United Nations
Department of Operational Support
Department of Peace Operations
Department of Political and Peacebuilding Affairs

REF. NO: DOS/2022.07

Standard Operating Procedure

INFORMATION AND RECORDS MANAGEMENT IN FIELD MISSIONS

UNCLASSIFIED

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Signature **Date** 27 December 2023

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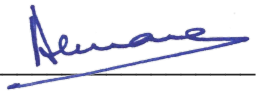
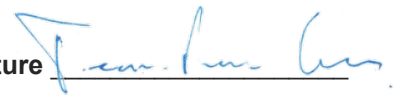
Signature  **Date** 19 December 2023

Approved By: Jean-Pierre Lacroix, Under-Secretary-General, DPO

Signature  **Date** 20 December 2023

Effective Date: 1st day of the following month from approval date (or later)

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STANDARD OPERATING PROCEDURE FOR INFORMATION AND RECORDS MANAGEMENT IN FIELD MISSIONS

A. EXECUTIVE SUMMARY

PURPOSE

1. This Standard Operating Procedure (SOP) has been developed to guide United Nations Mission personnel on information and records management, including applying sensitivity labels, naming, filing, disposing, or migrating of information and records in accordance with UN policies on record-keeping and information sensitivity and handling.

SCOPE AND APPLICABILITY

2. This SOP applies to all types of information and records captured in both digital and now rarely paper filing systems. Digital filing systems include SharePoint, digital record-keeping systems, and databases. This document supersedes the SOP on *Information Labelling, Filing and Clean-up* (2016). It does not apply to medical records which follow their own procedure and a separate confidentiality regime.[1]

SUMMARY OF THE SOP

3. This SOP describes five tasks for the management of information and records: 1) applying a sensitivity label; 2) naming folders and files; 3) establishing filing areas; 4) filing; and 5) disposing or migrating information and records, and any associated roles and responsibilities. The annexes to this document establish the *United Nations Missions File Classification Scheme (FCS)* and the *United Nations Missions Records Retention Schedule* as well as provide a guide to using the FCS.

B. PURPOSE

4. This SOP has been developed to assist United Nations Mission personnel (understood to include UN staff members and non-staff personnel, including consultants, contractors, interns, or anyone with access to UN information and communication technology systems) in understanding and executing their responsibilities to apply sensitivity labels, name and file information and records. Personnel with additional information and records management responsibilities will also find guidance on how to facilitate the disposition or migration of information and records in accordance with UN policies on record-keeping and information sensitivity and handling.

5. Adherence to this SOP shall ensure that:

- records of long-term value can be preserved;
- records and information are labelled and handled according to their level of sensitivity;
- records and information are only accessed by authorised personnel;
- information and records needed for a limited period can be disposed of efficiently and defensibly;
- authoritative versions can be easily found.

[1] For more information contact: DHMOSH: medicaldirector@un.org

C. SCOPE AND APPLICABILITY

6. This SOP guides all United Nations Missions personnel on the sensitivity labelling, naming, filing, disposition or migration of information and records in both hard copy (paper) and digital formats.

7. The procedures apply to all types of information and records captured in both paper and digital filing systems. Digital filing systems include SharePoint, digital record-keeping systems and databases.

8. This document supersedes the DPKO/DFS SOP on *Information Labelling, Filing and Clean-up* (2016) and, considering the 2019 restructuring of the United Nations peace and security pillar, narrows its scope to cover only missions and not headquarters offices.

9. This SOP does not apply to medical records, which follow their own procedure and a separate confidentiality regime.

10. This SOP contains mandatory recommended and discretionary approaches, which are denoted throughout the SOP with the use of "shall/shall not," "should/should not," and "may/may not," respectively.

D. PRODEDURE

D.1. Procedural Overview

11. This SOP describes five tasks for the management of information and records:

    11.1. *Applying a sensitivity label* is the application of a sensitivity classification marking to determine protection, sharing and access to information and records deemed to be sensitive, in accordance with *ST/SGB/2007/6 - Information Sensitivity, Classification and Handling* and any future policies or procedures that include a labelling requirement.

    11.2. *Naming folders and files* is the process of using naming conventions to give information and records meaningful and consistent titles.

    11.3. *Establishing filing areas* is the creation and maintenance of filing areas for records based on the *United Nations Missions File Classification Scheme (FCS) and Records Retention Schedule* (see Annexes A and B). This includes filing arrangements for non-r-ecord drafts, working files, and reference material.

    11.4. *Filing* is the process of filing, placing, or saving information and records into a digital filing system based on the *FCS.*

    11.5. *Disposing or migrating of information and records* is the process of periodically reviewing information and records, regardless of format, to identify those that can be destroyed in accordance with the *United Nations Missions Records Retention Schedule* (which is combined in one document with the FCS in Annex B) and ensuring that information of value is either migrated to a new system or transferred into the custody of the Archives and Records Management Section (ARMS) of the Department of Operational Support (DOS).

D.2. Applying a Sensitivity Label

12. Personnel shall apply a sensitivity label to all information they create or receive regardless of format. If sensitive digital or paper records are filed in folders, the folders shall also be marked with the highest appropriate classification:

- Information or records whose unauthorized disclosure could reasonably be expected to cause exceptionally grave damage to or seriously impede the conduct of the work of the United Nations shall be labelled “strictly confidential.”
- Information or records whose unauthorized disclosure could reasonably be expected to cause damage to the work of the United Nations shall be labelled as “confidential”.
- Information or records that are non-sensitive and internal – not public – shall be labelled “unclassified”. Public information is the information that is produced expressly for public consumption. It may also be labelled “unclassified”.

13. To mark digital and paper records with a sensitivity label, personnel shall, wherever possible, use the standard sensitivity labelling tools and metadata provided in enterprise software and templates with sensitivity classifications pre-filled, otherwise:

    - Label for the highest level of sensitivity classification of the information contained.
    - Label the top of each page including all internal pages, front covers, or title pages.
    - Where content is duplicated across formats, i.e., both digitally and on paper, then care should be taken that the same classification is assigned.
    - Ensure sensitivity is not marked in titles (e.g., in filenames, or e-mail subjects). Using terms such as “confidential” could compromise content by drawing undesired attention to the file.

14. The head of each office shall ensure that sensitive information is protected and accessed in accordance with *ST/SGB/2007/6 - Information Sensitivity, Classification and Handling* as elaborated in the 2010 *SOP on Access to Information*, and further detailed in the in the *InfoSec Guide: How to Classify and Handle Sensitive Data*. This shall include the following measures:

    - Documenting all access groups, rules and distribution lists relating to access and update this documentation annually.
    - Storing sensitive materials in hard copy or on external storage media in locked cabinets.
    - Secure storage and transmission of sensitive information and records both digitally and physically.
    - Transporting physical sensitive material in sealed envelopes or containers clearly marked as such.
    - Obtaining appropriate authorization for duplication or destruction.

15. All personnel are required to complete mandatory training on Records and Information management and Information Security Awareness.

D.3. Naming Folders and Files

16. To make it easier to find, use, and dispose of information and records, personnel shall give the information and records meaningful and consistent titles aligned with the best practice checklist below:

    - Use unique, consistent, short, meaningful names. Avoid vague names such as “Jane’s Files” or “Miscellaneous”.
    - Filename elements should be ordered according to their level of detail, from the general to the specific.
    - Use two-digit numbers, i.e., 01-99 not 1-99, unless they represent a year (in which four digits should be used), to make it easier to maintain the numeric order of files.
    - For dates, place years first, followed by months and days, i.e., YYYYMMDD, as per the International Standard ISO 8601 2001. This ensures records can be viewed chronologically.
    - Version numbers of documents created in MS Office applications should be shown in file names as “v”, then an appropriate number. For example, v1.0 or v2.0 for major changes and v1.1 or v.1.2 for minor edits. Indicate draft and final versions by writing “Draft”, or “Final” at the end.
    - Documents created in SharePoint automatically store a record of each version of a file. To reduce the number of versions stored, it is recommended to use the built-in versioning functionality, instead of creating separate files for each version.
    - Place surnames before initials or forenames to ensure correct alphabetical sorting when similar surnames exist in the same folder.
    - Avoid unhelpful or common words, such as “draft”, at the *start* of file names, to avoid grouping them together in search results.
    - Do not mark files with their sensitivity in titles. Using terms such as “confidential” could compromise content by drawing undesired attention to the file. Use access controls to prevent unauthorised access instead.
    - Describe organizational structure in reverse hierarchical order (most general first), i.e., *Department, Office/Division, Section/Unit*, e.g., Department of Operational Support, Facilities and Commercial Activities Service, Archives and Records Management Section.
    - Avoid using unfamiliar abbreviations or acronyms, especially if the information or records might be widely shared.
    - Document types should be included if there is a standard format. For example: MOU (Memorandum of Understanding), PO (Purchase Order), RS (Routing Slip).
    - If a document is country-specific, use either the full country name or ISO-alpha3 country coding See: https://unstats.un.org/unsd/methodology/m49/

17. The titles of information and records shall include, as relevant, the terms found in the FCS. For more detailed guidance, see *Naming Conventions: Guidelines for Files and Folders* and the *Digital Filing Guide.*

D.4. Establishing Filing Areas

Filing in all systems

18. The Head of each Office shall, through the Information Management Officer (IMO) or Information Management Focal Point (IM FP) in their office, establish authorized filing areas, either in digital or paper systems, for the storage of the information and records the office is responsible for. This shall include selecting systems that comply with approved sensitivity standards, for example, for storing strictly confidential content, and developing, implementing, and maintaining a security and access rights plan in all systems to ensure access to sensitive information is controlled.

19. Filing areas containing official records shall be separate from filing areas that contain non-records such as drafts, working files and reference material unless non-records are easily differentiated from records through metadata or titling.

20. Filing areas that contain records, regardless of format, shall support browsing records by the functions defined in the FCS.

21. The IMO or IM FP should take care to identify functions for which the office is Office of Record, i.e., the organizational unit designated for the maintenance, preservation, and disposition of official copies of records. Although they might keep copies, offices are not accountable for those records for which they are not responsible in any format.

22. Paper records must only be kept in circumstances where digital systems are not available, or where there is a legal or operational reason to keep records on paper, e.g., treaties or agreements. It is therefore not anticipated that field missions will now generate significant volumes of paper records. Nonetheless, if the need for paper systems arises, activity-level folders should be used, organized by relevant functions in the FCS. Coding of files should also follow the FCS, for example, folders should be prefixed with the relevant three-letter functional designator (e.g., BUF) followed by the name of the function and activity (e.g., Budget and Finance, 01: Planning and Strategy).

23. The field mission should maintain an inventory of both paper and digital records managed on external media containing sensitive information. Additionally, they should establish a plan for the immediate destruction of these records, if necessary, in the event of an emergency evacuation.

Filing in SharePoint

24. The IMO or IM FP shall request an MS Teams site in iNeed, then create it representing an FCS functional category for which the office creates or receives records, or as preferred with subsequent activities represented by metadata or folders. Officially created MS Teams sites must have a URL that follows the *Guideline on O365 Naming Convention and TEAMS + SPO Sites Creation*. Guidance will be given to site owners on this URL once the request has been submitted, if needed.

25. The FCS may then be used to assign an MS Teams site name typically representing a function, and FCS metadata for activities may be used instead of folders. It is recommended that offices align metadata to the FCS to standardize filing. The *Digital Filing Guide* provides guidance on using SharePoint metadata for this purpose.

26. When establishing filing areas for strictly confidential information, storage of large volumes of specialised file formats such as audio-visual materials, and critical entity-wide business processes such as correspondence management, the IMO or IM FP should ensure that appropriate technology options are selected in accordance with OICT guidance or based on consultation where no guidance exists.

