

# Information Management Services at IUCN

Information Policies  
Information Technology  
Electronic Communications, Internet & Web  
Information Systems  
Library Services & Records Management

Prepared by : Information Management Group

*Approved : Management Services Committee*

IUCN, Gland, Switzerland

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Compiled by the Information Management Group, IUCN Headquarters,  
by the Head, IMG and approved by the Management Services Committee  
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The **Information Management Group** (IMG) at the IUCN headquarters is responsible for services related to the use of information and communication technology at the headquarters and in regional, country, out-posted and project offices as well as to members. These services are grouped under the headings below. Under each you will find information on objective and context of the service as well as a description of what is provided and how to obtain or use it.

## SECTIONS

1. **Information Policy Services for IUCN worldwide**
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**Annex 4. Terms of Service Agreement (Intranet Knowledge Network)**

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The present manual replaces the [IUCN EDP Department Policy](#) of 29 June 1992. This Information Management Services Manual will be complemented by an IUCN Information Policy that covers issues related to copyright, access to and distribution of data and information and related issues and will link to IUCN Communications and Publications Policies.

## BACKGROUND

During the past 5 years, the entire world has begun a transition from “print” to “digital” media. The increasing use of electronic mail, the Internet and most recently the World Wide Web, all are symptoms of this trend. Computers that once cost millions and filled rooms now cost a few thousand and can be held in the palm of your hand. Software that once required months of training to use has become almost intuitive. For working people the impact of this trend has put enormous pressure to not only learn new things but to change the way work is accomplished. From hierarchical to horizontal, from centralized to decentralized, from departmental to team-based; new ways of working require people to use computers to aid them in sharing views, exchanging or finding information.

As “conservation’s professional society”, the need for staff, members and Commissions to understand and use information and communication technology has been recognized. This technology provides the means to increase inter-action and communication or to add value to information through integration and graphical enhancement.

Starting in September of 1995<sup>1</sup>, IUCN took the decision to move to the “windows environment”, to adopt electronic mail as a standard means of communications, to begin to think about an “on-line” system for linking IUCN offices and members. In addition, the shift to windows computer technology was seen as a building block

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<sup>1</sup> 1995. Grose, Kevin. Leveraging the Union’s Information Resources : a plan for the management and use of information and communications technology with IUCN. [in-house report]

in moving IUCN to become a “knowledge-based” organization<sup>2</sup>. In 1996 the decision to create a site on the Internet World Wide Web<sup>3</sup> was taken. Such a site would be linked to large-scale information systems that would support staff and provide information for members. Closely related, came the Biodiversity Conservation Information System and in the area of environmental law, a pilot project to market environmental law data on the Internet and a joint UNEP/IUCN project to start a consortium for a Global Environmental Law and Policy Information System. In 1997 attention turned to “in-house” systems that would provide information on contracts, track donors and manage projects – and to be able to share this information across the world through an IUCN Intranet WWW site. The intranet allowed the realization of the concept of a truly distributed, knowledge-based organization<sup>4</sup>. The objective will be to harmonize and integrate information resources in order that data, information, experience and knowledge have maximum impact, and that access is provided to as many as staff as possible where ever located – through the IUCN Knowledge Network<sup>5</sup>.

The IUCN papers referred to above are included in Annex 3.

*Questions and comments to:*

**Head, Information Management Group**  
**IUCN-The World Conservation Union, Rue Mauverney 28, CH-1196 Gland**  
**T 41 22 999 0134**  
**F 41 22 999 0010**  
**E [img@hq.iucn.org](mailto:img@hq.iucn.org)**

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<sup>2</sup> 1995. Halle, Mark. IUCN – a knowledge-based organisation. Memo to Director-General dated 23 January 1995, pp.9

<sup>3</sup> 1996. Grose, Kevin. Union-Link : the IUCN Internet Presence. In: Internet for Environmental Communication. – Wien : Bundesministerium für Umwelt, Jugend und Familie, pp.54-64.

<sup>4</sup> 1998. Temm, Chip. The IUCN Knowledge Management Network : toward an integrated approach. [in-house report], pp.4.

<sup>5</sup> 1998. Grose, Kevin. IUCN Knowledge Network information sheet and information access matrix, 3pp.

## **1. Information Policy Services for IUCN worldwide**

### **OBJECTIVE**

To elaborate a vision, formulate policies and plan services that will facilitate the preparation, storage, exchange and dissemination of data and information produced by or on behalf of IUCN, its headquarters, regional, country and project offices, Commissions.

### **SERVICES**

- 1.** Assessment of information needs and evaluation of approaches and resource requirements to address them
- 2.** Formulation and implementation of an information management plan and technology strategy
- 3.** Advisory services and planning for information systems development and implementation
- 4.** Coordination of systems and services between IUCN, its offices, members and partners
- 5.** Exploration of alternative or innovative approaches to address information needs requiring resources (data, information, human or financial resources) beyond those available
- 6.** Promotion of standards for information technology (hardware and software)
- 7.** Advisory services related to copyright, legal and management issues related to data and records

## 2. Information Technology Services and Procedures at IUCN Headquarters

### OBJECTIVE

To provide headquarters staff and other authorized users with the necessary hardware, software and support to fulfill their work assignments in a productive and cost-effective manner.

### SERVICE CONCEPT

Services at headquarters are organized on a Local Area Network (LAN) to which each user is provided with access to application software, data and information and other resources based on a client-server model. This network or "common service" approach provides the economy of scale needed to offer cost-effective, secure and sophisticated services to a large number of users. In addition, this approach provides maximum flexibility to respond to unexpected or seasonal demands (e.g. summer interns, Congress, etc.). Users of the system are allocated equipment as described below and are provided with equal access to shared equipment (e.g. printers) and support services.

- 1. Access to the Local Area Network.** Access to the LAN requires a unique user identifier "ID" and a password known only to the user. The Human Resources Development Division as part of the staff induction process assigns ID codes and a request for an ID should be addressed to them. Upon receipt of the ID, IMG will set up a user account and provide a temporary password and explain how it can be personalized. The combination of user ID and PASSWORD is intended to prevent unauthorized user from accessing the IUCN HQ LAN and its information resources.

*The security of both IDs and Passwords must be protected by not disclosing them to persons outside the organization. Passwords should be changed at least twice per year. At HQ this is done automatically by the server software.*

### FULL/PART TIME STAFF

Every full and part-time staff member based at IUCN HQ will be provided with a PC connected to the network (on a shared basis if part-time) and is licensed to use any application software, print on LAN printers and to request support from IMG.

### VISITORS FOR LESS THAN 28 DAYS

Persons (e.g. consultants, volunteers and interns, etc.) staying less than 28 days will be provided with access to PCs on an as-available basis and will use temporary logins and passwords. These persons are not entitled to have either a personal login or an email post box.

### PERSONS VISITING FOR MORE THAN 28 DAYS

Persons staying longer than 28 days but less than 12 months may be allocated personal logins and email post boxes upon completion of the necessary administrative formalities.

IMG tries to make the LAN available 24 hours per day, including weekends and every effort is made to keep "downtime" to a minimum (normally less than 2% per year). Interruption of service for maintenance purposes will normally be announced at least 5 working days in advance. Interruption of service owing to power failure, damaged software or failure of equipment cannot be foreseen.

### DISRUPTION OF SERVICE

IUCN HQ does not maintain a parallel backup server. If the server or any part of the network fails service to some or all of the users will not be available. Users may, however, work off-line on the Exchange Email software. Email will automatically be forwarded once the LAN connection is reestablished. WordPad (using Start, Programs, Accessories) for simple word processing is also available on all PCs. For those having laptops and PCs with large hard disks, MS Office is installed and any product may be used. If the LAN is down, printing can only be done from PCs connected directly to printers in the Library and in office 51.

- 2. Acquisition of hardware.** IMG plans for the purchase or renewal of computer hardware through a review and selection process. Items of hardware are then selected and are acquired through a process of competitive quotations bearing in mind any approval or procedure required by the IUCN Financial

Regulations on authority, approvals, payment, depreciation or insurance. Only IMG can purchase hardware using the standards described in Annex 1: Information Technology Standards.

**3. Inventory and stock.** Each item of hardware is entered on the IMG inventory and monitored through the use of the Systems Management Software on the network. The inventory provides the basis for insurance coverage. Insurance on hardware is secured by Administration.

**4. Repair and maintenance.** IMG will organize repair and maintenance for any hardware it purchases. All servers, PCs and printers are purchased with factory warranties of 1 or more years and for the main HQ server, a separate maintenance contract is in place providing on site service within 8 hours. Authorized dealers or sub-contracted services undertake repairs. A small stock of spare hardware is maintained for emergencies.

