

# **DIRECTIVE ON RECORDS AND INFORMATION MANAGEMENT (RIM)**

January 12, 2018

## **A. OVERRIDING OBJECTIVE**

1.1 This Directive establishes the framework for information management of the Asian Infrastructure Investment Bank (the Bank). This framework shall ensure that authentic and reliable information that evidences actions and transactions is created and managed in a controlled environment. It shall also facilitate the authorized retrieval, disposition and permanent archiving of information.

1.2 The exercise and interpretation of this Directive shall seek to give effect to this Overriding Objective.

## **B. RELATED PROVISIONS**

The particularly relevant provision of the Article of Agreement is:

Article 47 Immunity of Assets and Archives. The archives of the Bank shall be immune from search, requisition, confiscation, expropriation or any other form of taking or foreclosure by executive or legislative action. All documents belonging to it or held by it, shall be inviolable, wheresoever located and by whomsoever held.

The specific relevant provision of the Code of Conduct for Bank Personnel regarding Records and information is:

14. Intellectual Property. All rights to any work or intellectual property created by Bank Personnel in the course of their official duties belong to the Bank unless the Bank authorizes otherwise. Intellectual property belonging to the Bank may not be used for private benefit or for the benefit of others except with appropriate authorization from the Bank.

## **C. GENERAL PRINCIPLES**

3.1 The Bank's Records shall be created primarily in electronic format, unless required in physical format for legal or functional reasons as may be specified by the General Counsel (for legal) or the Vice President and Chief Administration Officer (VPCAO) (for functional). The Bank recognizes that authentic electronic Records and electronic signatures have legal authority equal to that of paper Records for the purposes of the Bank's internal governance. The Bank further recognizes that authentic Records and electronic signatures may have legal authority equal to that of paper Records in certain national jurisdictions.

3.2 The lifecycle management approach to information is adopted Bank-wide and runs from the time the information is created or received until its disposition. The lifecycle actions are ensured by establishing comprehensive Administrative Guidance consistent with this Directive over Records and information collection, creation, maintenance, usage and disposition or archiving and retrieval.

- 3.3 Records shall be managed in a controlled records management environment that ensures the trustworthiness of Records i.e., authenticity, reliability, integrity and availability of the Records. The Bank's original Records shall be protected from alteration, inappropriate usage and access. The trustworthiness of electronic Records shall be ensured through the use of a central, trusted repository of all Bank information.
- 3.4 Retention and disposition decisions on Records shall be approved by the Bank. No destruction of Records shall take place prior to the expiration of the retention period specified for functional, legal or historical purposes. Similarly, disposition of information that does not constitute Records, and Records with no retention value, shall be carried out routinely and consistently to achieve greater efficiency in administration.

#### **D. DEFINITIONS**

- 4.1 **Records.** Records means information in any format or medium, that is created or received by the Bank in conducting its business and/or delivering functions, that document evidence of any action or transaction.
- 4.2 **Archival Repository.** For the purposes of this definition, and without prejudice to Article 47 of the Articles of Agreement, a physical facility or building and/ or an electronic system in which Records with archival or historical value are preserved permanently.
- 4.3 **Bank Personnel.** As defined in the Code of Conduct for Bank Personnel.
- 4.4 **Business Application.** The specialized systems used by the Bank that process information capturing, storing, retrieving, communicating, transforming to support one or several business objectives.
- 4.5 **Documents.** For the purposes of this definition, and without prejudice to Article 47 of the Articles of Agreement, paper or electronic information which is created, modified and exchanged to aid the completion of a function. Document often includes draft versions of a Record. It may or may not be considered in whole or in part a Record.
- 4.6 **Vital Records.** Records that are needed to resume operations for business continuity in the event of a disruption, whether natural, accidental or intentional.

#### **E. RULES ON RECORDS AND INFORMATION MANAGEMENT**

##### **5.1 Management of the Lifecycle of Information**

- 5.1.1 *Capturing of Records.* Information created and received as evidence of Bank's functions and decisions shall be captured and managed as Records in all processes and systems. In order to prevent loss of Records, Bank Personnel shall define and capture Records upon creation, rather than at the time of finalization or disposition.

- 5.1.2 *Records Classification for Filing.* The Bank's Records classification and file plan system shall be based on the organizational functions to promote a common terminology for identifying, indexing, filing, storing, accessing and retrieving Records across the Bank.
- 5.1.3 *Storage and Preservation.* Records shall be maintained in a Records management environment to allow continued preservation for audit and inspection. Electronic files shall be managed in the Bank approved systems and applications. Hard copies and other physical formats shall be managed in an environment appropriate to the medium, such as filing cabinets and climate controlled vaults.
- 5.1.4 *Disposition of Records.* Once a Record is no longer needed for an administrative, legal or fiscal reason it shall be reviewed for disposition (either destruction or permanent retention). Destruction of retired Records shall be performed in accordance with the Bank's Administrative Guidance on Records and Information Management. If the Record has enduring evidential, historical or knowledge value, it shall be preserved permanently in the Bank's Archival Repository.

## 5.2 **Electronic Records Management**

- 5.2.1 Electronic Records i.e., the digital and converted digital (or digitized) Records shall be captured and stored in the Bank approved business systems or applications to be authentic and admissible for satisfying legal and functional requirements.
- 5.2.2 E-mail messages and attachments have the same legal validity as paper or electronic Documents when they are related to the Bank's operation, decision making or evidence. E-mails shall be created and captured in the Bank's approved e-mail systems.
- 5.2.3 Existing Bank Records in paper format may be converted (digitized) into electronic format and shall be filed in a Records management system.

