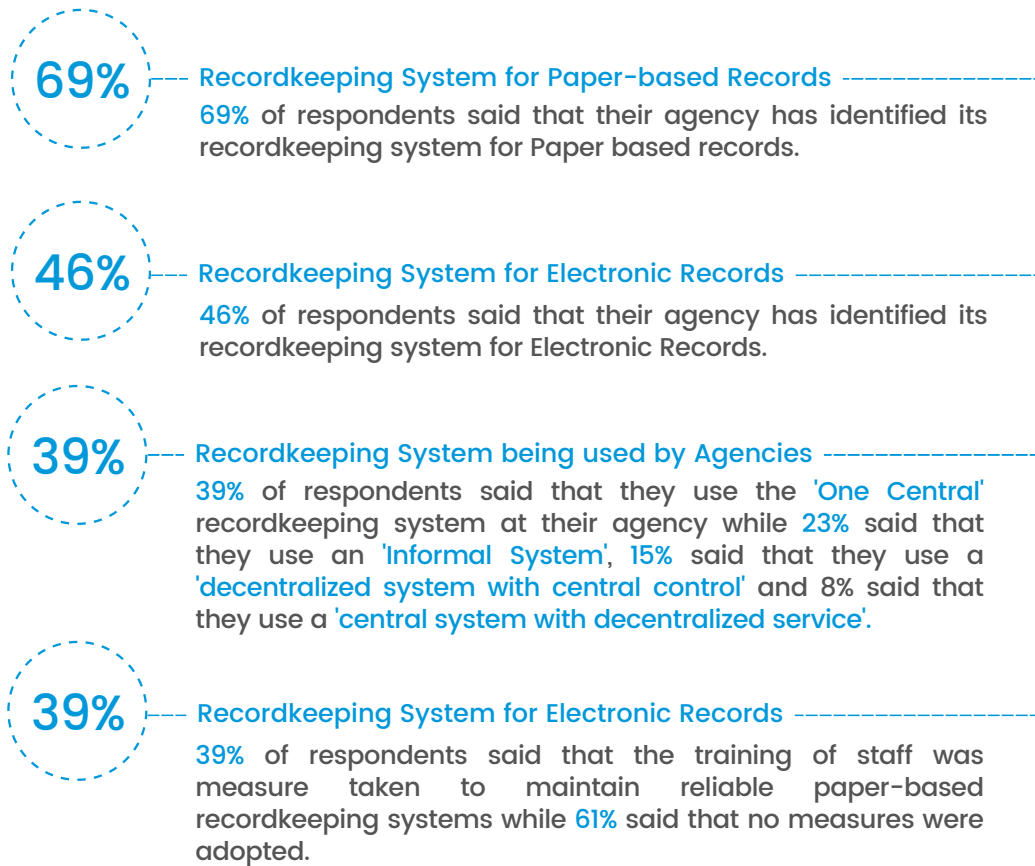
SCORE

54% — Maintenance of Electronic Recordkeeping Systems ————

54% of respondents said that measures were adopted to maintain reliable electronic recordkeeping systems that included training of staff.

23% — Maintenance of Electronic Records of Continuing Value ————

23% of respondents said that their agency has developed strategies for maintaining the electronic records of continuing value.

54% — Arrangements with IT about the Management of e-Records ————

54% of respondents said that they have made arrangements with the IT about the management of electronic records.

SCORE ⚙ **Recordkeeping Systems** **48%**

69% — Recordkeeping System for Paper-based Records ————

69% of respondents said that their agency has identified its recordkeeping system for Paper based records.

46% — Recordkeeping System for Electronic Records ————

46% of respondents said that their agency has identified its recordkeeping system for Electronic Records.

39% — Recordkeeping System being used by Agencies ————

39% of respondents said that they use the 'One Central' recordkeeping system at their agency while **23%** said that they use an 'Informal System', **15%** said that they use a 'decentralized system with central control' and 8% said that they use a 'central system with decentralized service'.

39% — Recordkeeping System for Electronic Records ————

39% of respondents said that the training of staff was measure taken to maintain reliable paper-based recordkeeping systems while **61%** said that no measures were adopted.
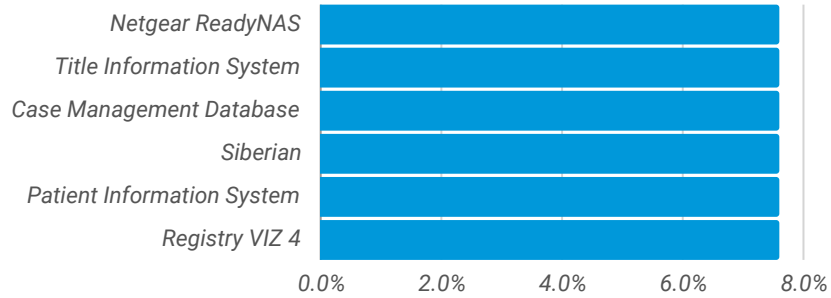
SCORE   **Electronic Document Management**   **48%**

46%

Electronic Document Management Systems

46% of respondents said that they use an electronic document management system while **54%** said that they do not a use electronic management system.

Netgear ReadyNAS	
Title Information System	
Case Management Database	
Siberian	
Patient Information System	
Registry VIZ 4	

0.0%   2.0%   4.0%   6.0%   8.0%

31%

Guidelines for Electronic Document Management Systems

31% of respondents that have an electronic document management system said that their agency has produced guidelines for electronic document management.

Challenges

The survey identified several challenges that affected the practice of good records and information management by government agencies in Luganville.

These challenges are listed in order of importance:

- Lack of sufficient storage space.
- Lack of recordkeeping training/workshops.
- Lack of recordkeeping procedures.
- Lack of security and procedure of the management of electronic records.
- Disruptions to Government Internet Network
- Lack of Performance by Officers
- Lack of Support by Management
- Lack of maintenance of electronic equipment (computers).

Way Forward

The respondents were given the opportunity to provide a way forward from the challenges mentioned above.

The 'way forward' is listed below in order of importance:

- Establish central storage facilities for government agencies in Luganville.
- Invest in secure and decentralized electronic records management systems.
- Recruit additional 'records' staff for provincial offices.
- Decentralized information systems in provinces for easier access to records.
- Expand existing archives and storage facilities in Luganville.
- Encourage capacity building program in the area of RIM.
- SOPs for RIM must be developed.

Conclusion

The Records and Information Management survey in Sanma proved that there are still a lot of work to be done. Agencies need to develop policies to manage their physical and electronic records. The National Records and Information Management Policy is available online (www.rti.gov.vu) to help agencies develop their policies.

Since Vanuatu is prone to natural disasters all Government agencies need to develop disaster recovery plans to ensure Government records are kept safe during and after a disaster. Most agencies in Sanma province currently do not have a disaster management plan for records and information management.

This survey also sees the need to have more trainings on records and information management in Sanma province to help officers with their duties. The RTI Unit will ensure a training is provided soon for officers in Sanma Province.

Agencies should continue to venture into electronic document management to capture electronic records which is increasingly being produced in all Government agencies.

The findings of the survey can be accessed on the RTI Unit website (www.rti.gov.vu).