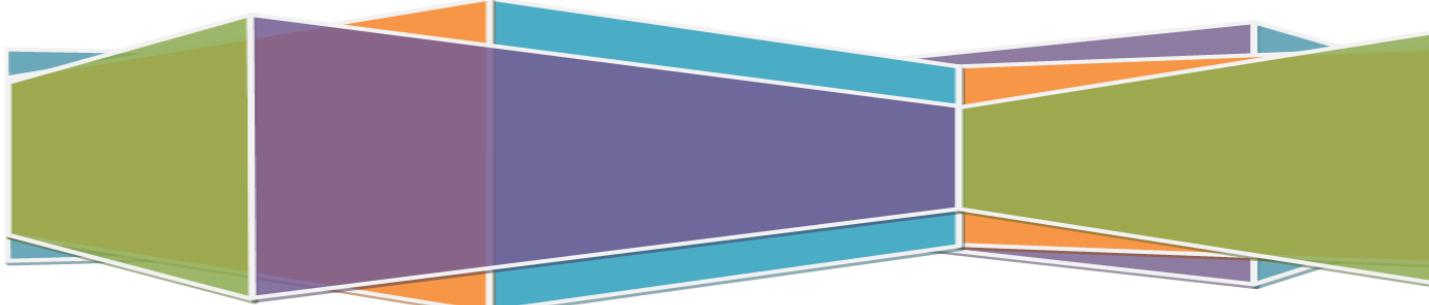




Government of Samoa
Ministry of Education and Culture

NATIONAL RECORDKEEPING POLICY 2024 - 2029



National Recordkeeping Policy

Policy 2024 - 2029

MINISTRY OF EDUCATION AND CULTURE

VISION: *National Archives are safeguarded, preserved and promoted through innovative means, to ensure their accessibility in the future.*

ACKNOWLEDGEMENT

This Policy is made possible through the collaborative efforts and support from the Ministry's key stakeholders and partners.

The National Recordkeeping Policy is one of the policy areas identified in the Samoa National Archives and Records Framework which provides guidance to records and archives management.

We acknowledge the trust and support of the Government of Samoa to the Ministry of Education and Culture through its National Archives and Records (NARA) Division to design and provide guidance to all government ministries and public entities on methods and systems of recordkeeping.

We acknowledge the financial support of our Donor Partners the Governments of New Zealand and Australia through our Education Sector.

We also acknowledge the valuable contribution and input by Afamasaga Dr Karoline Afamasaga - Fuata'i in the development of this Policy.

LIST OF ACRONYMS

CoBP	Code of Best Practice
CARS	Common Administrative Retention Schedule
ICA	International Council on Archives
ISO	International Standards Organisation
MEC	Ministry of Education and Culture
MOW	Memory of the World
MOWCAP	Memory of the World Committee for Asia Pacific
NARA	National Archives and Records Authority
NARF	National Archives and Records Framework
NRP	National Recordkeeping Policy
PARBICA	Pacific Regional Branch of International Council on Archives
PASP	Public Administration Sector Plan
PIMA	Pacific Islands Museums Association
SWA	Samoa Water Authority
UNESCO	United Nations Educational, Scientific and Cultural Organisation

DEFINITIONS OF TERMS

Accessibility	Accessibility refers to the quality of being easy to obtain or use archival information.
Appraisal	Appraisal refers to the act of assessing archival records.
Archival materials	Archival materials refer to records or collections of historical materials or resources documenting the past like old newspapers, photos, books, music, CDs, DVDs, microfilms or documents.
Archives	The International Council on Archives (ICA) defines archives as the documentary by-product of human activity retained for their long term value.
Archivist	An archivist is a person who maintains and is in charge of archives.
At risk	At risk refers to records exposed to harm or danger.
Authentic	Authentic is defined “as of undisputed origin”
Authenticity	Authenticity refers to the quality of being authentic, that is, the quality is undisputedly original.
Code of Best Practice (CoBP)	A set of procedures and processes for best practices in recordkeeping and archives.
Decommission	Decommission refers to the removing of archival materials from space of origin to archives.
Documentary Heritage	A Documentary Heritage is a fundamental inheritance of our culture and historical memory that must be transmitted to future generations in the best possible condition.
Good Governance	Good governance describes how public institutions conduct public affairs and manage public resources in the preferred way.
Longevity	Longevity refers to the prolonging life of an archival preservation document or digital age of an image.
Official transaction	Official transaction refers to the official transfer of archival materials.
Preservation	Preservation refers to the action of preserving at risk archival records.
Public Entities¹	The Public Records Act 2011 defines Public Entities as any Court, Ministry, Department, Commission, Committee, Board, Corporation, Agency or any other