**5. Allocation or access to available hardware.**

#### DESKTOP PCs

Each authorized user will normally be allocated a standard desktop PC as part of the induction process described above in item 1 above. The PC will be capable of accessing and running all standard computer software or information resources.

#### PORTABLE COMPUTERS - "LAPTOPS"

Technical and senior staff having a contract of 1 year or more and who travel extensively, work from home (tele-commute) or for reasons of health, may be allocated a portable laptop computer in place of a PC. Such laptops will be provided on a first-come, first-served basis and as financial resources permit. A request for a laptop should be made by email to IMG providing a justification of need (confirmed by head of unit). Upon receipt and approval, the requester's name will be added to the laptop waiting list. IMG will make every effort to allocate staff with a standard monitor and keyboard OR mouse for use at HQ. It is not possible to have both a PC (central processing unit (CPU) and a laptop on a long-term or permanent basis.

#### HAND-HELD COMPUTERS – "PALMTOPS"

Technical and senior staff who travel may as alternative to a laptop computer request to have a Hand-Held Computer. Such computers will be provided on a first-come, first-served basis, and as financial resources permit. A staff member who is allocated a Hand-Held Computer will be provided with a Desktop PC for work at HQ, including lap-link facilities between the Hand-Held Computer and the Desktop PC.

#### LOAN OF LAPTOPS

IMG maintains a small stock of laptops that may be borrowed for use on mission on a first-come, first-served basis. These laptops will not normally be loaned for use at home other than for emergencies or for short periods (e.g. 2-3 weeks). These laptops are normally older computers and may not have current software versions.

#### PRINTERS

All staff have access to high volume, high speed laser printers located at one of four print stations in the building. For reasons of confidentiality, the offices of the Director General; Assistant Director General; Director, Finance and Director, Human Resources are allocated their own printers while other offices (e.g. Finance) are provided with dot matrix or other printers in order to prepare reports or special outputs.

A colour laser printer is available for staff use in office 51, near Communications Division.

#### SCANNER

Scanner equipped with Adobe Acrobat Exchange software is available for staff use in office 51.

#### LCD PROJECTOR

A LCD projector for projecting computer images to a screen is available. The LCD Projector can be connected to a laptop or the network in Main, East and West meeting rooms and should be reserved, at least, 24 hours in advance.

#### MACINTOSH COMPUTER

A MacIIci (68030) System 7.1 with laser printer and scanner is available for file conversion and limited desktop publishing in the open space on Ground Floor East.

#### WORD PERFECT COMPUTER

A PC loaded with Corel WordPerfect Suite 7.0 is available to staff for file conversion or visitor's use in the reference area of the Library. The Suite contains: Corel WordPerfect 7, Corel Quattro Pro 7 and Corel Presentations 7.

#### SPECIALIZED, NON-STANDARD OR PERSONAL HARDWARE

IMG will advise on, order or support specialized hardware but costs, including those related to maintenance, will be borne by the requesting office. This includes: 20/21 inch monitors, docking stations, modems, portable printers, etc.

- 6. Acquisition of or installation or access to software.** IMG plans for the purchase and upgrading of computer software through a review and selection process. Items of software are then selected, acquired/licensed through a process of competitive quotations bearing in mind any approval or procedure required by the IUCN Financial Regulations on authority, approvals, payment, depreciation or insurance. Software standards are described in Annex 1. Information Technology Standards.

#### NON-STANDARD OR SPECIALIZED SOFTWARE

IMG can advise and/or assist in the acquisition of specialized software that may be needed for certain work, although associated costs will be borne by the requesting office. No person should install any software, freeware or shareware on any IUCN-owned server, PC or laptop without the agreement of IMG. Only after it is determined that such software will provide the service desired, is free of viruses, will not damage other software, and any purchase or licensing obligation fulfilled should the software be loaded. Computer games may not be stored on IUCN-owned equipment unless related to an IUCN activity or for educational purposes.

**IMG will undertake regular inspections of all PC hard disks or other electronic storage devices owned by IUCN at its HQ in order to verify that they contain no objectionable (Section 4, point 13 refers) or unlicensed software or other electronic files.** Any such software or files will be deleted unless use can be justified and/or licenses be placed on file. Staff members found in violation of this will be subject to disciplinary measures.

- 7. Training.** Human Resources Development Division organizes training for all standard software applications (Windows95, Exchange Email, Word, Excel, PowerPoint, Schedule+, Access and Netscape Gold HTML editor). It is the responsibility of each user of the system to attend such courses as he/she might require in order to operate systems and applications in a productive and responsible manner. Attendance at these courses should be considered during performance evaluation.
- 8. Support and training.** IMG provides full support during working hours to set-up hardware, accounts and solve any problem related to the functioning of hardware, software or access to LAN information resources such as printers. Only limited support can be provided in the use of application software such as Word, Excel, etc. IMG does maintain a complete collection of manuals and guidebooks for each of the MS Office software, which may be consulted in office 36. See Section 4.9 for information on login and password.
- 9. Virus protection.** Computer viruses pose an enormous threat to hardware, software and information. IMG maintains anti-virus software resident on the server and all PCs. This software is purchased on a subscription basis that provides monthly updates.
- 10. Scanning diskettes, files and laptops for viruses.** *All diskettes received from external sources or used on PCs or laptops outside the HQ must be scanned by one of the IMG staff prior to use within the IUCN HQ.* Should any person receive infected diskettes or files through the Internet, they should immediately inform the sender of this fact and ask them to install anti-virus software immediately. *Any non-IUCN HQ laptops brought onto the IUCN premises should be brought to IMG to be scanned for viruses before use.* Viruses can cause severe damage to documents and computer systems and people must NOT take any risk that might result in lost documents or systems.
- 11. Allocation of space on the server.** IMG provides for security of the data and software in accordance with guidelines set within the IT Industry. Each user having access to LAN services is allocated a maximum of

15MB on the central server for storage of data and information such as Word documents, Excel Spreadsheets, etc.

Users will be warned when they are near the limit of their entitlement and will be requested to delete unnecessary documents or to move them to diskette. Individuals are responsible for the backup of any information held on PC hard drives or laptops.

## **12. Support to the World Conservation Congress and other special events**

IMG will advise the computing requirements of a Congress Information System based on an assessment of needs. It will prepare a workplan and budget for hardware, software and support to address these needs and will, if funds permit, oversee installation and operation during the event. Planning for such events must be made at least 18 months in advance.

## **13. Backup and security services for systems and data**

IMG periodically reviews arrangements for the storage and protection of data. It can as well offer advice to users on the risk of accidental loss. Users should assess the level of security (e.g. multiple copies on diskette, off-site, etc.) needed to protect any given data or information, taking into consideration the cost of collection, consequences of loss and cost-benefit of additional back ups.

### **SOFTWARE AND DATA**

All systems, application software and data is backed up 5 times per week on 3 weekly sets of magnetic tapes in order that a full copy of each day's systems software and data are available for each of the past 15 working days. These tapes are stored in the IMG office 36 (locked outside of working hours) in order that they not be in the same room as the server. In addition, a monthly backup is made alternately on 5 tapes stored off-site.

### **SERVER**

The Compaq/Digital Alpha Server is covered by a "same day" server maintenance contract. Should the server be slightly damaged, service could be restored in 4 to 12 hours. Should the server be destroyed, there is an option to rent a server through Digital pending replacement.

IMG maintains 2/3 PCs (200MHz/2-4GB HD) in the IMG Office that are installed with Windows NT and could function as small temporary servers.

### **NETWORK/HUBS**

A spare hub is available should one fail. Should all fail or be destroyed, these will need to be repaired/replaced. Rental could probably be arranged. A stock of cable and connectors for PCs is available. Damage or destruction to the backbone cabling will require complete replacement.

### **PCs**

Desktop PCs are gradually being upgraded with large hard-disks on which application software/data can be stored. In case of damage to the server, these PCs can operate in stand-alone mode.

## **14. Disaster recovery scenarios**

### **SMALL EVENT**

A small fire or power surge that causes damage but does not destroy equipment will result in a downtime of **4 hours to 48 hours**. Maintenance contracts and/or spare parts will cover all equipment except backbone cabling.

### **MEDIUM EVENT**

A major fire in the server room, etc. will result in a downtime of **3-10** days depending on level of damage not only to equipment but to power supply as well. Small temporary servers (PCs) will be established if possible near the network hubs on the 1<sup>st</sup> and 2<sup>nd</sup> floors to provide service to the floors. Internet connection for email could be re-routed through IMG's analogue telephone line and a PC to the servers. Systems/data will be restored from the tapes to servers and/or desktop PCs.

