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|  | **Radiocommunication Advisory Group  Geneva, 10-13 May 2016** | |  |
| **INTERNATIONAL TELECOMMUNICATION UNION** | |  | |
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|  | | **Document RAG16/INFO/2-E** | |
| **23 March 2016** | |
| **English only** | |
| Chairman of the Dedicated Group on Information/Document Access Policy | | | |
| REPORT TO THE COUNCIL WORKING GROUP ON FINANCIAL AND HUMAN RESOURCES | | | |

The report of the Chairman of the Dedicated Group on Document Access Policy to the Council Working Group on Financial and Human Resources is provided to RAG participants for information.

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| **COUNCIL WORKING GROUP ON FINANCIAL AND HUMAN RESOURCES** 6th meeting, Geneva, 24 - 26 February 2016 |  |
| INTERNATIONAL TELECOMMUNICATION UNION |  |
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|  | **Revision 1 to  Document CWG-FHR 6/5** |
| **15 February 2016** |
| **English only** |

Chairman of the Dedicated Group on information/document access policy

REPORT TO THE COUNCIL WORKING GROUP ON FINANCIAL AND HUMAN RESOURCES

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| **Summary**  The 2014 Plenipotentiary Conference instructs the CWG-FHR, through the Council, to:  i) continue to review document access policy in ITU to determine the extent to which documentation should be made publicly accessible and to prepare a draft document access policy for submission to the Council;  ii) consider the necessity to establish a dedicated group for that purpose.  It also 1) instructs the CWG-FHR, through the Council, to transmit the proposed access policy to the Council for its consideration and provisional approval and its implementation, as appropriate; 2) instructs and authorizes the Council to consider the report of the CWG-FHR and, as appropriate, approve and implement the policy on an interim basis; 3) instructs the Council to submit the policy to the 2018 Plenipotentiary Conference for final decision.  **Action required**  In accordance with 1) above, the CWG-FHR is invited to **review** and **approve the** draft ITU information/document access policy reproduced in Annex B and transmit it to Council.  References  *Documents* [C14/INF/20](http://www.itu.int/md/S14-CL-INF-0020/en), [PP-14/59](http://www.itu.int/md/S14-PP-C-0059/en), [CWG FHR-4/19](http://www.itu.int/md/S15-CLCWGFHRM4-C-0019/en) |

# 1 Background

1.1 Further to PP-14 instructions, the CWG-FHR, at its meeting on 5 February 2015, resolved to create a dedicated group to review the information/document access policy. Terms of reference of the Dedicated Group on information/document access policy, chaired by Mr Petko Kantchev (Bulgaria), and opened to all Member States and Sector Members, can be found in [Document CWG‑FHR 4/19(Rev.2)](http://www.itu.int/md/S15-CLCWGFHRM4-C-0019/en).

# 2 Meetings of the Dedicated Group on information/document access policy

2.1 The Dedicated Group on information/document access policy met twice physically on 11 May 2015 and on 6 October 2015 in order to prepare a draft information/document access policy for submission to the 2016 meeting of the CWG-FHR. “Food for thought” documents prepared by the Chairman, contributions from Member States and the Chairman’s reports of the first and second meetings can be found at <http://www.itu.int/md/S15-CLCWGDG1-C/en> and <http://www.itu.int/md/S15-CLCWGDG2-C/en>.

# 3 Draft ITU information/document access policy

3.1 At the end of July 2015 a first draft of the ITU information/document access policy was circulated for comments, together with the Chairman’s report of the first meeting (see [Document DG-Access/1/7](http://www.itu.int/md/S15-CLCWGDG1-C-0007/en)).

3.2 The draft ITU information/document access policy was further discussed at the second meeting of the Group and published as [Annex 1 to Document DG-Access/2/6 - Chairman’s report](http://www.itu.int/md/S15-CLCWGDG2-C-0006/en) of the second meeting. Member States and Sector Members were invited to provide their comments by 24 December 2015.

3.3 The draft ITU information/document access policy, as reproduced in Annex [A](#AnnexA) and [B](#AnnexB), takes into account comments received by 24 December 2015 and is submitted to CWG-FHR for **review** and **approval**.