¹ Public Records Act 2011

organisation of the Government of Samoa.

Record²	Record means any document or other source of information compiled, recorded or stored in written form or on film, or by any form of electronic process, or in any other manner or by any other means for the purpose of documenting an event or circumstance, whether or not it is to be used for future reference.
Recordkeeping	The process of keeping records from creating, identifying, appraising, collecting and salvaging whether it is current (records), old (archives) or at risk (digitisation).
Safeguarding	Safeguarding refers to protecting archival materials from harm or damage.
Salvage Original order	Salvage refers to saving a shattered record from being destroyed.
Permanent record	Permanent record is a record that has long term value that can be of reference in the future and will later be archive.
Temporary record	Temporary record is a record that has no long term value and it can be destroyed after certain years in alignment with retention period as shown in CARS.

² ibid

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FOREWORD



It gives me great pleasure to present the National Recordkeeping Policy (NRP) 2024 - 2029.

The Government of Samoa is committed to improving standards of recordkeeping across all government ministries and public entities.

Strong systems for the creation and management of records are key foundations of good business practices, as well as essentials to good governance and collective memory of our country's cultures and heritage.

Samoa is one participating country member in Category A who is very much involved with its commitment for recordkeeping management through collaboration with international and regional partners such as the International Council on Archives (ICA), International Standards on Records Management (ISO 154890) and Pacific Regional Branch International Council on Archives (PARBICA). The Public Records Act 2011 provides guidelines on how to establish strong records management systems in government ministries and public entities.

The PARBICA Toolkit, International Standards and Public Record Act 2011 collectively emphasise the importance of having the NRP to achieve good recordkeeping and good governance. The PARBICA Toolkit, ISO 15489, the Standards and Toolkit were designed to meet the on-going generic need for recordkeeping. The Standards are useful to provide comprehensive advice to help staff with routine, yet critical recordkeeping work. These Standards provide an internationally accepted framework to assist managers set up and maintain best practice recordkeeping systems. Having a policy will greatly help to enhance government ministries and public entities greater understanding of the importance of managing records well, and sets the broad standards that all government ministries and public entities should follow to achieve good records management.

This policy aims to address, promote and manage records efficiently and appropriately in order to preserve Samoa's collective historical memory and heritage for our future generations.

Hon. Seu'ula Ioane Tuā'au
Minister of Education and Culture

1. INTRODUCTION

Samoa is a Member of the International Council on Archives (ICA) and Pacific Regional Branch of International Council on Archives (PARBICA). Samoa's Code of Best Practice (COBP) and Common Administrative Retention Schedule (CARS) were developed for archives in Samoa to align with the international standards specified by ICA and PARBICA.

The Samoa Public Records Act 2011 establishes the National Archives and Records Authority (NARA) and provides the purpose and requirements of records and archives management. The Act gives NARA the authority to salvage and collect materials with archival value from government ministries and public entities which will collectively form the archives of the nation. The National Recordkeeping Policy (NRP) is linked to the National Archives and Records Framework (NARF) under Goal 1: Recordkeeping in Institutions.

With this clear link to the Framework, the NRP provides guidance for the effective coordination of good recordkeeping and management processes in classifying, collecting, appraising, preserving, maintaining, and making records accessible to the public. This is related to its commitment as aforementioned in making sure that a good recordkeeping management system is well maintained and accessible for all.