### **MAJOR EVENT**

A fire in a large portion of the building will require complete re-creation and installation of new equipment and cabling. Arrangements could quickly be put in place with Compaq/Digital Equipment Corp. and will require **10-45 days**. During this period, new PCs will be acquired in **3-6 days** (using insurance/HQ Facilities Fund as needed) and will be set up as stand-alone machines connected to printers at whatever location was required. A small server and peer-to-peer network will be established for Finance. Systems/data will be restored from most recent backup tape.

### 3. Information Technology Services and Procedures for Regional and Country Offices

#### OBJECTIVE

To assist RCOs to acquire and use information technology in order that they can have improved access to their data and information and be able to exchange information with IUCN and its members.

#### SERVICE CONCEPT

RCOs sometimes have difficulty locating qualified computer and electronic communications expertise to assist them. IMG has, therefore, developed a range of services that can either provide solutions to problems, advise on options or plan for needed services. Some services are provided on a continuing basis while others are provided upon demand.

- 1. Acquisition of hardware.** Upon request by e-mail, telephone or letter, IMG will advise RCOs on hardware and prepare technical specification for any hardware they require. If hardware is not available locally or if prices are unusually high, IMG can provide quotations on the purchase of hardware in Switzerland and will order and ship hardware to RCOs. Costs of hardware and shipping to be borne by requesting office.
- 2. Acquisition of software.** IMG provides for licensing and distribution of Microsoft Office (i.e. Word, Excel, PowerPoint, Schedule+) to all IUCN Offices worldwide. In addition, any MS Office (standard) license can be upgraded to MS Office Professional (also includes Access database software). Each office should request their copy of the software, specifying version (4.2, 7.0 or language) and media (CD-ROM or diskette) required. Cost of upgrade or media and shipping to be borne by requesting office. IMG can also assist in the purchase of Anti-Virus Software.
- 3. Telephone/Email technical support.** Upon request, IMG will respond to technical questions concerning the installation and operation of Microsoft and some other software (e.g. NT, Office products, etc.). IMG does not normally provide support on the use of application software.
- 4. On-site technical support.** Upon request, IMG staff will travel to any RCO to assist in planning and installation of hardware, networks, etc. and training of staff. Normally, such visits are planned well in advance in order to maximize the benefit to the RCO and minimize disruption to services at HQ. Staff time is contributed by IMG; travel costs are normally borne by requesting office.
- 5. Support while visiting HQ.** IMG has both an analogue telephone line and full Internet access (i.e. World Wide Web, Telnet, etc.) in order that RCO staff can remotely access email using modems or the Internet while at HQ. Power cord and plug adapters are available as well as a transformer (110 to 222V). RCO staff may use the PCs in the Library Reference Room or any PC in the building that is not in use for word processing, printing, etc. RCO staff will be allocated temporary logins unless visiting HQ for more than 28 days.

## 4. Electronic Communications Services to Headquarters

### OBJECTIVE

To provide headquarters and other authorized users with the necessary hardware, software, telecommunications facilities and support capacity to access and use electronic mail, electronic mailing lists, Internet and WorldWideWeb resources in order to facilitate communication and exchange with IUCN members, offices and others.

Note that telephone or fax services are provided by the Administration Unit at HQ.

### SERVICE CONCEPT

Electronic communications services have become an essential feature of office life and will increasingly dictate the ways in which people work and the ways information is organized and distributed. Recognizing this fact, IUCN has made a concerted effort to various forms of electronic communication, raise awareness of its importance and utility and build capacity to use it. At headquarters, services are provided to users through a dedicated leased telecommunications line connected to the LAN as described below. In addition and given the newness of this technology, IMG offers more support and training than for better established application software.

### ELECTRONIC MAIL (EMAIL)

Email is a form of communication that can be readily drafted, and be readily transmitted over the Internet or other networks at low cost. Email has two drawbacks: reliability and security. Owing to differing technology and protocols, there is a chance that email to some destinations might not be received. If in doubt, request addressees to send confirmations. Concerning security, email, like paper mail, may be intercepted and/or forged and no confidential data or information should be sent by email. In most countries, email will not be accepted as a legally binding document and should not be used for contractual or financial agreements.

- 1. Allocation of email post boxes and addresses.** All full and part-time staff are assigned email post boxes and Internet email addresses which are based on the three letter login provided by Human Resources Management Division (e.g. [xxx@hq.iucn.org](mailto:xxx@hq.iucn.org)). Staff may also elect to use the alias: [firstname.lastname@hq.iucn.org](mailto:firstname.lastname@hq.iucn.org). Others working at IUCN for more than 28 days are entitled to an email post box and address upon confirmation of HRMD. A cost centre may decide to provide an email account to a volunteer, intern, etc. working less than 28 days upon payment of a connection charge of 200 CHF.

Programmes, Commissions, Offices or Units may request a generic email address to be used to direct public inquiries, etc. To establish such an email address, the requesting unit must provide a name or acronym and identify a person to whom all incoming messages will be sent. Examples include: [library@iucn.org](mailto:library@iucn.org); [Canada@iucn.org](mailto:Canada@iucn.org); [CEC@iucn.org](mailto:CEC@iucn.org).

- 2. Email forwarding following departure.** IMG will forward all incoming email for a period of six months after departure from the HQ to any specified email address.

Staff and others should inform their correspondents of their departure and unsubscribe from all mailing lists at least 14 days prior to their departure.

- 3. Receiving email attachments and encoded documents.** Email may sometimes arrive with attachments containing formatted documents, spreadsheets, etc. Such documents may contain viruses (e.g. "Word Macro Virus") and should be opened with care. Email may also contain documents that have been encoded for transmission. Such documents are normally decoded automatically by server software but if not, contact IMG for assistance.
- 4. Sending email attachments.** Not all email systems can accept large attached files nor do recipients necessarily have the necessary application software to open and read them. *Before sending attached files, it is the responsibility of the sender to confirm that the recipient's email system will accept attachments and that the necessary application software is available to read the file.* If in any doubt, send documents in text (ASCII) format in the body of the message. When sending many documents as attachments, it is best

to send one per message. For offices that pay telephone connection charges or volume rates for email or both, the cost of receiving a large attached file can be significant.

5. **Archiving email and personal address books.** The email system does not archive or back up email messages stored in folders or the addresses contained in personal address books. Important messages needed as an official record should be printed and filed in hard copy files. A back up of the email messages and Personal Address Book (mailbox.pab) should be made regularly on diskettes using the Back Up feature in Windows95 or by copying these files to diskettes (i.e. mailbox.pab, mailbox.pst). IMG can assist any staff member who wishes to make such a backup.
6. **IUCN Global Email List.** The IMG publishes a list of all IUCN Councillor's and staff member's email address for use by all offices.
7. **Use of email mailing lists "listservs".** Email listservs are a useful tool to broadcast to or to interact with many other persons having email addresses. These listservs allow participants to send a message to many recipients by entering only one email address. Email messages sent to listserv addresses are then automatically re-transmitted to all the recipients on the list. In addition, those on the list can reply to all the recipients. Email listservs are an ideal means of encouraging exchange and discussion and are highly suitable for facilitating the work of committees and task forces. IMG can assist any IUCN Office to establish email listservs at no charge.
8. **Access to Internet and the WorldWideWeb and related security issues.** IMG provides all PCs on the IUCN LAN with Internet connectivity in order that staff and others working with IUCN have contact with and access to professional and academic sources around the world. As part of this service, IMG maintains a security system (e.g. firewall) to prevent unauthorized access "hacking" to the IUCN networks or servers through the Internet.
9. **Access to the Intranet Knowledge Network.** IMG issues the logins-passwords that will allow all IUCN staff, Commission Chairs and their designated staff to access the internal Knowledge Networks databases. All entitled individuals must complete and sign a TERMS OF SERVICE AGREEMENT before being given access. See Section 2.7 for information on training and Annex 4 for Terms of Service Agreement.
10. **Publishing on the WorldWideWeb.** Communications Division manages the content that appears on the public IUCN WWW site at: <http://iucn.org>. IMG manages the technical aspects of the public site and an internal, password protected IUCN Intranet Site at: <http://indaba.iucn.org>. The IUCN WWW site is designed to be a resource to which all IUCN offices and Commissions both have access to and contribute information. To support this effort, IMG provides the following technical services:
  - Development of a strategy for the development of the IUCN WorldWideWeb Site in consultation with Communications Policy Group
  - Registration and maintenance of domain name(s) ("iucn.org")
  - Technical coordination with Internet Access Provider (PsiNet/IPROLINK, SA, Geneva)
  - Set-up and maintenance of internal WWW server(s), including hardware, software, etc.
  - Organization and management of files
  - Up-loading, up-dating or removal of out-dated files, including minor corrections to data
  - Coordination of WWW development with those providing information as well as those acting as data custodians for databases
  - Verification that links have been correctly implemented and that needed changes are reported to IMG.
  - Maintenance of backup for all systems and data
  - Maintenance of needed security software/hardware to protect IUCN systems and files
  - Technical advice on requirements for document formats, audio-visual facilities, etc.
  - Costs covered for normal, costs shared for special.
  - [*Special services provided through 12/97*] Owing to the necessity of finalizing the site prior to the World Conservation Congress and assisting units to make the transition to electronic media, IMG provides up to 20 hours support to each cost centre to design, layout and edit information for the WWW. In addition, supplementary hours may be contracted on an hourly basis. With the reestablishment of the Communications Division, it is planned that they will provide needed support for design, layout and editing.

