



**Complementary Annexes to JIU/REP/2013/2:**  
**Records and Archives Management in the United Nations**

(available in English only)

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## Annex X: Universal Declaration on Archives

Archives record decisions, actions and memories. Archives are a unique and irreplaceable heritage passed from one generation to another. Archives are managed from creation to preserve their value and meaning. They are authoritative sources of information underpinning accountable and transparent administrative actions. They play an essential role in the development of societies by safeguarding and contributing to individual and community memory. Open access to archives enriches our knowledge of human society, promotes democracy, protects citizens' rights and enhances the quality of life.

### **To this effect, we recognize**

- the unique quality of archives as authentic evidence of administrative, cultural and intellectual activities and as a reflection of the evolution of societies;
- the vital necessity of archives for supporting business efficiency, accountability and transparency, for protecting citizens' rights, for establishing individual and collective memory, for understanding the past, and for documenting the present to guide future actions;
- the diversity of archives in recording every area of human activity;
- the multiplicity of formats in which archives are created including paper, electronic, audio visual and other types;
- the role of archivists as trained professionals with initial and continuing education, serving their societies by supporting the creation of records and by selecting, maintaining and making these records available for use;
- the collective responsibility of all – citizens, public administrators and decision-makers, owners or holders of public or private archives, and archivists and other information specialists – in the management of archives.

### **We therefore undertake to work together in order that**

- appropriate national archival policies and laws are adopted and enforced;
- the management of archives is valued and carried out competently by all bodies, private or public, which create and use archives in the course of conducting their business;
- adequate resources are allocated to support the proper management of archives, including the employment of trained professionals;
- archives are managed and preserved in ways that ensure their authenticity, reliability, integrity and usability;
- archives are made accessible to everyone, while respecting the pertinent laws and the rights of individuals, creators, owners and users;
- archives are used to contribute to the promotion of responsible citizenship.

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*Adopted at the General Assembly of the International Council on Archives  
Oslo, September 2010. Endorsed by 36th Session of the General Conference of UNESCO Paris, November 2011.*

## Annex XI: Main RAM-related definitions used by different international organizations

### Access

ISO 15489	Right of finding, using, or retrieving information.
ISO 15489-1	Right, opportunity, means of finding, using, or retrieving information.
ARMS	Refers to ISO 15489-1 definition.
NATO Information Management Policy (28 January 2008)	
NATO Strategy for Long Term Preservation of Digital Information (18 September 2012)	Usability of records/archives in accord with archival, legal and physical requirements regarding archival description, access dates and preservation. All archival measures ensuring the accessibility to the records/archives.

### Active records

ARMS	Records in frequent use, regardless of their date of creation, required for current business relating to the administration or function of the organization. Such records are usually maintained in office space and equipment close to hand. Also known as current records.
WFP Management Handbook (March 2006)	A record utilized to perform current operations is called active. The active period of a record is indicated by the corporate retention schedule.

### Administrative records

ARMS	Administrative records are common to most organizations. Examples include routine correspondence or interoffice communications; records relating to human resources, equipment and supplies, and facilities; reference materials, routine activity reports, work assignments, appointment books, and telephone logs.
OHCHR, Guidelines on the Use of the OHCHR Filing Classification Scheme (v. 1)	Refers to ARMS definition.

## Analog

ARMS	Analog describes something that is continuously variable. In this context, analog refers to non-digital materials such as paper records, audio-cassettes, and traditional silver-based photographs.
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## Appraisal

ARMS	The process of establishing the value of a record in order to establish retention periods.
UNECA, Archives and Records Management Policy (May 2012)	The process of evaluating business activities to determine which records need to be captured and how long the records need to be kept to meet business needs, the requirements of organizational accountability and public expectations.
European Commission	Process of determining the disposal of documents based on their archival value. Appraisal at the Commission is carried out by the process of the first and second review.
NATO Policy on the Retention and Disposition of NATO information (6 February 2009)	Within the context of NATO, the process of evaluation by which the NATO Archivist determines whether information has permanent or temporary value, based on the criteria identified in this Policy and elaborated in supporting directive(s) and schedules.
World Bank, Management of Records (September 2011)	The process of determining the value of records for further use, for whatever purpose, and the length of time for which that value will continue.

## Archives

ST/SGB/2007/5	Records to be permanently preserved for their administrative, fiscal, legal, historical or informational value.
ISO 30300	- Permanent records. - Records maintained for continuing use. Note 1: Archives can be a place where archival materials are preserved and made available for consultation. This is also referred to as an archival repository. Note 2: Archives can be an organization, agency or programme responsible for selecting, acquiring, preserving and making available archives. This is sometimes referred to as an archival agency institution, or archival programme.
ARMS	Archives refers to both records and materials that are appraised to have archival value in addition to the physical place where archival materials and records are stored
DPKO and DFS Policy Directive – Records (January 2006)	Those records that are appraised as having historical value and are no longer required for current use.
DPKO, Guidelines on Use	Those records, regardless of format or medium, that are appraised as having historical value and are no longer required for

of the Peacekeeping File Classification Scheme (30 April 2010)	current use.
UNECA, Archives and Records Management Policy (May 2012)	Records that are 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. They are sometimes called "corporate memory".
WFP Management Handbook (March 2006)	Depository containing historical records and institutional memory of an organization, maintained permanently.
European commission	Documents, registered or not, regardless of form or medium, kept in files and to be preserved by the European Commission and its directorates-general and equivalent departments in the framework of their activities, either for a limited period or permanently. Collective term for current records, intermediate records and definitive archives.

### **Born digital**

ARMS	Information created in electronic formats such as email, word or html.
NATO Strategy for Long Term Preservation of Digital Information (18 September 2012)	Digital materials which are not intended to have an analogue equivalent, either as the originating source or as result of conversion to analogue form.

### **Business records**

ARMS	Records and other materials created or received as part of an organization's regular business activities.
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### **Capture**

ISO/TR15489-2, Clause 4.3.2	The process of determining that a record should be made and kept. This includes both records created and received by the organization. It involves deciding which documents are captured, which in turn implies decisions about who may have access to those documents and generally how long they are to be retained.
ARMS	Refers to ISO 15489-2 definition.
WFP Management Handbook (March 2006)	Registration of records in the Electronic Registry.

## Classification

ISO 15489	Systematic identification and arrangement of business activities and/or records into categories according to logically structured conventions, methods and procedural rules represented in a classification system.
ISO/TR15489-2, Clause 4.3.4	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 description, control, links and determination of disposition and access status
ARMS	Refers to ISO 15489-2 definition.
European commission	Allocation of an appropriate level of security to a piece of information, the unauthorized disclosure of which might cause a certain degree of prejudice to Commission or to Member State interests.

## Conservation

ARMS	The repair or stabilization of materials through chemical or physical treatment to ensure that they survive in their original form as long as possible.
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## Creator

ARMS	The individual, group or organization that produces a record.
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## Custody

ARMS	The responsibility for the care of documents based on their physical possession. Custody does not always include legal ownership or the right to control access to records.
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## Declassification

ARMS	The process of making previously restricted materials available for general consultation.
European commission	Removal of any classification.

## Destruction

ISO 15489-1	Process of eliminating or deleting records, beyond any possible reconstruction.
ARMS	The act of permanently disposing of records.

## Digitization

ARMS	The conversion of analog material into a digital format through digital photography or scanning. For example scanning a paper document to create a digital copy.
European commission	Process of transforming a document on paper or any other traditional medium into an electronic image. Digitization concerns all document types and can be carried out from various media such as paper, fax, microforms (microfiche, microfilms), photographs, video or audio cassettes and films.

## Disposal

ARMS	The transfer of records, especially noncurrent records, to their final state, either destruction or transfer to an archives.
UNECA, Archives and Records Management Policy (May 2012)	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.
UNOPS, Organizational directive No. 12 (rev. 1) (19 December 2011)	The transfer of non-current records to their final state, either destruction or infinite storage in an archive, if so specified in the Record Retention and Disposition Schedule.
European commission	Actions taken with regard to non-current archives (closed files) at the expiry of their retention periods and after their appraisal. These actions can be either permanent preservation or elimination.

## Disposition

ST/SGB/2007/5	The action taken with regard to non-current records following their appraisal, including transfer to secondary storage, or destruction.
ISO 15489	Range of processes associated with implementing records retention, destruction or transfer decisions which are documented in disposition authorities or other instruments.
ARMS	Refers to ISO 15489-1 definition.
NATO Information Management Policy (28 January 2008)	The appraisal of information to determine its long-term value and the subsequent actions (archiving or destruction) when the information is no longer needed for the conduct of the current business.
World Bank, Management of Records (September 2011)	Final destruction or transfer of records to WBG Archives as determined by their appraisal.

## Document

ISO 15489-1	Recorded information or objects, regardless of format or medium, which can be treated as a unit.
ISO 30300	- (noun) Recorded information or object which can be treated as a unit. - (verb) Record, substantive or annotate for retrieval later.
ARMS	Refers to ISO definition.
DPKO and DFS Policy Directive – Records (January 2006)	Recorded information or object which can be treated as a unit.
European Commission	Any content draw up or received by the Commission concerning a matter relating to the policies, activities and decisions falling within the institution’s competence and in the framework of its official tasks, in whatever medium (written on paper or stored in electronic form or as a sound, visual or audio-visual recording).
NATO Information Management Policy (28 January 2008)	The appraisal of information to determine its long-term value and the subsequent actions (archiving or destruction) when the information is no longer needed for the conduct of the current business.
Security within the NATO (17 June 2002)	Any recorded information regardless of its physical form or characteristics, including, without limitation, written or printed matter, data processing cards and tapes, maps, charts, photographs, paintings, drawings, engravings, sketches, working notes and papers, carbon copies or ink ribbons, or reproductions by any means or process, and sound, voice, magnetic or electronic or optical or video recordings in any form, and portable IT equipment with resident computer storage media, and removable computer storage media.
World Bank, Management of Records (September 2011)	Information or data fixed in some medium, which may or may not be considered in whole or in part a record. See Record.

## Electronic records

ST/SGB/2007/5	A record that consists of ICT data and that has: (i) Structure: the format of the electronic record and any links to attachments or other related documents; (ii) Content: the information contained in the structure of the electronic record conveying the evidence of the transaction; (iii) Context: the information documenting the source in terms of the transaction to which it relates, such as creator, date, security and access, language, disposal and format of the electronic record, and which is normally separated in the structure from the content;
ARMS	
ESCWA, SOP – Records Management and Archiving (2012/08/01)	Records consisting of Information Communication and Technology data that has structure, content and context.
UNECA, Archives and Records Management Policy (May 2012)	



UNOPS, Organizational directive No. 12 (rev. 1) (19 December 2011)	Records created through means of Information Technology or transferred into electronic format by e.g. scanning.
WFP Management Handbook (March 2006)	Records that are stored in electronic format. See also “Record”.

### Electronic signature

ARMS	A digital mark, code, or other symbol that identifies an individual and that indicates responsibility for or consent to the content of the material to which it is affixed.
UNDP, ASD Section of the POPP – Document management (1 August 2009)	An electronic (or digital) signature functions for electronic documents like a handwritten signature does for printed documents. The signature is an un-forgeable piece of data that asserts that a named person wrote or otherwise agreed to the document to which the signature is attached.
European commission	Data in electronic form which are attached to or logically associated with other electronic data and which serve as a method of authentication.

### File classification scheme

ARMS	A system that describes standard categories and that is used to organize records with common characteristics
DPKO, Guidelines on Use of the Peacekeeping File Classification Scheme (30 April 2010)	A system that describes standard categories and that is used to organize records with common characteristics; also called a classification plan
OHCHR, Guidelines on the Use of the OHCHR Filing Classification Scheme (v. 1)	Refers to ARMS definition.

