



AMS 10.11

Management of Records: Procedures

[v_3.8_Dec 16]

These procedures are intended to support WBG staff in implementing AMS 10.11 Management of Records. They will be updated regularly over time.

A Message from the Chief Archivist

Colleagues,

We heard you and in Spring 2011, a working group encompassing Bank, IFC, MIGA, ICSID, has worked hard to turn AMS 10.11 into a user friendly AMS. We truly hope we succeeded. To further enhance the friendliness of the AMS, we have drafted these procedures to provide you with practical hands-on guidance on various aspects of the implementation of the AMS. The [chart](#) below will support staff in identifying records, in any media, that should be captured and those that should not.

Our objective is to support you in your daily responsibilities for records and information management. In fact, records are the DNA of our organization, they come from you, and they need your help to... make sense! Records are fundamental business intelligence as they help staff to make informed decisions. They are critical to the delivery of World Bank Group (WBG) programs and services, they document WBG activities and help the WBG provide evidence of its decisions and actions. Records enable the WBG to hold itself accountable to its policies, as well as to its clients, stakeholders, and partners. They enable management oversight such as the conduct of audits, reviews, and reporting. Pleasantly, they also strengthen knowledge management efforts.

Records and information need your help! All WBG staff are responsible for documenting their activities and decisions and for applying simple records management principles, standards, and practices in the performance of their duties. Unit Managers are responsible for the effective and well-coordinated management of records throughout their units.

The Archives looks forward to supporting you in these simple and fundamental tasks to ensure we keep well-managed, authentic, and reliable records in the WBG.

Elisa Liberatori Prati

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The World Bank Group, Chief Archivist

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Should I capture the record?



If it requires action, follow-up, or a reply from the WBG.

If it provides evidence of policies, processes, activities, and transactions of the WBG.

Capture it!

If it provides evidence of key decisions that will be of value to WBG staff when making decisions in the future.

If it is an original record related to WBG business that does not exist elsewhere.

If it is a draft that does not provide evidence of key decisions.

information that has been received and used as a reference or for which many copies are available.

Don't capture it!

If it is a personal record or document kept only for convenience or where no action is taken.

If it is information accumulated that has no work-related content or evidentiary value.

When in doubt, capture it.



Managing Paper Records

Last revised June 6, 2011

Records must be accurate, authentic, reliable, complete, and accessible, and they must have integrity if they are to perform their role in documenting WBG policies, decisions, processes, activities, and transactions, and in serving as trusted sources of information to support future decision-making. If these qualities are to be ensured, then records (regardless of their form) must be managed in WBG systems that comply with records management requirements.

AMS 10.11 Section 3, paragraph 7

Where records are created in paper form, they should be captured and preserved in paper form, even if such records are also captured electronically, in order to protect WBG legal obligations.

AMS 10.11 Section 3, paragraph 12

Records must be classified as specified in [AMS 6.21A Information Classification and Control Policy](#) and the [Classification Handbook for Restricted Information](#). The originator must indicate the classification level (Official Use Only, Confidential, or Strictly Confidential) assigned to restricted information for records in all media. Otherwise, records are considered to be Public, and will be made available according [AMS 1.10 Policy on Access to Information](#).

AMS 10.11 Section 3, paragraph 13

In the case of paper records, staff must take active steps to apply retention and disposition schedules. When paper records reach the end of their retention period in the office, staff should destroy them or transfer them to the Archives. In country offices, the records that have a final disposition of destroy must be destroyed on site. Duplicate copies and information that does not have evidentiary value may be destroyed when no longer needed.

AMS 10.11 Section 3, paragraph 17

WBG records must be kept securely until they are captured, transferred to the Archives or destroyed in accordance with the applicable disposition schedule.

AMS 10.11 Section 3, paragraph 18

Although a high percentage of WBG records are now captured and managed through electronic systems, records created or received in paper form constitute the original copy and must be retained according to the [Records Retention and Disposition Schedules](#) that apply to that category of records. If a paper record is digitized, the original copy must be preserved (see also [Scanning Records](#)). Paper copies of born-digital records that have already been filed in an approved electronic management system need not be retained unless there is a mark-up or handwritten annotation.

Paper records must be placed physically in the appropriate folder within a shared-unit paper filing system. Units should contact the Archives if they need help in structuring their filing systems. Paper records must be either transferred to Archives or destroyed in accordance with

the [General Records Schedule](#) and [Records Retention and Disposition Schedules](#) (see also [Transferring Records to the Archives](#) and [Destroying Paper Records](#)).

For further information and support contact the WBG Archives: archives@worldbank.org, ext 32000.