Filing in other digital content management systems

27. In other authorised digital content management or record-keeping systems, where folder structures are used, high-level functional folders, and subsequent activity folders should follow the functions and activities described in the FCS.

28. The IMO or IM FP shall ensure that a folder structure is maintained corresponding to each functional category and subsequent activities, for which the office creates or receives records. Where function folders are used, each should be prefixed with the relevant three-letter functional designator (e.g., BUF) followed by the name of the function (e.g., Budget and Finance).

D.5. Access to Information

29. The Head of Office is responsible, with the support of the IMO or IM FP to ensure that access to sensitive information and records in all filing areas is restricted to authorized personnel in accordance with *ST/SGB/2007/6 - Information Sensitivity, Classification and Handling*, the *SOP on Access to Information* and the *InfoSec Guide: How to Classify and Handle Sensitive Data*.

30. Access to archives and non-current mission records shall be authorised by the Head of Entity in accordance with the SOP on Access and Declassification of Archives and Non-Current Records.

31. The release and public disclosure of current information shall be authorised by Head of Entity (or delegated to Mission Chief of Staff) in accordance with the SOP on Public Disclosure of Current Information.

32. Access to records from closed missions still not ready for disposition shall be authorised by the Head of Office of the "successor office of record".

D.6. Identifying Records

33. Personnel shall ensure that records in any format, either created or received in connection with the work of the United Nations, are saved in the records filing area for their office. All records in all formats are the property of the Organization.

34. To determine whether information should be filed (declared) as a record, personnel should consider:

    - Is the document/item an official record?
    - and if so, are you the person who should keep the record?

35. Only if the answer to both questions is 'yes' should the document or item be declared as a record by filing in the appropriate location in the records filing area. Please see Figure.1 below for additional information.

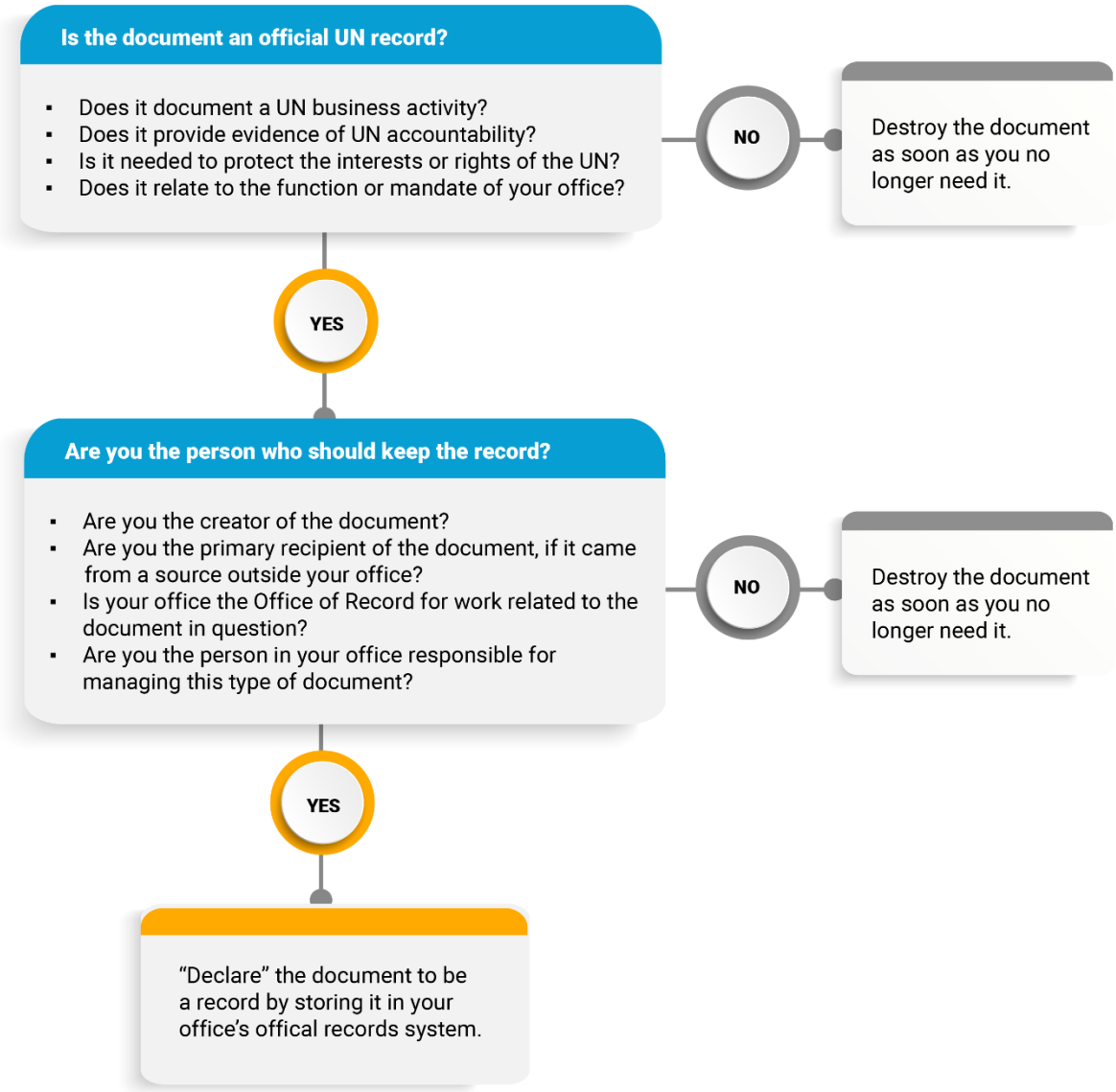

Figure 1: Is the Document a UN Record?

D.7. Filing (Declaring) Records

36. As per *ST/SGB/2007/5 Record-keeping and the Management of United Nations Archives*, personnel are responsible for keeping records in all formats, including digital, e-mail and paper records, created or received in connection with, or as a result of, the official work of the United Nations.

Digital Records

37. Personnel shall file digital records in the appropriate place in the system and records filing area established for the office.

38. Personnel shall file records in relation to the function or activity in the FCS for which the records were created or received. For example, an aircraft inspection report should typically be filed under the function MOV_Movement and Transport, and in an activity, folder labelled "Air Transport: Aircraft Inspection" or using metadata corresponding to this.

39. In SharePoint sites, filing at the function level should typically be determined at the site level, e.g., in a site for the MOV_Movement and Transport function, with subsequent filing either being in activity-level folders or using metadata to represent these.

40. For easier management and review of records, personnel shall attempt to group records together into logical groupings using folders or metadata. Examples include the use of yearly folders, case file folders or metadata to represent these.

41. All personnel have their own OneDrive for Business for storing personal content and drafts, nonetheless personnel shall ensure they store final versions of documents in official systems. Advice on where to store different types of files can be found in the *File Storage and Sharing Guidelines*.

42. Personnel shall not store United Nations records on personal computers, removable media, or with third-party online storage vendors such as Dropbox or Google Drive. The use of these should be restricted to genuinely personal or publicly available information. *ST/SGB/2004/15 Use of ICT Resources and Data* provides for limited personal use of these ICT resources.

Paper Records

43. In the rare situations where offices still create or receive paper records, personnel shall file any originals they create or receive in an appropriate folder corresponding to the contents of the record.

Non-records

44. Personnel in offices that use an integrated filing structure for records, non-records and reference material shall ensure that useful non-records and reference material are clearly differentiated from records. This may be done by either storing files in clearly differentiated folders, for example with titles such as “working files” or “reference”, or by applying appropriate metadata.

45. Offices which choose to combine both records and non-records in records filing areas shall ensure that records filing areas are cleaned-up and content disposed of on a periodic basis in accordance with the procedures described below.

D.8. Disposing or Migrating Information and Records

Records Review

46. Annually, or when there is a change to the entity, office or project's mandate, organizational chart or information system, the IMO or IM FP shall initiate a clean-up of information and records systems and filing areas for records in all formats.

47. The IMO or IM FP, acting under the authority of the Head of Office, shall review all content filed in office systems, to correct misfiling, destroy non-records, for example drafts, or superseded reference material, and apply disposition actions to records no longer required and subject to either disposal or transfer to archives where the retention code is P (permanent). This process of review is known as disposition and the acts of disposing or transferring are disposition actions.

48. The IMO or IM FP shall use the retention schedule to identify records that have reached the end of their retention period, are no longer required for reference purposes (i.e., are inactive), or the ones for which the office or business unit is not the Office of Record.

49. Mission records are considered inactive either when the mission closes or seven years after the records were created. For missions lasting longer than seven years, IMO or IM FP should review records at that time. As a risk mitigation measure, all paper records which are not yet eligible for disposal in accordance with the retention schedule, and are older than seven years, must be transferred to ARMS in New York.

50. In digital systems, staff must be mindful of "legacy" records and information, where the retention code is P (permanent), and which may have long-term legal, accountability, or historical value. For example, unique or orphaned records previously migrated from other legacy systems, e.g., from shared drives. Such archives will typically be records that document the core functions, substantive work and management of the UN and should also be transferred to ARMS.

51. Although a records review may be triggered by storage capacity issues, content should only ever be disposed after first following these guidelines.

52. Personal or draft information shall be removed from official systems or filed in staff members OneDrive for Business.

Apply Disposition Action

53. The IMO or IM FP shall obtain authorization from the unit from which records originate before destroying any records, in accordance with the retention schedule detailed in the FCS.

54. The authorization shall include the relevant function and activity, retention schedule number, earliest and latest dates of creation, file sizes (for digital), linear feet (for paper) and sensitivity classification. The form should be signed by the IMO or IM FP as well as the head of the originating office.

55. It should be noted that since missions have temporary mandates, their records are often only eligible for destruction well after the mission closes. Therefore, the retention schedules in Annex B include the designation of a "successor office of record" at Headquarters (when available) who shall either authorize the disposal of information and records or extend their retention as necessary.

56. In accordance with Section 4 of *ST/SGB/2007/5*, if the retention schedule does not provide disposition instructions for a particular record series, the record series may not be destroyed without signed authorization of the Chief, ARMS.

57. At the end of mission mandate or liquidation, the IMO or IM FP shall coordinate with ARMS the transfer of all paper and digital records, whose retentions have not expired. ARMS will

provide support to facilitate the appraisal of the records and identify suitable repositories under the control of ARMS and OICT.[2]

58. Initial retention of digital records in SharePoint is determined during site creation as per the Enterprise Retention, or "big buckets" defined in the *Guideline on O365 Naming Convention and TEAMS + SPO Sites Creation* and shown at the top of each function in the FCS. This indicates the minimum period at the function level before digital records are considered inactive and reviewed for disposition. Where the function is permanent, review should be triggered as per the records review procedures above.

59. Record copies, for which an office is not Office of Record, may be destroyed as part of routine clean-up.

Digital Records Migration

60. When there is a change in information system, entity, or office and after a content review, digital information and records may be migrated to another system while taking care to maintain their authenticity, integrity, and usability. One of three approaches will be taken:

- Migrate all valuable records and information to a new system.
- Set content to read only then migrate content to lower cost storage or where the retention code is P (permanent) to ARMS systems.
- Migrate a portion, i.e., the last two years to a new system, then migrate the remaining content to lower cost storage or ARMS.

