



Records

MANAGEMENT

ELECTRONIC

RETRIEVAL

SYSTEM

WORKFLOW

SOFTWARE

SECURITY

FORMAT

TYPE

USERS

COMPONENTS

OPTICAL

MANAGE

CAPABILITIES

PROCESS

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HISTORY

IMAGE

REQUIREMENTS

CERTAIN

FORMAT

TYPE

USERS

COMPONENTS

OPTICAL

MANAGE

RETRIEVE

COLLABORATION

INDEXING

TEXT

EXAMPLE

COMPLEX

FORM

DATA

SEARCHING

STORAGE

STORE

STORED

INTEGRATION

TRACK

SIMPLE

SPECIFY

ORGANIZATION

REPOSITORY

APPLICATIONS

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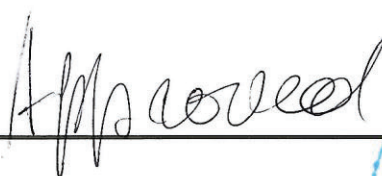
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Version 2.0
2018

Records management policy

Policy approvals




Approved by: Giovanie Biha
Deputy Executive Secretary - Knowledge Delivery

Approval Date:

Approval


Approved by: Doreen Bongoy-Mawalla
(Director of the Division of Administration)

Approval date: 16 May, 2012

Version 2.0
2018

Acknowledgements

The second edition of the Records Management Policy, published by the Economic Commission for Africa (ECA), was developed by ECA staff members led by the Chief of the Archives and Records Management Unit, Titus M. Lyaruu. The Archives and Records Management Unit is part of the Knowledge Management Services Section of the Publications, Conference and Knowledge Management Division at ECA.

We would like to extend our thanks to two officers from the Archives and Records Management Section at the United Nations Secretariat whose contributions to the Policy, including content review, have been invaluable: the Chief of the Archives and Records Management Section, Bridget Sisk, and the Information Management Officer, Anne Fraser.

We would like to express our particular gratitude to the Chief of the Knowledge Management Services Section at ECA, Irene Onyancha, for her significant contributions to the Policy. Thanks are also due to the Chief of the Publishing Unit, Charles Ndungu, for his supervision of the project, and to the Publications and Conference Management Section for its role in the publication.

Preface

The Economic Commission for Africa (ECA) Archives and records management program mandated by ST/SGB/2007/5, was initiated in 2011 to provide an institutional framework for the management of administrative records throughout their life-cycle (creation/capture, maintenance, use, preservation and disposition) both in print and digital format. The records are evidence of the business transactions, and their proper management ensures transparency and accountability of the ECA's business transactions.

The program also aims to contribute to the effectiveness of ECA governance, risk management and control processes over archives and records management as well as respond to UN Secretary-General pledge for UN to help safeguard the planet by introducing efforts to reduce Green House Gases (GHG).

This updated policy conveys the management's intentions to implement these aims. It provides guidance on the development and implementation of an archives and records management program that assures the creation and management of authentic, reliable and usable records to support business functions of ECA thus, ensuring compliance with the UN regulation on records management and a positive audit recommendation from OIOS.

This policy document supersedes version 1 published in May 2012 available at

[https://records.uneca.org/hpecontentmanager/?q=records management policy&t=Record](https://records.uneca.org/hpecontentmanager/?q=records%20management%20policy&t=Record)

1. Purpose

The purpose of the present “Records management policy” is to provide a records management framework, which ensures that:

- a) Records are appropriately created, managed, maintained and disposed of in accordance with the United Nations legislative requirements, policy and recognized standards of best practice;
- b) Record-keeping practices are set up to support all activities of the Economic Commission for Africa (ECA);
- c) Record-keeping practices are consistent and at a suitable standard throughout ECA;
- d) Levels of responsibility are established regarding record-keeping pertaining to all functions, processes, activities and transactions of ECA;
- e) Appropriate security of and access to ECA records are provided;
- f) ECA historical documents are captured and preserved.