### File plan

ARMS	A plan or scheme developed by an office, department or organization to organize and arrange different types of files. See File Classification Scheme.
WFP Management	Comprehensive compendium of all WFP official files titles, file codes, definitions and retention periods. The WFP file plan

Handbook (March 2006)	has been developed according to the outcome of the business classification analysis. In addition to the file codes, retention periods and additional information to manage WFP official records (both in electronic and paper format) the file plan indicates the Division or Organizational Unit which is responsible for each file.
European commission	Hierarchical and logical structure taking the form of a tree diagram made up of a given number of interlinked headings at several levels, which allows for the intellectual organization of the institution's files on the basis of its activities.

### Inactive records

ARMS	Records no longer needed on a day to day basis but may be required for administrative, legal or historical reasons.
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### Information

ARMS	Data, ideas, thoughts or memories irrespective of medium.
NATO Information Management Policy (28 January 2008)	Any communications or representation of knowledge such as facts, data, or opinions in any medium or form, including textual, numerical, graphic, cartographic, narrative, or audiovisual forms.
World Bank, Management of Records (September 2011)	The meaning given to the representation of facts, concepts, or instructions recorded in a formalized manner suitable for communication, interpretation, or processing by human or automated means. The representation of facts, concepts, or instructions' is otherwise called 'recorded information'. Records are a form of recorded information.

### Interim archives

ARMS	The HQ Records Centre where ARMS keeps records that will not be kept permanently as part of the UN Archives. Such records will ultimately be destroyed in accordance with retention scheduling.
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### Metadata

ISO 15489 and ISO 30300	Data describing context, content and structure of records and their management through time.
ARMS	Refers to ISO 15489-1 definition.
UNDP, ASD section of the POPP – Document Management (1 August 2009)	Metadata are information about information, or “data about data”. It consists of labels like “title”, “author”, “language”, “date created” etc. used to describe electronic documents. A metadata model defines the kinds of information that can be captured in a system and an approved vocabulary for referring to these “metadata elements”. By standardizing the metadata that we use, a metadata model makes it possible to easily search across systems.
European commission	Data describing the context, contents and structure of documents and their management over time.
NATO Records Policy (17	Structured information that describes, explains, locates, and otherwise makes it easier to retrieve, use and understand an

June 2011)	information resource. Metadata facilitates the association of records within the context of broader business activities and functions.
NATO, Primary Directive on Information Management (27 November 2008)	Structured information that describes, explains, locates and otherwise makes it easier to retrieve and use an information resource. The structure consists of ‘elements,’ each of which will contain ‘values.’ The values relate to the resource itself, there may be controls over what the actual values can be.
World Bank, Management of Records (September 2011)	Data describing the context, content, and structure of records and their management through time. The preservation of the record with its associated metadata is necessary to maintain the integrity of the record. Types of metadata include technical/structural, administrative, descriptive, preservation, and use.

### Official document

ARMS	The official publications of the United Nations. See UN Parliamentary and Official Documents.
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### Official record

ARMS	Master or official copy of a UN record.
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### PDF

ARMS	Stands for Portable Document Format. PDF is considered one of the more universal text and graphic formats for digital imaging. PDF comes in various version including PDF/A which was specifically designed for archival uses.
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### Preservation

ISO 15489-1	Processes and operations involved in ensuring the technical and intellectual survival of authentic records through time.
ISO 30300	Processes and operations involved in ensuring the maintenance of records over time.
ARMS	Refers to ISO 15489-1 definition.
NATO Records Policy (17 June 2011)	Processes and operations involved in ensuring the technical and intellectual survival of authentic records through time.

### Record(s)

ST/SGB/2007/5	Any data or information, regardless of form or medium, maintained by the United Nations as evidence of a transaction.
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ISO 15489-1 and ISO 30300	Information created, received, and maintained as evidence and information by an organization or person, in pursuance of legal obligations or in the transaction of business. Note 2: the term “evidence” is not limited to the legal sense. Note 3: This applies to information in any medium, form or format.
ARMS	Refers to ISO definition
ICA	Recorded information produced or received in the initiation, conduct or completion of an institutional or individual activity and that comprises content, context and structure sufficient to provide evidence of the activity.
DPKO and DFS Policy Directive – Records (January 2006)	Information created, received and maintained by an organization or person and maintained as evidence in the transaction of operations or business.
ESCWA, SOP – Records Management and Archiving (2012/08/01)	Refers to ST/SGB/2007/5 definition.
OHCHR, Guidelines on the Use of the OHCHR Filing Classification Scheme (v. 1)	
UNDP, ASD section of the POPP – Document Management (1 August 2009)	Any information, regardless of physical form or characteristic, which originate from or are received by UNDP within the framework of its official activities. Files are arrangements of records containing records originating from or received by the organization in written, audio, video, electronic and all other forms.
UNECA, Archives and Records Management Policy (May 2012)	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.
UNHCR Inter-Office Memorandum No. 31/2005 (3 June 2005)	Any recorded information, including e-mail and other data held in UNHCR electronic resources that is created or received by UNHCR in the course of its daily work.
UNHCR, Easy Livelink Version 9.7 (August 2011)	A UNHCR record provides evidence of actions or decisions taken in the course of conducting UNHCR business, and the causes or effects of those actions or decisions. Records are any papers, publications, maps, audio-visual materials, electronic data, or other documentary materials, regardless of physical form or characteristics, which are created or received by UNHCR in the course of its daily work.
UNOPS, Organizational directive No. 12 (rev. 1) (19 December 2011)	Any information, regardless of physical form or characteristic, which originate from or are received by UNOPS within the framework of its official activities.
UN-Women – Records management	Comprise any information, regardless of physical form or characteristics, which originate from, or are received by, UN-Women within the framework of its official activities.
DPKO, Guidelines on Use of the Peacekeeping File Classification Scheme (30	Information, regardless of format or medium, that is created, received and maintained by an organization or person and maintained as evidence in the transaction of operations or business.

April 2010)	
WFP Management Handbook (March 2006)	Any type of information created or received by an organization in the course of its business and kept as evidence of its activities. Records include correspondence, e-mails, reports, memoranda, publications, machine readable records and other material.
WFP Management Handbook (March 2006)	Recorded information, in any form, including data in computer systems, created or received and maintained by the Organization in the transaction of business or the conduct of affairs and kept as evidence of activities. Records include correspondence, e-mail messages, reports, memoranda, facsimile messages, completed forms, telex, cable, publications and documents, films, photographs, maps, sound recordings, machine-readable records and other documentary material created or received by the organization in the performance of its activities.
NATO Records Policy (17 June 2011)	Refers to ISO 15489-1 definition.
World Bank, Management of Records (September 2011)	Records are a particular type of recorded information, created or received in the conduct of WBG business and in pursuance of its legal obligations. They document WBG policies, decisions, processes, activities, and transactions, and preserve its institutional knowledge. Regardless of their form or medium, records are a distinct and essential component of the WBG's information assets.

### Record center

ARMS	A facility used for low-cost storage of inactive and semi current records before those records are destroyed or transferred to an archives
WFP Management Handbook (March 2006)	The records center is the section of the Archives where semi-active or inactive records are stored until their disposal date.

### Record keeping systems

ISO 15489-1	Information systems which capture, maintain and provide access to records through time.
ARMS	
UNECA, Archives and Records Management Policy (May 2012)	Refers to ISO 15489-1 definition.

### Record keeping

ST/SGB/2007/5	Making, maintaining and disposing of complete, accurate and reliable evidence of transactions in the form of records.
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ARMS	Making and maintaining complete, accurate and reliable evidence of business transactions in the form of recorded information
ESCWA, SOP – Records Management and Archiving (2012/08/01)	Refers to ST/SGB/2007/5 definition.
UNECA, Archives and Records Management Policy (May 2012)	Refers to ARMS definition.

### Records management

ISO 15489	Field of management responsible for the efficient and systematic control of the creation, receipt, maintenance, use and disposition of records, including processes for capturing and maintaining evidence of and information about business activities and transactions in the form of records.
ARMS	Refers to ISO 15489-1 definition.
DPKO and DFS Policy Directive – Records (January 2006)	The field of management responsible for the efficient and systematic control of the creation, receipt, maintenance, use and disposition of records.
UNDP, ASD section of the POPP – Document Management (1 August 2009)	Relates to the creation, use and maintenance of current records in a systematic manner.
UN-Women – Records management	
UNHCR, Easy Livelink Version 9.7 (August 2011)	Records Management is the creation, use and maintenance of records in a systematic manner, and pertains to any information, regardless of physical form or characteristic, originating from or received by UNHCR within the framework of its official activities.
NATO Records Policy (17 June 2011)	Refers to ISO 15489-1 definition.

### Records management programme

ARMS	A records management programme conducted on an organization-wide basis for the management of records, recordkeeping activities and recordkeeping systems.
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### Registry

ARMS	A paper recordkeeping or filing system run by staff tasked with the creation and management of files (including storage and tracking) is centralized.
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### Retention schedule/period

ST/SGB/2007/5	A comprehensive instruction developed by a department or an office covering the disposition of records to ensure that they are retained for as long as necessary based on their administrative, fiscal, legal, historical or informational value.
ARMS	A comprehensive instruction covering the disposition of records to assure that they are retained for as long as necessary based on their administrative, fiscal, legal and historic value.
ESCWA, SOP – Records Management and Archiving (2012/08/01)	Refers to ARMS definition.
OHCHR, Guidelines on the Use of the OHCHR Filing Classification Scheme (v. 1)	
UNOPS, Organizational directive No. 12 (rev. 1) (19 December 2011)	A list formally defining records to be kept, as well as at least retention periods and consequent disposition actions authorized for those records contained in the schedule.
WFP Management Handbook (March 2006)	The RRDS show the life cycle of records and their established retention periods based upon legal, evidential, historical reasons and also practical requirements. The RRDS also show which records may be destroyed after the retention period has expired.
NATO Policy on the Retention and Disposition of NATO information (6 February 2009)	The length of time that information must be kept to meet mission, legal, financial, evidential and accountability requirements as well as other informational purposes.

### Risk analysis and assessment

ARMS	An evaluation of the potential threats to, the likelihood of their occurring and their impact on records and archives.
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### Risk management

ARMS	The systematic control of losses or damages, including the analysis of threats, implementation of measures to minimize such risks, and implementing recovery programmes.
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### Scanner

ARMS	An optical device that transforms an analog image into a graphics image readable by a computer.
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### Scan(ning)

ARMS	The action of digitally capturing an image using an electronic scanner.
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### Semi-active records

ARMS	Records which are referred to infrequently and therefore are typically stored away from the work area.
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### Sentencing

ARMS	The act of applying a retention schedule to records.
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### Structure

ARMS	The manner in which elements are organized, interrelated, and, displayed. Along with content and context, structure is one of the three fundamental aspects of a record.
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### Substantive records

ARMS	Records related to the core activities of an organization i.e. those activities which are unique to the organization or office.
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### Taxonomy

ARMS	An intellectual structure which arranges items into groups and subgroups based on predetermined rules.
UNDP, ASD section of the POPP – Document Management (1august 2009)	Taxonomy is a concept map expressed as a hierarchical list of terms. Taxonomy can be used to define a single metadata element (i.e. subject) in a content management system and can help groups of people organize things. Corporate taxonomies are symbolic and value laden. Taxonomies speak to “what we think we do” within an organization during a specific period of time by communicating management priorities and reinforcing efforts to change entrenched work cultures.



### Transfer (to the historical archives)

ISO 15489-1	-{Custody} change of custody, ownership and/or responsibility for records. -{Movement} moving records from one location to another.
ARMS	The process of moving records as part of their lifecycle.
European commission	Change of custody and responsibility for the Commission's files and documents from the directorates general and equivalent departments to the Commission's historical archives service.
NATO Records Policy (17 June 2011)	Refers to ISO 15489-1 definition.
NATO, Directive on the Handling of Records During the Closure of a NATO Civil or Military Body (4 July 2011)	The administrative and physical process of moving records from the creating body to a successor body or to the Archives. This process may imply a change of custody, ownership and/or responsibility for the records.

