



DRAFT Records Retention Schedule
OPPBA Office of Programme Planning, Budget and Accounts - Controllers Office

Records with at Total Retention of less than 3 years should be retained in offices and may not be sent to storage.
 The Total Retention period shown below includes the period during which records may be stored off-site at ARMS before final disposition.

Schedule	Series Name	Total Retention	Disposition	Notes	Vital	Office of Record <small>The office holding the record is the office of record unless another office is listed below.</small>
CONT 101	Agency/Grant Agreements Agreements between the United Nations and implementing agencies for the United Nations to provide funds for project implementation.	T + 6	D			
CONT 102	Audit Files - Financial - Board of Auditors Reports, responses to reports and supporting materials pertaining to Controller's role in reviewing and commenting on audits conducted on behalf of the Board of Auditors.	C + 10	D			Board of Auditors
CONT 103	Audit Files - Office of Internal Oversight Services Reports, responses to reports and supporting materials pertaining to Controller's role in reviewing and commenting on audits conducted by OIOS.	C + 10	D			OIOS/IAD
CONT 104	Chronological Files - Controller's Copies of outgoing and incoming correspondence, memos, cables, faxes, etc., arranged chronologically for quick reference. The record copy must be placed in the relevant subject file or record series in the office originating or taking action.	C + 3	D			
CONT 105	Delegations of Authority - Financial Assignments of authority from the Controller for United Nations officials to act with respect to specified financial matters.	T + 1	A	T = Expiration of Delegation of Authority		V
CONT 106	Donor Agreements Agreements with member states to provide funding for the implementation of United Nations programmes and projects.	T + 6	D	T = Agreement terminated or expires		
CONT 107	European Commission Financial and Administrative Framework Agreements between the United Nations and the European Unit to provide support for projects and programmes.	P	D			
CONT 108	Fascicles [Proposed Programme Budgets] Copies of draft budgets submitted for approval to deliberating bodies	P	D			OPPBA PPBD/PFD
CONT 109	Financial Authority Designations	C + 10	D			

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	Designations of United Nations staff members as authorized to perform specific significant financial functions.					
CONT 110	Financial Statements	B + 5	A		V	
	Signed copies of official financial statements for each United Nations Program.					
CONT 111	Fraud Reporting - Peacekeeping	C + 4	D			
	Reports on monitoring for and investigations of fraud provided to the Board of Auditors.					
CONT 112	Fraud Reporting - Regular Budget	B + 4	D			
	Reports on monitoring for and investigations of fraud provided to the Board of Auditors.					
CONT 113	Grievance and Disciplinary Case Files	C + 7	D			OHRM/ALU/UNAT
	Files concerning Controller's role in the investigations of grievance and disciplinary actions with respect to individual UN personnel including Administrative Tribunal Cases, and its execution of any payments resulting from the resolution each case.					
CONT 114	Host Country Agreements	C + 10	D			
	Agreements with member states to host United Nations meetings.					
CONT 115	Iraq Oil for Food Program Project File	T + 5	A	T = Conclusion of all investigations concerning the program and settlement of all claims, issues or charges.	V	
	Files concerning the operations of the Iraq Oil for Food program and the investigations concerning the program after its cessation.					
CONT 116	Joint Pension Fund Files	P	A	Currently not applicable as SRSG is the Assistant Secretary-General OCSS		
	Files maintained by the Controller as the representative of the Secretary General to the United Nations Joint Pension Fund. Include minutes and agendas for meetings of the Board of the Joint Pension fund as well as records concerning the management the investments of the fund.					
CONT 117	Procurement Division Oversight Files	T	A	T = Termination of controller's		

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				oversight role.		
CONT 118	Subject Files - Controller's Correspondence and reports concerning the role of the Controller in providing oversight of the operations of the Procurement Division from 2005 - 2008.	C + 5	D			
	Official documentation the activities of the Controllers' office including correspondence, reports, memos, and related materials arranged by subject or function.					
CONT 119	Trust Fund Files Files concerning the record or authority and purpose for the Trust Fund; trust fund policies and procedures.	T + 5	D	T = Trust fund closed out; all contributions and expenditures reconciled and final audit completed.	V	OPPBA PPBD & PFD