- 10. Training to access and search on the WorldWideWeb.** IMG organizes training sessions 2-3 times per year on how to access the WWW using commonly available software “browsers” such as Netscape. Training sessions cover basic features of the software and searching the Internet for resources.
- 11. Training to prepare and edit information in HyperText Markup Language (HTML).** IMG organizes training sessions 2-3 times per year on the creation and editing of HTML pages using software such as Netscape Gold. Training sessions cover structure of a WWW site and elements of a page, creation and management of files, introduction to Web editor software and creation of documents with text, graphics and links. Advanced training covers site management, remote file administration via File Transfer Protocol (FTP), and development and use of icons, graphics, and other Web presentation techniques.
- 12. Training to access, use and enter data on the IUCN Intranet Knowledge Network.** IMG provides support for all Intranet applications. HQ and RCO staff may request assistance in obtaining logins- passwords, understanding how the KN works and how to obtain information. In addition, it provides training and guidance to all authorized data custodians. For more information contact the Information Support Officer, IMG.
- 13. Accessing the IUCN HQ from abroad or from home.** Laptops and personal PCs at home equipped with Microsoft Exchange Facility can connect to the IUCN LAN to send and receive email. Care must be taken to observe copyright laws and to guard against viruses in transferring mail between one computer and another.
- 14. Improper and unacceptable use of the electronic communications.** IUCN provides electronic communications services for professional purposes and to further the mission of IUCN. The use of these services for personal reasons should be kept to a minimum. The use of email, email mailing lists, FTP or the WorldWideWeb to access or transmit sexually-explicit material; engage in personal commerce or advertising; undertake political lobbying; engage in illegal acts or extortion; send information which is contrary to or not in the best interest of IUCN, or abuse copyright laws is unacceptable and, in some cases illegal, and may lead to disciplinary action or prosecution.
- 15. Hacking.** "Hacking" is defined as gaining, or attempting to gain, unauthorized access to and use of the resources of a computer system whether through damage or destruction of data or programmes, or through the disruption of operational practices. IMG will take all steps possible to prevent hacking and any staff member or other person found to have attempted to hack into the IUCN HQ LAN, will be subject to disciplinary action, if not prosecution.

*It is illegal for any person to use an IUCN-owned, rented or leased PC, local area network, modem, router, telephone or leased line to hack into a remote computer or any network of another organization, a business enterprise or government body. Such persons will be subject to prosecution under the law of the country concerned.*

## **5. Electronic Communications Services to Councillors, Commission Offices, Regional and Country Offices**

### **OBJECTIVE**

To assist IUCN Councillors, Commissions and RCOs to understand, access and use electronic communications technology.

### **SERVICE CONCEPT**

Electronic communications technology is and will increasingly be the “glue” that holds the Union together. Email, mailing lists, WWW as well as emerging technologies such as audio-video “streaming” and video conferencing offer unparalleled opportunities for exchange and inter-action over an intranet and often, at costs significantly below those of traditional telecommunications and television.

In 1992 when IUCN introduced electronic communications, the IMG adopted a centralized model in which the IUCN HQ acted as the hub of a larger network. With the advance of technology, however, it has been increasingly possible to move to local “Internet Service Providers” (ISP) to send and receive email or access the WWW made. This decentralized approach provides RCOs and others with greater flexibility as well as immediate local access to support for set-up and maintenance and training. IMG complements the support that can be obtained locally by providing advice in selecting an ISP; assisting offices to connect to IUCN HQ and other IUCN offices and members; providing each Commission and RCO with page(s) on the IUCN WorldWideWeb site. Specifically, the services provided are:

- 1. Selection of hardware and software.** IMG provides advice on hardware and software requirements for electronic communications. This includes selection of PC, modems, options for telecommunications (e.g. telephone, ISDN, leased lines) as well as email server and/or client software and WWW browser software. If hardware or software is not available locally or if prices are unusually high, IMG can provide quotations on the purchase of hardware in Switzerland and will order and ship hardware to RCOs. Costs of hardware and shipping to be borne by requesting office.
- 2. Technical support for electronic communications.** IMG can provide guidance in the set-up and use of some software products, in particular, those needed to encode, decode, compress (zip) and decompress information.
- 3. Set-up and maintenance of electronic distribution lists (i.e. email listservs).** IMG provides the same services as described in section 4.6 under Electronic Communications Services to HQ.
- 4. RCO pages on the IUCN WorldWideWeb site.** IMG provides the same services as described in section 4.8 under Electronic Communications Services to HQ.
- 5. On-site electronic communications services.** IMG can provide on-site service to set-up and configure email, listserv or WWW services provided travel costs are borne by requesting office.

## 6. Information systems development services for IUCN worldwide

### OBJECTIVE

To assist IUCN Programmes, Commissions and Management Services to develop information systems and build capacity to maintain and use databases and related information management tools.

### SERVICE CONCEPT

As IUCN moves from the “print era” to the “digital era”, a critical element in the success of programmes, Commissions and management services will be their ability to collect, manage, access and disseminate data and information. Even more important, however, is the concept of “*groupware*”: a system that links the information resources over a *intranet* (i.e. a private Internet among IUCN offices and members) and extends access across the Union. Groupware by facilitating communication, coordination and collaboration leverages [IUCN’s] intellectual capital<sup>6</sup>.

Given the inter-sectoral and multi-disciplinary nature of conservation activities, many common or similar needs, and the necessity of extending benefits to staff, Commissions, RCOs, and members, groupware provides the ideal model for the “IUCN Knowledge Network” system. It should be noted that some needs, such as those for scientific and technical data, require a large system model and are being developed as inter-agency programmes, while other needs can be met through smaller-scale networking of databases.

- 1. Information need and viability analysis.** IMG undertakes analysis of user needs, reviews existing data and information sets, advises on human and computing resources needed to meet needs.
- 2. Systems analysis and database architecture development.** Based on options and resources available, development of database specifications and programming of databases using appropriate software. Most databases can be provided to RCOs without charge and/or are available using the Internet/WWW; costs of any special features, requested modifications will be borne by the requesting office.
- 3. Distributed data management.** The management of data for IUCN’s databases is being developed around a cooperative network of “data custodians”. Data custodians are those individuals or units best placed to maintain a designated category of data and information and provide quality control (e.g. Council Affairs Officer maintains data related to Councillors, IUCN-US maintains data related to US members, etc.). IMG will provide for capacity building and support to this distributed network.

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<sup>6</sup> 1997. Hills, Mellanie. *Intranet as Groupware*. New York : John Wiley.

## 7. Library, records management and archival services in IUCN

### OBJECTIVE

To provide global access to IUCN's "knowledge-bank" of publications, reports, documents, periodicals and records and to provide core library-support services to IUCN HQ and RCOs.

### SERVICE CONCEPT

As conservation's "professional society", IUCN staff need access to the Union's "knowledge-base". The primary focus of the IUCN Library is on providing access to what is the most comprehensive historical collection of IUCN published and un-published materials anywhere available. The second focus is providing a core set of general library services to HQ and RCOs. In achieving its objective, the Library works closely with the IUCN Publications Services Unit.

IMG maintains files deposited in the IUCN Archives at HQ, including the personal papers of Sir Hugh Elliot, Sir Peter Scott and the IUCN Plants Office, Kew.