2. Policy statements

- 2.1 ECA must have a framework in place that ensures the creation, capture and maintenance of adequate records for business conduct. This framework should be planned, resourced and made known to all staff.
- 2.2 Sections, divisions, subregional offices of ECA, and the African Institute for Economic Development and Planning must integrate corporate records into the corporate records management system.
- 2.3 Sections, divisions, subregional offices of ECA, and the African Institute for Economic Development and Planning need to be able to find records

promptly and be able to read and produce them when required for as long as the records are relevant.

2.4 Sections, divisions, subregional offices of ECA, and the African Institute for Economic Development and Planning must create, store, use and make records available securely with due regard to permitting access to those with a genuine need to know the information contained in the records.

2.5 Sections, divisions, subregional offices of ECA, and the African Institute for Economic Development and Planning must dispose of records in accordance with the provisions of the retention policy and be able to prove the implementation of such action with due regard to business, legal and governance requirements.

3. Definitions

The annex provides the definitions of terms used in the context of the present policy.

4. Scope

4.1 This policy covers all records created, received and maintained for all work done by or on behalf of ECA, in electronic or paper format.

4.2 The policy applies to all permanent or temporary ECA staff, including consultants, contractors, interns and volunteers in the various sections, divisions, subregional offices, and the African Institute for Economic Development and Planning.

5. Legislative framework and standards

United Nations legislation and international standards establish the conditions and standards by which it guides the management of records and archives in ECA.

5.1 Legislation and standards

ECA must comply with the following United Nations legislation and standards on archives and records management:

Legislation

- a) ST/SGB/2004/15 of 29 November 2004 on use of information and communication technology resources and data;
- b) ST/SGB/2007/5 of 12 February 2007 on record-keeping and the management of United Nations archives;
- c) ST/SGB/2007/6 of 12 February 2007 on information sensitivity, classification and handling.

Standards

- a) ISO 15489 on records management – Part 1: general, published in 2001 and revised in 2016;
- b) ISO 16175-2:2011 – Part I on principles and functional requirements for records in electronic office environments;
- c) ISO/TR 13028:2010 on information and documentation implementation guidelines for digitization of records.

6. Statement of responsibilities

6.1 The role of the Executive Secretary is to:

- a) Review the regulatory frameworks governing records management and recast them into a comprehensive and unequivocal set of principles, practice-oriented procedures and rules to keep pace with changes in the record-keeping environment and technology, and cover the entire life cycle of recorded information. He or she should ensure strict compliance with those principles, procedures and rules for any materials identified as records of the organization;¹
- b) Ensure the application of records management policies in ECA through resource allocation at a lower level and the promotion of compliance with records management procedures;²
- c) Be accountable for ensuring that all sections, divisions, subregional offices, the African Institute for Economic Development and Planning and other entities under his or her responsibility have developed and applied the basic components of records management programmes to all records for which they have managerial responsibility.³

6.2 The senior officer in charge of the archives and records management function:

- a) Assumes overall responsibility for records management and has ultimate responsibility to ensure that ECA complies with the legislation and standards specified in 5.1 of this policy;
- b) Shall endorse the framework for the records management programme of ECA, namely, the policies, file plans, procedures manual, guidelines, standards, retention and disposal schedules;

¹ Recommendation No. 1 of the Joint Inspection Unit report on Records Management in the United Nations, JIU/REP/2013/2, p. 16.

² See ISO 2001a:5-6 and ISO 2001b:2.

³ Recommendation No. 2 of the Joint Inspection Unit report on Records Management in the United Nations, JIU/REP/2013/2, p. 23.

- c) Shall approve resources for the space, supplies and services necessary to maintain the records and archives management programme in secure and compliant conditions.

6.3 Chiefs of the sections or units and directors of divisions, subregional offices and the Institute for Economic Development and Planning shall ensure the implementation of this policy and its associated requirements in the business areas that they supervise, which will include:

- a) Designating records management coordinators to be responsible for the overall administration of the records of their relevant business areas and incorporating records management coordination duties into their annual performance appraisals;
- b) Ensuring that all staff members in their business areas comply with the policy in terms of the creation, maintenance and use of official records, and that no records are destroyed except as authorized by the retention and disposal schedule;
- c) Facilitating the implementation of this policy by authorizing various aspects of their section's records management, such as requests to transfer records for storage and requests to access classified records, and endorsing records disposition plans;
- d) Ensuring the integration of records management responsibility into staff performance planning and evaluation.