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DRAFT Records Retention Schedule
OPPBA Office of Programme Planning, Budget and Accounts - Accounts Division

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Schedule	Series Name	Total Retention	Disposition	Notes	Vital	Office of Record <small>The office holding the record is the office of record unless another office is listed below.</small>
ACCT 101	Accounts Receivable Subsidiary Ledger Record used to produce receivable analyses and collection letters.	3 mo.	D			
ACCT 102	Bank Reconciliations Reconciliation of various United Nations bank accounts, including statements.	C + 4	D			
ACCT 103	Cancelled or Voided Checks Issued checks returned uncashed.	C + 4	D			
ACCT 104	Case Files of the Advisory Board on Compensation Claims and UN Files on compensation claims cases brought before the Advisory Committee on Compensation Claims and the United Nations Claims Board arranged numerically by case number.	T + 5	D	T = Claim/case settled.		
ACCT 105	Claims for Education Grants	T + 9	D	T = Grant claim settled.		V
ACCT 106	Cleared (Paid) Checks (except Tax checks) Record showing proof of United Nations payments, not including payments for taxes.	C + 5	D			
ACCT 107	Cleared (Paid) Checks for Federal, State & City Taxes Payments made on behalf of staff members to cover their income tax obligations.	C + 11	D			
ACCT 108	Computer Programme and Procedures Library Records used to operate various financial electronic information systems.	C + 2	D			
ACCT 109	Consignment Reports Calculation of amount due to consignors.	C + 4	D			
ACCT 110	Contractors and UNPA Monthly Financial Statements Record of financial results.	C + 4	D			
ACCT 111	Contributions - Member States Assessments and Receipts	P	A	Records are sent to Archive after C + 3		V

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Schedule	Series Name	Total Retention	Disposition	Notes	Vital	Office of Record <small>The office holding the record is the office of record unless another office is listed below.</small>
	Records relating to the the scale of assessments and contributions of Member States; notification to Member States of their assessments and receipt of their contributions to the regular budget, peacekeeping operations and international tribunals; representation by Member States; monitoring and forecasting the Organization's cash flow; and Fifth Committee matters, including correspondence of the They include the Committee on Contributions' correspondence and conference room papers.					
ACCT 112	Contributions Records - Voluntary Contributions	C + 7	D		V	
	Records relating the the receipt, acknowledgement and allocation of voluntary contributions to various United Nations activities.					
ACCT 113	Cumulative General Accounts Transactions	C + 5	D			
	Record used to update General Accounts Master and produce daily registers.					
ACCT 114	Cumulative Payroll Earnings by Year	C + 7	D			
	Record used to generate payroll vouchers and income tax statements; retained in originating office.					
ACCT 115	Daily Remittance Transmittal Notices	C + 4	D			
	Daily folders of supporting papers for cash and postage stamp receipts.					
ACCT 116	Daily Runs (Proofs and Registers)	C + 1	D			
	Work sheets containing information incorporated in the monthly allotment report and posting record. The records are destroyed in the creating office.					
ACCT 117	Debit Memos	C + 4	D			
	Advices from banks that payment or withdrawal has been made.					
ACCT 118	Disbursement (Payment) Vouchers	C + 4	D			
	Record of United Nations payments, including supporting papers, for					

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	all payments, including day to day expenses, investments, pension fund payments, payroll, etc.					
ACCT 119	Disbursement Vouchers Record of vouchers for payments.	C + 4	D			
ACCT 120	Duty Stations Historical Post Adjustment Tables Record used to calculate post adjustment entitlements; by country.	Sx12	D	Retain only most recent 12 tables for each country.		
ACCT 121	Duty Status Summaries Record indicating status of staff members for payroll, mid-month used by departments to record overtime.	C + 4	D			
ACCT 122	Federal, State and City Quarterly Tax Advances Record showing amounts given to staff members to cover estimated tax payments and check numbers.	C + 11	D			V
ACCT 123	Field Accounting Records - Technical Cooperation Projects Vouchers and supporting papers for technical cooperation projects.	T + 7	D	T = Project Completion		V
ACCT 124	Final Payment of Federal, State and City Income Tax & First Quarter Record showing exact amounts less advances given to staff to pay early income taxes plus first quarter advances.	C + 11	D			V
ACCT 125	Financial Statements Semi-annual, annual and biennial statements.	B	A			
ACCT 126	General Accounts Master File - Monthly Monthly records used to produce trial balances and allotment reports	C + 5	D	Retain June & September ONLY for full 5 years. Other months may be destroyed after 3 months.		
ACCT 127	General Fund Checks Record of checks issued daily.	C + 7	D			
ACCT 128	General Ledger United Nations basic financial record, including monthly	P	A			V