This policy therefore provides clear guidelines to all government ministries and public entities (custodians) through collaborations to strengthen Good Records Management processes to ensure efficient and effective methods, procedures and systems for the creation, management, storage, disposal, and transfer of archival value records to NARA. NRP ensures that relevant documents relating to Samoa's heritage, cultures and history are preserved for future generations.

2. PURPOSE

NRP is designed to provide guidance to the NARA staff, government ministries and public entities on the implementation of the record system as stipulated in key records management documents such as the CobP and the CARS in classifying common records, identifying archives, and preparing the process of transferring archival materials to NARA.

NRP ensures that NARA provides awareness programs on good recordkeeping practices during the life cycle of temporary and permanent records with archival value. For example the life cycle of records is a 4 phase process starting from its first phase which is the Creation of the record, second phase is Close the record with the third phase as Appraise the record and fourth phase is Identify archival materials and transfer to NARA. Records that have archival value will be stored for different purposes while those with no value will be disregarded. This NRP emphasizes the importance of effective collaborations between NARA and government ministries/public entities.

3. GUIDING PRINCIPLES

The NRP is derived from the vision that “*National Archives are safeguarded, preserved and promoted through innovative means, to ensure their accessibility in the future.*” (*National Archives and Records Framework 2022 - 2032*).

It is also underpinned by the following guiding principles as stipulated in the NARF.

3.1 Participation

Enhance government ministries’ and public entities’ participation in creating, classifying, managing, appraising, disposing, identifying, and transferring records to NARA using the existing recordkeeping system.

3.2 Rule of Law

Enhance alignment with the Public Records Act 2011, and the key records management documents such as CoBP, CARS, PARBICA Toolkit and the Universal Declaration on Archives, ISO 15489.

3.3 Authenticity

Enhance the authenticity of a record by ensuring the preservation of the original document and its original order, (i.e. file number and its administrative relationship between the creating agency and the record regardless of department name changing during the life cycle of the record).

3.4 Relevance

Strengthen collaboration with all government ministries and public entities to assure alignment and consistency of recordkeeping system as outlined by CoBP and CARS.

3.5 Transparency

Enhance the transparency of NRP through distribution to all government ministries, public entities and general public upon request and also available on MEC Website.

3.6 Equity and Inclusiveness

Ensure access for NARA staff to government ministries and public entities records in compliance with recordkeeping for good governance.

3.7 Effectiveness and efficiency

Strengthen the monitoring, evaluation and review of the implementation of NRP by government ministries and public entities.

3.8 Accountability

Ensure efficient recordkeeping system for decision-making and good governance.

3.9 Gender Sensitivity

Assure the accessibility of NRP for all despite their gender.

3.10 Sustainability

Strengthen the recordkeeping and management for good governance through complete adherence to recordkeeping system procedures and processes.

3.11 Partnerships and Collaboration

Encourage networking in collaboration and coordination with government ministries and public entities including regional and international partners.

4. POLICY STATEMENTS

The government is committed to achieving best practices for its recordkeeping to support informed decision making and good governance. To do this, NRP aims to progressively improve recordkeeping and management in order to comply with International Standards (ISO 15489).

Records provide important historical information and constitute a significant part of our nation's history. They help in the understanding of our national identity and progress as a sovereign nation. All current government ministries' and public entities' business transactions are recorded and are classified permanent or temporary records. Permanent or archival valued records will be selected as part of the on-going collection of archival resources of a nation and should be managed to ensure that they can be retained for the benefit of future generations.

To ensure that the government gains maximum benefit from its information resources, this policy requires all government ministries and public entities to ensure that the following 3 policy statements are effectively implemented.

4.1 Documentary Heritage (Memory of the World).

To integrate the Documentary Heritage (Memory of the World) into the National Planning Framework (Strategy for the Development of Samoa (SDS)):

Strategy 1: Consult with the Education Sector and the National Planning Committee regularly as needed, to ensure inclusion of the DHMW in SDS.

Strategy 2: Establish a National Memory of the World Committee

4.2 *Public Records Act 2011.*

To enforce the Public Records Act 2011 through the establishment of a National Committee and development of regulations and amendments of the Act:

Strategy 1: Establish a National Recordkeeping Steering Committee and Reactivate the existing NARA Board.