6.4 Records Management Unit/Section

The Records Management Unit/Section is responsible for coordinating the implementation of this policy and all associated requirements by developing an archives and records management programme to meet the operational business needs and accountability requirements of ECA. In that regard, the mandate of the Records Management Unit/Section is to:

- a) Establish an archives and records management programme, including development of policies, standards and procedures that will guide the management of ECA records and archives in terms of its use, storage, retention and disposition, and access rights;
- b) Set up, in collaboration with the senior offices in charge of knowledge management and information and communications technology, an electronic records management system to ensure that electronic documents and emails are accurately created, captured, managed and preserved without alteration and kept accessible for as long as they are needed, in line with the requirements of the United Nations reform agenda;
- c) Provide guidance, advice and training to the management, records coordinators and staff members in all aspects of records and archives management and maintain quality control of all records in ECA, irrespective of format;
- d) Establish practices and develop procedures to facilitate the appropriate identification, classification, handling and management of sensitive records to prevent the unauthorized use or disclosure of sensitive information, and to control authorized disclosure of sensitive information in accordance with the Secretary-General's bulletin on information sensitivity, classification and handling (ST/SGB/2007/6);
- e) Coordinate and spearhead programme efforts and evaluate programme effectiveness by conducting periodic surveys of information systems to ensure compliance with the policy;
- f) Establish records centres or archives to house retained records beyond immediate operational needs, in a cost-effective manner, ensuring the quick retrieval of such records when necessary;
- g) Manage the institutional memory of ECA and preserve the official records that are of permanent value, documenting ECA programme activities and historical material in a variety of media;

- h) Maintain the availability and authenticity of ECA records, provide for continuity and enabling accountability while ensuring confidentiality;
- i) Determine, in consultation with the originating office and based on the appraisal system, which records have sufficient historical or other value to warrant their continued preservation as archives of ECA;
- j) Coordinate the transfer of records from the registries of sections and divisions to the ECA storage facility for further processing and assist staff in providing retrieval services for those records;
- k) Process and describe the records received at the records centre from registries;
- l) Provide records reference services for offices requesting access to their semi-active records in the records centre;
- m) Conduct clearance, in collaboration with the office responsible for human resources, to ensure that all records are handed over when a staff member leaves the Commission;
- n) Develop and implement a digitization strategy for archival materials if warranted;
- o) Dispose of non-current records that have no further administrative, fiscal, legal, historical or informational value after authorization by the offices concerned;
- p) Manage messenger, mail, courier and pouch services to and from ECA and other organizations in the United Nations system;
- q) Contribute to ECA-wide business continuity and disaster preparedness planning, to ensure the safeguarding of vital records.

6.5 Records management coordinators

The role of the records management coordinator is to:

- a) Take responsibility for the physical inventory of all office records, maintaining the filing system and applying record-keeping standards and procedures, as outlined in the archives and records management procedures manual;
- b) Collaborate with the Records Management Unit/Section to apply and update the file plans adopted by their relevant sections;
- c) Support and train staff members in their sections in the agreed records management practices;
- d) Request the transfer of semi-active records to the records centre and provide file lists for future retrieval;
- e) Ensure that staff, consultants and interns hand over all official paper and electronic records before they separate from the Commission;
- f) Facilitate the records disposition process, including the coordination of disposal authorization from appropriate staff.

6.6 Staff members

All staff members are accountable to their supervisors for compliance with this policy and other related policies, standards and guidelines. Staff members are further reminded that all records, including electronic documents and emails created or received by them in connection with, or as a result of, their official work, are the property of ECA and must be managed accordingly.

In addition, all staff members should ensure that:

- a) They do not alter, destroy, misplace or render useless any official document, record or file intended to be kept as a record of ECA. Staff members are permitted to destroy documents and transitory records in

keeping with the retention policy guidelines that have been approved by the senior officer(s) responsible for Archives and record management function

- b) The records that they create and receive are properly captured and filed in accordance with the established procedures and comply strictly with the office practice and requirements specified in the archives and records management procedures manual and other related documents
- c) Prior to separation from service, they shall arrange to transfer records in their possession that are no longer required for business purposes to the Records Management Unit/Section. They should not remove any records from ECA. A staff member from the Unit/Section may inspect all records of a separating staff member prior to his or her separation from service.