61. In all approaches the IMO or IM FP shall first conduct a records and information review and develop a migration plan, including:

- Notifying all personnel of the migration and their role in the process.
- Reconfirming or developing new access groups or rules to ensure continuity in the protection of sensitive materials and communicating this to personnel.
- Replicating filing structures in the new system or ensuring they can be replicated through metadata.
- Deciding cut-off and migration dates, timescales for read-only access, and final disposition for old records and information if required (typically after around six months).
- Providing personnel with a mapping of their content in the new system.

62. The IMO or IM FP should engage with OICT via the office ICT focal point to discuss an appropriate choice of new system.

63. To migrate content to lower cost storge or permanent records to ARMS, the IMO or IM FP should contact ARMS or OICT to discuss options.

[2] Contact: arms@un.org

E. ROLES AND RESPONSIBILITIES

E.1. Head of Entity

64. The Head of Entity, or Chief of Staff (if delegated) is accountable for:

- Promulgation and enforcement of this SOP;
- Appointing a qualified Information Management Officer (IMO) or Information Management Focal Point (IM FP) for the Entity;
- Ensuring all personnel complete mandatory training in information sensitivity and handling, and that the IMO or IM FP complete appropriate training for any systems deployed;
- Authorizing records disposition in accordance with the retention schedule found in Annex B of this SOP.

E.2. Entity Information Management Officer or Information Management Focal Point

65. The Information Management Officer (IMO) or Information Management Focal Point (IM FP) is responsible for:

- Managing the implementation of this SOP within the entity and acting as a Focal Point for office IM FPs;
- Acting as an ICT Focal Point for the entity, or at a minimum coordinating with a designated ICT Focal Point appointed by the Head of Entity;
- Maintaining a network of Office IM FPs and ensuring they are appropriately training;
- Planning for and overseeing the migration of records when needed in coordination with OICT;
- Ensuring that mission's IM Focal points conduct routine annual disposition of records using a retention schedule.

E.3. Head of Office

66. The Head of Office is responsible for:

- Circulating this SOP and enforcing its implementation within the Office;
- Designating an Information Management Officer or Focal Point (IM FP) for the Office;
- Ensuring personnel are aware of their responsibilities for records management and handling sensitive information;
- Ensuring access to sensitive information is controlled and approving an access rights plan;
- Ensuring all personnel complete mandatory training in information sensitivity and handling, and that the IMO or IM FP complete relevant training for any systems deployed;
- Supporting the IMO or IM FP and personnel in planning and implementing records and information migrations and signs-off on migration plans;
- Authorizing records disposition in accordance with the retention schedule found in Annex B of this SOP.

E.4. Office Information Management Officer or Information Management Focal Point

67. The Information Management Officer (IMO) or Information Management Focal Point (IM FP) for the office is responsible for:

- Managing the implementation of this SOP, acting as a Focal Point for personnel;
- Acting as an ICT Focal Point for the office;
- Ensuring office filing systems reflect the FCS and other provisions of this SOP;

- Ensuring security and access rights plans are developed by each office and applied to filing systems or folders in them, according to access guidance;
- Establishing and promoting applicable naming conventions as per this document;
- Introducing new personnel to this SOP and coordinating with departing personnel to ensure their personal records and information are either disposed in accordance with the retention schedule or retained as part of the office of record's filing system;
- Planning for and overseeing the migration of records when required in coordination with the Entity IMO/FP and OICT;
- Ensuring routine annual disposition of records using a retention schedule.

E.5. Mission's ICT function/OICT

68. The Mission's ICT function or OICT are responsible for:

- Working with the Entity IMO or IM FP, and with the ICT Focal Point as needed, to determine an appropriate technical configuration for SharePoint sites;
- Providing network and technical support, including service availability, security, capacity, migration, and backup;
- Ensuring security, sensitivity and access rights are applied to servers, software and systems used to manage information.

E.6. All Personnel

69. All personnel are responsible for:

- Following the guidance in this document;
- Correctly filing records in designated areas;
- Naming information and records in accordance with relevant naming conventions;
- Separating non-record drafts from final versions and filing them correctly;
- Completing mandatory training for records and information management and sensitivity;
- Ensuring sensitive information is appropriately handled.

F. ABBREVIATIONS, TERMS AND DEFINITIONS

70. For the purposes of this SOP, the following terms and definitions apply:

Abbreviations	Definitions
ARMS	Archives and Records Management Section of the United Nations Department of Operational Support
DFS	The former United Nations Department of Field Support
DOA	Division of Administration of the United Nations Department of Operational Support
DOS	The United Nations Department of Operational Support
DPKO	The former United Nations Department of Peacekeeping Operations
DPO	The United Nations Department of Peace Operations
DPPA	The United Nations Department of Political and Peacebuilding Affairs
FCAS	Facilities and Commercial Activities Service of the United Nations Department of Operational Support

Abbreviations	Definitions
FCS	File classification scheme
ICT	Information and communications technology
IM FP	Information Management Focal Point
IMO	Information Management Officer
IMU	Information Management Unit under the Office of the Director for Coordination and Shared Services of the United Nations Department of Political and Peacebuilding Affairs and the United Nations Department of Peace Operations
ODCSS	Office of the Director for Coordination and Shared Services of the United Nations Department of Political and Peacebuilding Affairs and the United Nations Department of Peace Operations
OICT	The United Nations Office of Information and Communications Technology
PHRS	Peacekeeping Headquarters Retention Schedule
PORS	Peacekeeping & Political Operations Retention Schedule
RCUN.P	Records Common to United Nations Peacekeeping and Political Operations
SGB	Secretary-General's bulletin
SOP	Standard operating procedure
SPO	SharePoint Online

Terms	Definitions
Active Record	Records in frequent use, regardless of their date of creation, required for current business relating to the administration or function of the organization.
Archives	Permanent records maintained for their continuing use and value. This value may be historical, legal, administrative, fiscal, or as evidence of the official business of the UN.
Document	Recorded information or object, regardless of format or medium, which can be treated as a unit.
Disposition	The range of processes associated with a record as it goes through its life cycle; common examples of disposition processes are file transfer and file destruction.
Disposition Trigger	Any event that initiates a disposition action, such as the completion of a business activity or the end of a mission.
Digital (or Electronic) Records	Records that are communicated and maintained by means of digital equipment.
File classification scheme (FCS)	A system that describes standard categories and that is used to organize records with common characteristics.
Inactive Record	Records or data, regardless of form or medium, that are no longer actively used or regularly referred to as evidence and information in the support of daily operations but that still hold administrative, legal, financial, or informational value in support of ongoing UN business.
Information	Data, such as facts, concepts, or instructions that have been given meaning through communication, interpretation, or processing.

Terms	Definitions
Information Management Officer/Focal Point	A personnel member responsible for coordination of activities in an office or unit to support the implementation of information management policy and procedures, for example SOPs.
Information Security	The policies, procedures and practices required to maintain and provide assurance of confidentiality, integrity, and availability of information.
Migration	Moving records or information from one system to another while maintaining their authenticity, integrity, reliability, and usability.
Office of Record	The Organizational Unit designated for maintenance, preservation, and disposition of record (official) copies.
Personnel	Refers to all United Nations staff members and non-staff personnel, including consultants, contractors, interns or anyone with access to the information and communication technology systems of the United Nations.
Record-keeping Systems	Information systems that capture maintain and provide access to records through time. A record-keeping system can consist of technical elements such as software, which may be designed specifically for managing records or for some other business purpose, and non-technical elements including policy, procedures, people, and other agents, and assigned responsibilities.
Record (or official record)	Information, regardless of medium, form, or format, created, received, and maintained as evidence and as an asset by the UN, in pursuit of legal obligations or in the transaction of business. The evidential value of records may be historical, legal, administrative, fiscal, or other. The term “records” is intended to be widely interpreted and includes such diverse forms of information and evidence as: textual records such as memos, reports, invoices, contracts, etc.; digital records such as emails, databases, Internet or Intranet content, etc.; social media content, such as instant messages, Twitter messages, wikis, blogs, podcasts, etc.; publications, including reports, books, and magazines; films; sound recordings; photographs; documentary art; graphics; maps; and artefacts.
Records management	The field of management responsible for the efficient and systematic control of the creation, receipt, maintenance, use, and disposition of records, including processes for capturing and maintaining evidence about business activities and transactions in the form of records.
Records Retention Schedule	A comprehensive instruction covering the disposition of records to ensure that they are retained for as long as necessary based on their administrative, fiscal, legal and historic value.
Sensitive Information	Information or material whose unauthorized disclosure could reasonably be expected to cause damage to the work of the United Nations.
Staff	Refers to all staff members of the Secretariat, in the meaning of Article 97 of the Charter of the United Nations, whose employment and contractual relationship are defined by a letter of appointment subject to regulations promulgated by the General Assembly pursuant to Article 101, paragraph 1, of the Charter. *ST/SGB/2010/6*.
Unit	A unit is the smallest element in the organizational structure.

Terms	Definitions
Vital record	A record that is necessary to ensure the ongoing operation of a mission in the event of a disaster or other disruption to normal operating conditions.

G. REFERENCES

71. Normative or superior references:

    A. SGB on *Record-keeping and the Management of United Nations Archives (ST/SGB/2007/5)*
    B. SGB on *Information Sensitivity, Classification and Handling (ST/SGB/2007/6)*
    C. SGB on *Use of Information and Communication Technology Resources and Data (ST/SGB/2004/15)*

72. Related procedures or guidelines:

    A. *SOP on Access to Information (2010.36)*
    B. *SOP on Access and Declassification of Archives and Non-Current Records (2006.3.Amend. 2)*
    C. InfoSec Guide: How to Classify and Handle Sensitive Data (2017)
    D. *Digital Filing Guide (2021)*
    E. *Guideline on O365 Naming Convention and TEAMS + SPO Sites Creation (2019)*
    F. *UN File Storage and Sharing Guidelines (2022)*
    G. *Naming Conventions: Guidelines for Files and Folders (2020)*

H. MONITORING AND COMPLIANCE

73. Entity Information Management Officers (IMO) or Information Management Focal Points (IM FP), in consultation with DPPA-DPO IMU, DOS ARMS and OICT IM Team shall routinely monitor compliance with this SOP.

I. HISTORY

74. The Peacekeeping & Political Operations Retention Schedule (PORS) v.1 was developed in 2006.

75. Guidelines on use of the Peacekeeping File Classification Scheme was approved on 16 December 2008.

76. PORS v.2 was approved on 13 January 2009. The guidelines on the use of PORS were issued and approved on 20 November 2009.

77. The Peacekeeping Headquarters Retention Schedule (PHRS) v.1 was approved on 13 January 2009.

78. PHRS v.2 was approved on 29 November 2009 and became effective 1 August 2011.

79. Records Common to UN Peacekeeping and Political Operations (RCUN.P) became effective on 1 August 2011.

80. PORS v.3 became effective 1 August 2011.

81. DPKO/DFS SOP on Information Filing, Labelling and Clean-up was developed and approved in 2016.

82. United Nations Missions: Information and Records Management (this document) supersedes the Guidelines on Use of the Peacekeeping File Classification Scheme, Use of the

Peacekeeping & Political Operations Retention Schedule (PORS) v.3, Use of the Peacekeeping Headquarters Retention Schedule (PHRS) v.2, RCUN.P, the Peacekeeping FCS crosswalk to United Nations retention schedules and the DPKO/DFS SOP on Information Filing, Labelling and Clean-up.

Annex A: Guide to the United Nations Missions File Classification Scheme and Records Retention Schedule

Overview of the FCS

The United Nations Missions File Classification Scheme (FCS) is an alphanumeric filing system designed for all United Nations Missions business units. The FCS is designed for use in all records management systems.