Scanning Records

Last revised June 6, 2011

Where records are created in paper form, they should be captured and preserved in paper form, even if such records are also captured electronically, in order to protect WBG legal obligations.

AMS 10.11 Section 3, paragraph 12

Scanning paper records into WBG records management systems allows staff, regardless of location, to have access to the information in the record. Nevertheless, the paper record will remain the original copy and must be managed and retained (see [Managing Paper Records](#)).

Staff should follow the following steps when scanning paper records:

- Mark the record to be scanned with a stamp such as the one shown below and indicate the scanning date and other information that relates to the record, such as the Project ID, country, activity or program name.
- Scan the record choosing the appropriate image quality and file format, see below.
- Examine the resulting image to ensure the scan was done correctly. Check for errors such as missing pages, pages scanned upside down, blurry or unreadable text, image cropped or incomplete.
- File the scanned image into a WBG records management system providing accurate metadata.
- File the original paper record into a well-organized paper filing system.

SCANNED
Scan date
Project ID or Country or Program or Activity

Sample of stamp used for scanning

Image Quality

The quality of a digital image depends on resolution and color depth. Resolution refers to the detail of the image, usually measured in *pixels per inch* (PPI). Color depth refers to the amount of data used to show the colors of an image, usually measured in *bits per pixel* (bpp). A higher

quality image requires a larger output file size. The general rule is not to scan at the highest resolution possible. Rather, decisions on image quality should be based on the significance of the information in the original document and how it will be used, as well on the nature of the material to be scanned (for instance the dimensions, color, tonal range, format, material type, etc.). Requirements are:

- for black and white textual records : 150 PPI and 1 bpp is minimally required
- for records with discrete color used in the text or in a diagram: 300 PPI and 8 bpp is minimally required
- for color photographs or images: 600 PPI and 24 bpp is minimally required.

File Format

File formats are identified by the extension of the filename of the scanned file.

Textual or multi-page documents should be scanned to PDF (Portable Document Format) or TIFF (originally Tagged Image File Format) formats. Images or graphic single-sheet records such -- as photos -- should be scanned to formats such as JPG/JPEG (Joint Photographic Experts Group) or PNG (Portable Network Graphics), or to PDF or TIFF.

Optical Character Recognition (OCR)

OCR is technology that post-processes a scanned image -- which is, in essence, a series of colored dots -- and recognizes and extracts text from the shapes in it.

There are many types of OCR software. Some scanning software might come bundled with OCR capability. If the software that you use for scanning does not have OCR capability, OCR software might have to be purchased separately.

Typically, OCR software will display the extracted text into a separate text-window so that you can paste it into your word-processor or email. Please note that text extracted by OCR software may be prone to errors, depending on the quality of the original document, the scanning hardware and software and the resolution of the scanned image. It is best to scan a document in black-and-white or gray-scale if you plan to OCR and extract text from the image.

PDF (Portable Document Format) allows a special facility: the image and its text can be overlaid on each other in the same file. Other image formats do not allow text to be stored within the scanned document.

For further information and support contact the WBG Archives: archives@worldbank.org, ext 32000.



Transferring Records to the WBG Archives

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The custody of records must be transferred in the following circumstances:

- *The GRS or RRDS indicates the required action:* The custody of records is transferred according to the retention and disposition specifications described in the GRS or RRDS.
- *A function, project, transaction, or activity is transferred to another unit, concluded or terminated:* Depending on the circumstances, records may be transferred to a successor unit, captured in an approved institutional records management system, and/or transferred to the WBG Archives.
- *Cessation of employment or end or termination of contract:* Staff or contractors must hand over any WBG records in their custody to their successor, to their supervisor, or to the WBG Archives prior to their departure. They may not retain, give away, or remove from WBG premises any records, including those they created or received during the performance of their duties, other than *personal records*, as defined in Section 5.
- *A report is completed:* WBG staff must submit completed reports to the Internal Documents Unit (IDU) if they are not already captured in official processes or workflows.
- *At the IFC, a paper record is created or received:* Project-related paper records created outside of IFCDocs or received from clients, partners, or other parties must be sent to the IFC Information Center, which is the official repository for such records. Shared unit files are not recommended for project-related paper records. All electronic project-related records must be filed in IFCDocs. Other designated document repositories at IFC include Legal Records and Official Documents.

AMS 10.11 Section 3, paragraph 20

The process for sending records to the WBG Archives differs, depending on the unit and the kind of records to be transferred. For more information, requirements, and detailed instructions, see the [Transfer Records](#) page on the Archives intranet site.

For further information and support contact the WBG Archives: archives@worldbank.org, ext 32000.



