This document comprises of the four following guidelines that guide the archiving work of the Arctic Council Secretariat:

1. Policy on Records Management for the Arctic Council Secretariat
2. Guidelines on Access to Arctic Council Records
3. Guidelines on the Release of Records Held by the Arctic Council Secretariat
4. Guidelines for the Disposition of Records of the Arctic Council Secretariat

These guidelines were revised and approved by the SAOs at the Hveragerði SAO executive meeting on 19 November 2019.
Policy on Records Management for the Arctic Council Secretariat

1. Effective Date

This policy has been approved by the Senior Arctic Officials and takes effect on July 25, 2014. The policy and guidelines were revised at Hveragerði SAO executive meeting 2019.

2. Scope

This policy applies to Arctic Council (AC) records held by the Arctic Council Secretariat (ACS), hereby referred to as “ACS records”, as defined under Article 1 (h) of the Host Country Agreement, signed between the ACS and the Kingdom of Norway on 21 January 2013: “Archives means all correspondence, documents, manuscripts, photographs, computer data storage, films, recordings and any other records, in paper, electronic or other form, belonging to or held by the Secretariat.”

This policy applies equally to all ACS records that were created before the policy took effect, as well as those created subsequently. AC records held in the repositories of Arctic States, Permanent Participants, Observers and the secretariats of AC subsidiary bodies are excluded from the scope of this policy. However, these bodies are encouraged to submit to the ACS documents that contribute to the collective memory of the AC. They may also choose to adopt this policy and its subsidiary guidelines and tools either officially, or as a best practice.

3. Language of Records

The working language of the AC and the ACS is English. At the same time, some records are translated into Russian and into other languages to facilitate AC work and to promote the achievements of the AC more globally. Some meaningful correspondence also takes place in languages other than English. With respect to official AC records, in all cases, the English version is the official record for the purposes of documenting the AC. At the same time, in all cases where a record shall be transferred to the archives, all translations of that record shall equally be transferred to the archives. Correspondence that takes place in languages other than English shall also be transferred to the archives if it is deemed to be a Permanent Record based on an assessment of its content.

4. Definitions

Definitions to be used in the interpretation of this policy are in Appendix A.
5. Context

The success of the AC, as a multilateral forum with a rotating chairmanship, relies on timely access to authentic and reliable information. It also requires the AC to respond to the challenges of the global and digital environment. As a result, good records management practices that address both analog and digital information are essential to ensuring efficiency, accountability, fruitful collaboration, risk management, and continuity. They also enable the AC to build an archive that capitalizes on the value of its records as knowledge assets and contributes to the preservation of the collective memory of AC activities and as a source of enduring knowledge about the Arctic. Creating and managing authentic and reliable records are therefore integral activities for the AC and the ACS.

Records management is an active strategic function in which all records of business value are identified, created, acquired, captured and managed in repositories and used as strategic assets to support effective decision-making and ongoing business operations.

6. Purpose

The ACS is committed to the efficient and effective management of ACS records. The purpose of this policy is to ensure:

a) ongoing identification, management and preservation of ACS records of business value to ensure their relevance, authenticity and reliability for as long as the records are required to meet operational, legal and historical needs of the AC;

b) regular disposition of ACS records, according to approved retention periods, to protect the AC from the costs and risks associated with both the inappropriate destruction of records and/or the overabundance of superfluous information;

c) effective sharing of information among AC participants through consistent and adequate access to ACS records;

d) authorized public disclosure of ACS records; and

e) protection of sensitive information in ACS records.

7. Objective

The objective of this policy is to ensure that ACS records are:

a) created and managed in a manner that ensures their authenticity, reliability and usability for as long as they are required; and

b) valued as strategic assets that facilitate collaborative decision-making and support AC activities in order to ensure transparency and accountability.

To achieve this objective, the ACS shall:

a) identify records that must be retained for ongoing business, accountability and reporting, and as reliable evidence of discussions, decisions, activities and transactions;

b) identify, establish, implement and maintain physical and electronic repositories in which
records are stored and preserved, secured from physical harm or degradation.

c) establish, use and maintain taxonomies or classification structures to facilitate storage, search, and retrieval of records in all formats;

d) implement and maintain appropriate retention periods for records;

e) develop and implement a transparent disposition process for records;

f) perform regular disposition activities for all ACS records;

g) provide access to ACS records in accordance with the applicable policy instrument on access; and

h) release ACS records in accordance with the applicable policy instrument on public disclosure.