### UN Parliamentary and Official documents

ARMS	The Dag Hammarskjöld Library is the custodian of all official UN documents. This includes the documents of the General Assembly, the Security Council, the ECOSOC, as well as all ST documents (ST/SGB, ST/AI and, ST/IC). Most of these documents available in electronic form through ODS and are not considered records or archives. See also Official Document.
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### Vital records

ST/SGB/2007/5	Any data or information essential for the ongoing functioning of the Organization and without which the Organization could not continue to function effectively or without which it could not ensure business continuity in the event of a disaster; information necessary to protect the rights and interests of the Organization, its staff and those who interact with it.
ARMS	The records which are necessary to ensure the ongoing operation of an organization in the event of a disaster or other disruption to normal operating conditions.
WFP Management Handbook (March 2006)	Records needed to restore the operations of the Organization or any of its critical units, following a disaster. Vital records are essential to re-create the Organization's legal and financial position and to protect its rights, staff and stakeholders.

## Annex XII: Background information in relation with the Overview of RAM within selected United Nations entities (Chapter IV, Table 1 and Figure 1)

This document provides background information in relation with the assessment of RAM policies and practices in Table 1 and Figure 1 after paragraphs 53-54 of the report.

It presents first the set of defined criteria used for the assessment of any entity, placed it on two axis: Axis 1, assessing its RAM regulatory framework and policies and Axis 2, assessing its RAM practices.

The general methodology section is followed by the individual assessments (and related scoring) for each entity as follows:

United Nations Secretariat, UNECA, UNOG, UNOV/UNODC, DPKO, OHCHR, UNCTAD, UNHCR, UNDP, UNFPA, UN-HABITAT, UNICEF, UNOPS, UN Women, WFP, UNRWA, UNU.

### Methodology

#### Axis 1: RAM regulatory framework (policies and institutional arrangements)

##### Criteria 1 (Framework)

No promulgated corporate policy for RAM	<b>0</b>
RAM policy promulgated but is incomplete or outdated	<b>1</b>
Policy promulgated for main RAM aspects (ISO), primarily for printed items	<b>3</b>
Policy promulgated for main RAM aspects (ISO), for both printed and digital items	<b>4</b>
Policy promulgated for main RAM aspects (ISO), for both printed and digital items, consolidated with practical guidelines into a corporate manual	<b>5</b>

##### Criteria 2 (Level of promulgation of the framework)

No promulgated RAM principles	<b>0</b>
RAM principles promulgated by dedicated RAM unit	<b>2</b>
RAM principles promulgated by one division	<b>3</b>
RAM principles promulgated for the entire entity, mainly for headquarters	<b>4</b>
RAM principles promulgated for the entire entity, good ownership also away from headquarters	<b>5</b>

##### Criteria 3 (Guidance material)

No practical guidance material available	<b>0</b>
Practical guidance material is partial and/or outdated	<b>1</b>
Practical guidance material is complete and up to date, but not systematically disseminated within the entity	<b>3</b>
Practical guidance material is complete and up to date, good ownership in the entity	<b>5</b>

##### Criteria 4 (Electronic messaging)

No promulgated e-mail policy	<b>0</b>
E-mail policy promulgated, but limited to internal usage	<b>2</b>
E-mail policy (usage) complemented by informal guidelines for managing e-mails as records	<b>3</b>
E-mail policy promulgated to <b>manage e-mails as records</b> when applicable	<b>5</b>

##### Criteria 5 (Institutional arrangements)

No dedicated structure for RAM in the entity	<b>0</b>
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RAM responsibilities allocated to various stakeholders in the entity	<b>1</b>
RAM responsibilities allocated to a dedicated unit with limited authority and resources	<b>3</b>
RAM responsibilities allocated to a dedicated unit with a formal network of focal point/records coordinators	<b>4</b>
RAM dedicated unit in place, well-funded, with monitoring and control authority	<b>5</b>

## Axis 2: RAM practices

### Criteria 1 (Management of physical paper records/archives)

Physical paper records not maintained/kept by organizational units/records producers /users	<b>0</b>
Organizational units/ records producers keep their records in office premises but not in the context of RAM programme (classification/retention principles, transfer, etc..)	<b>1</b>
Some organizational units/records producers implement RAM programmes (classification/retention principles, transfer, etc..)	<b>2</b>
Most organizational units/records producers implement RAM programmes (classification/retention principles, transfer, etc..)	<b>3</b>
Consistent entity-wide RAM programme (classification/retention principles, transfer, non-permanent records destroyed after designated retention period)	<b>5</b>

### Criteria 2 (Management of digital records/archives)

Digital records not maintained/kept by organizational units/ records producers /users	<b>0</b>
Various information systems, including document management systems, used to store digital records	<b>1</b>
Initial plans for EDRMS or at pilot phase to manage digital records	<b>2</b>
EDRMS deployed at HQ to capture and manage digital records, implementing classification and retention principles	<b>3</b>
EDRMS deployed at HQ and field offices to capture and manage e-records, implementing classification and retention principle	<b>5</b>

### Criteria 3 (Monitoring)

Policy promulgation as sole compliance measure	<b>1</b>
Internal control mechanisms put in place by organizational units/ records producers/users themselves	<b>2</b>
RAM focal points deployed through the entity and having close contact with RAM dedicated unit	<b>3</b>
RAM dedicated unit effectively monitors compliance of records producers/users RAM practices	<b>4</b>
Established internal and/or external audits include RAM issues	<b>5</b>

### Criteria 4 (Training and outreach)

Informal learning opportunities only	<b>0</b>
Basic training embedded in induction/retirement workshops, limited training opportunities	<b>2</b>
RAM workshops offered to staff with RAM responsibilities (focal points)	<b>3</b>
RAM workshops or e-training offered to staff at large	<b>4</b>
RAM mandatory training or e-training for senior managers and other relevant staff (focal points)	<b>5</b>

### Criteria 5 (Preservation of physical paper records/archives)

No attention to preservation of physical paper inactive, permanent value records by organizational units/ records producers/users	<b>0</b>
Most physical paper records kept at organizational units/records producers/users' premises (active and inactive, permanent) at headquarters or in the field	<b>1</b>
Irregular transfers of inactive or permanent value paper records to one secure repository	<b>2</b>
Headquarters inactive or permanent value paper records transferred to one secure repository	<b>4</b>
<b>All</b> inactive or permanent value paper records <b>regularly</b> transferred to one secure repository	<b>5</b>

**Criteria 6 (Preservation of digital records/archives)**

No attention to preservation of digital inactive data/records by organizational units/records producers/users	<b>0</b>
Most digital records maintained/kept by organizational units/records producers/users on their own IT devices (active and inactive, permanent), at headquarters or in the field	<b>1</b>
Inactive or permanent value digital records irregularly transferred to one secure digital repository	<b>3</b>
Headquarters inactive or permanent value digital records transferred to one secure digital repository	<b>4</b>
All inactive or permanent value digital records transferred to one secure digital repository	<b>5</b>

## Application to the respective entities

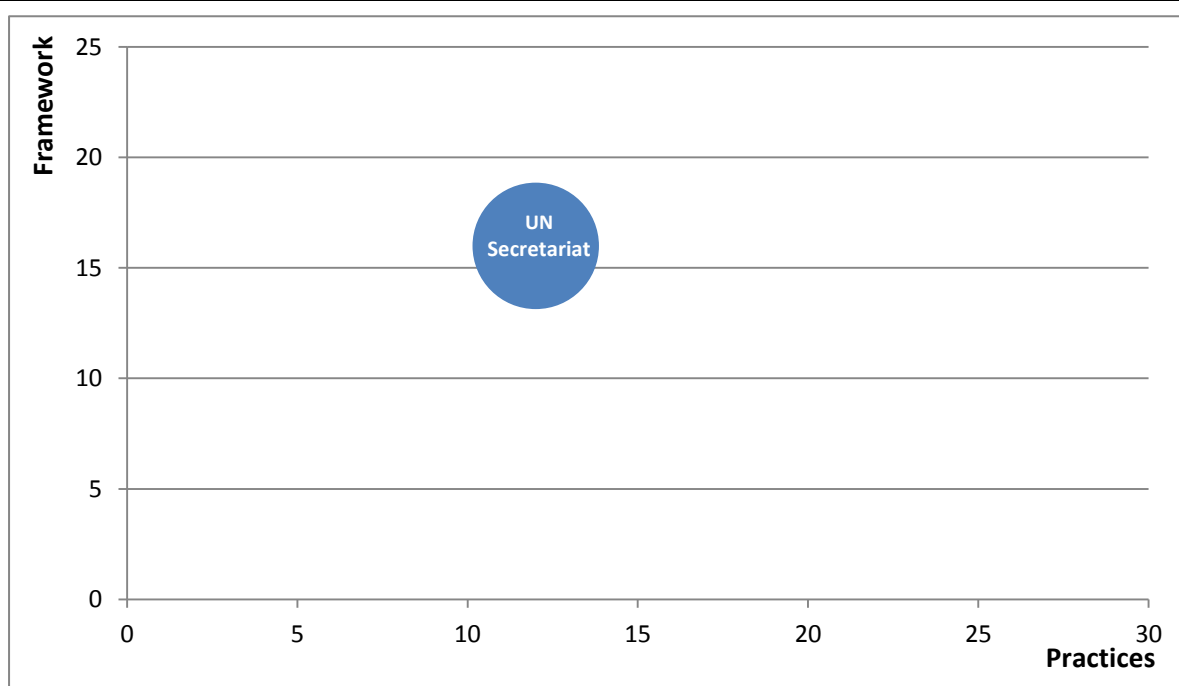
### United Nations Secretariat

#### Axis 1: Regulatory framework (policies)

Criteria 1	Policy promulgated for main RAM aspects (ISO), primarily for printed items	3/5
Criteria 2	RAM Principles promulgated at the level of the entire entity mainly for Headquarters	4/5
Criteria 3	Practical guidance material is complete and up to date, but not systematically disseminated within the entity	3/5
Criteria 4	E-mail policy (usage) complemented by informal guidelines for managing emails as records	3/5
Criteria 5	RAM responsibilities allocated to a dedicated unit with limited authority and resources	3/5
<b>Total</b>		<b>16/25</b>

#### Axis 2: Practices

Criteria 1	Some organizational units/ records producers implement RAM programmes (classification, retention principles, transfer, etc.)	2/5
Criteria 2	Initial plans for EDRMS or at pilot phase to manage digital records	2/5
Criteria 3	RAM focal points deployed through the entity and having close contact with RAM dedicated unit	3/5
Criteria 4	Basic training embedded in induction/retirement workshops, limited training opportunities	2/5
Criteria 5	Irregular transfers of inactive or permanent value paper records to one secure repository	2/5
Criteria 6	Most digital records maintained/kept by organizational units/records producers/users on their own IT devices (active and inactive, permanent), at headquarters or in the field	1/5
<b>Total</b>		<b>12/30</b>