The FCS:

- Enables work units to organize records they create or receive in logical and consistent ways.
- Enables work units to find records by navigating through the FCS hierarchy of United Nations Missions business functions and activities either through folder structures or metadata.
- Enables United Nations Missions to implement records management policies by linking FCS categories to records retention schedules, thereby facilitating the timely transfer, disposition, and archiving of records.

Any work unit may use any FCS file category. For example, the HRM (Human Resources) function is not reserved solely for the use of the Mission Personnel Section, and the BUF function (Budget and Finance) is not just for the use of the Mission Finance Section. All offices should use any of the categories that they need to maintain and easily retrieve records they create and receive. However, when it comes to clean-up or disposition each office must be aware that they are only responsible for content for which they are the Office of Record.

Structure of the FCS

The FCS is a two-tier coding system, where the first tier corresponds to primary business functions, and the second corresponds to business activities under those functions.

First-Tier Categories (Functions)

Each filing code begins with a three-letter alphabetical designator, which collectively are the first-tier functional categories. The 27 functional categories are:

Abbreviation	Function
BUF	Budget and Finance
CIV	Civil Affairs
DDR	Disarmament, Demobilization, Reintegration
DMS	Office of the Director (or Chief) of Mission Support
ELE	Elections
FEN	Facilities and Engineering

GEN	Gender
GOV	Governance
HOM	Office of the Head of Mission
HRM	Human Resources
HRT	Human Rights
HUM	Humanitarian
JPC	Justice, Prisons and Corrections
LAE	Law Enforcement
LEG	Legal Affairs
MAT	Management and Integration
MIL	Military
MIN	Mine Action
MOV	Movement and Transport
OVE	Oversight
POL	Political Affairs
PRO	Procurement and Contracts Management
PRP	Property Management
PRT	Protection
PUC	Public Information and Communication
SSM	Safety and Security Management
SSR	Security Sector Reform

As of the 2019 UN restructuring of the United Nations peace and security pillar, ICT records are no longer represented by their own function, they are now managed by Headquarters OICT and come under the separate *ICT Data Retention Schedule* (2021). Nonetheless, ICT records can still be managed as per this SOP and filed in a structure reflecting their own schedule.

Standard Second-Tier Categories (Activities)

Under each first-tier category, are the numbered second-tier categories, which correspond to business activities. The first six second-tier categories (-01 through -06) are standard categories that appear under all first-tier functional categories. They are:

Number	Title
[First Tier]-01	Planning, Strategy
[First Tier]-02	Policy, Procedure, Best Practice
[First Tier]-03	Coordination, Partnership
[First Tier]-04	Monitoring, Reporting
[First Tier]-05	Capacity Building
[First Tier]-06	Reference

Non-Standard Second-Tier Categories

After the first six numbers (01-06), numbers are arbitrarily assigned to activities unique to one or only some of the functional categories. For example, HRM-10 is reserved for file folders or metadata relating to Staffing table management (inherently a human resources activity); HRT-09 is reserved for file folders or metadata relating to Promoting and protecting rights (inherently an activity related to Human Rights), and so on.

Using the FCS

Selecting a First-Tier Category

Refer to the Description and Notes field of the FCS for guidance and definitions.

Selecting a Standard and Non-standard Second-Tier Category

Refer to the Description and Notes field of the FCS for guidance and definitions.

Filing "Correspondence" or e-mail

There is no single place to file official "correspondence" including e-mails, however offices are encouraged to leverage mission-wide or enterprise systems whenever available, based on the advice of the entity IMO/FP. Filing decisions must always be based on the function or activity to which the correspondence relates. Consideration must also be given to who initiated the correspondence and who performed the action(s) (if any) based on the correspondence. Only certain types of correspondence meet the criteria of a business record and only business records need to be filed using the FCS.

Filing "General" Records

If a record is considered "general" then it is more than likely that it does not serve as evidence of any business-specific transaction and therefore is not a record at all. Nevertheless, a special category, -06 (Reference), is reserved for such documents.

Filing Meetings Records

Records for regularly scheduled meetings should be placed in file folders coded as -01 (Planning, strategy).

Meetings with external partners/agencies, or between two or more missions, should be placed in file folders coded as -03 (Coordination, partnership).

Other meeting records should be placed in a file folder bearing the code of the function or activity to which the meeting relates. For example, a file folder relating to a series of policy meetings should be coded as -02 (Policy, procedure)

Choosing Between Two or More Categories

In many cases, business records cover more than one business function, activity, or United Nations mission. In such cases, follow these rules:

- *Rule of Two*: When a record covers two business functions, activities, or United Nations Missions, place on file bearing the code of the function, activity, or peacekeeping mission treated more fully.
- *First-of-Two Rule:* If two functions, activities, or United Nations Missions receive equal treatment, and one is not simply used to introduce or explain the other, place the record in the file folder bearing the code that comes alphabetically or numerically first.
- *Rule of Three:* When a record covers three or more business functions, activities, or United Nations Missions, place in a file folder bearing the first higher number that includes them all (unless one function, activity, or mission is treated more fully than the others). For functional categories, use MAT (Management and Integration) to serve this purpose.

Chronological Files

Many offices retain copies of documents and records in a chronological file. Offices may, if they choose, continue to maintain chronological files, but they must ensure that all official records are filed according to the FCS and that the chronological file contains only duplicates of these records maintained for convenience of reference.

Overview of the United Nations Missions Records Retention Schedule

The retention schedule, which is integrated with the FCS, authorizes United Nations Missions to effect specified disposition of their records without the prior approval of ARMS. The retention schedules detail the period that records need to be retained after they are created or after a specific event (e.g., end of a contract or separation from the Organization).

Retention Codes

There are four retention codes as shown in the table below. “T” and “E” are considered event-based triggers; “P” signifies that the records have enduring value and therefore should be kept permanently as UN archives. “C” refers to the current year the records are created.

Retention codes

Code	Name	Description
C	Current year	Retain until the end of calendar year
E	End of Mission	Retain until the mission closes
P	Permanent	Retain permanently
T	Trigger Event	Retain until termination, settlement, or completion of trigger event

For example, in the Movement and Transport function, movement control/shipping records created in May 2020 with the retention C+5, will be kept until the end of December 2025 and destroyed after 1st of January 2026.

Disposition Codes

Disposition codes indicate what will happen to the records when they have passed their retention period and are no longer needed for business purposes. The disposition codes are as follows:

Disposition codes

Code	Name	Description
A	Archive	Records should be archived
D	Destroy	Records should be destroyed

Where missions are not expected to create records as the Office of Record, the records retention schedule is greyed out and the retention T (termination) D (destroy) is given. In this case, disposition of the records can be done by the office or unit when the records are superseded or no longer useful.

Office of Record

The function or office listed in the Office of Record column is responsible for keeping and preserving the official copy of that record. Caveat: Due to slight variations in naming conventions among missions, the name of the Office of Record may not match exactly with the equivalent office in your mission. Consult your mission's Information Management Officer for any clarifications.

Successor Office of Record

The office listed in the Successor Office of Record column is responsible for access and disposition actions to those records which must be retained beyond the official operating time of the mission. These offices shall authorize the disposal of information and records or extend their retention as necessary beyond the approved retention.

Vital

Vital records are records that the mission would need to continue its normal activities in the event of a disaster or emergency. Record series that are considered vital across all missions have been indicated with the letter "V". A mission's Information Management Officer or Focal Point should identify any additional vital records series through the implementation of a mission vital records programme.

Vital records are not necessarily permanent records. Vital records protection periods are frequently shorter than the retention period of the record. Vital records are specially protected only for the period when their uniqueness warrants protection. For example, accounts receivable are vital records only until the payment has been received and booked. Each mission must develop its own vital records programme.

Drafted by Ian Meldon 2023

Annex B: United Nations Missions Files Classification Scheme and Records Retention Schedule

United Nations Field Missions File Classification Scheme and Records Retention Schedule December 2023										
File Classification Scheme				*Records Retention Schedule*						
Function	*Activity No.*	*Activity Name*	*Description and Notes*	*Retention Period*	*Disposition*	*Office of Record*	*Successor Office of Record*	*Retention Code*	*Vital*
Budget and Finance (BUF)	**BUF**	Records related to budget, finance and accounting.		OICT Enterprise Retention: BUF (10 Years)					
	01	Planning, strategy	Records relating to the planning and strategies of the Office's administrative, substantive and logistical activities.	T	D	Copies of HQ records, destroy when no longer needed	N/A		
	02	Policy, Procedure, Best Practice	Records relating to the policies and procedures of the Office's initiatives and activities including official policies, procedures, directives, instructions, guidelines. Guidance and best practice documents/records, including mission-developed standard operating procedures, lessons learned reports or after-action reviews should be submitted to peacekeeping-bestpractices@un.org (for peacekeeping operations) or dppa-policy@un.org (for special political missions) for possible inclusion in the Policy and Practice Database. Copies of policies and procedures written by headquarters offices should be considered reference documents and disposed of when no longer needed.	P	A	Mission Finance Section	TBD	PKO-BUF-201	
	03	Coordination, partnership	Records relating to the Office's interaction with other entities; include collaborated work with other UN Departments, governmental/non-governmental organizations, local/civil institutions and all other entities.	T	D	Copies of HQ records, destroy when no longer needed	N/A		
	04	Monitoring, reporting	Records relating to the Office's monitoring, reporting, assessing, and analysing of programs, activities, and initiatives.	C + 5, E	D	Mission Finance Section	N/A	PKO-BUF-202	
	05	Capacity Building	Records relating to institutional and individual capacity building initiatives with local governmental agencies, non-governmental organizations (NGOs), community based organizations and other non-UN agencies.	T	D	Copies of HQ records, destroy when no longer needed	N/A		
	06	Reference	Reference documents supporting the Office's work. Special Instructions: Reference documents are not considered records, should not be declared as records and should be disposed of when no longer needed.	T	D	N/A	N/A		
	07	Accounts Payable	Records of all accounts to be paid. Post-mission closure invoices and credit notes; files pertaining to the analysis of troop/FPU strength reports for the calculation of standard reimbursement; payment authorization memoranda for troop/FPU and COE/SS costs. Special instructions: Supporting documentation for reimbursements to T/PCCs (e.g. Uniformed Strength and Quarterly Verification Reports) must be kept permanently under FIN - Peacekeeping Financing Division retention 202	C + 5, E	D	Mission Finance Section	N/A	PKO-BUF-202	V
	08	Accounts Receivable	Supporting documentation for settled and non-settled cases, such as invoices, credit notes, debit advices, notification letters to staff members, and statements of monthly accounts for special agencies. Special instructions: Supporting documentation for cost-recovery to T/PCCs (e.g. for National Support Element and negligent claims) must be kept permanently under FIN - Peacekeeping Financing Division retention 202	C + 10	D	Mission Finance Section	TBD	PKO-BUF-203	
	09	Bank Reconciliation	Bank reconciliations, debit/credit advices, bank statements, cleared checks.	C + 5, E	D	Mission Finance Section	N/A	PKO-BUF-202	