8. Roles and Responsibilities

8.1 Senior Arctic Officials shall review and approve:

a) this policy, as well as any subsequent versions;

b) any complementary guidelines and tools related to records management, such as those governing the retention and disposition of records, access, release of information; and

c) reports on compliance submitted by the Director of the ACS.

8.2 Permanent Participants shall actively participate in the approval of, and subsequent revisions to, this policy, subsidiary guidelines and tools, and reports on compliance.

8.3 The Arctic State that chairs the AC shall ensure that records pertaining to its chairmanship role, which contribute to the collective memory of the AC, are deposited in the ACS repository. Such records may include reports, agendas and correspondence that were sent by the Chair of the AC or the Chair of the Senior Arctic Officials to all Arctic States, Permanent Participants or AC subsidiary bodies.

8.4 The Director of the ACS shall ensure that:

a) this policy and subsidiary guidelines and tools are adhered to within the ACS;

b) appropriate remedial action is taken to address any deficiencies within the ACS related to this policy and subsidiary guidelines and tools;

c) the planning and resourcing required to achieve the objective of this policy is reflected in the biennial work plan and budget of the ACS; and

d) a biennial report on compliance with this policy is submitted to the Senior Arctic Officials, starting from the adoption of this policy.
9. International Standards

This policy reflects current international standards and best practices, including the International Organization for Standards’ (ISO) International Standard on Records Management (ISO 15489) and EU General Data Protection Regulation GDPR.

Any subsequent revisions to the policy should reflect a similar alignment with international standards and best practices.

10. Policy Review

This policy will be reviewed by the Senior Arctic Officials every five years beginning on the date of implementation of the policy.

11. Enquiries

Enquiries about this policy should be directed to the Director of the ACS.
APPENDIX A

Definitions

**Accountability** is the principle that individuals, organizations and the community are responsible for their actions and may be required to explain them to others.

**Archives**, as defined under Article 1 (h) of the Host Country Agreement signed between the ACS and the Kingdom of Norway on 21 January 2013, “means all correspondence, documents, manuscripts, photographs, computer data storage, films, recordings and any other records, in paper, electronic or other form, belonging to or held by the Secretariat.”

**Classification structure** is a diagram, chart or catalogue, such as an alpha-numeric system, that identifies logically structured standard categories for organizing information according to its general subject matter.

**Destruction** is the process of eliminating or deleting a record beyond any reconstruction.

**Disposition** is a component of records management that occurs when a record has reached the end of its retention period and is either transferred to permanent archives or destroyed according to established guidelines and procedures.

**Integrated Records Management Tool** is the summary document that provides the classification structure, the retention period, the access conditions and the public disclosure decision for each category of ACS records.

**Metadata** is data describing the context, content and structure of records and their management through time.

**Permanent Records** are a subset of the ACS records of business value that also have a permanent value to the AC and will be preserved permanently in a repository at the end of their business life.

**Preservation** is a series of processes and operations involved in ensuring the maintenance of records over time.

**Public disclosure** is the act of making archives freely accessible to the public, as appropriate, according to established policies and procedures.

**Records**: Information in any format created, received and maintained as evidence and information by an organization or person, in pursuance of legal obligations or in the transaction of business (ISO 15489, Part 1, Clause 3.15). For the purpose of this policy, the term “records” is synonymous with the definition of “archives” provided in Article 1 (h) of the Host Country Agreement.

**Records of business value** are those records that are created or acquired because they enable decision-making and the delivery of services and ongoing operations, or support organizational reporting, performance and accountability requirements.

**Repository** is any physical or virtual space (e.g., file room, filing cabinet, server, or computer drive) which has been designated as a place in which AC records will be stored and managed.

**Retention** is a component of records management in which the AC identifies how long a record must be kept to satisfy any business, legal or regulatory requirement.
**Taxonomy** is a structure that is used to classify materials into a hierarchy of categories and subcategories. Most commonly this is done through the application of standardized keywords.