1. **Maintenance of the IUCN collections.** The Library holds, whenever possible, *two copies* of each IUCN publications, periodical issue, document or report dating from 1948 to the present and in each language version produced by or under the auspices of IUCN, its headquarters, regional and country offices or Commissions, including co-published or commercially published titles. One copy is kept on display in the public Reading Room while the second copy is stored in a closed archive.
2. **Obligation of programmes, Commissions, regional, country, and out-posted offices to provide the IUCN Library with copies of publications, periodicals and reports.** All offices are required to provide the IUCN Library with 2 copies of every publication, issue of a periodical or newsletter, or major report. These publications and documents are catalogued and archived, and the bibliographic data made available on the Library's databases, in printed catalogues and on the World Conservation Bookstore on the Internet WWW.
3. **IUCN Depository Libraries among IUCN Members.** The Library in cooperation with the Publications Services Unit and RCOs, designates member organizations, having library management capacity, as IUCN Depository Libraries. These organizations are entitled to receive one copy of each IUCN publication in print as well as a copy of the IUCN Publications Database with annual updates. Criteria and procedures are outlined in Annex 2.
4. **Cataloguing of IUCN collections and database maintenance.** Each publication, periodical title and document is catalogued and its record entered onto the appropriate database. The catalogue records are prepared, to the extent possible, in accordance with international standards and using a classification and standardized keyword vocabulary.
5. **Access to IUCN bibliographic data.** Data from any of the IUCN collection databases can be searched in the:
  - Library Reading Room at HQ
  - Printed catalogue IUCN Publications 1948-1998 (every two years)
  - CD-ROM through NISC-Disc subscription
  - Databases provided to IUCN Member Depository Libraries
  - Internet WWW *World Conservation Bookstore*, a joint reference, sales and document delivery service for all IUCN publications in-print and out-of-print by the Library and Publications Services Unit
6. **Access to IUCN collections and document delivery.** Any catalogued item may be:
  - Consulted in the Library Reading Room at HQ
  - Taken on loan by authorized users
  - Sent on inter-library loan to Geneva-Area Libraries
  - Consulted at a Depository Library
  - Photocopied in part or whole for out of print titles (costs charged to requester)
  - Ordered through IUCN PSU for in print titles

- 7. Advice to Programmes, RCOs and members on library policy, standards, databases, organization and management.** The Library staff is available to answer questions regarding library organization and management. This service is available to HQ, RCO and Out-Posted Offices upon request.
- 8. Metadata standards and authority tools.** The Library supports the development of the IUCN Intranet Knowledge Network through the development of standards for metadata and compilation of appropriate guidelines.
- 9. On-site library support upon request.** If requested, the Library staff can travel to any location to provide guidance, support or training. Travel costs charged to requesting office.
- 10. Allocation of International Standard Serial Numbers (ISSNs).** The Library can request a unique ISSN for any periodical issued by IUCN or under its auspices. ISSNs are only assigned if periodical has appeared in, at least, 8 issues and there is a likelihood that it will continue. Please note that International Standard Book Numbers (ISBNs) are issued by the Publications Services Unit.
- 11. General reference and current awareness services.** The Library can assist users (by personal visit, telephone, email or fax) to search any of the Library's databases; to locate factual information in the Library's extensive reference collection of directories, dictionaries, etc.; or to give guidance on the organization and location of specific materials. For RCOs and Out-Posted Offices, the Library will prepare photocopies of articles or chapters from books upon request. Costs of large photocopy requests will be charged to the requesting office. The Library prepares a monthly email acquisitions bulletin called "New Arrivals" covering new IUCN and general books and periodical titles.
- 12. Maintenance of "Van Tienhoven Book Collection", periodicals, country and special collections.** The Library maintains the historical collections of the Office international pour la protection de la nature (1928-1955) and WWF (1960-1991) as well as the books and periodicals owned by IUCN (1948-present). These are combined in the "van Tienhoven Book Collection" which totals about 30,000 volumes. Special collections: INTERAISE Country Environmental Report Collection; Forest Programme Documentation and International Organizations Documentation.
- 13. Access to Van Tienhoven bibliographic data.** Data from the book and periodical collections may be searched on the Conservation Information Service (CIS) databases in the:
  - Library Reading Room at HQ
  - Searches for RCOs
  - New Arrivals Bulletin
- 14. Access to Van Tienhoven collections and document delivery.** Any catalogued item may be:
  - Consulted in the Library Reading Room at HQ
  - Taken on loan by authorized users
  - Sent on inter-library loan to Geneva-Area Libraries
  - Photocopied in part or whole for out of print titles (costs charged to requester)
- 15. IUCN/WWF Reciprocal Library Agreement.** In 1992, IUCN and WWF International agreed that WWF staff may use the IUCN Library on the same basis as IUCN staff and that in exchange IUCN staff will have equivalent access to the WWF Photolibrary.
- 16. Input Centre for IUCN and Ramsar titles to the Aquatic Sciences and Fisheries Abstracts (ASFA) of FAO/UN/IOC/UNEP.** IUCN is an official input centre to ASFA and routinely indexes and abstracts all IUCN and Ramsar titles related to marine or freshwater ecosystems. The IUCN Librarian serves on the ASFA Advisory Board.
- 17. Records management.** The Information Management Group provides advice and guidance on the management of hard copy and electronic storage of records and documents. For hard copy storage, the IMG maintains an Archive on the lower-floor of the HQ for which archiving guidelines are available in Section 11 of the IUCN Manual. Electronic storage of data on high capacity disks (zip drives) at HQ may be made upon request to IMG. A database finding aid for the period 1960-1992 is available; no subsequent updates have been made. All policy, guidelines and survey documents appear in Annex 5.



## Annex 1

# Information Technology Standards (ver. 23 November 1998)

The "IT" standards described below have been adopted at IUCN Headquarters in order to facilitate cost-effective production, management, access and exchange of data and information throughout the IUCN-The World Conservation Union. Given the rapid development of new information and communications technology, the standards are subject to change. For more information contact: Information Management Group, IUCN HQ.

- 1. Definition of Information Technology.** IT is taken to include: personal computers (PCs), laptops, servers, cabling, connectors, hubs and routers, printers, scanners, modems, routers, remote access services, as well as software, etc.
- 2. Desktop or Personal Computer Hardware**
  - (a) "IBM compatible" PC
  - (b) Intel or compatible Pentium chip (350 MHz or faster)
  - (c) 64 MB RAM recommended
  - (d) 4 MB Video RAM
  - (e) 4 GB Hard Disk or larger
  - (f) 15" SVGA LCD monitor, 17" SVGA CRT colour monitor; 21" for Desk Top Publishing or GIS.  
*600x800 monitor screen resolution (for optimum Knowledge Network use)*
  - (g) 3½ diskette drive
  - (h) Mouse with mat
  - (i) 1 serial port; 2 desirable
  - (j) 1 parallel port
  - (k) 1 PS/2 six pin mouse port desirable
  - (l) CD-ROM (24x minimum speed) drive (*at least one PC per office should be equipped with a CD-ROM drive*)
  - (m) *Optional:* Soundblaster card and speakers (one PC per office)
  - (n) Swiss-French keyboard (HQ only)
  - (o) Ethernet card 10/100 MB/s full duplex (10BaseT/RJ45 connectors) (Network Local Area Networks only)
- 3. Portable "Laptop" Computers, and Hand-Held Computers** (item (m) below)
  - (a) "IBM compatible" laptop with universal power adapter (Input 110-240v, 50-60Hz)
  - (b) Intel or compatible Pentium chip (233 MHz or faster)
  - (c) 64 MB RAM recommended for complex information processing
  - (d) 2.1 GB Hard Disk or larger
  - (e) Active matrix colour screen
  - (f) 3½ diskette drive
  - (g) 1 serial port
  - (h) 1 parallel port
  - (i) 1 PCMCIA slot for modem equipped with PCMCIA modem (28.8 baud or faster)
  - (j) 1 PCMCIA slot for network card (if required)
  - (k) *Optional:* CD-ROM drive, soundblaster card, speakers
  - (l) Swiss-French keyboard (HQ only)
  - (m) **Hand-Held Computers:** not yet finalized as of 5 December 1999. May include Windows CE with pocket Word, Excel, Powerpoint and Outlook. Must have modem for email and possibly infra-red connection for printer and computer projector
- 4. Server Hardware (for use with more than 10 users, consult IMG)**
  - (a) Intel or compatible Pentium or Alpha chip (350 MHz or faster)
  - (b) 256 MB RAM minimum; more for high volume or complex information processing
  - (c) 6 GB Hard Disk or larger

- (d) SCSI controller
- (e) 2 serial ports
- (f) 1 parallel port
- (g) 1 PS/2 six pin mouse port desirable
- (h) 15" SVGA colour monitor;
- (i) 3½ diskette drive
- (j) CD-ROM drive (12x minimum speed)
- (k) Mouse with mat
- (l) Tape back-up system
- (m) Keyboard
- (n) Ethernet card 100 MB/s full duplex (10BaseT/RJ45 connectors) (Network Local Area Networks only)
- (o) Uninterrupted power supply (15 minutes)

**5. Operating software for desktop PCs**

Microsoft Windows95, eventually migrating to NT workstation. Windows98 is not recommended.

**6. Anti-virus software for desktop PCs**

Dr. Solomon's Anti-Virus software by Network Associates SA is recommended. Email: [support@de.drsolemon.com](mailto:support@de.drsolemon.com), <http://www.drsolemon.de>, <http://www.nai.com>.