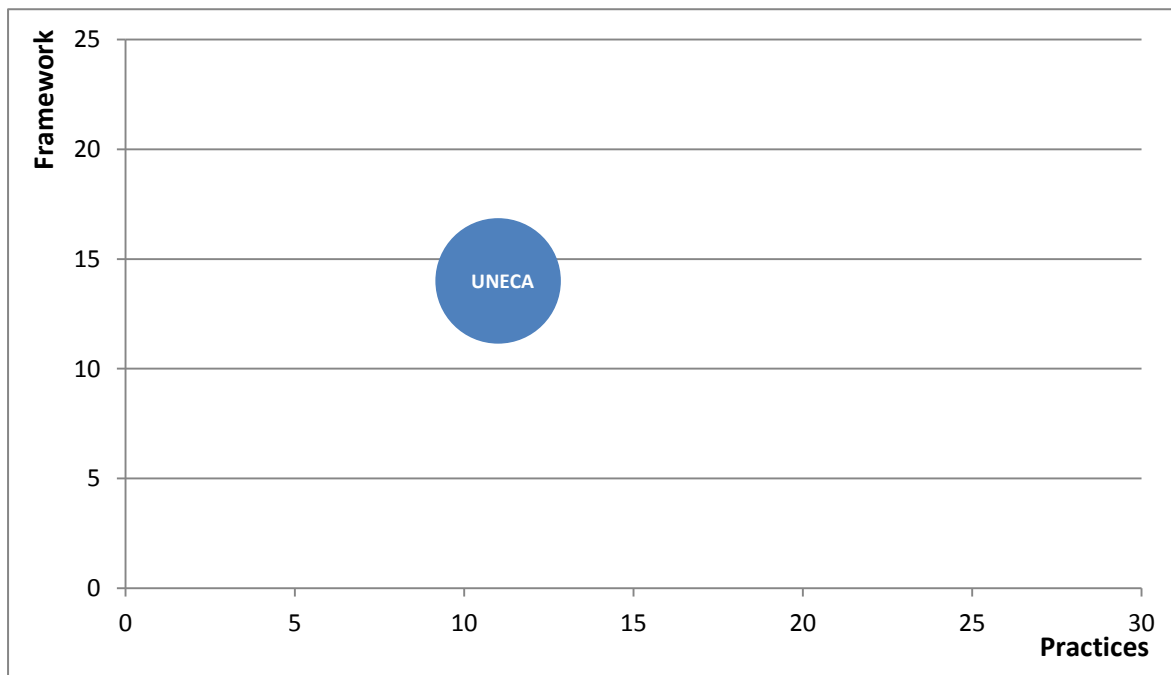
## UNECA

### Axis 1: Regulatory framework (policies)

Criteria 1	Policy promulgated for main RAM aspects (ISO), for both printed and digital items	4/5
Criteria 2	RAM principles promulgated by one division	3/5
Criteria 3	Practical guidance material is complete and up to date, but not systematically disseminated within the entity	3/5
Criteria 4	No promulgated e-mail policy	0/5
Criteria 5	RAM responsibilities allocated to a dedicated unit with a formal network of focal point/records coordinators	4/5
<b>Total</b>		<b>14/25</b>

### Axis 2: Practices

Criteria 1	Some organizational units/records producers implement RAM programmes (classification, retention principles, transfer, etc.)	2/5
Criteria 2	Initial plans for EDRMS or at pilot phase to manage digital records	2/5
Criteria 3	RAM focal points deployed through the entity and having close contact with RAM dedicated unit	3/5
Criteria 4	Basic training embedded in induction/retirement workshops, limited training opportunities	2/5
Criteria 5	Most of physical paper records kept at organizational units/ records producers/users' premises (active and inactive, permanent) at Headquarters or in the field	1/5
Criteria 6	Most digital records maintained/kept by organizational units/records producers/users on their own IT devices (active and inactive, permanent), at headquarters or in the field	1/5
<b>Total</b>		<b>11/30</b>



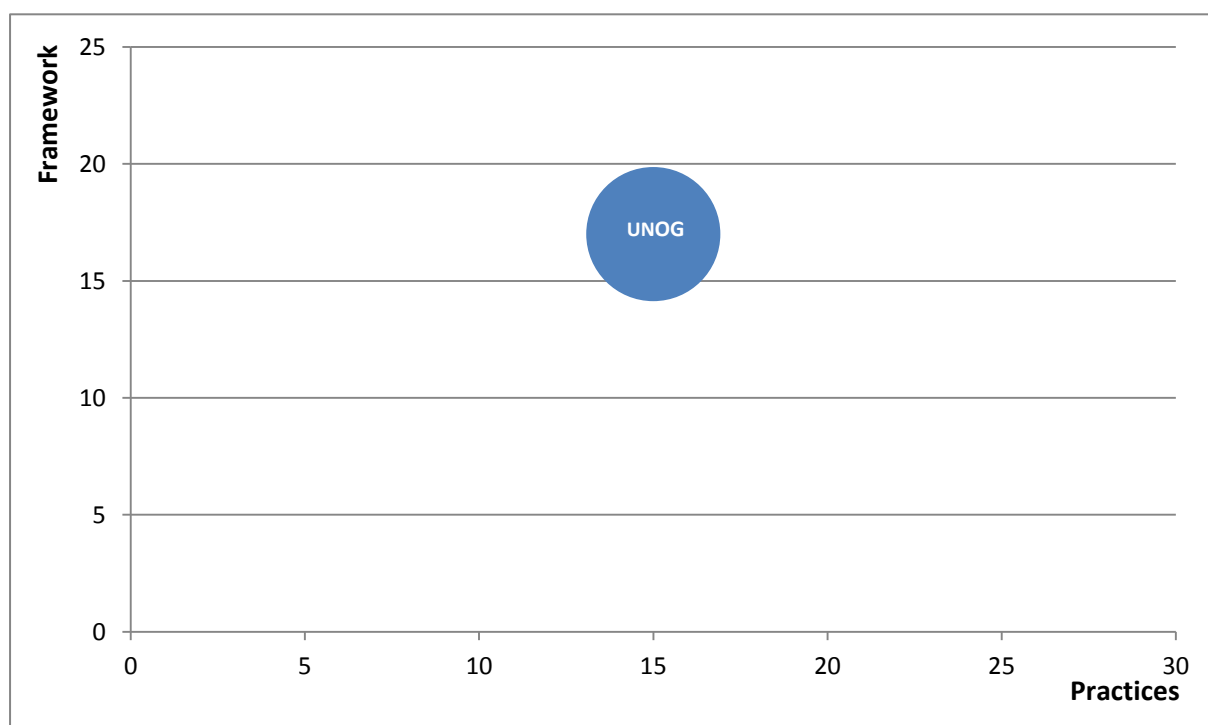
## UNOG

### Axis 1: Regulatory framework (policies)

Criteria 1	Policy promulgated for main RAM aspects (ISO), for both printed and digital items	4/5
Criteria 2	RAM Principles promulgated for the entire entity mainly for Headquarters	4/5
Criteria 3	Practical guidance material is complete and up to date, but not systematically disseminated within the entity	3/5
Criteria 4	E-mail policy promulgated but limited to their usage	2/5
Criteria 5	RAM responsibilities allocated to a dedicated unit with a formal network of focal point/records coordinators	4/5
<b>Total</b>		<b>17/25</b>

### Axis 2: Practices

Criteria 1	Most organizational units/ records producers implement RAM programmes (classification/retention principles, transfer, etc.)	3/5
Criteria 2	Initial plans for EDRMS or at pilot phase to manage digital records	2/5
Criteria 3	RAM focal points deployed through the entity and having close contact with RAM dedicated unit	3/5
Criteria 4	RAM workshops or e-training offered to staff at large	4/5
Criteria 5	Irregular transfers of inactive or permanent value paper records to one secure repository	2/5
Criteria 6	Most of digital records maintained/kept by organizational units/ records producers/users on their own IT devices (active and inactive, permanent), at Headquarters or in the field	1/5
<b>Total</b>		<b>15/30</b>



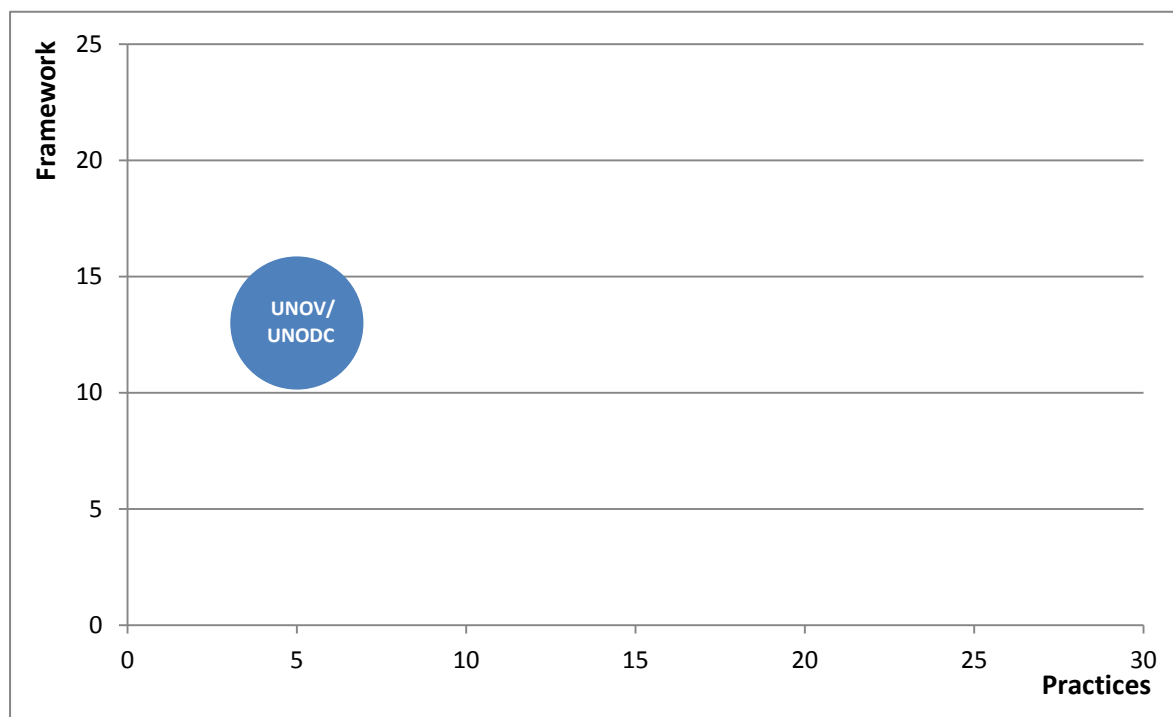
## UNOV/UNODC

### Axis 1: Regulatory framework (policies)

Criteria 1	Policy promulgated for main RAM aspects (ISO), primarily for printed items	3/5
Criteria 2	RAM principles promulgated for the entire entity mainly for Headquarters	4/5
Criteria 3	Practical guidance material is complete and up to date, but not systematically disseminated within the entity	3/5
Criteria 4	E-mail policy (usage) complemented by informal guidelines for managing emails as records	3/5
Criteria 5	No dedicated structure for RAM in the entity	0/5
<b>Total</b>		<b>13/25</b>

### Axis 2: Practices

Criteria 1	Organizational units/ records producers keep their records in office premises but not in the context of RAM programme (classification/retention principles, transfer, etc.,)	1/5
Criteria 2	Various information systems, including document management systems, used to store digital records	1/5
Criteria 3	Policy promulgation as sole compliance measure	1/5
Criteria 4	Informal learning opportunities only	0/5
Criteria 5	Most of physical paper records kept at organizational units/ records producers/users' premises (active and inactive, permanent) at Headquarters or in the field	1/5
Criteria 6	Most of digital records maintained/kept by organizational units/ records producers/users on their own IT devices (active and inactive, permanent), at Headquarters or in the field	1/5
<b>Total</b>		<b>5/30</b>