**Transitory Records** are records about routine actions or events that have very marginal connection to the operational mandate of the ACS or are copies of records held in the ACS repository. Such ephemeral records include, but are not limited to, invitations to office parties, notifications about fire drills, and updates to office computer systems.
Guidelines on Access to Arctic Council Records

1. Effective Date

These guidelines have been approved by the Senior Arctic Officials (SAO) and take effect on October 22, 2014. The guidelines were revised at Hveragerði SAO executive meeting 2019.

2. Scope

These guidelines apply to Arctic Council (AC) records held by the Arctic Council Secretariat (ACS), as defined under article 1(h) of the Host Country Agreement, signed between the ACS and the Kingdom of Norway on 21 January 2013: “Archives means all correspondence, documents, manuscripts, photographs, computer data storage, films, recordings and any other records, in paper, electronic or other form, belonging to or held by the Secretariat.”

These guidelines apply equally to all ACS archives or records that were created before the guidelines took effect, as well as those created subsequently.

AC records held in the repositories of Arctic States, Permanent Participants, Observers and the secretariats of AC subsidiary bodies are excluded from the scope of these guidelines. However, these bodies are encouraged to submit to the ACS documents that contribute to the collective memory of the AC.

3. Purpose

Given its rotational nature, the AC acknowledges that sharing information is essential to its work. The AC also acknowledges the need to restrict access to certain types of information. For example, access should not be granted to information that would pose a threat to the national security of any of the Arctic states or that would constitute an unwarranted invasion of personal privacy.

These guidelines establish the rules under which the ACS may provide internal access to its records.

These guidelines are to be applied in conjunction with the Policy on Records Management for the Arctic Council Secretariat approved by SAOs and Permanent Participants on 25 July 2014, the Guidelines on the Release of Records Held by the Arctic Council Secretariat, and the Integrated Records Management Tool (IRMT).

4. Roles and Responsibilities

4.1 Senior Arctic Officials, with the active participation of Permanent Participants, shall:
   a) review and approve these guidelines, as well as any subsequent versions;
   b) ensure that these guidelines are upheld, by reviewing biennial reports on compliance that are to be submitted by the Director of the ACS, in accordance with section 8.4 of the Policy
4.2 The **Director of the Arctic Council Secretariat** shall ensure that:

a) these guidelines are implemented and adhered to by the ACS;
b) appropriate remedial action is taken to address any deficiencies within the ACS related to the implementation of these guidelines;
c) information on compliance with these guidelines is contained within the Director’s biennial report, to be completed in accordance with section 8.4 of the *Policy on Records Management for the Arctic Council Secretariat*.

5. Access to ACS Records

Wherever possible, the AC works in an open and transparent manner. Internal access to ACS records shall be authorized according to the “access” column in the current version of the IRMT, as approved by SAOs.

Any changes to the “access” column in the IRMT must be approved by SAOs or as delegated by SAOs.

The level of access is determined according to the following guiding principles:

5.1 ACS Staff

The Director of the ACS shall have access to all ACS records. The Director of the ACS may limit or grant access to other ACS staff, as he or she considers appropriate.

The ACS officer responsible for Human Resources shall have access to personnel files.

Staff of the ACS shall have access to their own personnel files, if required. This applies to individuals currently working for the ACS and those who previously worked for the ACS.

5.2 Chair of the Senior Arctic Officials

The Chair of the SAOs shall have access to all ACS records.

5.3 Senior Arctic Officials

SAOs and their delegates shall have access to ACS records, with some exceptions. For example, an exception would be personnel files of ACS staff.

5.4 Permanent Participant Heads of Delegation

Permanent Participant Heads of Delegation and their delegates shall have access to ACS records, with some exceptions. For example, an exception would be personnel files of ACS staff.

5.5 Other Members

Working Group and Task Force Chairs, Executive Secretaries, and Working Group and Task Force Heads of Delegation shall have access to ACS records that support the work of their subsidiary bodies as indicated in the IRMT.
Accredited Observer Heads of Delegation shall have access to all publicly available ACS records, as well as any additional records indicated in the IRMT.

5.6 Members of the Public

Members of the public shall have access in accordance with the *Guidelines on the Release of Records Held by the Arctic Council Secretariat*.

