




Global  
Green Growth  
Institute

## RULES ON RECORDS MANAGEMENT

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Version:	1	Queries:	Administrative Services Unit and Legal Services Unit

## 1. GENERAL

- 1.1. **Policy Rationale.** Records are created, received and used in the conduct of GGGI activities. Records create and record legal obligations and serve as GGGI's institutional memory, providing evidence of its actions and decisions. They represent a vital asset to support GGGI's functions and operations and ensure consistency, continuity, efficiency and productivity in program delivery, management and administration. In addition, GGGI's Disclosure Policy acknowledges that public access to information is a key component of effective participation of all stakeholders and will increase understanding and support of the GGGI's mission. Accordingly, it is critical to create and maintain authentic, reliable and useable records, and protect the integrity of those records for as long as required for operational, accountability and compliance purposes.
- 1.2. **Purpose.** The purpose of these *Rules on Records Management* (the "Rules") is to establish rules and procedures for registering, storing, managing and disposing of records and define general responsibilities and obligations.
- 1.3. **Basis.** These Rules are issued in accordance with: (i) Regulation 8.7 of the Financial Regulations approved by the Council, which empowers the Director-General to prescribe, maintain and safeguard financial and accounting records against damage, destruction, unauthorized access and removal; (ii) Section 9.8 of the Finance Policies and Procedures implementing the Financial Regulations, which provides that GGGI will establish a document retention and destruction policy that will be applicable to the retention and destruction of, among other documents, accounting records and other financial records; and (iii) GGGI's Disclosure Policy, which applies to all recorded information in possession of or maintained by the GGGI.
- 1.4. **Green Records Management.** GGGI is committed to promoting sustainability in its day-to-day operations and implementing green office practices across all GGGI offices. Accordingly, GGGI staff should strive to minimize creation and use of paper-based records as much as possible in accordance with these Rules.
- 1.5. **Scope.** These Rules apply to all GGGI records, wherever located and by whomsoever held, which are or have been created or received in the course of GGGI business by staff members, consultants, contractors and other staff of GGGI. They apply to all forms of records in whatever medium, including records written on paper or stored in electronic form (including e-mail) or as a sound, visual or audio-visual recording.
- 1.6. **Implementation.** The Deputy Director-General and Head of the Operations Enabling Division ("DDG-OED") will issue guidelines and Retention Schedules to implement these Rules.
- 1.7. **Periodic Review.** These Rules shall be periodically reviewed to ensure that they reflect the current business needs and best practices among international organizations.

## 2. DEFINITIONS

- a. *Central Archives*: place for storage and preservation of records, whether paper or digital, after the expiry of the retention period, which provides adequate protection for the records from damage and unauthorized access.
- b. *DDG-OED*: Deputy Director-General and Head of the Operations Enabling Division.
- c. *Destruction*: permanent elimination of records in accordance with the applicable Retention Schedules.
- d. *Disclosure Policy* means GGGI's Disclosure Policy, approved by the Council and in force from time to time;
- e. *Disposal*: actions taken with regard to records at the expiry of their retentions periods. These actions can be either destruction or permanent preservation (transfer to GGGI's central archives).
- f. *Essential Records*: records that meet any of the conditions set out in paragraph 3.1.
- g. *Legal*: Legal Services Unit of the Operations Enabling Division.
- h. *Metadata*: data describing context, content and structure of records and their management through time.
- i. *Non-Essential Records*: records that do not meet any of the conditions set out in paragraph 3.1.
- j. *Owner Unit*: Unit or Country Office which is mainly responsible for the contents of records and/or whose function is most closely related to the contents of such records.
- k. *Permanent Records*: records that need to be preserved permanently for their evidential, legal or historical value as determined by the Owner Unit in consultation with Governance Department or Legal, as appropriate.
- l. *Records*: any information, regardless of their form or medium, created or received by GGGI within the framework of its official activities.
- m. *Records Management System (RMS)*: electronic records management systems established by GGGI, which capture, manage and provide access to records through time.
- n. *Registration*: act of storing records in the RMS and assigning a unique identifier and metadata to such records in accordance with Section 4.
- o. *Retention Schedule*: a document approved by DDG-OED that defines records to be kept as well as minimum retention periods and consequent Disposal actions authorized for those records