3.4 The group did not reach consensus on the issue of opening webcast and captioning. It was suggested that the relevant meeting decide on whether the webcast and captioning be open taking into account the specific working methods and procedures relevant to the meeting. A decision remains to be taken.

3.5 Further consideration is also required on whether and when input documents submitted to ITU study groups should be open. Based on consultations held by the Chairman with ITU senior management, it appears that it might be premature to include “Input documents to study groups” in Annex 1 to the policy “Information subject to public access”. Instead it would be more prudent to consult first the Sector Advisory Groups (RAG, TDAG and TSAG) on this point and then take into account the received feedback in the process of further consideration of the draft information/document access policy. Prospects of potential reduction of sector membership should have been carefully analysed before recommendation be submitted on this matter to Council and PP.

3.6 In line with the decision of the Plenipotentiary Conference, the draft policy should be submitted to Council for its consideration and provisional approval and its implementation as of 1st of January 2017.

3.7 Furthermore, the group agreed that the Secretary-General should be requested by Council to establish implementation procedures and to publish those procedures on the ITU website together with the said policy. The implementation procedures should include:

• Reference (or link) to the information/document access policy in all document contribution templates to ensure that submitters are aware of this policy.

• Method for submitters to indicate that their document(s) should not be made available to the public.

• Process for managing a redacted version of a document, accessible to the public, when the submitter considers that part(s) of the document should be restricted.

• Procedure for the public to request information not already available through ITU’s public-access website, the ITU Publications Sales Service or other means. The contact point for such requests must also be defined.

• Any costs that may be charged for providing information upon request.

3.8 The Secretary-General should also be requested by Council to report on the provisional implementation of the policy to the 2017 and 2018 sessions of the Council so that Council could make additional revisions if needed and submit the policy to the 2018 Plenipotentiary Conference for consideration and final decision.

[ANNEX A](#AnnexA): Revised draft ITU information/document access policy including comments received as of 24 December 2015 with track changes

[ANNEX B](#AnnexB): Revised draft ITU information/document access policy including comments received as of 24 December 2015 - clean version

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| ANNEX A TO THE CHAIRMAN’S REPORT | |
| **COUNCIL WORKING GROUP ON FINANCIAL AND HUMAN RESOURCES – DEDICATED GROUP ON INFORMATION/DOCUMENT ACCESS POLICY** |  |
| INTERNATIONAL TELECOMMUNICATION UNION |  |
|  |  |
|  | **Revision 2 to Document DG-Access/2/2-E** |
| **1February20165** |
| **English only** |

**revised DRAFT ITU Information/document access Policy   
(WITH TRACK CHANGES)**

WITH COMMENTS RECEIVED AS OF 24 DECEMBER 2015

**I. INTRODUCTION**

1.1 The International Telecommunication Union (“ITU”) believes that public access to information/documents (hereinafter called “information”) contributes to a better awareness and understanding of ITU’s unique mission. Better public access to information held, managed or generated by ITU facilitates transparency and accountability of ITU’s activities.

1.2 Compliance with this policy is the responsibility of the ITU Secretary-General.

**II. PUBLIC ACCESS**

2.1 ITU’s information/document access policy determines the extent to which documentation should be made publicly accessible and ensures access by the public to information held, managed or generated by ITU. The following general categories of information are covered by this policy:

* General information about the mandate, activities and history of ITU
* Information of ITU treaty-making conferences
* Information related to the governance and management of ITU
* Information on ITU’s operational activities

2.2 Subject to Section III below, the types of information made available to the public are enumerated in [Annex 1](#annex1).

**III. NON-DISCLOSURE**

3.1 While ITU is committed to improve public access to information, there are compelling reasons to protect certain types of information. ITU does not provide public access to information where disclosure might cause potential harm to a legitimate private or public interest. For instance, ITU does not provide public access to the information listed below.

