



Peacekeeping Operations Retention Schedule - AUD Function

Date Published 15/06/2006

Local Archive = Move to semi-active storage; Interim Archive = Transfer to ARMS; Permanent Archive = Transfer to ARMS for permanent storage Page 1

Schedule no.	Title	Transfer to	Destruction	Notes	Source	Active from
PKO.AUD001.P	Policy and guidance	Local Archive after Date Closed Permanent Archive 1 Month after End of Mission Mandate (User Defined)	Must Not Destroy	Records include: locally-produced policies and standard operating procedures relating to audit, oversight, evaluation and investigation. Offices of record varying by activity: Mission Office of Resident Auditor, Office of Resident Investigator, Board of Inquiry Unit.	PORS	01/07/2005
PKO.AUD002.P	Reporting to UNHQ	Local Archive after Date Closed	Destroy Permitted Destroy 3 Years after Date Closed Destroy 1 Month after End of Mission Mandate (User Defined)	Records include: non-record copies of reports relating to audit, oversight, evaluation, and investigation. Office of record: UNHQ office responsible for the corresponding AUD activity.	PORS	01/07/2005
PKO.AUD003.P	Audit: external audit	Local Archive after Date Closed Interim Archive 1 Month after End of Mission Mandate (User Defined)	Destroy Permitted Destroy 4 Years after Date Closed	Records include: administrative files relating to the work of the Board of Auditors. Offices of record: Mission Office of the CAO/DOA and Secretariat of the Board of Auditors, UNHQ. Special transfer: At end of mission mandate, an additional copy of each outstanding* case file should be prepared and forwarded to UNHQ DPKO/OMS/ASD/FMSS/Liquidation Unit, per DPKO Liquidation Manual 7.5. *any audit observation that has not been implemented or has not been accepted by the auditors as having been properly executed.	PORS	01/07/2005
PKO.AUD004.P	Audit: internal audit	Local Archive after Date Closed Interim Archive 1 Month after End of Mission Mandate (User Defined)	Destroy Permitted Destroy 15 Years after Date Closed	Records include: case files. Office of record: Mission Office of the Resident Auditor. UNHQ OIOS/IAD only maintains reference copies of select records. Special transfer: At end of mission mandate, an additional copy of each outstanding* case file	PORS	01/07/2005



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Continued...				<p>should be prepared and forwarded to UNHQ DPKO/OMS/ASD/FMSS/Liquidation Unit, per DPKO Liquidation Manual 7.5.</p> <p>*any audit observation that has not been implemented or has not been accepted by the auditors as having been properly executed.</p>		
PKO.AUD005.P	Boards of Inquiry: Police Boards of Inquiry	Local Archive after Date Closed Permanent Archive 1 Month after End of Mission Mandate (User Defined)	Must Not Destroy	<p>Records include: case files and final reports with supporting documentation.</p> <p>Office of record: Mission Board of Inquiry Unit.</p>	PORS	01/07/2005
PKO.AUD006.P	Boards of Inquiry: Military Contingent Boards of Inquiry	Local Archive after Date Closed	Destroy Permitted Destroy 5 Years after Date Closed Destroy 1 Month after End of Mission Mandate (User Defined)	<p>Records include: case files and final reports with supporting documentation.</p> <p>Office of record: Mission Board of Inquiry Unit.</p> <p>For minor military investigations, see MIL008.P.</p>	PORS	01/07/2005
PKO.AUD007.P	Boards of Inquiry: Mission Headquarters Boards of Inquiry	Local Archive after Date Closed Permanent Archive 1 Month after End of Mission Mandate (User Defined)	Must Not Destroy	<p>Records include: case files and final reports to UNHQ with supporting documentation such as: witness statements, medical reports, damage/discrepancy reports, technical inspection reports, incident scene sketches, maps, photographs, notifications of casualties (NOTICAS), shooting reports (SHOOTREP), significant incident reports (SINCREP).</p> <p>Office of record: Mission Board of Inquiry Unit.</p> <p>For minor civilian investigations, see SAS006.P through SAS008.P.</p>	PORS	01/07/2005
PKO.AUD008.P	Investigation: case management	Local Archive after Date Closed	Must Not Destroy	<p>Records include: hard copies of case files (including print-outs from OIOS' ICMS database) relating to the administrative investigation of violations of UN rules and regulations.</p> <p>Office of record: Mission Office of the Resident</p>	PORS	09/11/2005



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Continued...				Investigator. Special transfer: Transfer records to UNOV OIOS/ID/PTIU.		
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PKO.AUD009.P	Investigation: evidence gathering	Local Archive after Date Closed Permanent Archive 1 Month after End of Mission Mandate (User Defined)	Must Not Destroy	Records include: forensic evidence relating to the administrative investigation of violations of UN rules and regulations. Office of record: Mission Office of the Resident Investigator. Special transfer: Transfer records to UNOV OIOS/ID/PTIU. For minor military investigations, see MIL008.P. For minor civilian investigations, see SAS006.P through SAS008.P.	PORS	09/11/2005
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