

National University of Samoa



# NUS RECORDS MANAGEMENT POLICY

Ver 1.6

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## Records Management Policy

### 1 Preamble

This policy seeks to ensure that the University's Personal files and Non-Personal files, especially those that are required for compliance with the law, are retained for the prescribed period of time. In addition, this Policy seeks to ensure that the University's records, which document the history of the University are preserved.

### 2 Purpose

To provide a framework and assign responsibilities for ensuring that full and accurate records of the operative activities of the University are maintained and disposed of in accordance with best practice.

The University is committed to establishing and maintaining recordkeeping practices that meet legislative, regulating and business requirements of the University. These include in the *Government of Samoa – Code of Best Practice – Records Management November 2006*.

### 3 Legislation and Standards

- *Common Administrative Retention Schedules of the Government of Samoa, September 2007*
- *Code of Best Practice – Records Management November 2006*
- *Public Records 2011 of Samoa*
- *International Standard ISO 15489, Information and Documentation – Records Management, Geneva, 2001*

### 4 Scope

All University staff or anyone performing work for or on behalf of the University (including contractors, consultants and volunteers) are subject to this policy.

All information created or received by any University staff during the course of their duties on behalf of the University, kept and managed in the forms of records, regardless of format (i.e. both physical and electronic, including emails), are covered by this policy.

### 5 Definitions

<i>NUS Records</i>	means information, in its original form or otherwise, including (without limitation) documents, signatures, seals, text, images, sound, speech, or data created, received and/or maintained by, or on behalf of NUS in the conduct of its affairs. Records can be compiled, recorded or stored in written form on any material, including film, negative, tape, or any other reproducible medium, or by means of recording devices, computers or any other electronic device or process which makes them machine-readable.
<i>Archives</i>	refer to records older than ten years containing permanent historical information. These records are stored in the archives room.
<i>Active record</i>	refers to a record needed for daily administrative and/or operational functions. It refers to a record from the date of creation up to two years old. This record is kept in the office of origin; Temporary Record Document that can be disposed of as valueless after a predetermined active period.
<i>Permanent Record</i>	refer to records older than five years containing

permanent historical information. These records are stored in the archives room.

*Electronic Record* means a record maintained on a NUS network, email server, back-up tape, CD-ROM, hard drive, or data storage location.

*Metadata* Structured information that describes and/or allows users to find, manage, control, understand or preserve other information over time. Metadata is attached to records when they are created and added to as a result of different processes such as sentencing and disposal.

*ESRO* Executive Secretariat Records Officer

*File Classification*

*Schemes* Developing a File Classification Scheme is the process of identifying the category or categories of business activities and the records they generate and grouping them, if applicable, into files to facilitate retrieval, description, control, links and determine their disposition and access status.

Records are grouped together for the following reasons:

- to keep documents of a similar theme together
- to make it easier to find the information we are looking for
- to provide a context for individual documents and records
- to identify the ownership or management responsibility for a group of records

## 6 Policy Statement

All staff of the University, its affiliated organisations and any organisation contracted to deliver services on NUS's behalf will create and maintain accurate and complete records of the NUS's activity, in accordance with NUS Records Manual and Procedures approved in 2017, and capture these records within the NUS File Classification Scheme approved in 2016. The destruction and transfer of NUS records must be determined using NUS Records Retention Schedule approved in 2016.

### 6.1 Records must be made

Records are to be created to document or facilitate the transactions of all NUS activities. The originator or person who originally created or received the record is responsible for capturing the record into the NUS File Classification Scheme. Records must be stored safely and securely on appropriate media or hardware, in suitable formats and locations, with appropriate backup.

### 6.2 Records must be accurate

Records must be complete, accurately and align with the NUS File Classification Scheme once created or received.

### 6.3 Records must be authentic

Records should be unique, original, and only created and captured once to meet their specific purpose. One hard copy and one e-copy must be kept or created.

#### 6.4 Records must have integrity

Access to records must be controlled and managed. Records must be accessible to authorized staff but must also be protected from theft, misuse, modification, damage and/or loss; while still being accessible over time. In accordance with the NUS Records Retention Schedule, certain classes of records will automatically be appraised for historical or legacy value by the University's Executive Secretariat Records Officer at the time of sentencing – custody of these records will pass to the Main Archives at this time.