Strategy 2: Review from time to time the CoBP and CARS to ensure alignment with international recordkeeping standards and relevance in the context of Samoa.

Strategy 3: Coordinate Records Task Force meetings to improve recordkeeping for good governance.

Strategy 4: Develop regulations and amendments of the Act.

4.3 *Compliance with CoBP and CARS.*

To ensure safeguarding, filing, classifying, storing records, and accessing them are compliant with the CoBP and CARS.

Strategy 1: Strengthen national coordination of Government ministries and public entities through capacity building programs/workshops.

Strategy 2: Lead, through the provision of regular programs/workshops for government ministries and public entities, to raise awareness and improve the implementation of their roles and responsibilities as outlined in the Public Records Act 2011.

Strategy 3: Conduct monitoring and evaluation to ensure compliance with the implementation of CARS and CoBP across government ministries and public entities.

5. APPLICATION AND SCOPE

NRP applies to all government ministries, public entities, NARA staff, record-keepers, and all who are tasked with the management of temporary and permanent records. It also applies to other formats that are created or received by government officers and public entities in the course of their duties.

A record is evidence of an official transaction or decision. If any government or entity carries out business, whether in writing or by email – including from a private email account - the documents that arise from these, are official records and must be managed according to the policy.

6. ROLES AND RESPONSIBILITIES

Recordkeeping is everyone's responsibility. All Government officers and public entities are held responsible for ensuring that full and accurate records are created and managed within their respective government ministries and public entities. These records are to be kept for as long as they are needed for administrative, accountability and historical purposes.

6.1 NATIONAL RECORDKEEPING STEERING COMMITTEE

Members should be CEOs of leading ministries of Sectors.

6.1.1 Chief Executive Officers

All heads of Ministries and Public Entities have responsibilities to:

- Endorse this policy to be used in their organisation;
- Ensure that all staff in their organisation know about and understand this policy;
- Promote compliance by all staff with the policy;
- Impose disciplinary action against staff who do not comply with the policy;
- Assign responsibility for the management of their organisation's records to a Senior Officer;
- Endorse the procurement of relevant records management resources and recruitment of staff within their organisation;
- Monitor and evaluate the records management performance of their organisation;
- Authorise destruction of records with no long term value after consultation with NARA;
- Authorise the transfer of archival records to NARA;
- Advise and recommend government ministries and public entities to transfer severely damaged archival records to avoid destruction or loss of government assets; and
- Make staff available for recordkeeping training when required.

6.2 NATIONAL RECORDS TASK FORCE (RTF)

The role of the RTF and its members (should be ACEOs/Senior Managers) are to:

- Ensure this policy is introduced and used within their respective work places;
- Ensure all staff comply with the policy;
- Lead in the process of transferring of archival records to NARA;
- Ensure the standard record system as outlined within this policy is well implemented; and
- Review CoBP and CARS to ensure alignment with international recordkeeping standards.

6.2.1 Senior Corporate Managers

The Chief Executive Officers may assign this role to a Chief Information Officer or the Head of the Corporate Services or a Senior Records Manager.

The officer assigned to take responsibility for records management within the organisation must:

- Develop and implement strategies and procedures to manage the organisation's records;
- Ensure that all strategies and procedures take account of all laws, regulations and standards that apply to the organisation;
- Support CEO in ensuring compliance with this policy;
- Initiate adequate training and advise on recordkeeping;
- Review the policy;
- Ensure safekeeping of the approved standardized file index (CARS); and
- Ensure proper processes are followed before destruction.

6.3 STAFFING IN MINISTRIES AND SOEs

6.3.1 Records Managers/Supervisors:

All Managers and supervisors within the organisation must:

- Ensure that their staff are aware of and understand this policy;
- Ensure that they and their staff comply with this policy and with any procedures issued by the appropriate Service Manager;
- Conduct on-the-job training on recordkeeping based on CoBP/CARS; and
- Ensure the accurate documentation of records to be transferred as in accordance with CoBP/CARS.