6.7 Consultants and others

All private individuals working on behalf of ECA (consultants, fellows and interns) are responsible for managing the records and information produced during the course of their work. Upon completion of their assignment, the person should hand over such information to ECA management.

7. Electronic records

- 7.1 The practices of electronic record-keeping of ECA are guided by the Secretary-General's bulletin on the use of information and communication technology resources and data (ST/SGB/2004/15), which provides information on the appropriate uses of such resources and data.

8. Access to records of the Economic Commission for Africa

8.1 Members of staff may have access to those archives and records needed to conduct their official business, with the exception of records that are subject to restrictions imposed by the senior officer in charge of the archives and records management function.

8.2 The staff members of the Records Management Unit/Section, who are custodians of the records, shall have unrestricted access to ECA official records.

8.3 Member States may have access to:

- a) Archives and records that were accessible at the time of their creation;
- b) Archives that are more than 20 years old and not subject to restrictions imposed by the officer in charge of Archives and record management function
- c) Archives that are less than 20 years old and not subject to restrictions imposed by the officer in charge of Archives and record management function
- d) on condition that the originating office has given written consent for access.

9. Training

All managers, officers and staff members who deal with records (creators, users and custodians) shall be given training on records and archives management, including general awareness, as a requirement of this policy. ECA management shall ensure that all members of staff receive such training.

10. Policy review

The present policy shall be reviewed at intervals to be specified and amended, as necessary, to maintain its relevance.

11. Documents relevant to the present policy

The present policy is based on the following documentation:

- a) File classification scheme;
- b) Retention and disposal schedule;
- c) Records management procedures manual;
- d) Records management standards;
- e) Vital records programme;
- f) Disaster plan.

Annex

Definition of terms

Appraisal:	The process of evaluating business activities to determine which records need to be captured and how long the records should be kept to meet business needs, the requirements of organizational accountability and public expectations.
Archive:	Records appraised for permanent preservation owing to their administrative, fiscal, legal, historical or informational value. They contain the whole body of records of continuing value of an organization or individual. The term “archive” is also referred to as “corporate memory”.
Business activity:	Umbrella term covering all the functions, processes, activities and transactions of an organization and its employees.
Disposal:	A range of processes associated with implementing appraisal decisions. These include the retention, deletion or destruction of records in or from record-keeping systems. They may also include the migration or transmission of records between record-keeping systems and the transfer of custody or ownership of records.

Electronic records:	Records consisting of information and communications technology data that have structure, content and context.
Evidence:	Information that tends to prove a fact. Not limited to the legal sense of the term.
Information systems:	Organized collections of hardware, software, supplies, policies, procedures and people that store, process and provide access to information and records.
Record-keeping:	Making and maintaining complete, accurate and reliable evidence of business transactions in the form of recorded information.
Record-keeping systems:	Information systems that capture, maintain and provide access to records and archives over time.
Records:	Information in any form, including data in computer systems, created or retrieved and maintained by an organization or person in the transaction of business or the conduct of affairs and kept as evidence of such activity.

Permanent record:	Records appraised by the Archives and Records Management Programme as having archival value.
Temporary record:	Records approved by the Archives and Records Management Programme for destruction, either immediately or after a specified event or period of time.
Sentencing:	The process of identifying types of records according to a records retention schedule and applying the disposition action specified in it. Together, records appraisal and sentencing help an organization to identify how long records should be retained.

Records management policy



Records Management

 United Nations
Economic Commission for Africa

KNOWLEDGE &
LIBRARY SERVICES SECTION

UNECA/PIKMD * Knowledge and Library Services Section * P.O.Box 3001 * Addis Ababa, Ethiopia
Phone: +251.11.544.3292 E-mail: libservice@uneca.org * <http://libcat.uneca.org>

Printed in Addis Ababa, Ethiopia by the ECA Printing and Publishing Unit.

ISO 14001:2015 Certified. Printed on chlorine free paper.