### **3. REGISTRATION**

- 3.1. Records that meet any of the following conditions ("Essential Records") must be captured and registered in the electronic records management systems established by GGGI ("RMS"):
- a. Likely to require action, follow-up or a reply from GGGI on substantial matters;
  - b. Provide evidence of policies, processes, activities and transactions of GGGI related to substantial matters;
  - c. Create and record legal obligations;
  - d. Provide evidence of key decisions or
  - e. Original records related to GGGI's activities that do not exist elsewhere.
- 3.2. Records that do not meet any of the conditions set out in paragraph 3.1 above ("Non-Essential Records") do not need to be captured or registered in accordance with these Rules. Such records include:
- a. drafts that do not provide evidence of key decisions;
  - b. information that has been received and used as a reference or for which many copies are available;
  - c. personal records or documents kept only for convenience where no action is taken; and
  - d. information accumulated that has no work-related content or evidentiary value.
- 3.3. Notwithstanding paragraph 3.2, Non-Essential Records that can serve as an aid to better understanding of the content of the Essential Records should be stored in the RMS and linked to the related Essential Records.

### **4. CLASSIFICATION, METADATA AND TRACKING**

- 4.1. All records must be organized in a logical order according to filing and classification guidelines, to ensure a systematic framework for arranging records that facilitates access and management of records.
- 4.2. A filing classification scheme shall be established for each division, adapted to the needs of GGGI. The classification system shall reflect the activities within the units of each division and appropriate further refinements and be reviewed regularly.
- 4.3. All records registered in the RMS must be associated with appropriate metadata that

describe context, content and structure of records and their management through time.

4.4. Appropriate metadata, depending on the nature of records and the context in which such records were created, received and used, shall be determined for each division.

4.5. Such metadata shall include at the minimum:

- a. a unique identifier assigned from the system;
- b. the date and time of registration;
- c. a title or abbreviated description; and
- d. the author, sender or recipient.

4.6. The metadata shall remain intact and persistently linked to the records throughout their whole life cycle.

4.7. Once records are registered in the RMS, any change, movement, access and use of records must be tracked and properly recorded.

## **5. PAPER-BASED RECORDS**

5.1. In accordance with GGGI's principle of green records management under paragraph 1.4 of these Rules, paper records shall only be managed and stored in paper format to the extent set out in the applicable Retention Schedule. The original copies of paper records shall be retained during the required retention period in accordance with the applicable Retention Schedule.

5.2. Essential Records created or received in paper form must be scanned completely and legibly in a common electronic format, such as PDF or TIF, and registered in the RMS with appropriate metadata in accordance with Section 4.

5.3. Paper copies of born-digital records that have already been filed in the RMS need not be retained unless there is a mark-up or handwritten annotation.

## **6. ACCESS AND SECURITY**

6.1. GGGI records are an organization-wide resource to which all GGGI staff should have access, except where the nature of the information requires restriction. Furthermore, in the absence of a compelling reason to consider certain information as confidential, it is GGGI's policy to publicly disclose information concerning its decisions and operational activities. Access restrictions should not be imposed unnecessarily, but should protect:

- a. personal information and privacy;

- b. intellectual property rights;
  - c. legal and other professional privileges; and
  - d. other information of confidential or sensitive nature as determined by GGGI's legal framework. Such information includes, without limitation, personnel files, medical records, and information concerning audits, investigations, appeals and disciplinary actions.
- 6.2. Each Owner Unit shall, in consultation with Legal where needed, assign appropriate security classification level to records as follows:
- a. *Public*: all records which are not categorized as confidential or strictly confidential according to b. or c. below.
  - b. *Confidential*: records whose unauthorized disclosure could reasonably be expected to cause damage to the work or staff of GGGI or third parties, including information of which disclosure is not permitted to the public under the GGGI Disclosure Policy. Such records shall be clearly marked "Confidential."
  - c. *Strictly Confidential*: records whose unauthorized disclosure could reasonably be expected to cause grave damage to the work or staff of GGGI or third parties or impede the conduct of the work of GGGI, including personnel files, medical records, and information concerning audits, investigations, disciplinary actions and appeals. Such records shall be clearly marked as "Strictly Confidential".