3.1.1 Personal information such as:

* 1. Information whose disclosure is likely to endanger the safety or security of any individual, violate his or her rights, or invade his or her privacy
  2. Personal, medical, safety, security or employment-related information concerning staff. This includes, among others, performance evaluations, personal medical information, information relating to staff appointment and selection processes, and personal communications

3.1.2 Information related to legal, disciplinary or investigative matters such as:

1. Information related to investigation reports or to disciplinary proceedings
2. Information covered by legal privilege including, among other things, communications provided and/or received by ITU’s Legal Affairs Unit

3.1.3 Information that would compromise safety and security such as:

1. Information whose disclosure is likely to endanger the security of members of ITU or prejudice the security or proper conduct of any operation or activity of ITU

3.1.4 Commercial and financial information such as:

1. Commercial, financial, scientific or technical information where disclosure would harm either the financial interests of ITU or members of ITU

3.2 Submitters of information to ITU conferences, assemblies and meetings are solely responsible for identifying if the information, or portion thereof, contains information falling into any of the categories listed above or is otherwise sensitive and therefore marking the document for restricted access. In those cases, submitters are encouraged to provide a redacted version for public access whenever possible.

3.3 Restricted information shall remain restricted until it no longer meets the criteria listed in one of the exceptions outlined above or until the submitter notifies the ITU that it may be made publicly available.

**IV. IMPLEMENTATION**

4.1 ITU disseminates information to the public through various means, including the ITU public-access website ([www.itu.int](http://www.itu.int)), the ITU Publications Sales Service, news releases and spokespersons.

4.2 Any person or organization may request information mentioned in [Annex 1](#annex1) that is not already available through ITU’s public-access website, the ITU Publications Sales Service or other means. Such requests should be submitted in writing to [contact point] and must include the requester’s full name and address. ITU may charge a fee for material and labour costs.

4.3 ITU reserves the right to refuse any request that would require ITU to create, develop, or collate information or data that does not already exist or is not available in ITU’s information systems.

4.4 ITU will post the information/document access policy on its website

***Entry into force***

This Policy shall enter into force on a provisional basis on 1st January 2017.

*Version: 1 February2016*

Annex 1 TO THE POLICY

Information subject to public access

The information listed in this annex will be made publicly available, unless where disclosure might cause potential harm to a legitimate private or public interest as detailed in Section III of the ITU information/document access policy.

[In addition, information shall be made available in accordance with decisions of a plenipotentiary conference or the Council]

*A. General information about the mandate, activities and history of ITU disseminated through a variety of media*

*B. Information of treaty-making conferences*

* Plenipotentiary Conferences (PP)
  + Basic Texts including the Constitution and Convention of ITU, the General Rules of conferences, assemblies and meetings, the Optional Protocol, decisions, resolutions and recommendations in force
  + Final acts
  + Input and output documentsF
* World and Regional Radiocommunication Conferences (WRC and RRC)
  + Editions of the Radio Regulations and of regional Agreements
  + Final acts
  + Input and output documents
* World Conference on International Telecommunications (WCIT)
  + Editions of the International Telecommunication Regulations
  + Final acts
  + Input and output documents

*C. Information related to the governance and management of ITU*

* Official communication with membership
  + Circular letters
  + Administrative circulars
* Council sessions
  + Rules of Procedures of the Council
  + Resolutions and Decisions of the Council
  + Input and output documents
* Council Working Group meetings
  + Input and output documents
* Radiocommunication Assemblies (RA), World Telecommunication Standardization Assemblies (WTSA), World Telecommunication Development Conferences (WTDC)
  + W
  + Input and output documents
  + W
  + Input and output documents of regional preparatory meetings for WTDC
* Sector Advisory Groups’ meetings
  + Input and output documents
* Strategy and planning
  + Strategic plans
  + Operational plans
* Financial and human resources management
  + Financial Regulations and Financial Rules
  + Staff Regulations and Staff Rules
  + Organizational chart
  + Financial plans
  + Approved budgets
  + Financial operating reports
  + Vacancy notices
* Oversight
  + Reports of the Independent Management Advisory Committee (IMAC)
  + Reports of the External Auditor
  + Annual reports of the Internal Auditor
* Procurement
  + Public tenders as well as contract awards for any purchase with estimated expenses above CHF 20 000