Destroying Paper Records

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Records must not be destroyed unless destruction is approved under an authorized schedule. Unauthorized destruction includes deleting, altering, or corrupting WBG records or impairing their accessibility or readability.

AMS 10.11 Section 3, paragraph 14

In the case of paper records, staff must take active steps to apply retention and disposition schedules. When paper records reach the end of their retention period, staff should destroy them or transfer them to the Archives. In country offices, the records that have a final disposition of destroy must be destroyed on site. Duplicate copies and information that does not have evidentiary value may be destroyed when no longer needed.

AMS 10.11 Section 3, paragraph 17

Paper records (see also [Managing Paper Records](#)) classified as *Public* may be disposed of in normal recycling waste bins. Records classified as *Official Use Only*, *Confidential* or *Strictly Confidential* must be disposed of as follows:

- Only staff who may be entrusted with the information contained in the records may perform destruction.
- The preferred method of destruction is pulping, which entails shredding the records and then macerating them in water to produce a pulp.
- In lieu of pulping, an acceptable method of destruction is shredding.
 - Only shredders that cross-cut or pulverize the records may be used. Shredders must produce pieces or remnants no larger than 5/16 inches by 2 inches. Older model shredders that do not meet these criteria should be replaced if possible. Heavy-duty office-size crosscut shredders that meet these criteria are available through the WBG's requisition system
- In lieu of pulping or shredding, another method of destruction is burning. It is not recommended to burn the records due to environmental and health hazards, but this is permitted should facilities or equipment for pulping or shredding not be available.

Staff must witness the destruction, as well as complete and file the [Destruction Form](#) when destroying paper records.

For further information and support contact the WBG Archives: archives@worldbank.org, ext 32000.



Managing Electronic Records

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Records must be accurate, authentic, reliable, complete, and accessible, and they must have integrity if they are to perform their role in documenting WBG policies, decisions, processes, activities, and transactions, and in serving as trusted sources of information to support future decision-making. If these qualities are to be ensured, then records (regardless of their form) must be managed in WBG systems that comply with records management requirements.

AMS 10.11 Section 3, paragraph 7

Electronic records captured in approved records management systems will be retained or systematically and securely deleted based on approved retention and disposition specifications that are applied by the systems.

AMS 10.11 Section 3, paragraph 16

WBG records must be kept securely until they are captured, transferred to the Archives or destroyed in accordance with the applicable disposition schedule.

AMS 10.11 Section 3, paragraph 18

WBG staff are responsible for ensuring that Bank Group records that they create or receive in conducting WBG business and that document or provide evidence of policies, processes, activities, and transactions (as defined in [AMS 10.11](#), paragraph 9) are captured in trusted, compliant, and approved WBG records management systems, for example WBDocs. Compliant records management systems establish institutional control and authority over WBG records as trusted sources of information.

The WBG has extensive investment in a broad range of electronic business systems residing on various platforms, many of which create and receive electronic data constituting WBG records. Specific procedures to address records management requirements will vary by system. The business rules established in a signed [Records Retention and Disposition Schedule](#) apply to records in any media. Business systems must comply with the requirements outlined in [Functional Systems Requirements for Records Management](#) in order to protect the authenticity, reliability and accessibility of records over time. This is achieved either by developing native functionality or integrating with a third party system that supports the required records management functionality.

Business process owners must address record keeping functionality within the scope of business requirements for information systems. WBG business systems and information management technologies must be designed, developed, and administered to establish this functionality. Business process owners and system implementers should consult the WBG Archives to ensure compliance with corporate policy on records management for electronic records.

All storage devices or IT hardware to be replaced containing WBG records must be disposed according to the [Secure IT equipment Disposal Standard Operating Procedures](#), provided by the Office of Information Security (OIS).

See also the following procedures:

- [Managing E-Mail Records](#)
- [Managing Social Media Records](#)
- [Managing Web-Based Records](#)

For further information and support contact the WBG Archives: archives@worldbank.org, ext 32000.



Managing E-Mail Records

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Records must be accurate, authentic, reliable, complete, and accessible, and they must have integrity if they are to perform their role in documenting WBG policies, decisions, processes, activities, and transactions, and in serving as trusted sources of information to support future decision-making. If these qualities are to be ensured, then records (regardless of their form) must be managed in WBG systems that comply with records management requirements.

AMS 10.11 Section 3, paragraph 7

Standard shared network drives, individual hard-drive space, and individual electronic mail accounts do not comply with these requirements.

AMS 10.11 Section 3, paragraph 8

E-mail messages and attachments sent and received by WBG staff and contractors in connection with WBG business are WBG records and must be captured and managed in a WBG records management system. Personal e-mail messages (for instance a message confirming a non-working lunch or messages to and from friends and family) are not WBG records and should not be captured in a WBG records management system.