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Schedule	Series Name	Total Retention	Disposition	Notes	Vital	Office of Record <small>The office holding the record is the office of record unless another office is listed below.</small>
	postings and trial balance.					
ACCT 129	Headquarters Monthly Receipts and Expenditures. Monthly financial reports for garage administration, catering service, gift centre and floor space rental	C + 4	D			
ACCT 130	History Sheets of Personal Earnings Record, on microfiche, of earnings and deductions for individual staff members, retained for pension purposes.	P	A			
ACCT 131	Imprest Control Files - Technical Cooperation Projects Financial history of technical cooperation project with copies of vouchers, documents and cables.	T + 7	D			
ACCT 132	Income Tax Advances Subsidiary Ledger Record used to issue tax advance and reimbursement checks and record advance recoveries, retained in originating office.	C + 5	D			
ACCT 133	Income Tax Transmittal Blocks Proofsheets of actions relating to processed tax reimbursements.	C + 11	D			
ACCT 134	Inter-office Vouchers Incoming payments made by offices away from Headquarters on behalf of offices away from Headquarters.	C + 4	D			
ACCT 135	Invoices - Publications, Visitors Service and Radio and Visual Copies of United Nations invoices indicating amount owed for publications, guided tours and audio visual material.	C + 4	D			
ACCT 136	Invoices (Bills) Copies of all bills drawn by the United Nations against delegations, organizations or individuals for charges incurred on their behalf.	C + 4	D			
ACCT 137	Invoices and Credit Notes Accounts receivable computer input and credit control.	C + 4	D			

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Schedule	Series Name	Total Retention	Disposition	Notes	Vital	Office of Record <small>The office holding the record is the office of record unless another office is listed below.</small>
ACCT 149	Payroll Check Register - Bi-monthly Listing of staff members' payroll checks.	C + 8	D			
ACCT 150	Payroll Reports and Coding Records Record used for processing and balancing payroll actions.	C + 4	D			
ACCT 151	Payroll Unit Copy of Payroll Vouchers The Central Accounts Section copy is retained in the Archives for 6 years.	C + 3	D			
ACCT 152	Progress Reports - Technical Cooperation Projects Reports showing cumulative counterpart cash expenditures for the technical cooperation project in local and dollar currencies.	T + 7	D	T = Project Completion		
ACCT 153	Receipt Vouchers Records of funds received by the United Nations through the Cashier's Office, and by other means, including sales at retail outlets	C + 4	D			
ACCT 154	Receivable Subsidiary Ledgers Reports & Statements Sale to Public Records of accounts receivable and statistics on sale of publications and audio visual materials and guided tours.	C + 4	D			
ACCT 155	Remittance Advices Accounts receivable computer input and credit control.	C + 4	D			
ACCT 156	Revenue Producing Accounts Receivable Subsidiary Ledger Record used to produce statement of account and collection letters and to record receipts.	C + 2	D			V
ACCT 157	Salary Advances Subsidiary Ledger Record used to report outstanding advances and recovery history; retained in the originating office.	3 mo	D			
ACCT 158	Salary and Allowances Table Records used to calculate payroll.	Sx20	D	Retain only 20 most recent tables,		