6. Exceptional Access

The Chair of the SAOs, in consultation with SAOs, may grant access to AC records outside of the rules established by these guidelines, if such access is necessary for AC operations. Such exceptional access to AC records should be based on a proven need for the records.

7. Guidelines Review

These guidelines shall be reviewed by the SAOs every five years beginning on the date that the guidelines take effect.

8. Enquiries

Enquiries about these guidelines should be directed to the Director of the ACS.
Guidelines on the Release of Records Held by the Arctic Council Secretariat

1. Effective Date

These guidelines have been approved by the Senior Arctic Officials (SAO) and take effect on October 22, 2014. The guidelines were revised at Hveragerði SAO executive meeting 2019.

2. Scope

These guidelines apply to Arctic Council (AC) records held by the Arctic Council Secretariat (ACS), as defined under article 1 (h) of the Host Country Agreement, signed between the ACS and the Kingdom of Norway on 21 January 2013: “Archives means all correspondence, documents, manuscripts, photographs, computer data storage, films, recordings and any other records, in paper, electronic or other form, belonging to or held by the Secretariat.”

These guidelines apply equally to all ACS records (archives) that were created before the guidelines took effect, as well as those created subsequently.

AC records held in the repositories of Arctic States, Permanent Participants, Observers and the secretariats of AC subsidiary bodies are excluded from the scope of these guidelines. However, these bodies are encouraged to submit to the ACS documents that contribute to the collective memory of the AC.

3. Purpose

These guidelines establish the rules under which the ACS may release its records to the public. The expected result is a consistent approach to the public release of ACS records. The guidelines are to be applied in conjunction with the Policy on Records Management for the Arctic Council Secretariat, approved by SAOs and Permanent Participants on 25 July 2014, and the Integrated Records Management Tool (IRMT).

4. Roles and Responsibilities

4.1 Senior Arctic Officials with the active participation of Permanent Participants, shall:
   a) review and approve these guidelines, as well as any subsequent versions;
   b) ensure that these guidelines are upheld, by reviewing biennial reports on compliance that are to be submitted by the Director of the ACS, in accordance with section 8.4 of the Policy on Records Management for the Arctic Council Secretariat.

4.2 The Director of the Arctic Council Secretariat shall ensure that:
   a) these guidelines are implemented and adhered to by the ACS;
5. Release of Records

5.1 Meeting Minutes, Communications and Documents

In accordance with article 45 of the Arctic Council Rules of Procedure, “the Chairmanship may release minutes, if any, communications and documents of the meeting after obtaining approval from the relevant officials of each Arctic State. The Chairmanship is responsible for preparing a report of the meeting which will be formally released after it has been approved by the relevant officials of each Arctic State.”

5.2 All Other Records

The release of all other records held by the ACS shall be authorized according to the “release” column in the current version of the IRMT, as approved by SAOs.

ACS records that have not reached their release date in accordance with the “release” column of the IRMT shall are not available to the public.

Any changes to the “release” column of the IRMT must be approved by SAOs or as delegated by SAOs.

5.3 Conditions of Release

ACS records shall be considered declassified and made available to the public upon request once the time period, identified in the release column of the IRMT, has elapsed.

In the event that a record is requested that is not listed in the IRMT, the ACS shall bring the request to the attention of the Chair of the SAOs.

The ACS shall not redact or edit records in order that portions of them may be released.

5.4 Exceptions to Release

5.4.1 Protection of Sensitive Information

At any time, SAOs and Permanent Participant Heads of Delegation may request an extension to the release date of specific ACS records and/or that the release of specific ACS records be withheld, if the release of the records would:

- negatively affect the physical security of the personnel or buildings associated with the AC or ACS;
• cause significant harm to the AC, ACS, a national government or Permanent Participant organization;
• divulge sensitive commercial or scientific data;
• negatively impact a state’s national defence and security, including the ability to prevent crime; or
• divulge information provided in confidence by a third party.

Such requests shall be addressed in writing to the Chair of the SAOs, who shall submit it to SAOs for decision.

5.4.2 Protection of Personal Information

The ACS shall not release personal information about individuals, whether they are employed by the ACS or not, where disclosure of said information would constitute an unwarranted invasion of personal privacy or could injure the individual’s professional reputation or their physical security.