6.3.2 Records Staff

Records staff are responsible for daily management of the organisation's records as follows:

- Comply with this policy and follow any procedure for records management issued by the corporate manager; and
- Provide service to the public and internal staff on records management in alliance with this policy.

6.3.3 Information and Technology Staff

Many transaction systems within Government ministries and public entities are used to carry out business, which means that they may create evidence of the ministry's or entity's actions and decisions that should be preserved as records. This is especially true of email systems, therefore Information and Communication Technology staff must ensure that:

- They **MUST** consult with records supervisor/manager before they decommission information technology system;
- Any information technology system that stores government information or records **MUST** have backups;
- The Information technology system is upgraded on a timely basis; and

- Policies, procedures and systems are in place to protect government information from inappropriate access or destruction.

6.4 NATIONAL ARCHIVES AND RECORDS AUTHORITY (NARA)

NARA is the leading government agency responsible for enforcing the implementation of the existing standardized records system to monitor and assist government ministries and public entities to meet its recordkeeping responsibilities. To achieve this, NARA staff will have the following responsibilities:

6.4.1 ACEO NARA

The role of the ACEO NARA is to:

- Support the CEO in ensuring compliance with this policy;
- Provide advice to government ministries and public entities on how to comply with this policy;
- Ensure all strategies and procedures take account of all laws, regulations and standards that apply to NARA;
- Authorize clearance on transfer of archive/archival collections from government ministries and public entities which have met all transfer requirements of the process;
- Lead the review of NRP;
- Ensure that staffs have adequate trainings on recordkeeping; and
- Chair RTF meetings to discuss methods and advice on recordkeeping practices to improve good governance.

6.4.2 Principal Recordkeeping Officer (PRO)

The role of the PRO is to liaise with all government ministries and public entities pertaining to all matters concerning recordkeeping for good governance. Therefore, PRO must:

- Conduct awareness workshops and trainings for all government ministries and public entities on CoBP and CARS;
- Consult with managers to determine which records can be responsibly destroyed and which must be retained as part of the archival resource of the nation;
- Conduct training workshops on the process of Transferring archives;
- Conduct classification workshops for all government ministries and public entities;
- Carry out monitoring visits on the implementation of standardized CoBP and CARS to all government ministries and public entities;
- Identify documentary Heritage for MOW nominations; and
- Refine archival collection before authorization of Transfer by ACEO NARA.

6.4.3 Recordkeeping staff

Recordkeeping staff will have the following responsibilities:

- Comply with the NRP and with any other recordkeeping procedures issued by the ministry;
- Take RTF minutes of meetings;
- Ensure records are handled with care so they are not lost, damaged or destroyed;
- Ensure procedures and processes are followed before access to records;
- Assist in liaising with government ministries in regards to recordkeeping;
- Conduct final check of transferred collections before approval for repository;
- Assist in monitoring visits on the implementation of the standardized system (CoBP /CARS);
- Ensure processes and procedures for destructions of records by government ministries and public entities are followed; and
- Assist in organizing and preparation of our annual celebration for International Archives Day.

7. MONITORING AND EVALUATION

This policy will be regularly monitored and reviewed in consultation with government ministries and public entities to ensure that it remains relevant to all. In addition, senior officers who are responsible for recordkeeping in each government ministry and public entity should regularly monitor their compliance with this policy and report the result to the NARA when required.

MEC through the NARA division is responsible for ensuring the implementation of the NRP. This is reflected in the Monitoring and Evaluation Framework in Appendix 4.

8. REFERENCES

1. Ministry of Education and Culture. (2008). *Code of Best of Practice 2008*.
2. Archives New Zealand. (2006). *Recordkeeping Resource Kit, 2 August 2006, Continuum*.
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4. Ministry of Education and Culture. (2008). *Common Administrative Retention Schedule, 2008*.
5. PARBICA. (2009). *Recordkeeping for Good Governance Toolkit, 2009*.
6. International Council on Archives website. <https://www.ica.org/en>
7. Memory of the World Committee for Asia and the Pacific website. <https://www.mowcapunesco.org>
8. Universal Declaration on Archives (2002). website. <https://www.ica.org/en/universal-declaration-archives>

9. ENDORSEMENT



Certificate of Endorsement

Effective Date: _____

Review Year: _____

SIGNED AND APPROVE BY THE HONOURABLE MINISTER

A blue ink signature of the Hon. Seu'ula Ioane Tu'a'u.