#### 6.5 Records must be accessible and useable

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 NUS Records Retention Schedule. The records should facilitate action by University staff at any level and by their successors and to protect the financial, legal and other rights of the University, and any others affected by its actions and decisions.

#### 6.6 Records must be disposed of appropriately

Managed metadata for disposal of records must be generated or captured, and managed systematically for as long as required to account for the disposal. Records must be disposed of regularly in accordance with the NUS Records Retention Schedule and using the NUS Records Manual and Procedures – Guideline 14 and 15. Records must not be destroyed if they are required in relation to a pending or current investigation, grievance or legal dispute.

### 7 Ownership:

All records created or received by NUS staff in the course of their duties on behalf of the NUS are owned by the NUS and subject to its control. Employees leaving the University or changing positions within it must undertake clearance of their recordkeeping responsibilities with their manager.

### 8 University's Responsibilities

The Vice-Chancellor has ultimate responsibility for ensuring that the NUS meets its statutory and accountability obligations in recordkeeping. The oversight of the administration of NUS records is vested with the Executive Secretariat Records Officer.

### 9 Staff Responsibilities

*Heads of School/Department, Deans, Managers and Directors are responsible for:*

- Ensuring that funds and resources are available for the provision of a records management programme that meets the requirements of this policy.
- Ensuring that staff are aware of NUS Records Management Policy, NUS File Classification Scheme, NUS Retention Schedule and NUS Records Manual and Procedures.
- Ensuring that appropriate records are created and maintained in their area of responsibility.
- Ensuring that electronic records are created and managed following the NUS File Classification Scheme and electronic naming.
- Assigning recordkeeping responsibilities and ensuring that staff know where to go for assistance.

*The Executive Secretariat Records Officer is responsible for:*

- Coordinating recordkeeping activities and liaise with staff for the promotion of good recordkeeping practices.
- Assisting in the improvement of recordkeeping work practices including the implementation of the classification structure and retention schedules in the work environment.
- Providing user support on electronic records and document
- Coordinating with NUS Departments or Faculties for the lodgement, storage, retrieval and retention of physical records.
- Coordinating the appraisal and disposal of records in accordance with the standard procedures.
- identify records under CARS for historical or specific archival value at the time of sentencing in accordance with the *Code of Best Practice – Records Management November 2006*.
- Delivering document management training to ensure effective and compliant recordkeeping within the Government of Samoa filing system.
- Providing advice, user training and guidance on recordkeeping as required.

*All NUS staff are responsible for:*

- Complying with NUS Records Management Policy.
- Creating, capturing and managing accurate and complete records in relation to their University duties, including keeping records of work processes individual to the relevant department.
- Maintaining records using the approved format, naming conventions and storage units; and in accordance with the NUS Records Management Procedures.
- Ensuring that personal or duplicate physical non-records are clearly separated from records.
- Ensuring that electronic records are created and managed following the NUS File Classification Scheme
- Appropriately storing records to ensure that they are securely stored and accessible over time.
- Keeping records according to the NUS Retention Schedule and not relinquishing control over, destroying or removing records without authority.
- Ensuring that records are only destroyed or transferred by following the established procedures for disposal of records, and liaising with the ESRO when advice is required.
- Preventing any unauthorised access to records and ensuring that personal or sensitive information is protected.

#### **References:**

- *Common Administrative Retention Schedules of the Government of Samoa*
- *Code of Best Practice – Records Management November 2006*
- *Public Records Act 2011 of Samoa*
- *International Standard ISO 15489, Information and Documentation – Records Management, Geneva, 2001*
- *Records Management Policy, Massey University, Auckland, New Zealand*
- *Records Management Policy, Rochester Institute of Technology, NY, USA*
- *Records Management Policy, University of Canterbury, Christchurch, New Zealand*
- *Records Management Policy, University of Tasmania, Australia*

## Document Version and History Control Table

Version	Action	Approval Authority	Date
1.3	Creation of policy to address records management agenda of the University	Vice-Chancellor Committee	

Policy will be revised in 2019