**7. Office application software**

Microsoft Office97 (Word, Excel, Powerpoint, Schedule+) or Microsoft Office Professional (Word, Excel, Powerpoint, Schedule+, Access) IUCN holds a global Multiple Volume License Plan (MVLP) for MS Office software in any version or language and can upgrade licenses to MS Office Professional. Upgrade recommended to Office2000 International Version (2<sup>nd</sup> quarter 1999). Purchase of upgrades or new licenses through Information Technology Assistant, IMG.

**8. Server software**

Microsoft Windows NT (4.0 or higher). Migration to NT5 recommended.

**9. Specialized and non-standard software**

IMG can advise on and assist in the ordering of specialized software needed for specific applications, however, the costs of such software will be borne by the office concerned. No person should install any software (e.g. commercial, public domain, "freeware" or "shareware") on any IUCN-owned server, PC or laptop without the agreement of the IMG (HQ) or IT Focal Point (RCOs). Only after it is determined that such software will provide a needed service, is free of viruses, will not damage standard software and that any obligation associated with the software (e.g. license, payment for shareware, etc.) has been met, should such software be loaded. Games may not be stored on IUCN-owned equipment unless part of IUCN activities or for educational purposes. Staff are liable for any damage caused through the installation of unauthorized software or connection of non-standard hardware.

**10. Electronic communications standards.**

- (a) Internet TCP/IP, Netbeui, IPX
- (b) Simple Mail Transfer Protocol (SMTP) for electronic mail (e-mail)
- (c) Hyper Text Markup Language (HTML) (World Wide Web) Adobe Page Mill 3.0 editor software recommended.

**11. Domain names.** IUCN maintains the following Internet domain names:

- (a) IUCN.ORG
- (b) UICN.ORG
- (c) WCU.ORG
- (d) RAMSAR.ORG (held by Ramsar Convention Secretariat)
- (e) BIODIVERSITY.ORG (Biodiversity Conservation Information System)
- (f) Recommended domain name formats for RCOs:
  - Office.iucn.org (e.g. books.iucn.org) or
  - office-countrycode.org (e.g. iucnus.org) or
  - iucn.countrycode (e.g. iucn.ca)

**12. Printers.** No specific standards have been developed for printers. In general, offices should look to acquire either: “ink-jet printers” for low volume or colour printing or “laser” printers for high volume. Dot matrix printers are not recommended unless require for a specific applications (e.g. print out of financial reports, etc.).

## Annex 2

# IUCN Depository Libraries

## Background

For nearly 50 years IUCN has been a source for information on the status, conservation and management of the Earth's living natural resources. To disseminate this information, IUCN has used the medium of books, periodicals and reports. These publications have been and are still distributed or sold to IUCN's global constituency. However, given increasing interest in the environment and corresponding growth in IUCN's programmes and geographic scope, the traditional distribution mechanisms can not reach all who want access to IUCN's information. This is particularly true in developing countries where difficulties in obtaining foreign exchange, high communication costs and unreliable postal services make it difficult to obtain needed information.

## Objective

To address this problem, the IUCN Library and Publications Services Unit (Cambridge) established *IUCN Depository Libraries*. Similar to the United Nations Depository Libraries where each member State selects one library to be the recipient of all the documents of the UN, so in IUCN, selected IUCN members or partners may receive a copy of each IUCN publication and a fully searchable database to help speed access to specific publications. Coordinated by the IUCN Library, a network of DLs is being formed.

These libraries are charged with four tasks:

- (1) making this information available to the local/regional community,
- (2) responding to specific requests referred to it by other network libraries or IUCN regional or country offices,
- (3) identification and acquisition of publications produced in the country/region for the IUCN HQ,
- (4) provide an annual report on the status and use of IUCN publications.

The creation of the DL Network helps:

- ensure equitable and faster access to IUCN's information
- improve communication between IUCN offices, members and the conservation community
- reduce duplication of materials and services
- encourage resource sharing and capacity building among libraries
- build a solid information management, exchange and dissemination infrastructure
- access and link to other IUCN information networks and programmes e.g. SDN
- expand use of electronic communication by channelling requests

## Scope

An IUCN Depository Library is comprised of 4 elements; 2 supplied by the Publications Services Unit, 1 by the IUCN Library and 1 by the receiving organization.

From HQ:

- **a collection of IUCN publications, periodicals and principal reports.** The exact composition of each collection will be determined in consultation with the receiving organization.
- **one copy of each new publication as issued**
- **a copy of the IUCN Publications Database on the Micro CDS/ISIS software, plus annual updates**

From the receiving organization:

- **to provide the IUCN Library with important publications, reports, etc. issued at the national/regional level and providing an annual report on the status and use of IUCN publications**

## Criteria

- must be an IUCN member, National Committee or other non-profit organization having significant links to IUCN e.g. WWF, UNEP, IIED, etc.
- must have capacity to manage the collection
- must have capacity to respond to queries and disseminate information
- must have capacity to participate in the DL Network e.g. keep statistics on use, prepare reports, participate in evaluations, participate in building/maintaining the network
- must be able to participate in network activities in English, French or Spanish
- should have a PC and have a knowledge of Micro CDS/ISIS

## Implementation

The DL Network is co-ordinated by the IUCN Library in co-operation with Publications Services Unit with financing provided from the Publications Distribution Fund (PDF). The long term goal of the IUCN Depository Library Programme is to establish one DL in each country in which IUCN has a member. It is intended that organizations in Asia, Africa, Eastern Europe, Latin America, Western Asia and Oceania will be the primary recipients. North American and Western European institutions may also be considered but it may not be possible to subsidize all the costs involved.

The Library using the criteria above will make evaluation of candidate organizations in consultation with the Regional and Country Offices on an annual basis. Once approved, the organization will be approached to confirm their interest, provide an assessment of their current IUCN holdings and confirm which additional publications they require. Publications Services Unit will provide them with the publications requested and will place them on their distribution list for new publications. The Library will prepare a copy of the IUCN Publications database and add them to the list of organizations to receive updates. Where necessary, travel may be considered if advice on the collection and its organization or support/training for the use of the software is required.

It is intended that 2-3 DLs will be established each year. Depending on needs and capacity, it may be possible to share/exchange other databases (e.g. IUCN Reports Database) or even develop integrated information systems.

## Members receiving libraries in 1994

- **Centro Agronomico Tropical de Investigación y Enseñanza (CATIE), Turrialba, Costa Rica**
- **Development Alternatives, New Delhi, India**
- **Eco-centre (Comité français de l'UICN), La Chaussée Saint Victor, France**
- **Instituto Mexicano de Recursos Naturales Renovables, Mexico City**
- **South Pacific Regional Environment Programme (SPREP), Apia, Western Samoa**

## Members receiving libraries in 1995

- **Australian Committee for IUCN, Sydney, Australia**
- **National Environment Agency, Ministry of Science, Technology and Environment, Hanoi, Vietnam**

## Members receiving libraries in 1996

- **Comité Colombiano de la UICN/Fondo FEN, Bogotá, Colombia**
- **La Universidad de El Salvador, San Salvador (implemented in 1998)**
- **Jamaica Conservation and Development Trust, Kingston, Jamaica**
- **National Commission for Wildlife Conservation and Development, Riyadh, Saudi Arabia**

## Members receiving libraries in 1997

No libraries were selected in 1997.

## Members receiving libraries in 1998

No libraries were selected in 1998.

## Annex 3

# Information Management Policy Papers

(texts not included in electronic version)

- Grose, Kevin. (1995) Leveraging the Union's information resources : a plan for the management and use of information and communications technology with IUCN. [in-house report] pp.17.
- Halle, Mark. (1995) IUCN – a knowledge-based organization. Memo to Director-General dated 23 January 1995, pp.9.
- Grose, Kevin. (1996) Union-Link : the IUCN Internet presence. [in-house report] pp.9.
- Temm, Chip. (1998) The IUCN Knowledge Management Network : toward an integrated approach. [in-house report], pp.4.
- Grose, Kevin. (1998) IUCN Knowledge Network information sheet and information access matrix, pp.3.

## Annex 4

# Terms of Service Agreement

### Terms of Service: Internet-based access to IUCN information

Given the development of international agreements and national legislation protecting intellectual property and personal privacy (e.g., European Union), IUCN is obliged to take the necessary precautions to protect the organization and its staff from possible legal action. Therefore, you should be aware that provision of contact information to individuals not employed by IUCN may be illegal in some countries and that this service is not endorsed by IUCN.