HON. SEU'ULA IOANE TUĀ'AU

A handwritten date in blue ink, reading "18/3".

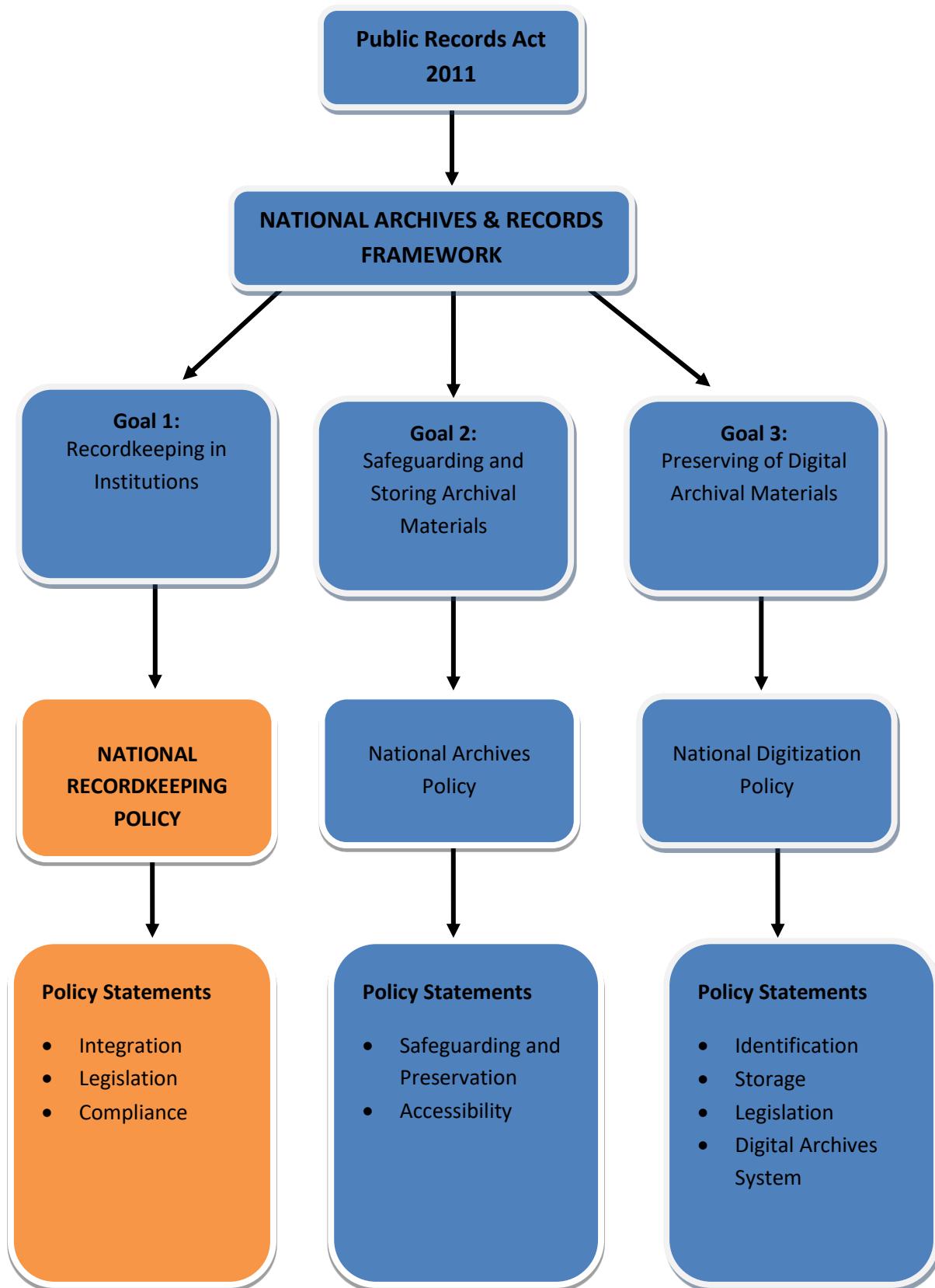
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10. APPENDICES