*D. Information on ITU’s operational activities*

* Developing standards, manuals and guidelines
  + Procedures and working methods of study groups
  + [Input documents to study groups]
  + Documents of ITU-T focus groups
  + Recommendations, Reports, Questions, Opinions, and handbooks
* Managing allocation and use of the radio frequency spectrum and satellite orbits
  + Service publications and information related to frequency assignments, notifications and coordination requests for space/terrestrial systems/stations, (BR IFIC, MARS, GLAD, SNS, SNL)
  + Outputs of the Radio Regulations Board (RRB) (summary of decisions, approved minutes and Rules of Procedures)
* Providing registrar functions
  + Lists of numbering resources
  + Operational Bulletin
  + List of Recognized Operating Agencies (ROAs)
* Coordinating and implementing telecommunication development activities and projects
  + List of assistance projects
  + Toolkits, guidelines, handbooks, case studies and strategy reports
* Organizing forums, symposia, workshops and exhibitions
  + World Telecommunication Policy Forum (WTPF) documents
  + World Summit on the Information Society (WSIS) Forum documents
  + TELECOM highlights and outcome reports
  + Other ITU forums, symposia and workshops: documents as prepared by the event
* Monitoring and analysing the telecommunication/ICT markets and trends
  + Statistics and indicators
  + Surveys
  + Reports on ICT trends

To be decided: [Webcast and captioning of ITU conferences, assemblies and meetings] or [Webcast and captioning of ITU conferences, assemblies and meetings as decided by the relevant conference, assembly or meeting] [*Comment from Chairman: once decided, webcast and captioning will be moved under the respective meetings*]

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| ANNEX B TO THE CHAIRMAN’S REPORT | |
| **COUNCIL WORKING GROUP ON FINANCIAL AND HUMAN RESOURCES – DEDICATED GROUP ON INFORMATION/DOCUMENT ACCESS POLICY** |  |
| INTERNATIONAL TELECOMMUNICATION UNION |  |
|  |  |
|  | **Revision 2 to Document DG-Access/2/2-E** |
| **1 February 2016** |
| **English only** |

**revised DRAFT ITU Information/document access Policy   
(clean version)**

WITH COMMENTS RECEIVED AS OF 24 DECEMBER 2015

1. **INTRODUCTION**

1.1 The International Telecommunication Union (“ITU”) believes that public access to information/documents (hereinafter called “information”) contributes to a better awareness and understanding of ITU’s unique mission. Better public access to information held, managed or generated by ITU facilitates transparency and accountability of ITU’s activities.

1.2 Compliance with this policy is the responsibility of the ITU Secretary-General.

1. **PUBLIC ACCESS**

2.1 ITU’s information/document access policy determines the extent to which documentation should be made publicly accessible and ensures access by the public to information held, managed or generated by ITU. The following general categories of information are covered by this policy:

* General information about the mandate, activities and history of ITU
* Information of ITU treaty-making conferences
* Information related to the governance and management of ITU
* Information on ITU’s operational activities

2.2 Subject to Section III below, the types of information made available to the public are enumerated in [Annex 1](#annex1).

1. **NON-DISCLOSURE**

3.1 While ITU is committed to improve public access to information, there are compelling reasons to protect certain types of information. ITU does not provide public access to information where disclosure might cause potential harm to a legitimate private or public interest. For instance, ITU does not provide public access to the information listed below.

3.1.1 Personal information such as:

a) Information whose disclosure is likely to endanger the safety or security of any individual, violate his or her rights, or invade his or her privacy

b) Personal, medical, safety, security or employment-related information concerning staff. This includes, among others, performance evaluations, personal medical information, information relating to staff appointment and selection processes, and personal communications

3.1.2 Information related to legal, disciplinary or investigative matters such as:

a) Information related to investigation reports or to disciplinary proceedings

b) Information covered by legal privilege including, among other things, communications provided and/or received by ITU’s Legal Affairs Unit

3.1.3 Information that would compromise safety and security such as:

a) Information whose disclosure is likely to endanger the security of members of ITU or prejudice the security or proper conduct of any operation or activity of ITU

3.1.4 Commercial and financial information such as:

a) Commercial, financial, scientific or technical information where disclosure would harm either the financial interests of ITU or members of ITU

3.2 Submitters of information to ITU conferences, assemblies and meetings are solely responsible for identifying if the information, or portion thereof, contains information falling into any of the categories listed above or is otherwise sensitive and therefore marking the document for restricted access. In those cases, submitters are encouraged to provide a redacted version for public access whenever possible.

3.3 Restricted information shall remain restricted until it no longer meets the criteria listed in one of the exceptions outlined above or until the submitter notifies the ITU that it may be made publicly available.