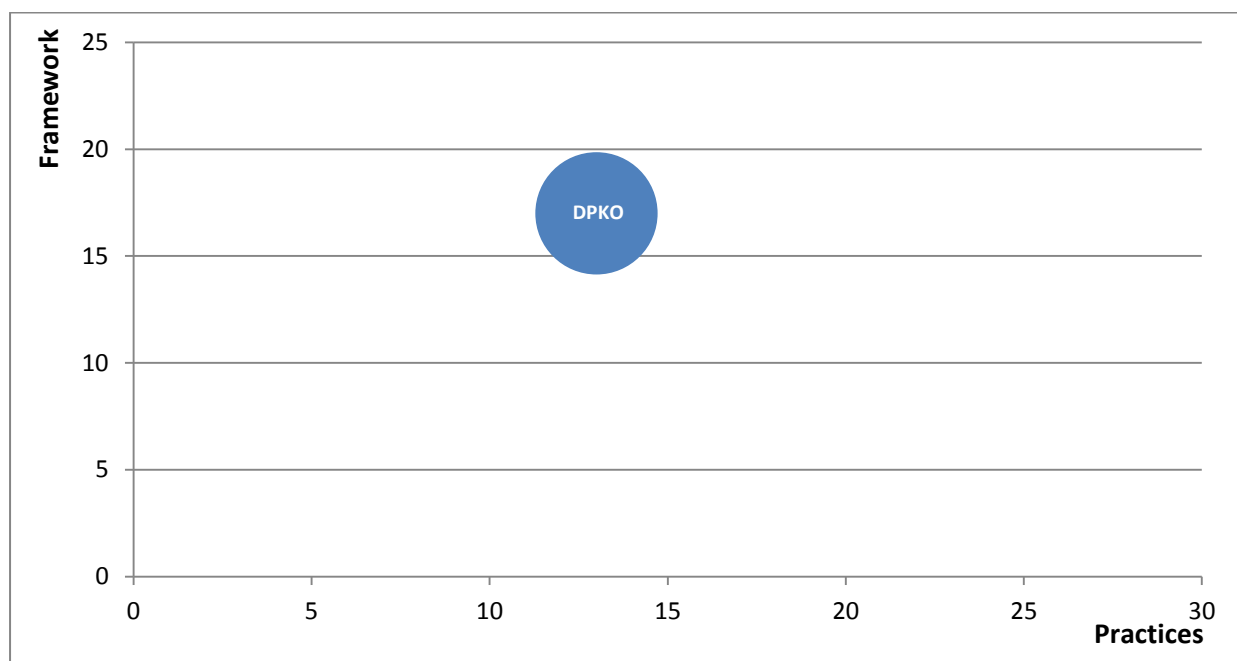
## DPKO

### Axis 1: Regulatory framework (policies)

Criteria 1	Policy promulgated for main RAM aspects (ISO), for both printed and digital items	4/5
Criteria 2	RAM principles promulgated for the entire entity mainly for Headquarters	4/5
Criteria 3	Practical guidance material is complete and up to date, but not systematically disseminated within the entity	3/5
Criteria 4	E-mail policy promulgated but limited to their usage	2/5
Criteria 5	RAM responsibilities allocated to a dedicated unit with a formal network of focal point/records coordinators	4/5
<b>Total</b>		<b>17/25</b>

### Axis 2: Practices

Criteria 1	Some organizational units/ records producers implement RAM programmes (classification/retention principles, transfer, etc.)	2/5
Criteria 2	Initial plans for EDRMS or at pilot phase to manage digital records	2/5
Criteria 3	Internal control mechanisms put in place by organizational units/ records producers/users themselves	2/5
Criteria 4	RAM workshops or e-training offered to staff at large	4/5
Criteria 5	Irregular transfers of inactive or permanent value paper records to one secure repository	2/5
Criteria 6	Most of digital records maintained/kept by organizational units/ records producers/users on their own IT devices (active and inactive, permanent), at Headquarters or in the field	1/5
<b>Total</b>		<b>13/30</b>



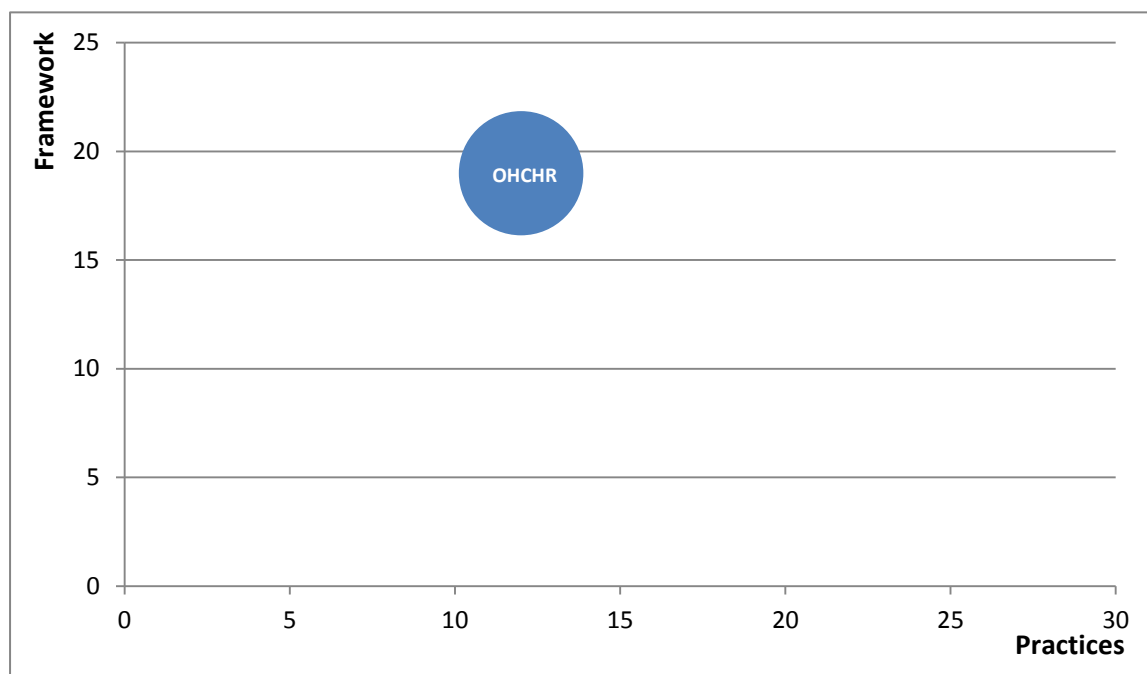
## OHCHR

### Axis 1: Regulatory framework (policies)

Criteria 1	Policy promulgated for main RAM aspects (ISO), for both printed and digital items	4/5
Criteria 2	RAM principles promulgated for the entire mainly for Headquarters	4/5
Criteria 3	Practical guidance material is complete and up to date, but not systematically disseminated within the entity	3/5
Criteria 4	E-mail policy promulgated to <b>manage e-mails as records</b> when applicable	5/5
Criteria 5	RAM responsibilities allocated to a dedicated unit with limited authority and resources	3/5
<b>Total</b>		<b>19/25</b>

### Axis 2: Practices

Criteria 1	Some organizational units/ records producers implement RAM programmes (classification/retention principles, transfer, etc.)	2/5
Criteria 2	Various information systems, including document management systems, used to store digital records	1/5
Criteria 3	RAM focal points deployed through the entity and having close contact with RAM dedicated unit	3/5
Criteria 4	RAM workshops offered to staff with RAM responsibilities (focal points)	3/5
Criteria 5	Irregular transfers of inactive or permanent value paper records to one secure repository	2/5
Criteria 6	Most of digital records maintained/kept by organizational units/ records producers/users on their own IT devices (active and inactive, permanent), at Headquarters or in the field	1/5
<b>Total</b>		<b>12/30</b>



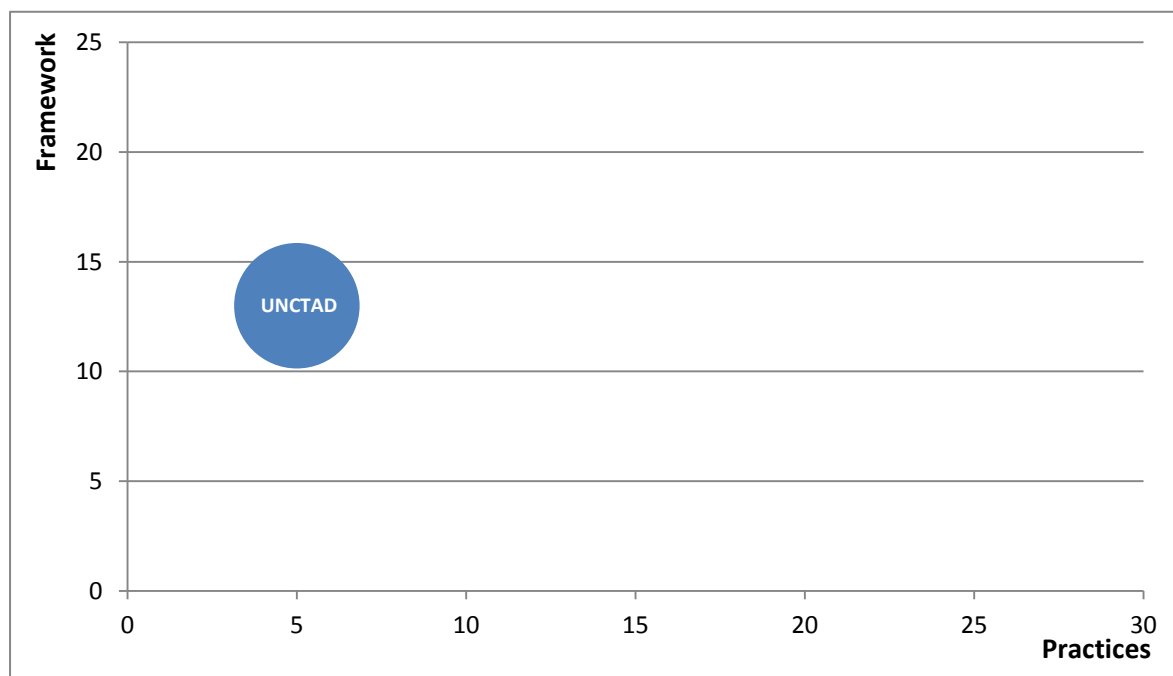
## UNCTAD

### Axis 1: Regulatory framework (policies)

Criteria 1	Policy promulgated for main RAM aspects (ISO) primarily, for printed items	3/5
Criteria 2	RAM principles promulgated for the entire entity mainly for Headquarters	4/5
Criteria 3	Practical guidance material is complete and up to date, but not systematically disseminated within the entity	3/5
Criteria 4	E-mail policy (usage) complemented by informal guidelines for managing emails as records	3/5
Criteria 5	No dedicated structure for RAM in the entity	0/5
<b>Total</b>		<b>13/25</b>

### Axis 2: Practices

Criteria 1	Organizational units/ records producers keep their records in office premises but not in the context of RAM programme (classification/retention principles, transfer, etc.,)	1/5
Criteria 2	Various information systems, including document management systems, used to store digital records	1/5
Criteria 3	Policy promulgation as sole compliance measure	1/5
Criteria 4	Informal learning opportunities only	0/5
Criteria 5	Most of physical paper records kept at organizational units/ records producers/users' premises (active and inactive, permanent) at Headquarters or in the field	1/5
Criteria 6	Most of digital records maintained/kept by organizational units/ records producers/users on their own IT devices (active and inactive, permanent), at Headquarters or in the field	1/5
<b>Total</b>		<b>5/30</b>



