

## System Management Board records disposal schedule

### Purpose

Addressing an agreed action from the Board's 10<sup>th</sup> meeting<sup>1</sup>, this document sets out proposed retention periods for records relating to the operations and functioning of the System Management Board.

The System Management Board Delegations of Authority Policy<sup>2</sup> authorizes the Executive Director to approve policies of the System Organization but with limitations relating to those policies directly affecting the SMB. For this reason, as part of the development of a CGIAR System Organization Records Management Policy and Guidelines, the Board's approval is sought on the retention schedule elements that specifically relate to records of the Board.

### Action Requested

The System Management Board is requested to approve the proposed record retention periods for System Management Board materials, as set out in document SMB12-11.

### Special notice on 'Consent Agenda' status of this document

This paper is being presented to the SMB according to Article 7.1 of the SMB Rules of Procedure, permitting a 'consent agenda' of multiple items being presented for approval on via a single vote of the SMB (not item by item). **Should a SMB member wish to remove an individual item from the Consent Agenda, that request should be communicated to the Secretary of the SMB by not later than 5pm Montpellier, France on Thursday 6 November 2018.**

#### Distribution notice:

This document is a working document of the System Management Board and may be shared as part of ongoing consultations.

Prepared by: CGIAR System Management Office

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<sup>1</sup> **Action: SMB/M10/AP8:** The Board requests that a System Organization document retention policy be presented for Board review and approval at the Board's December 2018 meeting, which policy should include management of recordings and transcripts.

<sup>2</sup> Approved by the Board at their 9<sup>th</sup> meeting, 10-11 April 2018

## Background and rationale

1. The retention and disposal periods of Board records are proposed to align with the following general principles that are being put forward as part of an overall policy:

*An organization with a strong and thorough records management program will:*

- *Preserve the right information for the correct length of time;*
- *Meet legal requirements faster and more cost effectively;*
- *Control and manage records management storage and destruction;*
- *Archive vital information for business continuity and disaster recovery;*
- *Provide information in a timely and efficient manner regardless of urgency of request;*
- *Use technology to manage and improve the records management program;*
- *Integrate policies and procedures throughout organization;*
- *Establish ownership and accountability of the records management program;*
- *Arrange for continuous training and communication throughout the organization;*
- *Project an image of good faith, responsiveness and consistency; and*
- *Review, audit and improve program continuously.*

2. During System Management Board meeting, committee and working group sessions (together, 'governance sessions'), meeting participants are encouraged to engage in open and enquiring discussions. To facilitate an environment in which these can take place, there is an understanding that no remarks will be quoted or attributed directly. Furthermore, Article 9.2 a. (i) of the [Rules of Procedure of the System Management Board](#) states that "there shall be no verbatim records of meetings".
3. For the sole purpose of preparation of the formal meeting summary an audio recording of most governance sessions is made at each meeting, and a written transcription obtained from that recording for all Board meetings, and selected other meetings (where the session may have been particularly complex and the written document provides more clarity than a recording)<sup>3</sup>.
4. To ensure adherence to the Rules of Procedure the following specific retention periods and destruction process are proposed:
  - **Upon approval of the formal meeting summary** of the governance session by the relevant governing or working group body, **the audio recording on the relevant platform (e.g. BlueJeans) is destroyed** by the Records Officer of the Board and Council Relations Unit;

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<sup>3</sup> The software used by the System Organization's outsourced provider is specialized and can pick up even very faint voices that are not clear to the ear. As soon as a recording is provided in full to the System Organization and has been quality assured, the 3<sup>rd</sup> party provider deletes the recording themselves.

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- An electronic copy of the written transcript of a governance session is kept in secure filing by the Secretary of the System Management Board (“Board Secretary”).
- Any request to access the transcript must be documented and made through the Board Secretary, who will determine the appropriateness of the request having regard to the nature of the enquiry. Grounds to consider granting the request include where there is a significant issue for the System and there are disputed facts; a participant of the governing session wishes to prepare a subsequent written submission and wishes to have the broad parameters of their earlier oral presentation; or a Funder has authorized access to prepare materials for a media campaign in support of CGIAR, and has proposed that specific observations be quoted.
- Where access to the written transcript is provided, such access will be to the minimum degree required to satisfy the enquiry. If access is denied, reasons will be provided. In either case, a register of requests for access to the verbatim transcript will be maintained by the Board Secretary.
- The **written transcript of governance sessions will be destroyed not later than three calendar years** after the end of the year in which the governance session was held