6. Language of Records

The working language of the AC and the ACS is English. At the same time, some records are translated into Russian and into other languages to facilitate AC work and to promote the achievements of the AC more globally. Important correspondence also takes place in languages other than English.

The ACS will base its decision about the release of any record on the official English version. Once the official English-language version has been released, all translations produced by the ACS shall also be considered to be open.

7. Requests for Public Release of Records

There is no restriction on who can submit a request for the public release of records held by the ACS. Requests must be submitted in writing to the ACS, normally in the form of an e-mail.

8. Guidelines Review

These guidelines shall be reviewed by the SAOs every five years, from the date of implementation.

9. Enquiries

Enquiries about these guidelines should be directed to the Director of the ACS.
Guidelines for the Disposition of Records of the Arctic Council Secretariat

1. Effective Date

These guidelines have been approved by the Senior Arctic Officials and take effect on July 25, 2014. The guidelines were revised at Hveragerði SAO executive meeting 2019.

2. Application

These guidelines provide directions to the Arctic Council Secretariat (ACS) for the disposition of its records. These guidelines are to be read in conjunction with the Policy on Records Management for the Arctic Council Secretariat and the Integrated Records Management Tool for ACS records.

3. Purpose

An approved disposition process will allow the ACS to effectively and efficiently locate records or, where applicable, to account for their destruction. In particular, the regular destruction of transitory records will result in increased discoverability and utility of records of business value. Furthermore, following a disposition process will enable institutions to be accountable for their disposition actions and to recreate the context of decision-making. This will ensure that no disposition actions are undertaken inadvertently, without full information or approval, and will ensure that disposition is complete.

4. Definitions

Definitions to be used in the interpretation of these guidelines are in Appendix A.

5. Expected Results of these Guidelines

- The ACS regularly performs disposition activities according to retention periods approved by Senior Arctic Officials.
- Transitory Records are identified correctly and destroyed as soon as convenient.
- Records of business value are disposed of according to the approved retention periods, in a transparent and integrated way.
- Permanent Records are preserved in order to ensure their authenticity, reliability and usability over time.
6. Roles and Responsibilities

6.1 Senior Arctic Officials

shall be responsible for review and approval of these guidelines as well as any subsequent versions.

6.2 Permanent Participants

shall actively participate in the approval of, and subsequent revisions to, these guidelines.

6.3 The Director of the ACS shall be responsible for:

a) ensuring adherence to these guidelines within the ACS;

b) designating members of the ACS staff to conduct disposition activities of ACS records of business value in accordance with these guidelines;

c) ensuring appropriate remedial action is taken to address any deficiencies within the ACS related to these guidelines; and

d) ensuring that disposition activities at the ACS are in compliance with the Policy on Records Management for the Arctic Council Secretariat.

7. Records of Business Value

Records of business value should be stored and maintained in the appropriate ACS repository, as identified in the Integrated Records Management Tool.

7.1 Permanent Records

Permanent Records are records of business value that have been identified for permanent retention. Records that are permanent include, but are not limited to:

- Founding documents of the Arctic Council (AC);
- AC declarations adopted at Ministerial Meetings;
- Select documents from Ministerial and Senior Arctic Officials Meetings;
- Draft versions of records where retention is necessary as evidence of approval or substantial evolution of the record; and
- Administrative records that document core functions carried out by the ACS.

The ACS shall archive Permanent Records in order to ensure their preservation over time.

7.2 Other Records of Business Value

Other records of business value include, but are not limited to:
• records used institutionally for information, reference or convenience only;
• records regarding logistical activities such as bills, receipts, registration forms and emails; and
• draft versions of records where annotations and additional information have been incorporated into subsequent versions.

Each occurrence of destruction shall be done in accordance with the IRMT.

8. Process for the disposition of Records of Business Value

Archiving conducted in accordance with the IRMT procedures ensures the traceability of disposed documents. As part of the disposition process, the personnel designated to conduct disposition activities at ACS shall:

a) verify in the Integrated Records Management Tool that the records have approved retention periods, that the retention periods for all records in question have expired, and the applicable archival decision;

b) confirm that the records are no longer required by the AC for legal or operational needs;

c) destroy or archive the records following approved methods appropriate for the medium (including Web 2.0, electronic, object, or other special media) and for security concerns.