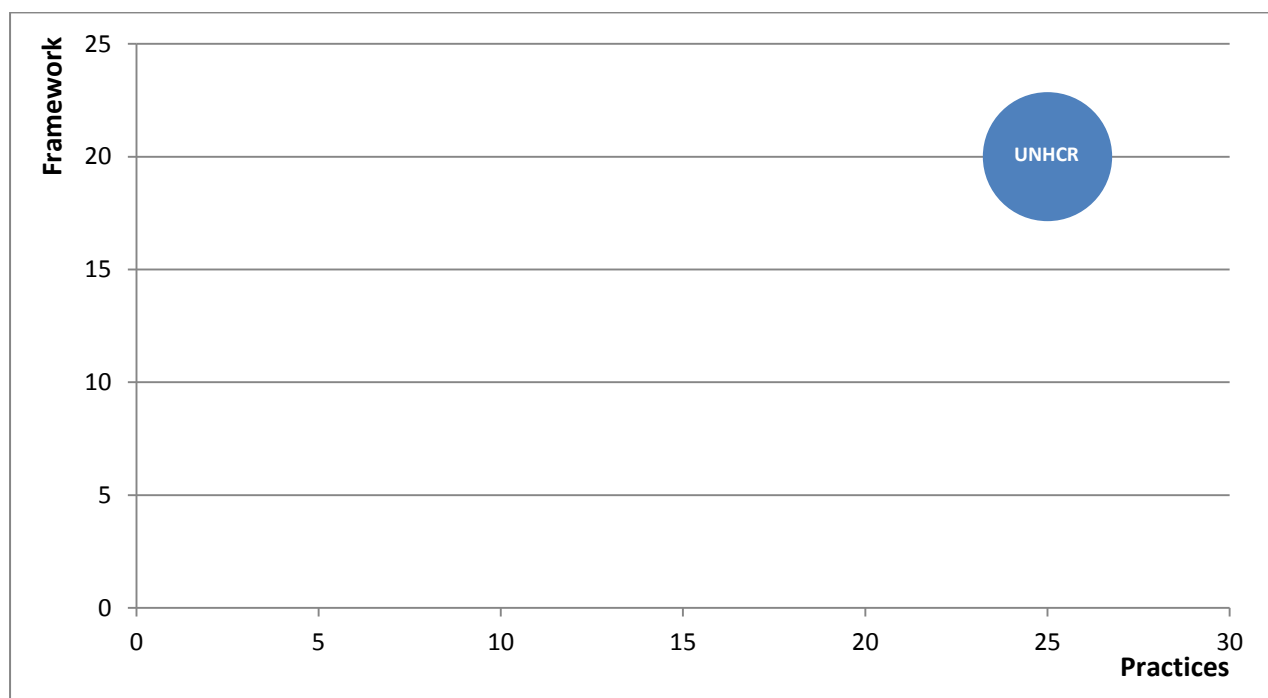
## UNHCR

### Axis 1: Regulatory framework (policies)

Criteria 1	Policy promulgated for main RAM aspects (ISO), for both printed and digital items	4/5
Criteria 2	RAM principles promulgated for the entire entity mainly for Headquarters	4/5
Criteria 3	Practical guidance material is complete and up to date, but not systematically disseminated within the entity	3/5
Criteria 4	E-mail policy promulgated to <b>manage e-mails as records</b> when applicable	5/5
Criteria 5	RAM responsibilities allocated to a dedicated unit and a formal network of focal point/records coordinators	4/5
<b>Total</b>		<b>20/25</b>

### Axis 2: Practices

Criteria 1	Most organizational units/ records producers implement RAM programmes (classification/retention principles, transfer, etc.)	3/5
Criteria 2	EDRMS deployed at HQ and field offices to capture and manage e-records, implementing classification and retention principle	5/5
Criteria 3	RAM focal points deployed through the entity and having close contact with RAM dedicated unit	3/5
Criteria 4	RAM workshops or e-training offered to staff at large	4/5
Criteria 5	<b>All</b> inactive or permanent value paper records <b>regularly</b> transferred to one secure repository	5/5
Criteria 6	Headquarters and field inactive or permanent digital records transferred in one secured digital repository (in-house or third party), non-permanent e-records deleted after designated retention period	5/5
<b>Total</b>		<b>25/30</b>



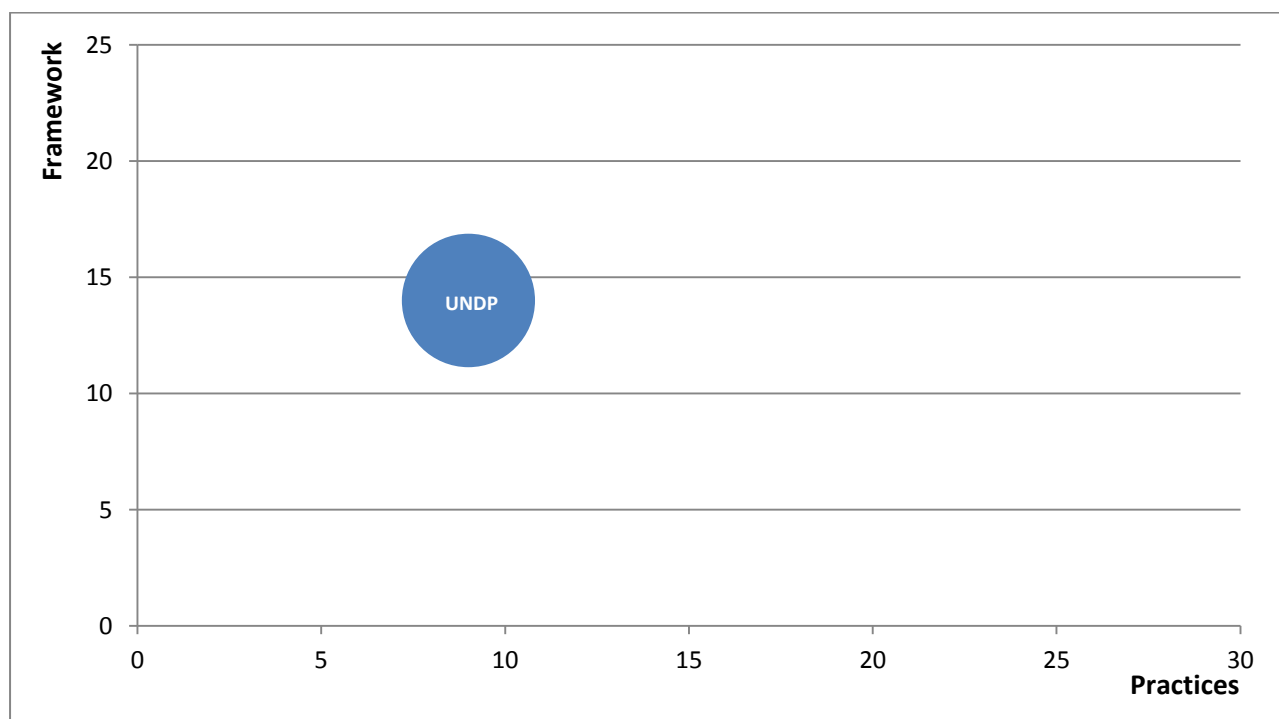
## UNDP

### Axis 1: Regulatory framework (policies)

Criteria 1	Policy promulgated for main RAM aspects (ISO), for both printed and digital items	4/5
Criteria 2	RAM principles promulgated by one division	4/5
Criteria 3	Practical guidance material is complete and up to date, but not systematically disseminated within the entity	3/5
Criteria 4	E-mail policy promulgated but limited to their usage	2/5
Criteria 5	RAM responsibilities allocated to various stakeholders in the entity	1/5
<b>Total</b>		<b>14/25</b>

### Axis 2: Practices

Criteria 1	Some organizational units/ records producers implement RAM programmes (classification/retention principles, transfer, etc.)	2/5
Criteria 2	Initial plans for EDRMS or at pilot phase to manage digital records	2/5
Criteria 3	Internal control mechanisms put in place by organizational units/ records producers/users themselves	2/5
Criteria 4	Informal learning opportunities only	0/5
Criteria 5	Irregular transfers of inactive or permanent value paper records to one secure repository	2/5
Criteria 6	Most of digital records maintained/kept by organizational units/ records producers/users on their own IT devices (active and inactive, permanent), at Headquarters or in the field	1/5
<b>Total</b>		<b>9/30</b>



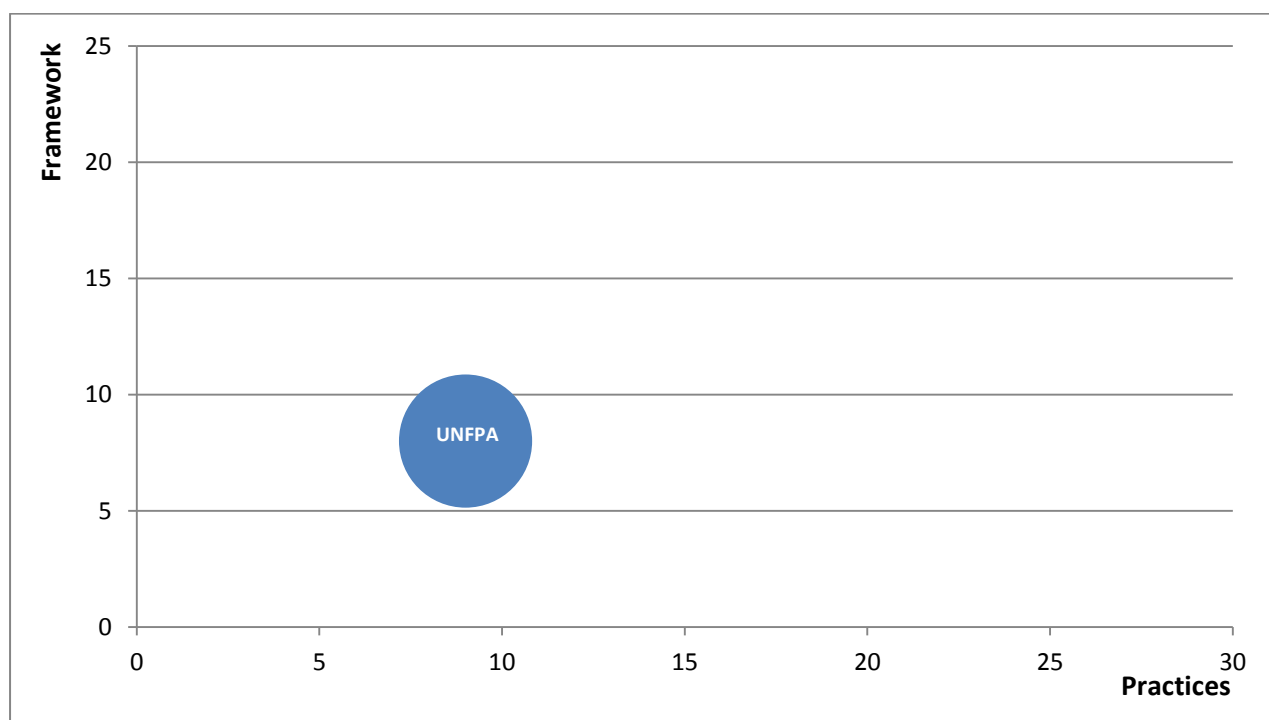
## UNFPA

### Axis 1: Regulatory framework (policies)

Criteria 1	RAM policy promulgated but is incomplete or outdated	1/5
Criteria 2	Principles promulgated at the level of one division	3/5
Criteria 3	Practical guidance material is partial and/or outdated	1/5
Criteria 4	E-mail policy promulgated but limited to their usage	2/5
Criteria 5	RAM responsibilities allocated to various stakeholders in the entity	1/5
<b>Total</b>		<b>8/25</b>

### Axis 2: Practices

Criteria 1	Some organizational units/ records producers implement RAM programmes (classification/retention principles, transfer, etc.)	2/5
Criteria 2	Initial plans for EDRMS or at pilot phase to manage digital records	2/5
Criteria 3	Internal control mechanisms put in place by organizational units/ records producers/users themselves	2/5
Criteria 4	Informal learning opportunities only	0/5
Criteria 5	Irregular transfers of inactive or permanent value paper records to one secure repository	2/5
Criteria 6	Most of digital records maintained/kept by organizational units/ records producers/users on their own IT devices (active and inactive, permanent), at Headquarters or in the field	1/5
<b>Total</b>		<b>9/30</b>