## 7. STORAGE AND MAINTENANCE

- 7.1. Essential Records must be maintained in a safe and secure environment and protected from unauthorized access, loss or destruction, and from theft and disaster.
- 7.2. Essential Records must remain accessible, authentic, reliable and useable until they are destroyed or transferred to GGGI's Central Archives in accordance with the relevant Retention Schedules.
- 7.3. Records registered in the RMS must be preserved in the form in which it was originally created or received or in a form which preserves the integrity, not only of its content but also the relevant metadata.
- 7.4. It is the responsibility of each Owner Unit to ensure that paper-based Essential Records are securely stored in accordance with this Section 7. GGGI shall establish and maintain storing facilities that provide adequate protection for such paper-based records.



## 8. RETENTION AND DISPOSAL

- 8.1. A general Retention Schedule for common and administrative records across GGGI shall be established and maintained.
- 8.2. In addition to the general Retention Schedule, each division shall establish and maintain a specific Retention Schedules for specific functions.
- 8.3. Each Owner Unit shall store and manage Essential Records in accordance with the applicable Retention Schedules. During the applicable retention period: (1) electronic copies of Essential Records must be stored in the RMS; and (2) the original paper copies of Essential Records must be stored in the Owner Unit's office or its vicinity. Upon the expiry of a record's retention period, Disposal in accordance with the principles set out below shall follow:
  - a. *Permanent Records* must be preserved permanently both in electronic and in paper-based format. After the end of the applicable retention period, they (both in electronic and in paper based format) shall be stored permanently in GGGI's Central Archives.
  - b. Electronic copies of all *Essential Records* will be retained permanently, subject to exceptions set out in the relevant Retention Schedule. Accordingly, when the retention period expires, the electronic copies of Essential Records shall be transferred to GGGI's Central Archives. The original paper copies of Essential Records will be retained during the applicable retention period and disposed of in accordance with the applicable Retention Schedules. Essential Records may be destroyed only as set out in the Retention Schedule.
  - c. *Non-Essential Records* (both electronic and paper records) may be deleted or destroyed (i) immediately after use (e.g., draft copy of memos or letters); or (ii) may be retained for a limited period as deemed appropriate by the Owner Unit, until deletion or destruction.
- 8.4. Destruction of records must be undertaken in a secure manner taking into account the confidential or sensitive nature of records.
- 8.5. Records pertaining to pending or actual litigation, audit or investigation shall not be destroyed, even when permitted under the Retention Schedules. Destruction of such records shall be suspended until such time as DDG-OED, with the advice of Legal, determines otherwise.

## 9. IMPLEMENTATION

- 9.1. The head of each Owner Unit shall ensure that his/her staff, including consultants, interns and secondees, if any, create and keep accurate and complete records of their activities in accordance with the requirements and procedures set out in these Rules. More specifically, they must:

- a. Capture and register records in accordance with Section 3;
- b. Assign appropriate metadata to records in accordance Section 4;
- c. Store and organize records in accordance with applicable filing classification scheme in accordance with Section 4;
- d. Assign access restrictions and security level to records as necessary in accordance with Section 6;
- e. Securely store and maintain records in accordance with Section 7; and
- f. Retain, dispose of and destruct records in accordance with applicable Retention Schedule (Section 8).

9.2. Each division shall:

- a. establish and implement a specific Retention Schedule in accordance with Section 8;
- b. establish and implement a file classification scheme in accordance with Section 4;
- c. determine appropriate metadata for their records in accordance with Section 4; and
- d. determine security classification of documents and protect the security of records in its custody.

9.3. DDG-OED shall oversee the application and implementation of these Rules throughout the organization and issue separate guidelines and Retention Schedules for such implementation.

## 10. FINAL PROVISIONS

10.1. These Rules shall enter into force on the date of approval by the Director-General.

10.2. Any and all waivers to or exceptions or deviations from these Rules must be approved by the DDG-OED.