5.3 **Legal Hold and Legal Release.** Any Records subject to audit, investigation, legal action or proceeding, litigation or program review (a Legal Hold) at the time of the scheduled disposal date shall be retained and shall not be destroyed until a specified amount of time after the resolution of all such pending or ongoing action is completed (a Legal Release). Records under a Legal Hold shall not be modified even when otherwise specified by a Records retention schedule.

5.4 **Security of Records and Information.** The President shall issue a Directive to establish an effective information classification system to ensure the confidentiality, integrity, trustworthiness, availability, and protection of privacy of information. Each Record and information shall be assigned an appropriate security classification based on the nature of the content. Internal access and sharing restrictions shall not be imposed unnecessarily but shall be based on the associated classification of information. As a general rule, information is a resource to which all Bank Personnel shall have access, except where the nature of the information requires restriction. While the Bank shall make every effort to

maximize access, Records and information that contain sensitive content shall be protected against unauthorized access. Disclosure and public access to Records and information outside the Bank shall be governed by the Bank's policy on disclosure of public information and its related directive(s) and administrative guidance.

**5.5 Protection of Vital Records.** In order to protect the legal and operational interests of the Bank, Vital Records need to be protected from destruction, inappropriate access, alteration, loss or removal. This may involve offsite storage as well as using physical, technical, and procedural safeguards to prevent unwanted damage, loss or destruction.

**5.6 Archiving of Bank Records.** The common archival functions such as acquisition, accessioning, arrangement, description, and preservation shall follow professional and international archival standards and principles.

## **F. RULES ON ROLES AND RESPONSIBILITIES**

**6.1 Bank Personnel** shall document their work and file the Records they create or receive in the office recordkeeping space or in the Records system(s). They shall also routinely dispose of non-records and transitory information with no retention value. Bank Personnel shall adhere to the Bank's information classification system and identify the appropriate security measures of information under their custody.

**6.2 Managers and Heads of Office, Department or Division** shall (i) determine the Records that must be kept for projects, programs, and processes for which they are responsible; (ii) maintain a shared office recordkeeping space and system for their program, project or functional area; (iii) ensure retention schedules are applied to Records for which they are responsible; (iv) identify vital Records in their area for continued operations; and (v) ensure the staff members they manage follow the Bank's Directive and Administrative Guidance on Records and Information Management.

**6.3 The Director General of Facilities and Administrative Services (DGFAS)** Department, under the authority of the VPCAO, is entrusted with the overall responsibility for implementing the Bank's Records and Information Management (RIM) program. The RIM Section of FAS is responsible for managing the Bank's all information through their retention schedules, obtaining appropriate authorizations for disposition and arranging for disposal of the superannuated Bank's Records in accordance with Records retention schedules and Document management processes. In addition, the RIM shall identify, collect, and preserve the Bank's Vital and Archival Records. The Corporate Procurement Division of FAS shall also be responsible for ensuring that the obligations in this Directive are incorporated by reference into the Bank's corporate procurement services contracts, whenever relevant.

**6.4 The General Counsel** shall notify RIM Section and any other relevant department of a Legal Hold and specify the Records concerned. If there is a change to an existing Legal Hold, the General Counsel shall notify RIM and such department(s) about the change by issuing a Legal Release order when appropriate.

6.5 **IT (Information Technology) Services** shall provide staff with information technology infrastructure and help implement Records and information management systems including Central Trusted Digital Repository (CTDR), records-keeping business applications and the e-mail systems.

6.6 **Internal Audit Office** may conduct Records and information management audits in accordance with its Terms of Reference.

6.7 The **VPCAO** shall oversee this Directive and introduce any related Administrative Guidance and ensure its efficient and accurate implementation.

## **G. IMPLEMENTATION**

7.1 **Records Retention Schedules (RRS).** The RIM Section shall prepare a high-level Records Retention Classifications (RRC) for each broad class of information. Detailed Records Retention Schedules (RRS) for each function shall be prepared to map each broad retention class in the RRC specifying the retention periods and disposition actions.

7.2 **Electronic Documents and Records Management System.** All Records of the Bank shall be managed in a CTDR to ensure their continued integrity and availability.

7.3 **Information Classification System (ICS).** The RIM Section shall support the VPCAO in the development of, and shall implement, an Information Classification System establishing appropriate security levels and measures of protection for all information of the Bank. ICS shall also specify the declassification schedules for certain categories of information.

7.4 **Open Archival Repository of Bank's Information.** In order to be a transparent institution, RIM shall publish all public and historical Documents including knowledge products in this open repository. This shall become the permanent historical repository of the Bank's hosted in its external website.

7.5 **RIM Working Group and Focal Points.** The DGFAS shall establish a Records and Information Management Working Group and Focal Points representing key internal departments. The Group shall meet regularly to discuss progress, direct the development of guidelines and best-practices with regards to any aspect of Records and information management. Managers and Heads of Office, Department and Division shall designate Focal Points to act as their liaisons with the RIM Section.

## **H. AUTHORITY**

8.1 The Vice President and Chief Administration Officer shall make all final decisions regarding the application of this Directive.

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