When a message is captured in a WBG records management system, the original message received will remain in the e-mail application as a reference copy, and staff or contractors can delete it when it is no longer needed. The copy captured in a WBG records management system can only be destroyed under the authority of the [General Records Schedule](#) or the applicable [Records Retention and Disposition Schedule](#).

An original e-mail with several attachments can be filed in the WBG records management system, but staff should not use e-mail as a means of filing unrelated attachments. For example, attaching several different reports to an e-mail for the sole purpose of filing and then filing that e-mail is not permitted as it has many negative consequences. This includes, but is not limited to:

- The titles, dates, author, and security classification for the attachments will be incorrect.
- Staff time will be lost searching for records as the title of the e-mail does not correctly indicate the contents.
- It will not be possible to comply with WBG requirements as outlined in [AMS 1.10 Policy on Access to Information](#), [AMS 6.21A Information Classification and Control Policy](#), and [AMS 10.11 Management of Records](#).

For incoming e-mail messages originating outside the WBG, staff or contractors must file the message into the appropriate folder directly upon receiving the message. For outgoing e-mail messages, staff and contractors should file the message into the appropriate folder before

clicking the *Send* button. In this way, all the recipients will know that the record has already been filed, thus reducing duplication.

For further information and support contact the WBG Archives: archives@worldbank.org, ext 32000.



Managing Social Media Records

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The policy applies to all WBG records, wherever located and by whomsoever held, which are or have been created or received in the course of WBG business by staff, including consultants, as defined in Staff Rule 4.01, as well as by contractors. Staff and contractors are responsible for following this policy when creating or using WBG records.

AMS 10.11 Section 2, paragraph 5

Social media tools are being used to facilitate interaction, collaboration, and information sharing between individuals and groups, both within the WBG and internationally. They include social-networking sites, video and photo sharing sites, wikis, blogs, virtual worlds, and other emerging technologies.

The use of social media represents an opportunity to make the WBG more efficient, open, relevant, and accountable, but at the same time, it represents new challenges for capturing records. WBG staff are responsible for applying records management principles, standards and practices to all records created and received in the performance of their duties, regardless of the media, and this applies to social media where records are created. Sharing WBG information in the public domain using technologies that are not under the direct control of the WBG, requires care and awareness. Please visit the [Web Program Office website](#) for a list of approved social media tools and sites. The list is continually updated.

The [chart](#) provided in the introduction to the AMS 10.11 Management of Records Procedures indicates the types of WBG records that should be captured, whatever the media. Records created using social media that meet these criteria are electronic records, and they should be captured in an appropriate form and entered in a WBG records management system. The means of capturing these records may vary in relation to the social tool used and the type of record created.

Staff who make any public statement oral or written, including participation in social media, that violates Bank Group rules and policies may be subject to disciplinary proceedings in accordance with *Staff Rule 8.01*. Before making public statements through social media, staff should familiarize themselves with relevant rules in the *Staff Manual* and other WBG policies and guidelines:

[Staff Manual](#)

- *Principle 3 General Obligations of Staff Members*
- *Staff Rule 3 General Obligations of Staff Members*
- *Staff Rule 3.01, paragraph 5.01 Disclosure and Use of Non Public Information*

- *Staff Rule 3.01, paragraph 8.01 Political Activity*
- *Staff Rule 8.01, paragraph 2 Misconduct*

Other references:

- [AMS 1.10 Policy on Access to Information](#)
- [AMS 10.50 Copyright](#)
- [AMS 14.20 Public Statements of Staff Members](#)
- [Social Media Strategy](#)
- [Social Engagement Guidelines](#)
- [Social Media Web Program](#)

Staff can refer also to the following procedures:

- [Managing Electronic Records](#)
- [Managing Web-based Records](#)
- [Managing Personal Records](#)

For further information and support contact the WBG Archives: archives@worldbank.org, ext 32000.



Managing Web-Based Records

Last revised June 6, 2011

The policy applies to all WBG records, wherever located and by whomsoever held, which are or have been created or received in the course of WBG business by staff, including consultants, as defined in Staff Rule 4.01, as well as by contractors. Staff and contractors are responsible for following this policy when creating or using WBG records.

AMS 10.11 Section 2, paragraph 5

Web resources that contain original content that documents WBG policies, decisions, processes, activities, and transactions, can be considered WBG electronic records.

Web-based records include web content presented on a web site or may comprise an entire website within the WBG domain to be managed as a record. However in most instances, a record will be an element of the website, for example a page, content item, image, document, submitted form, or log entry recording an action taken.