9. Transitory Records

Transitory Records are NOT records of business value. These ephemeral records document very routine actions or events that have very marginal connection to the operational mandate of the ACS or are duplicates of records held in the ACS repository.

Transitory Records include, but are not limited, to:

• unaltered copies of ACS records, where the original or official record is properly stored in the ACS’ repository;
• records used by individual employees for information, reference or convenience;
• intermediate digital, film, video or sound recording material generated to prepare a digital, audio, video, film or sound recording presentation or production, that is not required to reconstitute the completed production, and that is not defined as original footage or printing elements for final production; and
• emails that do not document decisions, transactions, or approvals, such as:
  o automatically generated messages related to meeting organization (e.g., accepted, declined, tentative meeting invitations);
  o decisions that will be incorporated into another system that takes precedence (e.g., a message regarding a financial decision that will be captured in a financial management
system, or a message approving a leave request that will be captured in a human resource system);  
  
- messages where the ACS or individual ACS staff member is listed as a CC or BCC for information purposes; and  
- routine internal announcements (e.g., office social events, fire drills, and building maintenance).

Transitory Records should be destroyed by individual ACS staff once they have been properly identified as such and when they are no longer needed.

10. Consequences

The Director of the ACS will ensure that corrective actions are taken to address instances of non-compliance with these guidelines. Corrective actions may include training, changes to procedures and systems, and other measures.

Consequences of non-compliance may include informal follow-ups with staff, or formal direction on corrective measures.

11. Monitoring and Review

These guidelines will be monitored through the report on compliance with the Policy on Records Management for the Arctic Council Secretariat, to be submitted biennially to Senior Arctic Officials. It will be reviewed as part of the overall review of this policy.

12. Enquiries

All enquiries related to these Guidelines should be directed to the Director of the ACS.
APPENDIX A

Definitions

**Accountability** is the principle that individuals, organizations and the community are responsible for their actions and may be required to explain them to others.

**Archives**, as defined under Article 1 (h) of the Host Country Agreement signed between the ACS and the Kingdom of Norway on 21 January 2013, “means all correspondence, documents, manuscripts, photographs, computer data storage, films, recordings and any other records, in paper, electronic or other form, belonging to or held by the Secretariat.”

**Classification structure** is a diagram, chart or catalogue, such as an alpha-numeric system, that identifies logically structured standard categories for organizing information according to its general subject matter.

**Destruction** is the process of eliminating or deleting a record beyond any reconstruction.

**Disposition** is a component of records management that occurs when a record has reached the end of its retention period and is either transferred to permanent archives or destroyed according to established guidelines and procedures.

**Integrated Records Management Tool** is the summary document that provides the classification structure, the retention period, the access conditions and the public disclosure decision for each category of ACS records.

**Metadata** is data describing the context, content and structure of records and their management through time.

**Permanent Records** are a subset of the ACS records of business value that also have a permanent value to the AC and will be preserved permanently in a repository at the end of their business life.

**Preservation** is a series of processes and operations involved in ensuring the maintenance of records over time.

**Public disclosure** is the act of making archives freely accessible to the public, as appropriate, according to established policies and procedures.

**Records**: Information in any format created, received and maintained as evidence and information by an organization or person, in pursuance of legal obligations or in the transaction of business (ISO 15489, Part 1, Clause 3.15). For the purpose of this policy, the term “records” is synonymous the definition of “archives” provided in Article 1 (h) of the Host Country Agreement.

**Records of business value** are those records that are created or acquired because they enable decision-making and the delivery of services and ongoing operations, or support organizational reporting, performance and accountability requirements.

**Repository** is any physical or virtual space (e.g., file room, filing cabinet, server, or computer drive) which has been designated as a place in which AC records will be stored and managed.

**Retention** is a component of records management in which the AC identifies how long a record must be kept to satisfy any business, legal or regulatory requirement.
**Taxonomy** is a structure that is used to classify materials into a hierarchy of categories and subcategories. Most commonly this is done through the application of standardized keywords.

**Transitory Records** are records about routine actions or events that have very marginal connection to the operational mandate of the ACS or are copies of records held in the ACS repository. Such ephemeral records include, but are not limited to, invitations to office parties, notifications about fire drills, and updates to office computer systems.