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ACCT 159	Sale of Publications Accounts Receivable Closed Files Invoices, credit notes, copies of statement and correspondence with respect to sales of UN published documents.	C + 4	D			
ACCT 160	Separated Staff Members' Finance Files	C + 13	D			
ACCT 161	Separated Staff Members' Income Tax Files Files containing copies of the staff members' tax forms.	C + 13	D			
ACCT 162	Separated Staff Members' Insurance Files	T + 30	D	T = Separation of staff member		
ACCT 163	Staff Termination Vouchers Record of payments made to staff members upon separation.	T + 7	D	T = Separation of employee.		
ACCT 164	Statement of Earnings for Income Tax Record indicating net taxable income for United States citizens.	C + 8	D			
ACCT 165	Statements of Monthly Accounts for Specialized Agencies Monthly statements indicating amount owed the United Nations by specialized agencies.	C + 4	D			
ACCT 166	Subsidiary Ledgers for Accounts Payable Record of all accounts to be paid by the United Nations.	C + 4	D			
ACCT 167	Subsidiary Ledgers for Accounts Receivable Record of all United Nations billings.	C + 4	D			
ACCT 168	Taxable Earnings Master File Record used to prepare statement of taxable earnings, retained in originating office.	C + 3	D			V
ACCT 169	Travel Agency Credit Notes Confirmation of refunds on unused tickets.	C + 6	D			
ACCT 170	Travel Authorizations	C + 6	D			

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	Authorizations for official travel.					
ACCT 171	Trust Funds Unit Current Files	C + 3	D			
	Records including allotment advices; cash receipt, inter-office and journal vouchers; allocations to and expenditure reports from executing agencies; financial statements; and current transactions correspondence.					
ACCT 172	Trust Funds Unit Permanent Files	T + 7	A	T = Trust fund closed out; all contributions and expenditures reconciled and final audit completed.	V	
	Record of authority and purpose of establishing a general purpose trust fund; establishment of bank accounts, designation of certifying officers; financial policy and procedure relating to the fund.					
ACCT 173	Vendor Payment Records	C + 10				
	Records of payments to vendors by vendor, date, amount. Currently in IMIS, previously on cards.					
ACCT 174	Write-off Submissions	C + 4	D			
	Credit control.					

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OPPBA Office of Programme Planning, Budget and Accounts - Treasury

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Schedule	Series Name	Total Retention	Disposition	Notes	Vital	Office of Record <small>The office holding the record is the office of record unless another office is listed below.</small>
TREA 101	Bank Account Statements Daily transaction reports, transaction advices and SWIFT messages. Copy is sent to Accounts Division.	C + 2	D			OPPBA Accounts Division
TREA 102	Bank Transaction Statements Bank transaction detail reports (Insight Reports), a/c fee analysis and CAA.	C + 2	D			
TREA 103	Banking Agreements Contracts with banks to provide services on behalf of the United Nations and supporting documentation detailing relationships with bank.	P	D		V	
TREA 104	Banking Files - UN Employees Records relating to banking with respect to UN Employees - accounts to which funds are to be deposited, transfer instructions, etc.	C + 15	A			
TREA 105	Banking Files - UN Accounts Records relating the establishment, closure, and amendment of official UN bank accounts in the US or overseas. Accounts may be program or project related.	P	A		V	
TREA 106	Daily Investment Transactions Details of all securities trades and transactions with respect to UN investments.	C + 5	D			
TREA 107	Deposit Files Records of money received including deposit slips, and deposit documents of UN accounts in the US and overseas.	C + 3	D			
TREA 108	Foreign Exchange Files Details of foreign exchange transactions with respect to deposits, contributions, etc.	C + 2	D			
TREA 109	Foreign Exchange Transaction Contracts Contracts with institutions which carry out foreign exchange transactions for the UN.	T + 5	D	T = Termination or expiration of contract.		Procurement

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DRAFT Records Retention Schedule

UNITED NATIONS

OPPBA Office of Programme Planning, Budget and Accounts - Programme Planning and Budget Division