1. **IMPLEMENTATION**

4.1 ITU disseminates information to the public through various means, including the ITU public-access website ([www.itu.int](http://www.itu.int)), the ITU Publications Sales Service, news releases and spokespersons.

4.2 Any person or organization may request information mentioned in [Annex 1](#annex1) that is not already available through ITU’s public-access website, the ITU Publications Sales Service or other means. Such requests should be submitted in writing to [contact point] and must include the requester’s full name and address. ITU may charge a fee for material and labour costs.

4.3 ITU reserves the right to refuse any request that would require ITU to create, develop, or collate information or data that does not already exist or is not available in ITU’s information systems.

4.4 ITU will post the information/document access policy on its website

***Entry into force***

This Policy shall enter into force on a provisional basis on 1st January 2017.

*Version: 1 February 2016*

Annex 1 TO THE POLICY

Information subject to public access

The information listed in this annex will be made publicly available, unless where disclosure might cause potential harm to a legitimate private or public interest as detailed in Section III of the ITU information/document access policy.

[In addition, information shall be made available in accordance with decisions of a plenipotentiary conference or the Council]

*A. General information about the mandate, activities and history of ITU disseminated through a variety of media*

*B. Information of treaty-making conferences*

* Plenipotentiary Conferences (PP)
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  + Editions of the International Telecommunication Regulations
  + Final acts
  + Input and output documents

*C. Information related to the governance and management of ITU*

* Official communication with membership
  + Circular letters
  + Administrative circulars
* Council sessions
  + Rules of Procedures of the Council
  + Resolutions and Decisions of the Council
  + Input and output documents
* Council Working Group meetings
  + Input and output documents
* Radiocommunication Assemblies (RA), World Telecommunication Standardization Assemblies (WTSA), World Telecommunication Development Conferences (WTDC)
  + WTSA Proceedings; Book of ITU-R Resolutions; Final Report of WTDC
  + Input and output documents
  + Input and output documents of regional preparatory meetings for WTDC
* Sector Advisory Groups’ meetings
  + Input and output documents
* Strategy and planning
  + Strategic plans
  + Operational plans
* Financial and human resources management
  + Financial Regulations and Financial Rules
  + Staff Regulations and Staff Rules
  + Organizational chart
  + Financial plans
  + Approved budgets
  + Financial operating reports
  + Vacancy notices
* Oversight
  + Reports of the Independent Management Advisory Committee (IMAC)
  + Reports of the External Auditor
  + Annual reports of the Internal Auditor
* Procurement
  + Public tenders as well as contract awards for any purchase with estimated expenses above CHF 20 000

*D. Information on ITU’s operational activities*

* Developing standards, manuals and guidelines
  + Procedures and working methods of study groups
  + [Input documents to study groups]
  + Documents of ITU-T focus groups
  + Recommendations, Reports, Questions, Opinions, and handbooks
* Managing allocation and use of the radio frequency spectrum and satellite orbits
  + Service publications and information related to frequency assignments, notifications and coordination requests for space/terrestrial systems/stations, (BR IFIC, MARS, GLAD, SNS, SNL)
  + Outputs of the Radio Regulations Board (RRB) (summary of decisions, approved minutes and Rules of Procedures)
* Providing registrar functions
  + Lists of numbering resources
  + Operational Bulletin
  + List of Recognized Operating Agencies (ROAs)
* Coordinating and implementing telecommunication development activities and projects
  + List of assistance projects
  + Toolkits, guidelines, handbooks, case studies and strategy reports
* Organizing forums, symposia, workshops and exhibitions
  + World Telecommunication Policy Forum (WTPF) documents
  + World Summit on the Information Society (WSIS) Forum documents
  + TELECOM highlights and outcome reports
  + Other ITU forums, symposia and workshops: documents as prepared by the event
* Monitoring and analysing the telecommunication/ICT markets and trends
  + Statistics and indicators
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To be decided: [Webcast and captioning of ITU conferences, assemblies and meetings] or [Webcast and captioning of ITU conferences, assemblies and meetings as decided by the relevant conference, assembly or meeting] [*Comment from Chairman: once decided, webcast and captioning will be moved under the respective meetings*]