File Classification Scheme				Records Retention Schedule					
Function	*Activity No.*	*Activity Name*	*Description and Notes*	*Retention Period*	*Disposition*	*Office of Record*	*Successor Office of Record*	*Retention Code*	*Vital*
Budget and Finance (BUF)	**BUF**	Records related to budget, finance and accounting.		OICT Enterprise Retention: BUF (10 Years)					
	10	Cancellation of financial actions	Cancellation vouchers with supporting documentation such as cancelled/voided checks.	C + 10	D	Mission Finance Section	TBD	PKO-BUF-203	
	11	Claims review	Records include claims relating to staff and other UN-affiliated individuals, 3rd party cases related to formed police units or military contingents, 3rd party cases other than those related to formed police units or military contingents, and death and disability. Major claims case files submitted by field missions to UNHQ for review (including Claims Review Board minutes, investigation reports, etc.); major claims cases filed after mission closure. Claims case files (claim and invoice from permanent mission, medical review from UNHQ/DOS/OSO/DHMOSH, confirmation NOTICAS from field, etc. which should be made available in EarthMed).	P	A	UNHQ OPPFB FOFD (major claims) or Mission Claims Unit (minor claims)	TBD	PKO-BUF-201	V
	12	Disbursement	Disbursement: check registers	C + 5	D	Mission Finance Section	TBD	PKO-BUF-202	
	13	General Ledger	General ledger transferred from field accounting system, including daily postings and trial balance.	P	A	Mission Finance Section	TBD	PKO-BUF-201	
	14	Inter-Office Billing	Post-mission closure records relating to inter-office billing and inter-office billing reconciliation, such as rejection letters and requests for additional information.	C + 5	D	Mission Finance Section	TBD	PKO-BUF-202	
	15	Financial Liquidation	Records relating to the financial liquidation of the mission.	C + 5	D	Mission Finance Section	TBD	PKO-BUF-202	
	16	Treasury Management	Records relating to treasury management	C + 5	D	Mission Finance Section	TBD	PKO-BUF-202	
	17	Trust Fund Administration	Information pertaining to the mission-level administration of trust funds including delegation of certifying officers; allotment advices, mission finance records and correspondence. T = closure of trust fund.	T + 10	D	Mission Finance Section/Trust Fund Unit	TBD	PKO-BUF-204	
	18	Vouchers	Records recording a liability or allowing for the payment of a liability, or debt.	C + 5	D	Mission Finance Section	TBD	PKO-BUF-202	
	19	Write-off submission	Records substantiating published financial statements.	C + 5	D	Mission Finance Section	TBD	PKO-BUF-202	

File Classification Scheme				Records Retention Schedule					
Function	*Activity No.*	*Activity Name*	*Description and Notes*	*Retention Period*	*Disposition*	*Office of Record*	*Successor Office of Record*	*Retention Code*	*Vital*
Civil Affairs (CIV)	**CIV**	Records relating to work to support the implementation of mandates sub-nationally to protect civilians; address inter-communal conflicts; support the extension of State authority; and strengthen the social and civic conditions necessary for peace.		OICT Enterprise Retention: CIV (Permanent)					
	01	Planning, strategy	Records relating to the planning and strategies of the Office's administrative, substantive and logistical activities. Records relating to civil affairs-related operational support and strategy provided to specific missions.	P	A	Mission Civil Affairs Component	UNHQ DPO/DPET/PBPS/CAT	PKO-CIV-201	
	02	Policy, Procedure, Best Practice	Records relating to the policies and procedures of the Office's initiatives and activities including official policies, procedures, directives, instructions, guidelines. Guidance and best practice documents/records, including mission-developed standard operating procedures, lessons learned reports or after-action reviews should be submitted to peacekeeping-bestpractices@un.org (for peacekeeping operations) or dppa-policy@un.org (for special political missions) for possible inclusion in the Policy and Practice Database. Copies of policies and procedures written by headquarters offices should be considered reference documents and disposed of when no longer needed.	P	A	Mission Civil Affairs Component	UNHQ DPO/DPET/PBPS/CAT	PKO-CIV-201	
	03	Coordination, partnership	Records relating to the Office's interaction with other entities; include collaborated work with other UN Departments, governmental/non-governmental organizations, local/civil institutions and all other entities.	P	A	Mission Civil Affairs Component	UNHQ DPO/DPET/PBPS/CAT	PKO-CIV-201	
	04	Monitoring, reporting	Records relating to the Office's monitoring, reporting, assessing, and analysing of programs, activities, and initiatives. Records relating to civil affairs activities, liaison and representation, information gathering and monitoring, conflict analysis, early-warning indicators, analysis of overall mission impact, supporting coordination and cohesion amongst mission actors, coordination with/of local and regional level external partners. Ad-hoc reports from the field relating to civil affairs activities. Special Instructions: It is recommended that monitoring and reporting is organized by core roles.	P	A	Mission Civil Affairs Component or Office of the HoM	UNHQ DPO/DPET/PBPS/CAT	PKO-CIV-201	
	05	Capacity Building	Records relating to institutional and individual capacity building initiatives with local governmental agencies, non-governmental organizations (NGOs), community based organizations and other non-UN agencies. Records relating to the Functions training initiatives.	P	A	Mission Civil Affairs Component	UNHQ DPO/DPET/PBPS/CAT	PKO-CIV-201	
	06	Reference	Reference documents supporting the Office's work. Special Instructions: Reference documents are not considered records, should not be declared as records and should be disposed of when no longer needed.	T	D	N/A	N/A		

File Classification Scheme				Records Retention Schedule					
Function	*Activity No.*	*Activity Name*	*Description and Notes*	*Retention Period*	*Disposition*	*Office of Record*	*Successor Office of Record*	*Retention Code*	*Vital*
Civil Affairs (CIV)	**CIV**	Records relating to work to support the implementation of mandates sub-nationally to protect civilians; address inter-communal conflicts; support the extension of State authority; and strengthen the social and civic conditions necessary for peace.		OICT Enterprise Retention: CIV (Permanent)					
	07	Confidence Building: Conflict Resolution, Reconciliation	Records relating to promoting good relations between mission and the population; town hall meetings and public briefings; narrative information about Quick Impact Projects (QIPs); records relating to support to civil society efforts to promote a culture of peace, support to dialogue between groups in conflict, promotion of the interests of excluded groups, and addressing specific conflict drivers.	P	A	Mission Civil Affairs Component	UNHQ DPO/DPET/PBPS/CAT	PKO-CIV-201	
	08	Restoration and Extension of State Authority	Records relating to civic education activities, pre-election political fora, support to structured dialogue between authorities and relevant interest groups, support to the development of structures for accountability and transparency; logistics and administrative support, support to resource mobilisation efforts, support to policy, planning and decision-making, implementation of capacity-building programmes, preliminary assessment of capacity-building and support needs, and support to state institutions at the central level.	P	A	Mission Civil Affairs Component	UNHQ DPO/DPET/PBPS/CAT	PKO-CIV-201	

File Classification Scheme				Records Retention Schedule					
Function	*Activity No.*	*Activity Name*	*Description and Notes*	*Retention Period*	*Disposition*	*Office of Record*	*Successor Office of Record*	*Retention Code*	*Vital*
Disarmament, Demobilization, Reintegration (DDR)	**DDR**	Records relating to the disarmament, demobilization, and reintegration of people.		OICT Enterprise Retention: DDR (Permanent)					
	01	Planning, strategy	Records relating to the planning and strategies of the Office's administrative, substantive and logistical activities. DDR programme documents, operational plans, resource mobilization strategies (assessed and voluntary).	P	A	Mission DDR Component	UNHQ DPO/OROLSI	PKO-DDR-201	
	02	Policy, Procedure, Best Practice	Records relating to the policies and procedures of the Office's initiatives and activities including official policies, procedures, directives, instructions, guidelines. Guidance and best practice documents/records, including mission-developed standard operating procedures, lessons learned reports or after-action reviews should be submitted to peacekeeping-bestpractices@un.org (for peacekeeping operations) or dppa-policy@un.org (for special political missions) for possible inclusion in the Policy and Practice Database. Copies of policies and procedures written by headquarters offices should be considered reference documents and disposed of when no longer needed.	P	A	Mission DDR Component	UNHQ DPO/OROLSI	PKO-DDR-201	
	03	Coordination, partnership	Records relating to the Office's interaction with other entities; include collaborated work with other UN Departments, governmental/non-governmental organizations, local/civil institutions and all other entities. Records relating to the roles and responsibilities of implementing partners (UN and non-UN).	P	A	Mission DDR Component	UNHQ DPO/OROLSI	PKO-DDR-201	
	04	Monitoring, reporting	Records relating to the Office's monitoring, reporting, assessing, and analysing of programs, activities, and initiatives. Reports relating to monitoring and evaluation of DDR activities and programmes.	P	A	Mission DDR Component or Office of the HoM	UNHQ DPO/OROLSI	PKO-DDR-201	
	05	Capacity Building	Records relating to institutional and individual capacity building initiatives with local governmental agencies, non-governmental organizations (NGOs), community based organizations and other non-UN agencies.	P	A	Mission DDR Component	UNHQ DPO/OROLSI	PKO-DDR-201	
	06	Reference	Reference documents supporting the Office's work. Special Instructions: Reference documents are not considered records, should not be declared as records and should be disposed of when no longer needed.	T	D	N/A			
	07	Assessment, survey and analysis	Records relating to field assessments including, inter alia, small arms baseline surveys, verifications of armed groups and weapons, and socio-economic surveys.	P	A	Mission DDR Component	UNHQ DPO/OROLSI	PKO-DDR-201	
	08	Implementation: Disarmament	Records relating to weapons control and destruction.	P	A	Mission DDR Component	UNHQ DPO/OROLSI	PKO-DDR-201	
	09	Implementation: Demobilization	Records relating to demobilization and reinsertion.	P	A	Mission DDR Component	UNHQ DPO/OROLSI	PKO-DDR-201	
	10	Implementation: Reintegration	Records relating to repatriation, rehabilitation and resettlement.	P	A	Mission DDR Component	UNHQ DPO/OROLSI	PKO-DDR-201	

File Classification Scheme				Records Retention Schedule					
Function	*Activity No.*	*Activity Name*	*Description and Notes*	*Retention Period*	*Disposition*	*Office of Record*	*Successor Office of Record*	*Retention Code*	*Vital*
Office of the DMS/CMS (DMS)	**DMS**	Records created by the Office of the Director (or Chief) of Mission Support.		OICT Enterprise Retention: GOV (Permanent)					
	01	Planning, strategy	Records relating to the planning and strategies of the Office's administrative and logistical activities.	P	A	Office of the DMS/CMS	UNHQ DOS/OUSG	PKO-DMS-201	
	02	Policy, Procedure, Best Practice	Records relating to the policies and procedures of the Mission's initiatives and activities, including official policies, procedures, directives, instructions, guidelines. Guidance and best practice documents/records, including mission-developed standard operating procedures, lessons learned reports or after-action reviews should be submitted to peacekeeping-bestpractices@un.org (for peacekeeping operations) or dppa-policy@un.org (for special political missions) for possible inclusion in the Policy and Practice Database. Copies of policies and procedures written by headquarters offices should be considered reference documents and disposed of when no longer needed.	P	A	Office of the DMS/CMS	UNHQ DOS/OUSG	PKO-DMS-201	
	03	Coordination, partnership	Records relating to the Office's interactions with other entities; include collaboration with other UN Departments, the Host Country and Non Governmental Organizations.	P	A	Office of the DMS/CMS	UNHQ DOS/OUSG	PKO-DMS-201	
	04	Monitoring, reporting	Records relating to the Office's monitoring, reporting, assessing, and analysing of programs, activities, and initiatives; including monthly SSR reports to UNHQ, CMMRB documents related to MOUs, COE, Risk Premium, etc.	P	A	Office of the DMS/CMS	UNHQ DOS/OUSG	PKO-DMS-201	
	05	Capacity Building	Records relating to institutional and individual capacity building initiatives with local governmental agencies, non-governmental organizations (NGOs), community-based organizations and other non-UN agencies.	P	A	Office of the DMS/CMS	UNHQ DOS/OUSG	PKO-DMS-201	
	06	Reference	Reference documents supporting the Office's work. Special Instructions: Reference documents are not considered records, should not be declared as records and should be disposed of when no longer needed.	T	D	N/A	N/A		