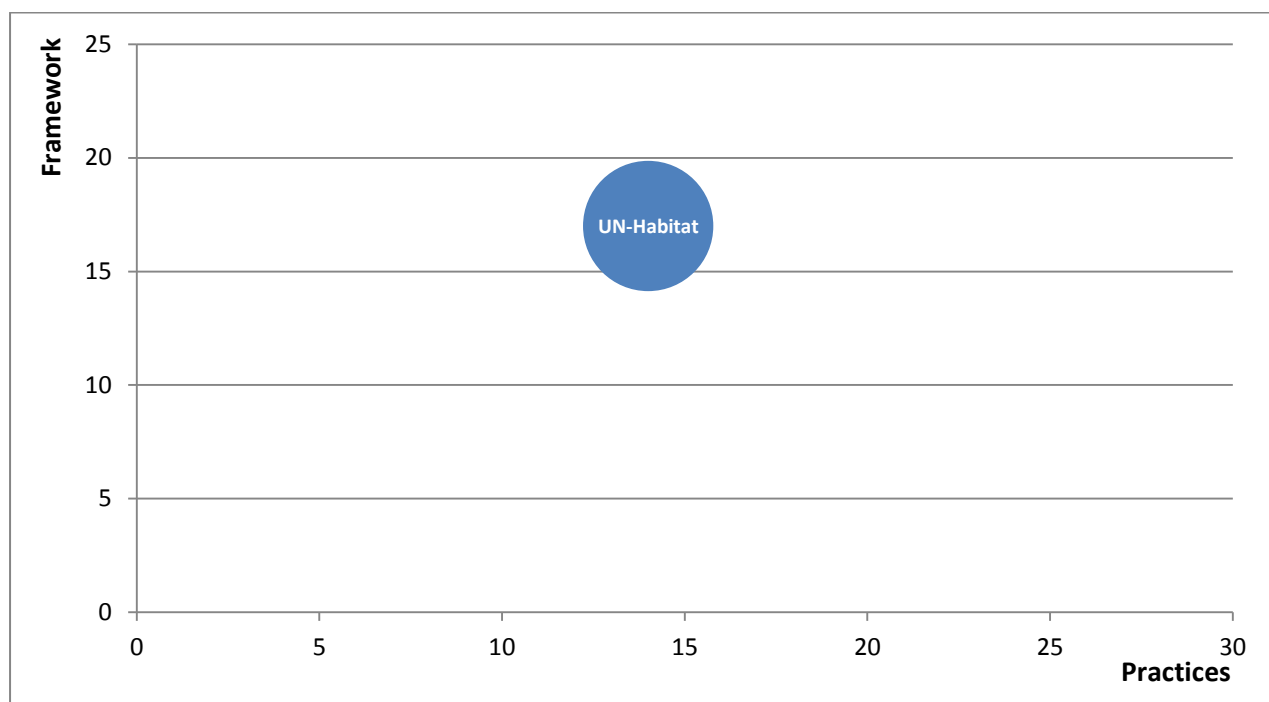
## UN-Habitat

### Axis 1: Regulatory framework (policies)

Criteria 1	Policy promulgated for main RAM aspects (ISO), for both printed and digital items	4/5
Criteria 2	RAM principles promulgated for the entire entity mainly for Headquarters	4/5
Criteria 3	Practical guidance material is complete and up to date, but not systematically disseminated within the entity	3/5
Criteria 4	E-mail policy promulgated but limited to their usage	2/5
Criteria 5	RAM responsibilities allocated to a dedicated unit and a formal network of focal point/records coordinators	4/5
<b>Total</b>		<b>17/25</b>

### Axis 2: Practices

Criteria 1	Some organizational units/ records producers implement RAM programmes (classification/retention principles, transfer, etc.)	2/5
Criteria 2	Initial plans for EDRMS or at pilot phase to manage digital records	2/5
Criteria 3	RAM focal points deployed through the entity and having close contact with RAM dedicated unit	3/5
Criteria 4	RAM workshops or e-training offered to staff at large	4/5
Criteria 5	Irregular transfers of inactive or permanent value paper records to one secure repository	2/5
Criteria 6	Most of digital records maintained/kept by organizational units/ records producers/users on their own IT devices (active and inactive, permanent), at Headquarters or in the field	1/5
<b>Total</b>		<b>14/30</b>



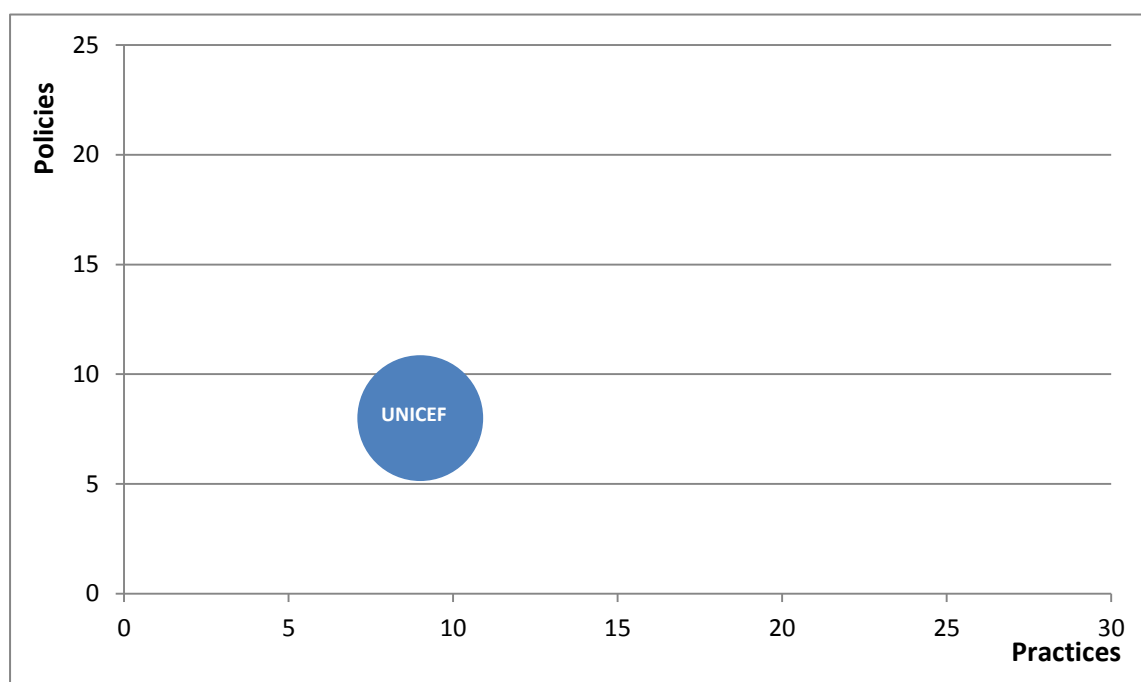
## UNICEF

### Axis 1: Regulatory framework (policies)

Criteria 1	RAM policy promulgated but is incomplete or outdated	1/5
Criteria 2	RAM principles promulgated at the level of one division	3/5
Criteria 3	Practical guidance material is partial and/or outdated	1/5
Criteria 4	E-mail policy promulgated but limited to their usage	2/5
Criteria 5	RAM responsibilities allocated to various stakeholders in the entity	1/5
<b>Total</b>		<b>8/25</b>

### Axis 2: Practices

Criteria 1	Some organizational units/ records producers implement RAM programmes (classification/retention principles, transfer, etc.)	2/5
Criteria 2	Various information systems, including document management systems, used to store digital records	1/5
Criteria 3	Policy promulgation as sole compliance measure	1/5
Criteria 4	Informal learning opportunities only	0/5
Criteria 5	Irregular transfers of inactive or permanent value paper records to one secure repository	2/5
Criteria 6	Inactive or permanent value digital records irregularly transferred to one secure digital repository	3/5
<b>Total</b>		<b>9/30</b>





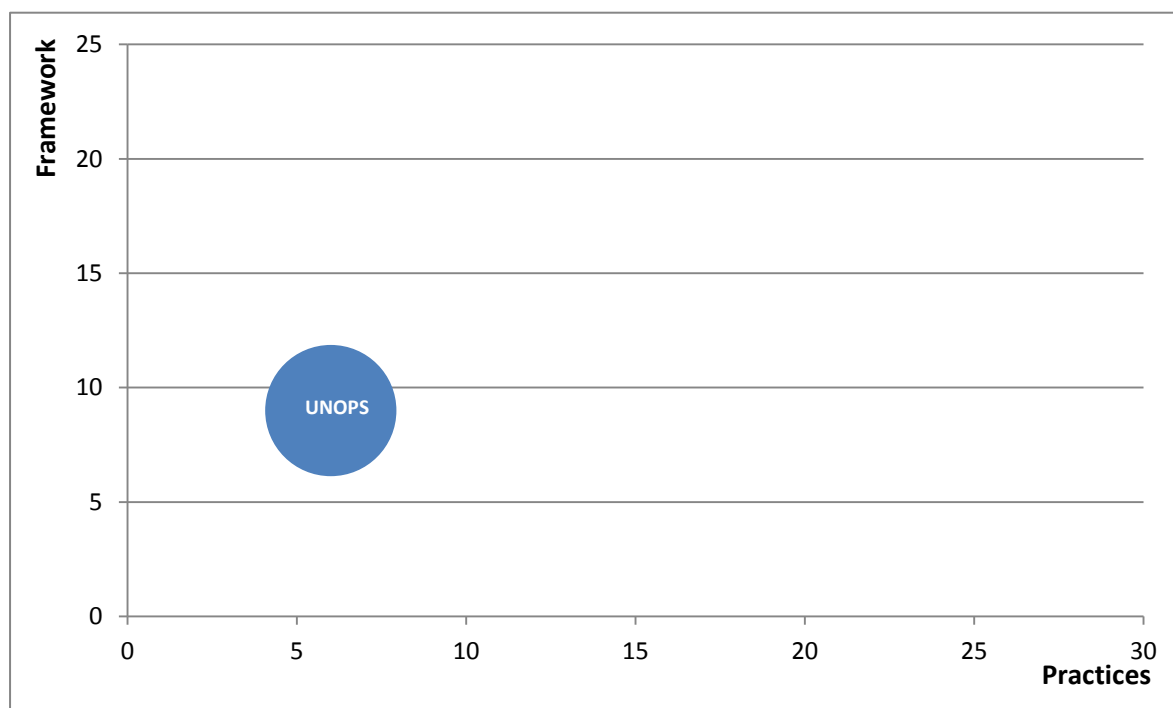
## UNOPS

### Axis 1: Regulatory framework (policies)

Criteria 1	Policy promulgated for main RAM aspects (ISO), for both printed and digital items	4/5
Criteria 2	RAM principles promulgated for the entire entity mainly for Headquarters	4/5
Criteria 3	Practical guidance material is partial and/or outdated	1/5
Criteria 4	No promulgated e-mail policy	0/5
Criteria 5	No dedicated structure for RAM in the entity	0/5
<b>Total</b>		<b>9/25</b>

### Axis 2: Practices

Criteria 1	Organizational units/ records producers keep their records in office premises but not in the context of RAM programme (classification/retention principles, transfer, etc..)	1/5
Criteria 2	Initial plans for EDRMS or at pilot phase to manage digital records	2/5
Criteria 3	Policy promulgation as sole compliance measure	1/5
Criteria 4	Informal learning opportunities only	0/5
Criteria 5	Most of physical paper records kept at organizational units/ records producers/users' premises (active and inactive, permanent) at Headquarters or in the field	1/5
Criteria 6	Most of digital records maintained/kept by organizational units/ records producers/users on their own IT devices (active and inactive, permanent), at Headquarters or in the field	1/5
<b>Total</b>		<b>6/30</b>