Appendix 1: Risk Management Plan

Risk/Activity	Risk Level	Implications	Mitigation Plan
Full understanding of NRP	Moderate to High	Inconsistency of understanding of the NRP	Strengthen Ministries and Public Entities awareness of NRP
Full understanding of Policies & Strategies	Moderate to High	Inconsistency of implementing the policy	Conduct awareness workshops in collaboration with ministries and public entities to enhance understanding of policy contents
Monitoring	Moderate to High	Policy areas cannot be implemented in planned timeframe	Regular review of Strategies
NRP goals not achieved	High	Ineffective implementation of the policy	Consultation to address implementation issues. Review of NRP

Appendix 2: National Archives and Records Framework Structure



Appendix 3: Implementation Plan

Phase	Action	Timeframe	Responsible Ministry/Organization
Strategic Phase	Policy Formulation	Mar 2020- Jul 2021	NARA & PPRD
Endorsement Phase to finalize NRP	On-going follow up	Aug 2021 – Dec 2023	MEC CORE, NPCC & Cabinet
Awareness Phase	Conduct workshops with key stakeholders	July – Dec 2024	NARA & PPRD
Implementation Phase	Implement Strategies	2024-2029	MEC & Stakeholders
Review Phase	Evaluate/Conduct review on the effectiveness of policy implementation.	2028/2029	MEC & Stakeholders

Appendix 4: Monitoring & Evaluation Framework

POLICY MONITORING & EVALUATION FRAMEWORK													
National Recordkeeping Policy (NRP) 2024 - 2029													
SDG INDICATOR	SDS KEY OUTCOME	GOALS	STRATEGY	OUTCOME	INDICATOR	BASELINE DATA	Year 1 Target FY 24/25	Year 2 Target FY 25/26	Year 3 Target FY 26/27	Year 4 Target FY 27/28	Year 5 Target FY 28/29	MEANS OF VERIFICATION	DIVISION
		Goal 1: Implementing Identifying and Collecting Archival Materials	Integration	Current records well managed and safekeeping of archival materials	Documentary Heritage is integrated in the SDS Key Outcome Areas	N/A	Identify archival collection /document for nomination	Identify suitable members of the Memory of the World National Committee	Establish National Memory of the World Committee	Prepare first draft of the Memory of the World nomination application	Completed Finalize nomination and submit	NEW SDS	NARA
		Enforce existing Legislation	Compliance from Government Ministries and Public Entities improved	National Recordkeeping Steering Committee established and conduct meetings	N/A	Steering Committee established	Quarterly meetings 4	Quarterly meetings	quarterly meetings	quarterly meetings	quarterly meetings	AMP Report	NARA
				CoBP and CARS reviewed regularly to align with international recordkeeping standards	N/A		1 st review conducted				2 nd review conducted	Review Report & NARA AMP	NARA
				Records Task Force Meetings coordinated	6meetings year	6 RTF meetings	6RTF meetings	6RTF meetings	6RTF meetings	6RTF meetings	AMP Report	NARA	
				Awareness programs and workshops for government ministries and public entities conducted	3awareness workshops	2Monitoring visits	3awareness	2 monitoring visits	3awareness workshops	2monitoring visits	AMP report	NARA	
			Ensure compliance with CoBP and CARS	Number of ministries/public entities identified and deposited to NARA	3 ministries	5 ministries	5 ministries	5 ministries	5 ministries	5 ministries	AMP Report	NARA	

					Number of archive boxes transferred to NARA	150 boxes	150 archive boxes	Increase 5%	Increase 5%	Increase 5%	Increase 5%	NARA AMP	NARA
					Ongoing Implementation of CoBP and CARS	50 ministries and Public Entities	10 ministries and public entities	AMP Report .	NARA				