The [chart](#) provided in the introduction to the AMS 10.11 Management of Records Procedures indicates the types of WBG records that should be captured, whatever the media. Web resources that meet these criteria are electronic records, and they should be captured in an appropriate form and entered in a WBG records management system. The way to capture these records may vary according to the type and the function of the records. This will be determined by the way web records are created and maintained, the values inherent in their content and context, and the functions and activities they document. The [Web Archiving Service](#) can be requested through the eServices form for external sites (“[Web Site Archive – Request](#)”). In addition, the Archives has a pilot initiative to perform a domain snapshot for the entire external site on an annual basis. For more details, contact the Archives.

Web-based records may change frequently and may also be located on third party sites; therefore, they must be captured systematically and according to the following rules and procedures:

- [Managing Electronic Records](#)
- [Managing Social Media Records](#)
- [Managing Personal Records](#)

For further information and support contact the WBG Archives: archives@worldbank.org, ext 32000.



Managing Off-Site Storage Locations for Records in Country Offices

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WBG records must be kept securely until they are captured, destroyed in accordance with schedules, or transferred to the Archives.

AMS 10.11 Section 3, paragraph 18

Records created and received in country offices should be stored securely according to the requirements defined below. However, records designated for permanent retention must be promptly transferred to the WBG Archives in Washington and not stored in the Country Office off-site storage location. The applicable [Records Retention and Disposition Schedule](#) as well as the [General Records Schedule](#) will indicate whether or not records are designated for permanent retention.

Off-site records storage facilities must meet or exceed all applicable local building, safety and fire codes. They must be equipped with solid windows and doors that are secured with locks and other anti-theft devices such as steel bars or alarm systems. Visitors to storage facilities must be supervised and their date and time of entry and departure recorded. Records must not be stored in the same location as: surplus furniture and equipment; office and cleaning supplies; motor vehicles; or other articles that pose a hazard to records.

Storage facilities must be selected carefully. It is important to ensure that:

- The facilities are not close to industrial waste will adversely affect records in storage.
- Facilities in earthquake zones and areas subject to tropical storms are constructed in accordance with industry standards.
- The facilities are not in areas subject to flooding.
- The facilities are insulated against heat and cold. In humid climates, vapor retardant materials should be used to prevent excess humidity infiltration.
- Materials used in the construction of storage facilities should be fire-resistant; walls, doors, and furniture should be non-flammable or fire-resistant.
- The facilities have fire detection and fire suppression equipment such as alarms, sprinkler systems, and fire extinguishers.
- Floors are capable of bearing the weight of the shelving and the material stored.
- Shelving should be industrial strength coated metal shelves, anchored to the floor. The shelves must be braced and supported according to industry standards to prevent collapse.

- Records should not be stored beneath water pipes or in building areas subject to water seepage or exposure to storms or flooding.
- The facilities are protected by appropriate entry controls to ensure that only authorized personnel are allowed access.
- There is an uninterruptible power supply to support critical environmental controls and security systems.
- Temperatures should remain between 60-70 °F (16 - 21 °C).
- Relative humidity should remain between 35% - 50%, with as little fluctuation as possible.
- Basement storerooms should not be used to store records.
- Records should always be stored on shelving, never on floors or wooden pallets.
- Records should be boxed or covered when not in use.
- Records should be protected from dust and dirt coming in from windows and doors.
- Air circulating in records storage areas should pass through air filters or purifiers to remove gaseous pollutants such as sulfur dioxides, nitrogen dioxide, ozone, and other contaminants.
- Records should be protected from excess exposure to ultraviolet light. Storage areas for records should have low illumination when not being used; blinds should be installed at windows, and ultraviolet filters installed on fluorescent lights to minimize light and heat levels; incandescent bulbs may be used instead of fluorescent lights.
- Records storage areas must be cleaned on a regular basis to minimize potential damage to records. Regular cleaning reduces dust and organic materials, which may attract fungi, insects or animal pests.
- Routine maintenance should check for blocked drains, faulty electrical equipment, or other potentially dangerous conditions.
- Cleaning fluids and other hazardous materials should be stored away from records storage areas.

There are particular requirements for storage areas in tropical climates:

- Humidity should be checked frequently by means of a hygrometer.