I understand that internet-based access to IUCN information is granted to me through my login/password combination. I may not provide access to any other individual (including my supervisor) by sharing this information. Providing access to other individuals with my login/password combination is a violation of this agreement and may be referred to the Director General for disciplinary action. Accordingly, I will be held responsible for any damages resulting from the provision of my login/password combination to another individual.

This conforms with section 1.5.6 ("Unauthorized disclosure of information") of the IUCN Staff Rules promulgated in July 1996 which states:

Staff members shall exercise the utmost discretion internally and externally in regard to all matters of business. Confidential information that is known to them because of their position in IUCN shall not be communicated outside the normal requirements of their post to any third party without the prior authorization of the head of the duty station who shall also provide instructions for the specific use to be made of such information. Staff members shall at no time, including at the end of service with IUCN, use such information to personal or third party advantage.

All data and information in the IUCN internet-based Knowledge Network information system, whether viewed on screen, downloaded and stored on disks, or printed remain the exclusive property of IUCN - The World Conservation Union. Furthermore, the use for commercial purposes of information produced by the IUCN Knowledge Network is expressly prohibited without prior written consent from the Director General of IUCN - The World Conservation Union (or his/her authorized delegate).

I fully understand these Terms of Service and agree to them.

\_\_\_\_\_  
Signed

Print name in block capitals

\_\_\_\_\_

\_\_\_\_\_  
Date

Email address

\_\_\_\_\_  
IUCN Unit / Country

FAX TO: IUCN Information Management Group at number: +41 22 999-0010

## Annex 5

# **IUCN Records Management Policies, Guidelines and Survey**

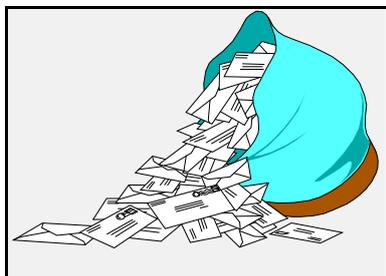
- Introduction to Records Management (1992)
- IUCN Records Management Guidelines (1993) (*included in electronic version*)
- IUCN Archiving Manual (1994)<sup>7</sup> (*included in electronic version*)
- Terms of Reference for Electronic Filing and Archiving (1992, requires updating)
- A Records Management Survey of IUCN (1992)

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<sup>7</sup> Following reductions in staffing in 1995, records management activities ceased.

# IUCN Records Management Guidelines

Rev. 3 September 1993



A record is any form of recorded information created in an office and includes: letters, memoranda, reports, fax messages, telexes, cables, E-mail messages and computer-based documents.

Each staff member is responsible for creating and maintaining those records needed to conduct the work of the organization.

Records must be maintained in order to:

- ensure efficient management and continuity;
- fulfil fiscal and legal obligations;
- provide an historical record of IUCN's work.

That said, records are costly to create, despatch, store and retrieve and the guidelines which follow are designed to help improve communication while keeping costs to a minimum.

## Creating records

1. Choose the least expensive type of record that is appropriate for the purpose intended<sup>8</sup>. Be aware of the total cost of each type i.e. drafting, typing, supplies, postage, etc!
2. Use the standard formats for letters, memoranda, faxes prescribed in the *Standard Layout of Typewritten Documents*<sup>9</sup> and make sure that pages are numbered. Use **form letters** or merge-type word processing documents for routine communications.
3. Use file references. If your office has a file scheme, adopt the habit of quoting file references on your records and always quote project numbers on project-related records. In word processing, as well, create standard codes that help group your documents in "electronic files"<sup>10</sup>. A copy of your file scheme or list should be given to the IUCN Librarian.
4. Send information copies only to those who **must** receive them.
  - Always mark information copies so that they can be clearly identified and subsequently weeded e.g. make a tick mark next to the name or use a highlighting pencil.

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<sup>8</sup> See Box 2 for definitions of record types.

<sup>9</sup> Available from Sue Robertson, Office of the ADG/Management.

<sup>10</sup> MIS Unit is investigating software options for "filing" computer-based records.

5. Cite full names in correspondence in order that there be no confusion as to the author or addressee<sup>11</sup>. When in doubt, check the name in Who's where at IUCN.
6. In responding to letters received from the public, hand-write or type your reply on the original letter and return it with any attachments. Do not prepare a letter unless the request requires a substantive/technical reply.

### **Filing of Records**

7. All files are the property of IUCN and, with the exception of confidential files, must be made available to any IUCN staff member who requests to see them.
8. Files should be maintained at the unit level and each unit should designate one staff member as focal point for coordinating filing. Avoid duplicating files within a unit. Units which work closely with or share work responsibilities with other units should merge relevant files or series of files.
9. If you use file references or have a file scheme; organize files accordingly. If you do not, try to group files according to the categories listed below:

#### **1 Categories of files**

1. **Organizations** and arranged alphabetically by name of organization
2. **Countries** and arranged alphabetically by name of country
3. **Projects** and arranged numerically by number of project
4. **Subjects** and arranged alphabetically by name of subject

Other categories of files such as chronological, briefing and working files are NOT considered official files and are not included in the archives. They should be destroyed by the office concerned when they are considered to be no longer useful.

10. Do not automatically file everything that is received. Ask yourself the following before filing a record:

- does it contain information on a matter of substance? e.g. policy, programmes, projects, finance, personnel

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<sup>11</sup> For example, TO: J. Sayer, not just Jeff. On internal notes and for routing purposes, it is permissible to use the official initialism given by Personnel e.g. JAS, JOB, etc.

- will I need to refer to it again? e.g. budgets, instructions, procedures, administration, procurement
- does it have historical or institutional value? e.g. agreements, minutes of meetings, resolutions, reports, organizational structure and work assignments/responsibilities
- is it likely that the originating office will **not** keep a copy on file?

If the answer is yes, KEEP it! If the answer is no, DISCARD it!<sup>12</sup>

Examples of records which can usually be discarded include: copies of originals already on file; information copies; drafts and working papers; routine queries and correspondence that require no follow-up. In addition, other records of temporary use may be held in "working" files and then discarded when no longer required.

**11. Do not file books, periodicals, publications, substantive reports, documents or other printed matter** unless they are essential for reference purposes or are, for other reasons, considered integral to the file e.g. a project report. Substantive material should be sent to the Library or be retained separately as a part of office documentation.

- Storage, sales and distribution of IUCN publications should be coordinated with the Communications Division to avoid duplication.
- Storage of bulk copies of IUCN reports and other non-sales documentation should be coordinated with Administration Division.

12. Files should be maintained in one of the two formats: Hardback "arch and lever" or Suspension "hanging" files.

13. Records older than 3 years should be transferred to the Archive or be discarded.

### **Preparing records for the Archives**

14. The **IUCN Archive** is operational and is equipped with adequate shelving and security. This facility provides a repository for IUCN's records which are non-active (pending eventual disposal) or of permanent historical interest. It does not include Personnel or Financial records for which separate arrangements have been made.

15. The records that are included in the IUCN Archive are listed in Box 3. Note, however, that all files must be weeded of unnecessary, superseded records prior to their transfer to the archive.

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<sup>12</sup> Any record which contains sensitive information (e.g. c-v's, draft budgets or contracts, descriptions of negotiations) should be torn or shredded before discarding.

16. It is suggested that each unit allot at least 8-12 hours per year to weeding files.

17. This Guide provides guidance on how to prepare files for transfer to the Archive. It also includes the official IUCN Archive File Retention Schedule.

Rev. 3 September 1993

## 2 Types of records

- a **letter** is the classical form of communication with individuals, institutions and Governments outside the secretariat. It may be formal or informal in style, is legally-binding and is always appropriate.

- a **fax** message is fast, efficient, permits the transmission of textual and graphic images, and represents a legally-binding "hard copy". Further, the original copy serves as the file copy. Its use is limited by the lack of confidentiality as well as lack of service to some parts of the world. Fax messages are often cheaper to create and despatch than letters.

- an **E-mail** message is fast and inexpensive and is ideal for routine questions, requests, clarifications and dissemination of information. It allows one to store the record electronically or print if needed. Generally, E-mail messages are not considered legally-binding and use is restricted to specific networks.

- **telex** and **cable** are used only when other means are not available.

- the **memorandum**, like the letter, is the classical form of inter-office communication. It should be used to record facts, decisions, policies, or opinions within the secretariat. A memo is also an acceptable form for an internal report. It may be formal or informal in style and is legally-binding.

"Non-records" i.e. forms of communication which are not recorded or are not permanent

- a **telephone** call is usually the fastest form of office communication and has the advantage that it requires no typing or filing. However, its use is limited by the lack of any record of what was said/agreed and, in some cases, the cost.