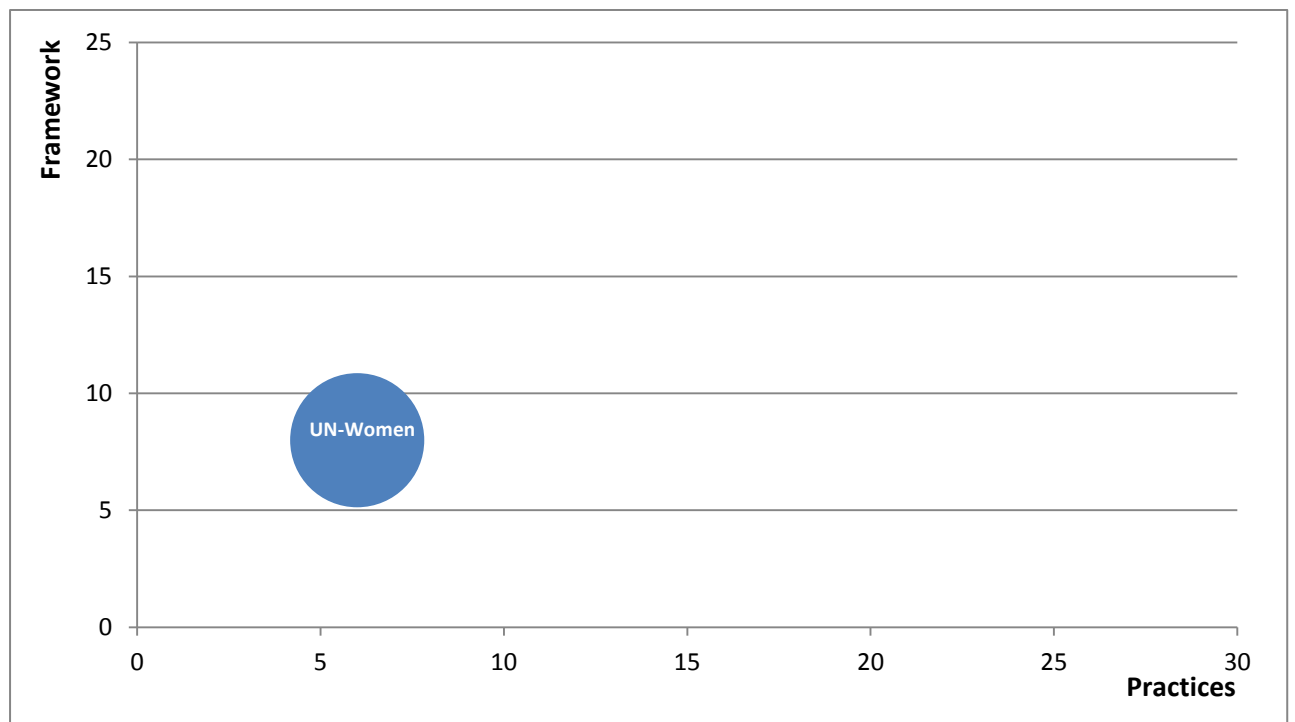
## UN Women

### Axis 1: Regulatory framework (policies)

Criteria 1	Policy promulgated for main RAM aspects (ISO), for both printed and digital items	4/5
Criteria 2	RAM principles promulgated at the level of one division	3/5
Criteria 3	No practical guidance material available	0/5
Criteria 4	No promulgated e-mail policy	0/5
Criteria 5	RAM responsibilities allocated to various stakeholders in the entity	1/5
<b>Total</b>		<b>8/25</b>

### Axis 2: Practices

Criteria 1	Organizational units/ records producers keep their records in office premises but not in the context of RAM programme (classification/retention principles, transfer, etc..)	1/5
Criteria 2	Various information systems, including document management systems, used to store digital records	1/5
Criteria 3	Policy promulgation as sole compliance measure	1/5
Criteria 4	Informal learning opportunities only	0/5
Criteria 5	Irregular transfers of inactive or permanent value paper records to one secure repository	2/5
Criteria 6	Most of digital records maintained/kept by organizational units/ records producers/users on their own IT devices (active and inactive, permanent), at Headquarters or in the field	1/5
<b>Total</b>		<b>6/30</b>



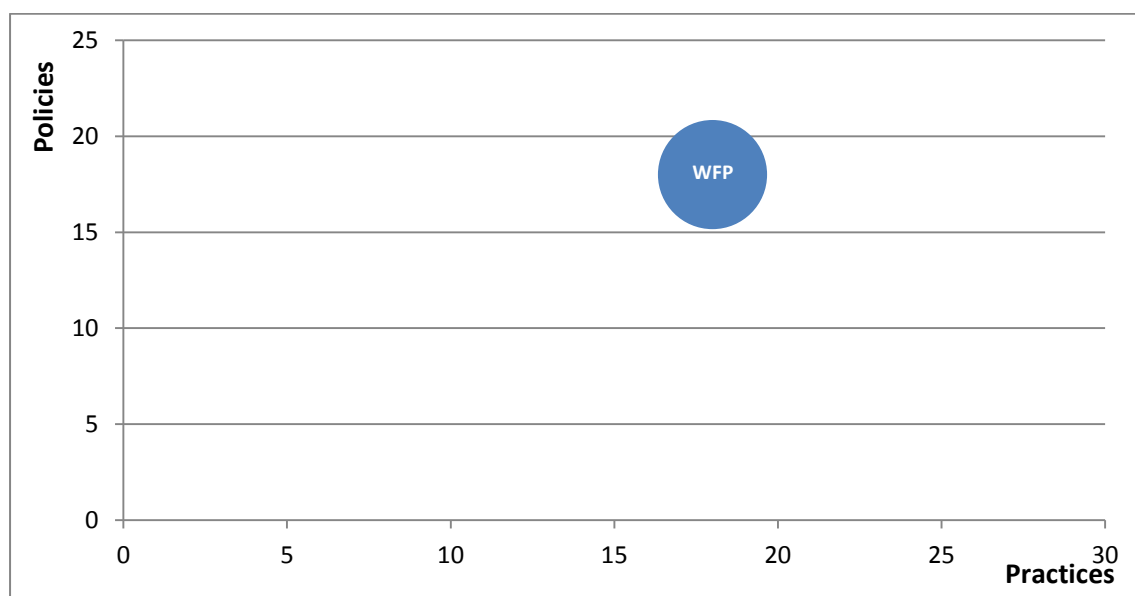
## WFP

### Axis 1: Regulatory framework (policies)

Criteria 1	Policy promulgated for main RAM aspects (ISO), for both printed and digital items, consolidated with practical guidelines into a corporate manual	5/5
Criteria 2	RAM principles promulgated for the entire entity mainly for Headquarters	4/5
Criteria 3	Practical guidance material is complete and up to date, but not systematically disseminated within the entity	3/5
Criteria 4	E-mail policy promulgated to <b>manage e-mails as records</b> when applicable	5/5
Criteria 5	RAM responsibilities allocated to various stakeholders in the entity	1/5
<b>Total</b>		<b>18/25</b>
		<b>72 %</b>

### Axis 2: Practices

Criteria 1	Most organizational units/ records producers implement RAM programmes (classification/retention principles, transfer, etc.)	3/5
Criteria 2	EDRMS deployed at HQ and field offices to capture and manage e-records, implementing classification and retention principle	5/5
Criteria 3	RAM focal points deployed through the entity and having close contact with RAM dedicated unit	3/5
Criteria 4	Informal learning opportunities only	0/5
Criteria 5	Headquarters inactive or permanent paper records transferred into one secured repository	4/5
Criteria 6	Inactive or permanent value digital records irregularly transferred to one secure digital repository	3/5
<b>Total</b>		<b>18/30</b>
		<b>60 %</b>



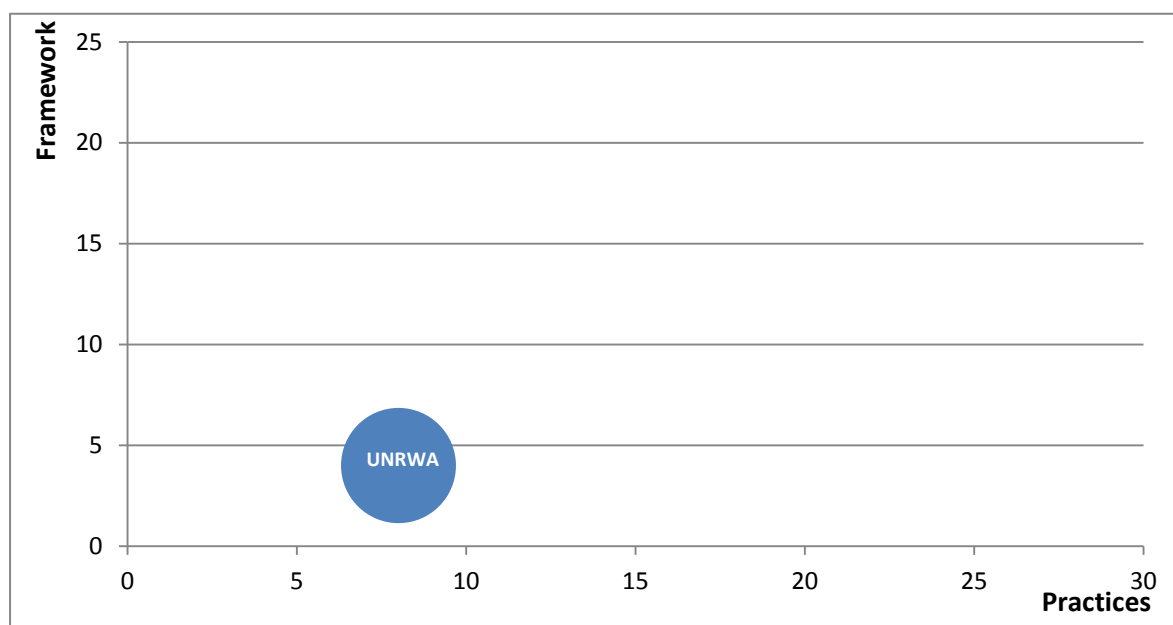
## UNRWA

### Axis 1: Regulatory framework (policies)

Criteria 1	Policy promulgated for main RAM aspects (ISO), primarily for printed items	3/5
Criteria 2	No promulgated RAM principles	0/5
Criteria 3	Practical guidance material is partial and/or outdated	1/5
Criteria 4	No promulgated e-mail policy	0/5
Criteria 5	No dedicated structure for RAM in the entity	0/5
<b>Total</b>		<b>4/25</b>

### Axis 2: Practices

Criteria 1	Organizational units/ records producers keep their records in office premises but not in the context of RAM programme (classification/retention principles, transfer, etc..)	1/5
Criteria 2	Various information systems, including document management systems, used to store digital records	1/5
Criteria 3	Policy promulgation as sole compliance measure	1/5
Criteria 4	Basic training embedded in induction/retirement workshops, limited training opportunities	2/5
Criteria 5	Irregular transfers of inactive or permanent value paper records to one secure repository	2/5
Criteria 6	Most of digital records maintained/kept by organizational units/ records producers/users on their own IT devices (active and inactive, permanent), at Headquarters or in the field	1/5
<b>Total</b>		<b>8/30</b>



## UNU

### Axis 1: Regulatory framework (policies)

Criteria 1	Policy promulgated for main RAM aspects (ISO), primarily for printed items	3/5
Criteria 2	RAM principles promulgated for the entire entity mainly for Headquarters	4/5
Criteria 3	No practical guidance material available	0/5
Criteria 4	No promulgated e-mail policy	0/5
Criteria 5	No dedicated structure for RAM in the entity	0/5
<b>Total</b>		<b>7/25</b>

### Axis 2: Practices

Criteria 1	Organizational units/ records producers keep their records in office premises but not in the context of RAM programme (classification/retention principles, transfer, etc..)	1/5
Criteria 2	Various information systems, including document management systems, used to store digital records	1/5
Criteria 3	Policy promulgation as sole compliance measure	1/5
Criteria 4	Informal learning opportunities only	0/5
Criteria 5	Most of physical paper records kept at organizational units/ records producers/users' premises (active and inactive, permanent) at Headquarters or in the field	1/5
Criteria 6	Most of digital records maintained/kept by organizational units/ records producers/users on their own IT devices (active and inactive, permanent), at Headquarters or in the field	1/5
<b>Total</b>		<b>5/30</b>