- Permanent air-conditioning is essential.
- Shelving should allow air circulation.
- Special care must be taken to ensure that roofs and openings are watertight.
- Records must be stored in such a way that they are protected from wind and water damage if doors or windows are broken during tropical storms.
- Buildings should be located away from tree trunks and stumps that might attract insects, and there should be no trees or plants close to the building. For new buildings, surrounding soil areas must be cleansed of termites and other insects that can damage records.
- All building openings (ventilation shafts, drain pipes, etc.) should be sealed with wire mesh to prevent insects and rodents from entering.
- There must be adequate light levels and air circulation to help control insects and rodents, which breed in dark, closed areas.
- There must be routine pest eradication inspections and treatments in areas prone to insect infestation; fumigation chambers or systematic building fumigation are required to maintain WBG records.
- Anti-fungal coatings should be used on walls, floors and ceilings. There must be periodic checks for the presence of fungal spores. Fungicides should be used once a year to disinfect the air in storage rooms, or as soon as fungus is detected. Records may need to be fumigated separately.

For further information and support contact the WBG Archives: archives@worldbank.org, ext 32000.



Managing Personal Records

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Staff should not file personal records in records management systems. Any personal records, including email, kept in these systems will be subject to WBG rules and regulations.

AMS 10.11 Section 3, paragraph 11

WBG records are WBG property. Staff do not have intellectual property rights to the records that they create in the course of their employment unless there is a pre-existing copyright or a written agreement with the WBG. As a general rule, staff must not use WBG records for non-WBG business.

AMS 10.11 Section 3, paragraph 18

Personal records are information, in any format or media, accumulated by WBG staff and contractors that are not used in the transaction of WBG business. They typically relate to the private life or interests of the person who owns them or arise from the professional and personal pursuits of the individual outside of WBG business. They may include personal copies of records previously disseminated for public information or personal copies of correspondence directly related to the terms and conditions of their employment.

Personal paper records kept in WBG office space should be stored separately from WBG records. Personal electronic records should not be filed in WBG records management systems.

For further information and support contact the WBG Archives: archives@worldbank.org, ext 32000.



Managing Records Generated by Consultants

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The policy applies to all WBG records, wherever located and by whomsoever held, which are or have been created or received in the course of WBG business by staff, including consultants, as defined in Staff Rule 4.01, as well as by contractors. Staff and contractors are responsible for following this policy when creating or using WBG records.

AMS 10.11 Section 2, paragraph 5

Unit Managers must ensure that records created by consultants and contractors hired in their unit are captured in approved records management systems

AMS 10.11 Section 3, paragraph 22

Consultants with access to WBG records management systems must capture records, paper or electronic, related to WBG work in these systems.

Consultants who do not have access to records management systems must, by the end of the contract term, forward all records created or received during the course of their contract to the task team leader or unit manager responsible for the project or activity to which the consultant's work relates.

For further information and support contact the WBG Archives: archives@worldbank.org, ext 32000.



Managing Records of Departing Staff

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WBG records are WBG property. Staff do not have intellectual property rights to the records that they create in the course of their employment unless there is a pre-existing copyright or a written agreement with the WBG. As a general rule, staff must not use WBG records for non-WBG business. WBG records must be kept securely until they are captured, transferred to the Archives or destroyed in accordance with the applicable disposition schedule.

AMS 10.11 Section 3, paragraph 18

Staff or contractors must hand over any WBG records in their custody to their successor, to their supervisor, or to the WBG Archives prior to their departure. They may not retain, give away, or remove from WBG premises any records, including those they created or received during the performance of their duties, other than *personal records*.

AMS 10.11 Section 3, paragraph 20

All WBG records, regardless of form or medium, must remain in the custody of the WBG. Departing staff must not remove records from WBG premises. The only exceptions are personal copies of documents distributed for public information and personal correspondence directly related to the terms and conditions of employment, which staff may retain. See [Managing Personal Records](#). Staff leaving the WBG permanently or for an extended period of time must observe the following procedures.

For paper records:

- Records relating to current work must be handed to the successor or to the supervisor.
- The [General Records Schedule \(GRS\)](#) must be applied to administrative records to determine whether they should be destroyed or transferred to the Archives. If the GRS indicates that records should be destroyed, see [Destroying Paper Records](#).
- The relevant [Records Retention and Disposition Schedule \(RRDS\)](#) must be applied to operational records to determine whether they should be destroyed or transferred to the Archives. Place a request for a copy of the unit's RRDS in eServices ("Archives Retention/Disposition Schedule").
- If the GRS or RRDS indicates that records should be sent to the Archives, place a request in eServices ("[Archives Records Transfer – Order](#)"), and an Archives Assistant will facilitate the transfer of records to the Archives.

For electronic records:

Shortly after a staff member leaves, his or her World Bank Group institutional e-mail account, computer hard drive, and personal network space will be purged. Therefore, it is important for staff to ensure that all significant WBG records are captured in a records management system.