File Classification Scheme				Records Retention Schedule					
Function	*Activity No.*	*Activity Name*	*Description and Notes*	*Retention Period*	*Disposition*	*Office of Record*	*Successor Office of Record*	*Retention Code*	*Vital*
Electoral Assistance (ELE)	**ELE**	Records relating to the administration and coordination of electoral management or electoral assistance activities.		OICT Enterprise Retention: ELE (Permanent)					
	01	Planning, strategy	Records relating to the planning and strategies of the Office's administrative, substantive and logistical activities, electoral assessment reports, government's official requests for electoral assistance.	P	A	Mission Electoral Component.	UNHQ DPPA/EAD	PKO-ELE-201	
	02	Policy, Procedure, Best Practice	Records relating to the policies and procedures of the Office's initiatives and activities including official policies, procedures, directives, instructions, guidelines. Guidance and best practice documents/records, including mission-developed standard operating procedures, lessons learned reports or after-action reviews should be submitted to peacekeeping-bestpractices@un.org (for peacekeeping operations) or dppa-policy@un.org (for special political missions) for possible inclusion in the Policy and Practice Database. Copies of policies and procedures written by headquarters offices should be considered reference documents and disposed of when no longer needed.	P	A	Mission Electoral Component.	UNHQ DPPA/EAD	PKO-ELE-202	
	03	Coordination, partnership	Records relating to the Office's interaction with other entities; include collaborated work with other UN Departments, governmental/non-governmental organizations, local/civil institutions and all other entities.	P	A	Mission Electoral Component.	UNHQ DPPA/EAD	PKO-ELE-202	
	04	Monitoring, reporting	Records relating to the Office's monitoring, reporting, assessing, and analysing of programs, activities, and initiatives. Including technical assistance reports, weekly reports, end of mission reports.	P	A	Mission Electoral Component.	UNHQ DPPA/EAD	PKO-ELE-202	
	05	Capacity Building	Records relating to institutional and individual capacity building initiatives with local governmental agencies, non-governmental organizations (NGOs), community based organizations and other non-UN agencies.	P	A	Mission Electoral Component.	UNHQ DPPA/EAD	PKO-ELE-202	
	06	Reference	Reference documents supporting the Office's work. Special Instructions: Reference documents are not considered records, should not be declared as records and should be disposed of when no longer needed.	T	D	N/A			
	07	Electoral	Records relating to the electoral process, including ballots. Special Instructions: These records are the property of the local government, not the United Nations. Special Instructions: In the rare event that the mission's Electoral Assistance Component is in possession of electoral related records, all efforts should be made to transfer the records back to the local government prior to mission liquidation. Sensitive electoral related material should not be reproduced or transferred to UNHQ.	E	D	Mission Electoral Component. After mission closure: transfer these records back to the local government prior to mission liquidation.	N/A	PKO-ELE-203	

File Classification Scheme				Records Retention Schedule					
Function	*Activity No.*	*Activity Name*	*Description and Notes*	*Retention Period*	*Disposition*	*Office of Record*	*Successor Office of Record*	*Retention Code*	*Vital*
Facilities and Engineering (FEN)	**FEN**	Records relating to facilities planning, building management and infrastructure requirements of United Nations missions, including facilities/structures for military components; the provision of facilities and engineering services to local governments, including the construction and maintenance of prison facilities.		OICT Enterprise Retention: ADM (10 Years)					
	01	Planning, strategy	Records relating to the planning and strategies of the Office's administrative, substantive and logistical activities.	C + 10	D	Mission Engineering Section	UNHQ DOS/OSCM/PD/TISS/FCSS	PKO-FEN-201	
	02	Policy, Procedure, Best Practice	Records relating to the policies and procedures of the Office's initiatives and activities including official policies, procedures, directives, instructions, guidelines. Guidance and best practice documents/records, including mission-developed standard operating procedures, lessons learned reports or after-action reviews should be submitted to peacekeeping-bestpractices@un.org (for peacekeeping operations) or dppa-policy@un.org (for special political missions) for possible inclusion in the Policy and Practice Database. Copies of policies and procedures written by headquarters offices should be considered reference documents and disposed of when no longer needed.	P	A	Mission's Engineering Section Office of the DMS/CMS	UNHQ DOS/OSCM/PD/TISS/FCSS	PKO-FEN-202	
	03	Coordination, partnership	Records relating to the Office's interaction with other entities; include collaborated work with other UN Departments, governmental/non-governmental organizations, local/civil institutions and all other entities.	C + 10	D	Mission's Engineering Section Office of the DMS/CMS	TBD	PKO-FEN-201	
	04	Monitoring, reporting	Records relating to the Office's monitoring, reporting, assessing, and analysing of programs, activities, and initiatives. Including reports relating to facilities and engineering activities, including carriers performance reports and LoA performance reports.	P	A	Mission's Engineering Section Office of the DMS/CMS	TBD	PKO-FEN-202	
	05	Capacity Building	Records relating to institutional and individual capacity building initiatives with local governmental agencies, non-governmental organizations (NGOs), community based organizations and other non-UN agencies.	T	D	Copies of HQ records, destroy when no longer needed	N/A		
	06	Reference	Reference documents supporting the Office's work. Special Instructions: Reference documents are not records, should not be declared as records and should be disposed of when no longer needed.	T	D	N/A	N/A		
	07	Engineering projects management	Records relating to road, bridge and landscape design and construction. T = settlement of financials	T + 5	D	Mission's Engineering Section Office of the DMS/CMS	TBD	PKO-FEN-203	
	08	Engineering service provision	Records relating to requests for engineering services in support of operations; records relating to the provision of HVAC, power supply, and other utilities services. T = settlement of financials	T + 5	D	Mission's Engineering Section Office of the DMS/CMS	TBD	PKO-FEN-203	
	09	Facilities development and management	Records relating to construction activities, renovation, and refurbishment of premises; development of new mission sites; construction scheduling, working accommodation, residential accommodation, implementation of projects, equipment specifications; space planning, internal moves, security systems operations; management of PX/commissaries, warehouses, power plants, parking facilities. T = settlement of financials	T + 5	D	Mission's Engineering Section Office of the DMS/CMS	TBD	PKO-FEN-203	

File Classification Scheme				Records Retention Schedule					
Function	*Activity No.*	*Activity Name*	*Description and Notes*	*Retention Period*	*Disposition*	*Office of Record*	*Successor Office of Record*	*Retention Code*	*Vital*
Facilities and Engineering (FEN)	**FEN**	Records relating to facilities planning, building management and infrastructure requirements of United Nations missions, including facilities/structures for military components; the provision of facilities and engineering services to local governments, including the construction and maintenance of prison facilities.		OICT Enterprise Retention: ADM (10 Years)					
	10	Facilities maintenance	Records relating to premises inspections, cleaning services, extermination and pest control and waste management. T = settlement of financials	T + 5 E	D	Mission's Engineering Section Office of the DMS/CMS	N/A	PKO-FEN-204	
	11	Facilities service provision	Records relating to routine facilities requests by staff, i.e., creation of signage, affixing of wall hangings, etc. T = settlement of financials	T + 5 E	D	Mission's Engineering Section Office of the DMS/CMS	N/A	PKO-FEN-204	
	12	Environment	Records relating to meeting environmental requirements in the provision of facilities and engineering services	T + 5 E	D	Mission's Engineering Section Office of the DMS/CMS	N/A	PKO-FEN-204	

File Classification Scheme				Records Retention Schedule					
Function	*Activity No.*	*Activity Name*	*Description and Notes*	*Retention Period*	*Disposition*	*Office of Record*	*Successor Office of Record*	*Retention Code*	*Vital*
Gender (GEN)	**GEN**	Records relating to administration and coordination for implementing and monitoring the Women Peace and Security agenda.		OICT Enterprise Retention: GEN (Permanent)					
	01	Planning, strategy	Records relating to the planning and strategies of the Office's administrative, substantive and logistical activities.	P	A	Mission Office of Gender Affairs	UNHQ DPO/OUSG/GU or DPPA/PMD/GPSU	PKO-GEN-201	
	02	Policy, Procedure, Best Practice	Records relating to the policies and procedures of the Office's initiatives and activities including official policies, procedures, directives, instructions, guidelines. Guidance and best practice documents/records, including mission-developed standard operating procedures, lessons learned reports or after-action reviews should be submitted to peacekeeping-bestpractices@un.org (for peacekeeping operations) or dppa-policy@un.org (for special political missions) for possible inclusion in the Policy and Practice Database. Copies of policies and procedures written by headquarters offices should be considered reference documents and disposed of when no longer needed.	P	A	Mission Office of Gender Affairs	UNHQ DPO/OUSG/GU or DPPA/PMD/GPSU	PKO-GEN-201	
	03	Coordination, partnership	Records relating to the Office's interaction with other entities; include collaborated work with other UN Departments, governmental/non-governmental organizations, local/civil institutions and all other entities.	P	A	Mission Office of Gender Affairs	UNHQ DPO/OUSG/GU or DPPA/PMD/GPSU	PKO-GEN-201	
	04	Monitoring, reporting	Records relating to the Office's monitoring, reporting, assessing, and analysing of programs, activities, and initiatives.	P	A	Mission Office of Gender Affairs	UNHQ DPO/OUSG/GU or DPPA/PMD/GPSU	PKO-GEN-201	
	05	Capacity Building	Records relating to institutional and individual capacity building initiatives with local governmental agencies, non-governmental organizations (NGOs), community based organizations and other non-UN agencies.	P	A	Mission Office of Gender Affairs	UNHQ DPO/OUSG/GU or DPPA/PMD/GPSU	PKO-GEN-201	
	06	Reference	Reference documents supporting the Office's work. Special Instructions: Reference documents are not considered records, should not be declared as records and should be disposed of when no longer needed.	T	D	N/A	N/A		
	07	Gender mainstreaming: technical assistance	Correspondence and other records relating to the mainstreaming of women in the technical assistance to the host country. Activities include: drawing on national commitments to women's rights and gender equality; ensuring that the technical assistance team includes experts with explicit gender analysis experience; ensuring that the views of women as well as men are included in the consultation process; provision of training and capacity building to national partners; inter-agency coordination (including reports on inter-agency task forces, coordination meetings, and hand-over material as part of the exit strategy); and consulting with local experts on gender equality	P	A	Mission Office of Gender Affairs	UNHQ DPO/OUSG/GU or DPPA/PMD/GPSU	PKO-GEN-201	
	08	Promoting and protecting women's rights	Records relating to the promotion and protection women's civil, cultural, economic, political and social rights; records relating to the prevention of rape and other forms of sexual abuse.	P	A	Mission Office of Gender Affairs	UNHQ DPO/OUSG/GU or DPPA/PMD/GPSU	PKO-GEN-201	
	09	Addressing gender-based violence	Records relating to the prevention of gender-based violence, including rape and other forms of sexual abuse.	P	A	Mission Office of the Gender Adviser	UNHQ DPO/OUSG/GU or DPPA/PMD/GPSU	PKO-GEN-201	