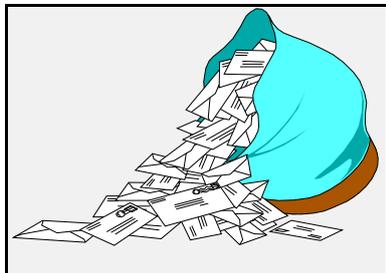
- a **note, routing slip, post-it note, compliments slip or hand-written comments on an information copy** are not considered to be permanent and should only be used to convey information of immediate value.

### 3 List of records suitable for the archives

- Records of meetings of IUCN's Governing Bodies and other official background documentation
- Records describing IUCN's relationship and activities with members, organizations, Governments and, in some cases, individuals.
- Records describing project activities. (Some of the general or administrative material may be discarded after 10 years leaving a core file containing: the original project document and amendments, progress reports, final report, evaluation report and a closing financial statement).
- Records containing correspondence on subjects or countries. In particular, care must be taken to ensure the retention of correspondence with institutions and Governments as well as reports of fact-finding and other missions prepared by IUCN or on its behalf.
- Records on internal coordination, programming, meetings, budget, structure, functions, decisions. As this is an area where there is likely to be duplication, only the originating office (or the office having primary responsibility) would archive such records. Offices who were consulted, participated, or were informed would discard their "duplicate" records. (For example, at the conclusion of the Strategic Planning Exercise only the records of the Governance Unit would be transferred to the archives as they were responsible for it. All other staff files on the Exercise would be discarded after 3 years.)
- Final copies of manuscripts are retained for reprinting purposes (Drafts of manuscripts should be destroyed by the creating office 2 years after the work in published).

# IUCN Archiving Manual

Rev. 3 February 1994



The IUCN Archive is a repository for the records which describe the structure, functions, policies, programmes, projects and other activities of the Union. The Archive does not contain Personnel or Financial records as these are handled separately. Each office in IUCN may "retire" its files to the Archive providing that they follow the approved guidelines and procedures. The Archive will not be manned on a continuous basis. The cooperation of staff in limiting use of the facility as well as being careful with archive materials is essential.

The instructions contained in this Manual, are a first attempt to set in place a mechanism for organizing an official IUCN Archive. With use, it will become clearer how best to arrange and operate the Archive and staff comments and suggestions are welcomed.

1. Establish a time(s) each year for reviewing, weeding and archiving of records within your unit. It is recommended that the primary review take place in June of each year.
2. Review the files according to the Retention Schedule (see Annex 1) and determine which files are *archivable* and which are *not archivable*. Discard old non-archivable records (or series of files).
3. For archivable records, weed the files of duplicate copies, non-essential documentation and other unnecessary or superseded records according to the Records Management Guidelines.
4. If you are using Hardback (arch and lever) files, remove records from the file and place in a paper or plastic folder. Note the file code, name and dates of file on the folder!
5. Place the folder(s) in a Archive Box (available from Administration). Always fill the boxes to capacity - do not send half empty boxes to the Archive.
6. Complete the Archive Box label as described in Box 1

RALLO
2.3
R/1/4/24
Kenya
1991-1992

4 Sample Archive Box Label

First, write your surname (or surname of the staff member responsible for your unit's files) in the upper-right hand corner of the label

*For example, RALLO*

Second, identify your unit on the Archive Classification Scheme (see Annex 2) and write the corresponding number on the label.

*For example, 2.3 for CNPPA*

Third, write your file reference or project number, if any.

*For example, R/1/4/24*

Fourth, write the name of the file

*For example, Kenya*

Fifth, write the beginning and ending dates of the records

*For example, 1991-1992*

7. Write the file code(s), name and dates of the file on the Archive File List (see Annex 3). Retain the original for your records and send a copy to the Librarian (for entry on the Archive Database). In the Archive, your files will be organized under your unit's archive number according to your file codes (see 3 above) or, if not used, alphabetically and/or chronologically. Contact the Concierge to move your archive boxes to the Archive.

## Annex 1

## IUCN Records Retention Schedule

Type of file	Years	Type of file	Years
Administrative, Financial and Personnel records/files are the responsibility of those divisions within the Management Directorate. These records are maintained by the respective units and do not form part of IUCN Archive.		and other technical reports	P
Similar records maintained in other units are, therefore, largely duplicates. These records should be retained no longer than 3 years and <u>MAY NOT</u> be sent to the Archives. Examples include: procurement, requisitions, budget, payments, leave requests, C-Vs, etc.		Subject and thematic	
		Briefing material, general correspondence	3
		Technical correspondence	P
		Organization/institutional	
		General information, correspondence	3
		Substantive discussions or negotiations	5
		Country	
		General information, correspondence	3
		Correspondence with Governments	P
		Technical profiles, appraisals, data	5
		Chronological files	
		With the exception of those of the DG, chronological files should not be retained longer than 3 years. They MAY NOT be sent to Archive	
		Draft manuscripts, documents and reports should be discarded after final version is approved/issued.	
		Original manuscripts for publications are retained permanently by Communications Division	
		As a rule, all non-essential documentation, publications, brochures should be removed from files before archiving.	
<u>P = permanent</u>			
Policy and Planning			
Annual reports	P		
Contracts	P		
General correspondence	5		
Approved budgets	5		
Policy statements, directives	P		
Organization charts	P		
Reviews/evaluations	P		
Director General's records [and/or staff acting on his/her behalf]			
Correspondence	P		
Chronological files of DG			
Retain for DG's term of office + 2 years			
Speeches	P		
Agreements, memoranda of understanding, terms of reference	P		
Programming and Projects			
Project proposals/ideas	10		
Project correspondence			
General administration	3		
Substantive (after closure of project)	5		
Project documents	P		
Project reports			
Administrative/progress	5		
Technical or final	P		
Project evaluations	P		
Programmatic reviews, evaluations,			

## **Annex 2**

## IUCN Archive Classification Scheme

<u>Section Number</u>	<u>Subject</u>
0.0	"Morges" Classification (R/ series files etc)
1.1	IUCN STRUCTURE
1.2	IUCN PROGRAMME
2.0	GENERAL ASSEMBLY
2.2	Council
2.3	Commission on National Parks and Protected Areas
2.4	Commission on Education and Communication
2.5	Species Survival Commission
2.6	Commission on Environmental Strategy and Planning
2.7	Commission on Environmental Law
2.8	Commission on Ecology
3.0	STAFF LIAISON COMMITTEE
4.0	DIRECTOR GENERAL'S OFFICE
4.3	Governance Unit
5.0	ADG MANAGEMENT
6.0	PERSONNEL (see Personnel Archive, Abri 2)
7.0	ADMINISTRATION
8.0	MANAGEMENT SERVICES
8.1	Contracts
8.2	Membership
8.4	MIS [EDP]
9.0	FINANCE (see Finance Archive, Abri 2)
10.0	COMMUNICATIONS
10.3	Publications (Drafts <2 years; final manuscripts P)
10.5	Bulletin
11.0	LIBRARY AND ARCHIVE
12.0	DEVELOPMENT/FUND-RAISING
13.0	ADG CONSERVATION PROGRAMMES
14.0	ECOLOGY
14.4	Wetlands
14.5	Forests
14.6	Marine and Coastal
14.7	Global Change
14.8	Plants Conservation (includes Plants Programme [ex-Kew])
15.0	PROTECTED AREAS
15.3	Protected Areas
15.4	Fourth World Parks Congress
15.5	Biodiversity
15.6	World Heritage sites (Unesco)

- 16.0 CONSERVATION SERVICES
- 16.1 Environmental assessment
- 16.4 Environmental Education and Training Services
- 16.5 Conservation strategies, including World Conservation Strategy
- 17.0 SOCIAL SCIENCES/POLICY
- 18.0 REGIONAL PROGRAMMES
- 18.1 Africa, General
  - 18.1.1 Africa, Sudano-Sahelian region
  - 18.1.2 Africa, Southern region
  - 18.1.3 Africa, Eastern region
  - 18.1.4 Africa, Central and West African, including coastal
- 18.2 Asia and Pacific Programme
  - 18.2.1 Asia and Pacific, Nepal
  - 18.2.2 Asia and Pacific, Pakistan
- 18.3 Europe
  - 18.3.1 Eastern Europe
- 18.4 Latin America
  - 18.4.1 Latin America/Central America
  - 18.4.2 Latin America, South America
- 18.5 North America
- 18.6 Antarctica
- 18.7 West Asia and North Africa
- 19.0 CITES
- 20.0 ELC, Bonn
- 21.0 Hugh Elliott
- 22.0 RAMSAR
- 23.0 Peter Scott

Revised, 3 February 1994

# IUCN Archive File Transfer Form

NAME: \_\_\_\_\_ TELEPHONE EXTN: \_\_\_\_\_

*Please use a separate form to list the files contained in each archive box*

Archive Section Number	Your file codes	Titles of files	Date of file