See also:

- [Managing E-Mail Records](#).
- [Managing Personal Records](#)
- [Destroying Paper Records](#)

For further information and support contact the WBG Archives: archives@worldbank.org, ext 32000.



Managing Records of Temporary Commissions

Last revised June 6, 2011

All staff are responsible for documenting their activities and decisions and for applying records management directives and procedures in the performance of their duties, as stated in this AMS.

AMS 10.11 Section 1, paragraph 3

Temporary commissions include any panel, ad hoc committee, task force, advisory board, council, or commission established by the WBG to study, review, investigate or provide advice or recommendations on a particular issue or event and report accordingly. Commissions may be attached to a particular VPU (for administrative and logistical support), but they tend to operate as independent entities. All records created or received by temporary commissions belong to the WBG.

Roles and Responsibilities

The WBG Archives is responsible for providing guidance on and supervising the management of commission records. Upon their creation, therefore, commissions should contact the Archives for guidance in handling their records. The Archives will provide support in records classification, appraisal and disposition, and transfer.

Commission Staff

To ensure adequate and proper documentation of a commission's work, WBG staff are required to create and maintain a concise and complete record of their activities. Commission staff must ensure that:

- Minutes, agendas, and related documents of meetings with outside individuals and groups are kept and placed in official files.
- When a significant issue is handled on the telephone, a memo is prepared for the record.
- Material containing sensitive information is identified and redacted, and original versions of such materials are to be clearly documented.

Disposition of Commission Records

Commission program records will be preserved permanently in the Archives, while commission administrative records will be kept for a period and then destroyed according to the GRS.

Program records document the commissions' work and accomplishments and may include the following:

- *Organization and work program files*: including the terms of reference, records relating to the organization of the commission, biographical information of members, and directives to members concerning their responsibilities.
- *Meeting files*: including all records of meetings, such as agendas, minutes, briefing papers.
- *Correspondence files*: including in-coming and out-going letters/memos about the commission's work.
- *Public/ in camera hearings files*: including transcripts edited and unedited, and/ or tape recordings of hearings.
- *Chairman's files*: including include subject and chronological files
- *Speeches, presentations, press conferences*: including one copy of each speech relating to commission's work, transcript of press conferences held by commission.
- *Special project files*: including complete records for research projects undertaken by commissioners.
- *Audiovisual files*: Including audio and video recordings related to the work of the commission.
- *Publications files*: including one copy of the final report, interim report, and research report.

Administrative records document the housekeeping activities or internal operation of the commission. These include budget files, statements of expenses, travel files, and staff files. These records should be kept temporarily and then destroyed.

Electronic commission program records should be captured in WBG records management systems.

For further information and support contact the WBG Archives: archives@worldbank.org, ext 32000.



Disposing of Publications and Research Reports Developed for Dissemination

Last revised June 6, 2011

In the case of paper records, staff must take active steps to apply retention and disposition schedules. When paper records reach the end of their retention period in the office, staff should destroy them or transfer them to the Archives. In country offices, the records that have a final disposition of destroy must be destroyed on site. Duplicate copies and information that does not have evidentiary value may be destroyed when no longer needed.

AMS 10.11 Section 3, paragraph 17

WBG staff must submit completed reports to the Internal Documents Unit (IDU) if they are not already captured in official processes or workflows.

AMS 10.11 Section 3, paragraph 20

Publications and serialized reports that are prepared for dissemination can pose a major storage challenge for any WBG unit, including Country Offices. Furniture and secure storage space suitable for retaining WBG records should be not used to store multiple copies of publications.

ImageBank, maintained by the IDU and part of the Library and Archives of Development, is the institutional repository for publications and serialized reports. It contains a wide range of material including economic and sector reports, country focus reports, project documents, publications and research. If a publication has been captured in ImageBank, multiple copies can be destroyed when no longer needed by the unit. Publications prepared in several languages should be captured in ImageBank in each of the languages before copies can be destroyed. Staff must follow these requirements:

- If the publication is not contained in ImageBank, submit it for inclusion via [ImageBank site](#).
- If the publication is contained in ImageBank and it is less than 2 years old, retain all copies.
- If the publication is contained in ImageBank and it is between 2 and 5 years old, retain 10 to 20 copies and discard the remaining copies.
- If the publication is contained in ImageBank and it is over 5 years old, discard all copies.

Copies for destruction do not have to be shredded, burned or pulped. If possible, recycle the publications.

For further information and support contact the WBG Archives: archives@worldbank.org, ext 32000.



Functional Systems Requirements for Records Management

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The WBG Chief Archivist, in consultation with relevant parties, is responsible for designating WBG business systems as being compliant with records management requirements.