File Classification Scheme				Records Retention Schedule					
Function	*Activity No.*	*Activity Name*	*Description and Notes*	*Retention Period*	*Disposition*	*Office of Record*	*Successor Office of Record*	*Retention Code*	*Vital*
Governance (GOV)	**GOV**	Records relating to capacity building & economic development of a field mission's host government(s).		OICT Enterprise Retention: DEV (Permanent)					
	01	Planning, strategy	Records relating to the planning and strategies of the Office's administrative, substantive and logistical activities.	P	A	Office of the HoM	UNHQ DPO/OUSG or DPPA/OUSG	PKO-GOV-201	
	02	Policy, Procedure, Best Practice	Records relating to the policies and procedures of the Office's initiatives and activities including official policies, procedures, directives, instructions, guidelines. Guidance and best practice documents/records, including mission-developed standard operating procedures, lessons learned reports or after-action reviews should be submitted to peacekeeping-bestpractices@un.org (for peacekeeping operations) or dppa-policy@un.org (for special political missions) for possible inclusion in the Policy and Practice Database. Copies of policies and procedures written by headquarters offices should be considered reference documents and disposed of when no longer needed.	P	A	Office of the HoM	UNHQ DPO/OUSG or DPPA/OUSG	PKO-GOV-201	
	03	Coordination, partnership	Records relating to the Office's interaction with other entities; include collaborated work with other UN Departments, governmental/non-governmental organizations, local/civil institutions and all other entities.	P	A	Office of the HoM	UNHQ DPO/OUSG or DPPA/OUSG	PKO-GOV-201	
	04	Monitoring, reporting	Records relating to the Office's monitoring, reporting, assessing, and analysing of programs, activities, and initiatives.	P	A	Office of the HoM	UNHQ DPO/OUSG or DPPA/OUSG	PKO-GOV-201	
	05	Capacity Building	Records relating to institutional and individual capacity building initiatives with local governmental agencies, non-governmental organizations (NGOs), community based organizations and other non-UN agencies. Records relating to capacity building for political structures, executive management and local governments, also capacity building for the economic sector	P	A	Office of the HoM	UNHQ DPO/OUSG or DPPA/OUSG	PKO-GOV-201	
	06	Reference	Reference documents supporting the Office's work. Special Instructions: Reference documents are not considered records, should not be declared as records and should be disposed of when no longer needed.	T	D	N/A	N/A		

File Classification Scheme				Records Retention Schedule					
Function	*Activity No.*	*Activity Name*	*Description and Notes*	*Retention Period*	*Disposition*	*Office of Record*	*Successor Office of Record*	*Retention Code*	*Vital*
Office of the HoM (HOM)	**HoM**	Records created by the Office of the Head of Mission.		OICT Enterprise Retention: GOV (Permanent)					
		Planning, strategy	Records relating to the planning and strategies of the Office's administrative, substantive and logistical activities.	P	A	Office of the HOM	UNHQ DPO/OUSG or DPPA/OUSG	PKO-HOM-201	
	02	Policy, Procedure, Best Practice	Records relating to the policies and copies of procedures of the Mission's initiatives and activities including official policies, procedures, directives, instructions, guidelines. Guidance and best practice documents/records, including mission-developed standard operating procedures, lessons learned reports or after-action reviews should be submitted to peacekeeping-bestpractices@un.org (for peacekeeping operations) or dppa-policy@un.org (for special political missions) for possible inclusion in the Policy and Practice Database. Copies of policies and procedures written by headquarters offices should be considered reference documents and disposed of when no longer needed.	P	A	Office of the HOM	UNHQ DPO/OUSG or DPPA/OUSG	PKO-HOM-201	
	03	Coordination, partnership	Records relating to the Office's interaction with other entities; including UN Departments, Host Country, non-governmental organizations, local civil institutions.	P	A	Office of the HOM	UNHQ DPO/OUSG or DPPA/OUSG	PKO-HOM-201	
	04	Monitoring, reporting	Records relating to the Mission's monitoring, reporting, assessing, and analysing of programs, activities, and initiatives; including monthly SSR reports to UNHQ.	P	A	Office of the HOM	UNHQ DPO/OUSG or DPPA/OUSG	PKO-HOM-201	
	05	Capacity Building	Records relating to institutional and individual capacity building initiatives with local governmental agencies, non-governmental organizations (NGOs), community based organizations and other non-UN agencies.	P	A	Office of the HOM	UNHQ DPO/OUSG or DPPA/OUSG	PKO-HOM-201	
	06	Reference	Reference documents supporting the Office's work. Special Instructions: Reference documents are not considered records, should not be declared as records and should be disposed of when no longer needed.	T	D	N/A	N/A		

File Classification Scheme				Records Retention Schedule					
Function	*Activity No.*	*Activity Name*	*Description and Notes*	*Retention Period*	*Disposition*	*Office of Record*	*Successor Office of Record*	*Retention Code*	*Vital*
Human Resources (HRM)	**HRM**	Records relating to personnel matters for UN personnel, civilian staff, military and police officers and observers serving in field missions and HQ.		OICT Enterprise Retention: HRM (10 Years)					
	01	Planning, strategy	Records relating to the planning and strategies of the Office's administrative, substantive, financial and logistical activities.	C + 5 E	D	Mission Personnel Section	N/A	PKO-HRM-201	
	02	Policy, Procedure, Best Practice	Records relating to the policies and procedures of the Office's initiatives and activities including official policies, procedures, directives, instructions, guidelines. Guidance and best practice documents/records, including mission-developed standard operating procedures, lessons learned reports or after-action reviews should be submitted to peacekeeping-bestpractices@un.org (for peacekeeping operations) or dppa-policy@un.org (for special political missions) for possible inclusion in the Policy and Practice Database. Copies of policies and procedures written by headquarters offices should be considered reference documents and disposed of when no longer needed.	P	A	Mission Personnel Section	TBD	PKO-HRM-202	
	03	Coordination, partnership	Coordination, partnership, civilian capacities initiative and non-staff resources: Records relating to the office's interaction with other entities; collaborated work with other UN Departments, governmental/non-governmental organizations, local/civil institutions and other entities. Records relating to efforts undertaken by HRSD in the concept and implementation of CivCap. Initiatives to attract and utilize non-staff resources.	C + 5 E	D	Mission Personnel Section	N/A	PKO-HRM-201	
	04	Monitoring, reporting	Records relating to the Office's monitoring, reporting, assessing, and analysing of programs, activities, and initiatives.	P	A	Office of the DMS/CMS or business unit at operational level	TBD	PKO-HRM-202	
	05	Capacity Building	Records relating to institutional and individual capacity building initiatives with local governmental agencies, non-governmental organizations (NGOs), community based organizations and other non-UN agencies.	T	D	Copies of HQ records, destroy when no longer neede	N/A		
	06	Reference	Reference documents supporting the Office's work. Special Instructions: Reference documents are not records, should not be declared as records and should be disposed of when no longer needed.	T	D	N/A	N/A		
	07	Recruitment: Selection process	Short-listing records; competency-based interview records such as comparative evaluation report, interview report, annotated list of candidates academic and professional references; supporting documentation such as presentations to Field Central Review Bodies. Special Instructions: Transfer records of successful candidates to the candidate's OSF. Records in Inspira. T = completion of rostering process	T + 5	D	Mission Personnel Section	TBD	PKO-HRM-203	
	08	Appointment and assignment: local staff management	Personnel file/Official Status File with records relating to **National Staff Member's** accidents, benefits, entitlements, career development, recruitment, awards, notices, condolences, promotion, contract extensions, separation, performance appraisals Special Instructions: Send to ARMS upon mission closure. T = staff separation from the mission or mission closure.	T + 30	D	Mission Personnel Section	DOS/OSO/HRSD	PKO-HRM-204	V

File Classification Scheme				Records Retention Schedule					
Function	*Activity No.*	*Activity Name*	*Description and Notes*	*Retention Period*	*Disposition*	*Office of Record*	*Successor Office of Record*	*Retention Code*	*Vital*
Human Resources (HRM)	**HRM**	Records relating to personnel matters for UN personnel, civilian staff, military and police officers and observers serving in field missions and HQ.		OICT Enterprise Retention: HRM (10 Years)					
	09	Appointment and assignment: international staff and contractor management	Personnel working file of **International Staff**, UN Volunteers and Electoral Observers, containing non-record copies of records relating to staff member's accidents, benefits and entitlements, career development, recruitment, awards, notices and condolences, promotion, contract extensions, separation, performance appraisals, etc. Special Instructions: Originals must regularly be transferred to UNHQ/DOS/HRSD by diplomatic pouch. Special Instructions: International Staff Files originals are maintained at UNHQ, Working copies created by the mission can be destroyed at the end of mission mandate. Prior to destruction confirm all necessary records received by UNHQ DOS/HRSD T = staff separation from the mission or at mission closure	E	D	UNHQ DOS/HRSD	N/A	PKO-HRM-205	V
	10	Staffing table management	Records relating to locked staffing tables, staffing table authorizations, mission templates, organizational structures, staffing table statistics, post management. Special Instructions: Information is maintained in HR systems.	C + 5 E	D	Mission Personnel Section	N/A	PKO-HRM-201	
	11	Career support	Records relating to field staff's transitions, including those affected by downsizing and in need of placement. Records relating to succession planning, including official correspondence with HoMs alerting of upcoming vacancies Special Instructions. Reassignment after downsizing of mission is managed through the Horizon system. T = staff member reaches official UN retirement age, staff member's separation from mission or mission closure.	T + 5	D	Mission Career Development Office	DOS/DSA	PKO-HRM-203	
	12	Examination administration	Records relating to the administration of UN language proficiency examination (LPE) at field missions. Special Instructions: Records documenting a staff member's passing an examination should be placed in the individual's appointee file or personnel working file.	C + 5 E	D	Mission Personnel Section	N/A	PKO-HRM-201	
	13	Travel administration: Commercial: Civilian staff	Records relating to commercial travel arrangements for civilian staff to field mission assignments. Special Instructions: All travel for civilian staff are managed through UMOJA	C + 5 E	D	Mission Travel Section	N/A	PKO-HRM-201	

File Classification Scheme				Records Retention Schedule					
Function	*Activity No.*	*Activity Name*	*Description and Notes*	*Retention Period*	*Disposition*	*Office of Record*	*Successor Office of Record*	*Retention Code*	*Vital*
Human Resources (HRM)	**HRM**	Records relating to personnel matters for UN personnel, civilian staff, military and police officers and observers serving in field missions and HQ.		OICT Enterprise Retention: HRM (10 Years)					
	14	Administration of justice: substantiated misconduct cases	Working files of substantiated misconduct files of all field personnel (including seconded officers and UN volunteers). Special Instructions: A file is opened upon receipt of initial evaluation, misconduct investigation report, and recommendation of Head of Mission; files arranged by person's name. Special Instructions: Upon file closure, copy relevant records for DMSPC/OHR/ALD, which serves as the office of record for official case files.	T + 30	D	Office of the HOM	UNHQ DMSPC/OHR/ALD	PKO-HRM-204	
	15	Gender mainstreaming:	Records relating to the implementation and promotion of gender mainstreaming in field missions, i.e., relating to the expansion of women's roles in, inter alia, policing, the military, elections, judicial/corrections/legal affairs, and peace negotiations.	P	A	Mission offices affected by the policies of the Mission Office of the Gender Adviser	UNHQ DOS/OSO/HRSD	PKO-HRM-202	
	16	Health, welfare: awareness assessment and counselling	Records relating to confidential voluntary counselling and testing (VCT) personnel case files; locally-conducted, completed KAP surveys; general counselling files.	C + 5 E	D	Mission Office of HIV & AIDS Officer/Adviser or Staff Counsellor's Office or Equivalent	N/A	PKO-HRM-201	
	17	Health, welfare: medical examination and treatment	Staff medical file (MS.6 Periodic Report; medical treatment record, including laboratory results, progress notes, CASEVAC, and immunization card). T = staff separation from the United Nations. Special instructions: Mission medical sections are responsible for recording this information in EarthMed. The use of EarthMed only applies to UNOE hospitals and clinics. COE hospitals and clinics are not currently using EarthMed.	T + 30	D	Mission Medical Section	UNHQ DOS/OSO/DHMOSH	PKO-HRM-204	
	18	**Health, welfare**: medical examination and treatment: military contingents and FPUs	Medical files for general treatment of military contingents and formed police units (FPUs). Special Instructions: If the military personnel, and FPUs were seen at a UNOEs, then the records should be in EarthMed, otherwise, these medical clearance records are not maintained by UNHQ nor by the Mission Medical Section. T = military contingent's or formed police unit's end of tour of duty	T + 15	D	Mission Medical Section	UNHQ DOS/OSO/DHMOSH	PKO-HRM-206	
	19	**Health, welfare**: medical team regional visits	Reports relating to regional medical facilities generated by field medical services Special Instructions: Transfer to UNHQ/DOS/OSO/DHMOSH	P	A	Mission Medical Section	UNHQ DOS/OSO/DHMOSH	PKO-HRM-202	
	20	HIV/AIDS: mainstreaming	Records relating to the integration of HIV/AIDS awareness in field mission components.	C + 5 E	D	Mission Office of HIV & AIDS Officer/Adviser	N/A	PKO-HRM-201	