03/10/2009

V1.0.1

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PPBD 101	Board of Auditors Management Letters and Responses	T + 1	D	T = All issues raised in audit addressed and settled.		
PPBD 102	Budget and Program Planning Work Standards Internal work standards to be used by the staff of the Programme Planning and Budget Division.	S	D			
PPBD 103	Budget Monitoring and Projection Reports Reports produced from budget statistics and expenditure data showing actual vs budgeted expenditures and projected expenditures.	B x3	D	Retain for 3 biennia.		
PPBD 104	Budget Office Working Files Working papers used in the preparation of biennial and interim budgets including department, office, division budget submissions, information, calculations, correspondence and reports related to the submissions.	B + 1	D	Destroy after settlement of all budget issues.	V	
PPBD 105	Budget Policy & Precedent Files Memos, correspondence and documenting decisions about budget policy and the basis for exceptions granted to general budget standards and guidelines.	P	A			
PPBD 106	Budget Preparation Standards and Guidelines Guidelines and instructions for the preparation of budgets which are distributed to each operating unit.	S + 2	D			
PPBD 107	Budget Statistics and Trending Information Data contained in Budget Information System, statistical reports generated from IMIS or other resources used to do budget projections and trending.	T	D	T = while useful		
PPBD 108	Budget Submission Packages (Fascicles) Final budget packages submitted to deliberating bodies (ACABQ, Fifth Committee, Committee for Programme Coordination) which review and approve budget.	T + 5	D	T = Budget approved/final budget published.		
PPBD 109	Program Budget Implication Reports (PBI) [(Originals)]	B x 3	D	Retain for three biennia		

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	Reports detailing the expected results of specific budget decisions and actions.					
PPBD 110	Published Budgets and Budget Reports - Originals Final budgets and reports published as official UN documents.	T	D	T = Retain until final report is published, then destroy. Retain final published report as needed for reference purposes.		UN Library
PPBD 111	Special Subject Budget Requests Requests for funding of special programs or initiatives outside of regular biennial budget process.	T	D	T = Budget issue resolved or program/initiative funded.		
PPBD 112	Staffing Tables Tables which keep track of headcount for each department, unit, function.	S	D		V	
PPBD 113	Standard Salary Costs Data on Standard Salary costs to be used as the basis for calculating budgets.	S	D			
PPBD 114	Trust Fund Budget Files Reports, data, correspondence, etc., concerning budgeting for trust funds.	T + 10	D	T = Trust fund closed out; all contributions and expenditures reconciled and final audit completed.		

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DRAFT Records Retention Schedule
OPPBA Office of Programme Planning, Budget and Accounts - Peacekeeping Financing

UNITED NATIONS

03/10/2009

V2.2.1

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Schedule	Series Name	Total Retention	Disposition	Notes	Vital	Office of Record
FIN 101	Claims Files - Costs & Services The records dealing with the submission, investigation and rejection/reimbursement of claims for military contingent PS/FPU payments from contributor countries and third parties regarding costs incurred and services rendered during the peacekeeping missions.	T + 3	D	T = Mission is liquidated or country pulls out of mission. All claims settled/rejected and payment made by Accounts Payable		OPPBA Accounts Division/F
FIN 102	Contributor Country Agreements The records, including Memoranda of Understanding, and other documentation dealing with the agreements between the United Nations and contributor countries concerning participation in a peacekeeping mission. Memoranda of Understanding (MOU) are negotiated agreements between the UN and the Contributing Country.	T + 2	D	T = Mission is liquidated or country pulls out of mission.	V	DFS
FIN 103	Field Financial Policy Development and Monitoring Files Records dealing with monitoring the financial administration of field missions to ensure compliance with the policies of the Controller at HQ; developing policies and procedures for those activities; compiling statistics; and maintaining reports on Losses of Assets.	C + 10	A		V	DFS
FIN 104	Peacekeeping Mission Administrative and Logistical Files File pertaining to the administrative and logistical activities of peacekeeping missions.	C + 3	D			
FIN 105	Peacekeeping Mission Budget Files Records dealing with planning the substantive and administrative activities of a peacekeeping mission; proposing budgetary resources for those activities; budget preparation instructions; tracking allotments and expenditure; performance indicators; medium-term planning; audits and audit responses; accomplishment, activity and workload reports submitted to higher levels.	C + 3	D			
FIN 106	Peacekeeping Mission Parliamentary File Files containing workpapers and correspondence with respect to the drafting of official documents for presentation to the ACABQ, Fifth Committee, General Assembly and Security Council.	C + 3	D			
FIN 107	Trust Fund Administration & Finance Files Files pertaining to the administration of trust funds and the program	T + 5	A	T = Mission is liquidated or country pulls out of mission.	V	

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Schedule	Series Name	Total Retention	Disposition	Notes	Office of Record Vital
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	mittic uses of the fund's assets including allotment advices, cash receipts, interoffice and journal files, expenditure reports, financial statements and current transactions and correspondence				
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