AMS 10.11 Section 3, paragraph 8

These requirements support WBG staff who are responsible for designing, developing, and administering WBG business systems and information management technologies on behalf of business process owners and end-users. They are designed to protect the authenticity, integrity, and long-term availability of WBG electronic records by ensuring that they are captured, preserved, and made accessible in a manner consistent with the WBG's records management policy as well as with industry best practices.

The functional requirements are based on *ISO 15489-1: Information and Documentation – Records Management*, on the *United States Department of Defense Standard 5015.2 – Design Criteria Standard for Electronic Records Management Software Applications*, and on AMS 10.11 Management of Records. They should provide input to the business requirements gathering phase for any new WBG systems that will be creating or managing electronic records. In order to close any policy compliance gaps, any current or new systems that cannot comply with the requirements should plan to interface or integrate with an existing system that supports records management functionality, as defined by the requirements.

Description of the Requirements

There are seven core requirements that correspond to the fundamental records management processes described in ISO 15489 Records Management. In principle, any system that meets these basic requirements supports records management. The requirements are:

- 1 *The system must capture records*
- 2 *The system must classify records*
- 3 *The system must store records*
- 4 *The system must provide access to records*
- 5 *The system must track records*
- 6 *The system must carry out the disposition of records*
- 7 *The system must preserve records*

These high-level requirements are broken down into a comprehensive set of 23 functional requirements for records management in business systems, as listed below. It is important to note that these functional requirements are 'business requirements' that define what the system should do. They are not software specifications or technology choices that state 'how'

the system should do it. These decisions are left to the system architects, developers or administrators based on the technology solutions and restrictions with which they are working.

1 The System Must Capture Records

- The system must allow users to declare records and distinguish them from non-record information or data.
- The system must register records by assigning unique, persistent identifiers. It must associate metadata attributes to the records using the following list as a minimum:
 - ◇ unique record identifier
 - ◇ date and time of record capture (registration)
 - ◇ record creation date
 - ◇ record title or description
 - ◇ name of record creator or name of record user who captured the record
 - ◇ record disposition class identifier

2 The System Must Classify Records

- The system must classify records using standard metadata as defined in [Enterprise Metadata Standard Specification](#).

The system must assign records to a disposition class as defined in a [Records Retention and Disposition Schedule](#).

- The system must assign one of the following security classification codes to records:
 - ◇ Strictly Confidential
 - ◇ Confidential
 - ◇ For Official Use Only
 - ◇ Public

3 The System Must Store Records and Records Metadata

- The system must provide a reliable storage repository suitable to the records' file format, storage volume, and retrieval time requirements.
- The system must provide a reliable storage repository for the records' metadata and ensure that the metadata is persistently linked or embedded in the record for its entire lifespan.

- The system must provide backup and disaster recovery functionality for the records and record metadata repository.
- The system must provide adequate security features to prevent unauthorized alteration or deletion of records or records metadata in the storage repository.

4 *The System Must Provide Access to Records*

- The system must provide the ability to search for, retrieve, and display records.
- The system must enforce user access and security restrictions.

5 *The System Must Track Records*

- The system must track the current location and custody of records.
- The system must maintain secured audit logs on the access and use of records.
- The system must establish version control and differentiate original records from drafts and copies.

6 *The System Must Carry Out Record Disposition in Accordance with Records Retention Schedules Authorized by the World Bank Group Archivist*

- The system must be able to group and collectively manage records that belong to a common disposal class.
- The system must be able to calculate the retention period for records belonging to the same disposal class and trigger an authorized disposition event when the retention period expires.
- The system must be able to preserve records that require long-term or permanent in accord with a preservation plan or transfer records to a suitable storage repository.
- The system must be able to completely and reliably expunge those records that have been assigned 'destruction' as their final disposition action (including any backup, reference or source copies).
- The system must maintain or transfer documentation about all record disposition actions.

7 *The System Must Preserve Records*

- The system must be supported by a documented and monitored records preservation plan approved by the WBG Archives.
- The system must ensure that standard file formats are enforced.
- The system must document all preservation actions that are taken on records using standard WBG metadata attributes as established in a preservation plan

The Role of the WBG Archives

The WBG Archives is the principal point of contact for specific inputs referenced in this procedure including:

- institutional standard records classification guidance as defined in the *WBG Taxonomy*, [AMS 1.10 Policy on Access to Information](#), and [AMS 6.21A Information Classification and Control Policy](#)
- [Records Retention and Disposition Schedules \(RRDS\)](#) and [General Records Schedule \(GRS\)](#)
- preservation guidance for digital assets.

For further information and support contact the WBG Archives: archives@worldbank.org, ext 32000.