File Classification Scheme				Records Retention Schedule					
Function	*Activity No.*	*Activity Name*	*Description and Notes*	*Retention Period*	*Disposition*	*Office of Record*	*Successor Office of Record*	*Retention Code*	*Vital*
Human Resources (HRM)	**HRM**	Records relating to personnel matters for UN personnel, civilian staff, military and police officers and observers serving in field missions and HQ.		OICT Enterprise Retention: HRM (10 Years)					
	21	**Uniformed Personnel (UP)**: Force Generations - Field Missions: Generation of UP Individuals: Experts on Mission and Staff Officers	Personnel files of Experts on Mission and Staff Officers Special Instructions: The OMA Recruitment System is used for the recruitment and management of individuals serving in missions. Hermes is used for UN Police individuals. Information is expected to be available permanently in OMART. Special Instructions: Proof of deployment must be permanently retained to address any future Death and Disability claims as per GA requirements.	C + 15	D	Mission UP Component	UNHQ DPO/OMA/FGS or UNHQ DPO/ORoLSI/PD or DPO/OROLSI/JCS	PKO-HRM-207	V
	22	**Uniformed Personnel (UP)**: Recruitment and Force Generations - Field Missions: Generation of UP Individuals: Senior Military, Police and Correctional Personnel	Senior Military, Police and Correctional Personnel Special Instructions: Contracted positions are not managed through OMART / Hermes Proof of deployment must be permanently retained to address any future Death and Disability claims as per GA requirements.	P	A	Mission UP Component	UNHQ DPO/OMA/FGS or UNHQ DPO/ORoLSI/PD or DPO/OROLSI/JCS	PKO-HRM-202	V
	23	**Uniformed Personnel (UP)**: Force Generations - Generation of Military and FPU Units	Force mobilisation (Military and Formed Units) and FGS personnel and internal processes. Special Instructions: The Peacekeeping Capability Readiness System (PCRS) is used for the collection of information on Member State capabilities, state of their pledges and capabilities available at the moment. Proof of deployment must be permanently retained to address any future Death and Disability claims as per GA requirements.	C + 15	D	Mission UP Component	UNHQ DPO/OMA/FGS or UNHQ DPO/ORoLSI/PD or DPO/OROLSI/JCS	PKO-HRM-207	V
	24	**Uniformed Personnel (UP)**: Force Generations - Generation of Military and FPU Units: Policy, statistics, medals and records of service	Statistics, medals and records of service	P	A	Mission UP Component	UNHQ DPO/OMA/FGS or UNHQ DPO/ORoLSI/PD or DPO/OROLSI/JCS	PKO-HRM-202	V
	25	**Uniformed Personnel (UP)** : Attendance and leave administration	Records relating to monthly attendance reports, attendance record cards, leave cards, leave passes (military personnel).	C + 5 E	D	Mission Personnel Section or Office of the Chief Military Personnel Officer	Regional service center or successor mission as decided by the liquidation team	PKO-HRM-201	
	26	**Training**: All records related to training administration.	Needs assessment surveys, needs assessment reports. Training course evaluation forms, training examinations and tests, training examination reports, results sheets. Participants lists. Training content is kept in Inspira	C + 5 E	D	Integrated Mission Training Cell or Equivalent	UNHQ DPO/DPET/ITS or Equivalent	PKO-HRM-201	
	27	Appointment and assignment: UNV staff	UNV Staff files: Files containing signed contracts, beneficiary forms and UN Volunteers inventories. The decision making authority on the disposal of documents is delegated to Regional Managers (Memo from Deputy Executive Coordinators to all UNV Fields and Regional Offices- June 2018) Special instruction: ARMS not to sign-off on records destruction without prior coordination with UNV Regional managers	T + 7	D	UNV	UNV	PKO-HRM-208	

File Classification Scheme				Records Retention Schedule					
Function	*Activity No.*	*Activity Name*	*Description and Notes*	*Retention Period*	*Disposition*	*Office of Record*	*Successor Office of Record*	*Retention Code*	*Vital*
Human Rights (HRT)	**HRT**	Records relating to the administration and coordination of human rights activities. Special transfer: Transfer all inactive human rights records to OHCHR Geneva/ UNOG Institutional Memory Section		OICT Enterprise Retention: HRT (Permanent)					
	01	Planning, strategy	Records relating to the planning and strategies of the Office's administrative, substantive and logistical activities.	P	A	Mission Human Rights Component	UNHQ OHCHR/PMS	PKO-HRT-201	
	02	Policy, Procedure, Best Practice	Records relating to the policies and procedures of the Office's initiatives and activities including official policies, procedures, directives, instructions, guidelines. Records include policies and procedures with supporting documentation, results frameworks, and best practice records relating to all aspects of human rights, including sexual exploitation, human trafficking, women's rights and child protection. Records may be specific to a mission or more general in nature. Guidance and best practice documents/records, including mission-developed standard operating procedures, lessons learned reports or after-action reviews should be submitted to peacekeeping-bestpractices@un.org (for peacekeeping operations) or dppa-policy@un.org (for special political missions) for possible inclusion in the Policy and Practice Database. Copies of policies and procedures written by headquarters offices should be considered reference documents and disposed of when no longer needed.	P	A	Mission Human Rights Component	UNHQ OHCHR/PMS	PKO-HRT-201	
	03	Coordination, partnership	Records relating to the Office's interaction with other entities; include collaborated work with other UN Departments, governmental/non-governmental organizations, local/civil institutions and all other entities. Records relating to collaboration with UN and international development and emergency relief organizations on human rights issues, where the mission plays a supporting role.	P	A	Mission Human Rights Component	UNHQ OHCHR/PMS	PKO-HRT-201	
	04	Monitoring, reporting	Records relating to the Office's monitoring, reporting, investigation, verification, assessing, and analysing of programs, activities, and initiatives. Including quarterly reports, ad hoc reports, and field mission responses to code cables; reports and supporting documentation relating to gender affairs programme implementation.	P	A	Mission Human Rights Component or Office of the HoM	UNHQ OHCHR/PMS	PKO-HRT-201	
	05	Capacity Building	Records relating to institutional and individual capacity building initiatives with local governmental agencies, non-governmental organizations (NGOs), community based organizations and other non-UN agencies, design and conduct of human rights training programmes for institutions.	P	A	Mission Human Rights Component	UNHQ OHCHR/PMS	PKO-HRT-201	
	06	Reference	Reference documents supporting the Office's work. Special Instructions: Reference documents are not records, should not be declared as records and should be disposed of when no longer needed.	T	D	N/A	N/A		
	07	Investigation and verification	Records relating to the investigation and verification of past human rights violations; human rights case files containing testimony and supporting documents.	P	A	Mission Human Rights Component	UNHQ OHCHR/PMS	PKO-HRT-201	
	08	Judicial and truth and reconciliation processes	Records relating to relevant judicial and truth and reconciliation processes to foster a culture of accountability, address fighting against impunity and transitional justice.	P	A	Mission Human Rights Component	UNHQ OHCHR/PMS	PKO-HRT-201	
	09	Promoting and protecting rights	Records relating to the promotion and protection of civil, cultural, economic, political and social rights.	P	A	Mission Human Rights Component	UNHQ OHCHR/PMS	PKO-HRT-201	
	10	Human Rights: DDR-related programming	Records relating to the identification and integration of a human rights perspective into Disarmament, Demobilization and Reintegration (DDR) programmes.	P	A	Mission Human Rights Component	UNHQ OHCHR/PMS	PKO-HRT-201	

File Classification Scheme				Records Retention Schedule					
Function	*Activity No.*	*Activity Name*	*Description and Notes*	*Retention Period*	*Disposition*	*Office of Record*	*Successor Office of Record*	*Retention Code*	*Vital*
Humanitarian (HUM)	**HUM**	Records relating to the administration and coordination of humanitarian activities, including the provision of assistance to victims of war and natural disasters.		OICT Enterprise Retention: HUM (Permanent)					
	01	Planning, strategy	Records relating to the planning and strategies of the Office's administrative, substantive and logistical activities. Records include emergency response records, entry strategy, response programme, and transition/exit strategy; locally-produced records relating to methodology, early warning indicators, early warning systems, early action, committees & teams, contingency planning, non-mission disaster prevention & preparedness, and complex crises.	P	A	Office of the Resident Coordinator or OCHA Field Office	UNHQ DPO/OUSG or DPPA/OUSG	PKO-HUM-201	
	02	Policy, Procedure, Best Practice	Records relating to the policies and procedures of the Office's initiatives and activities including official policies, procedures, directives, instructions, guidelines. Policies and procedures with supporting documentation and best practice records relating to all aspects of humanitarian affairs, including gender affairs and HIV/AIDS; records may be specific to a mission or more general in nature. Guidance and best practice documents/records, including mission-developed standard operating procedures, lessons learned reports or after-action reviews should be submitted to peacekeeping-bestpractices@un.org (for peacekeeping operations) or dppa-policy@un.org (for special political missions) for possible inclusion in the Policy and Practice Database. Copies of policies and procedures written by headquarters offices should be considered reference documents and disposed of when no longer needed.	P	A	Mission Human Rights Component or Office of the HoM	UNHQ DPO/OUSG or DPPA/OUSG	PKO-HUM-201	
	03	Coordination, partnership	Records relating to the Office's interaction with other entities; include collaborated work with other UN Departments, governmental/non-governmental organizations, local/civil institutions and all other entities. Records include field coordination and support records relating to rapid deployment, surge capacity, search & rescue, natural disasters, environmental emergencies, complex emergencies: coordination initiatives with local governmental agencies, UN agencies and non-governmental organizations (NGOs).	P	A	Office of the Resident Coordinator or OCHA Field Office	UNHQ DPO/OUSG or DPPA/OUSG	PKO-HUM-201	
	04	Monitoring, reporting	Records relating to the Office's monitoring, reporting, assessing, and analysing of programs, activities, and initiatives.	P	A	Office of the Resident Coordinator or OCHA Field Office	UNHQ DPO/OUSG or DPPA/OUSG	PKO-HUM-201	
	05	Capacity Building	Records relating to institutional and individual capacity building initiatives with local governmental agencies, non-governmental organizations (NGOs), community based organizations and other non-UN agencies.	P	A	Mission Human Rights Component or Office of the HoM	UNHQ DPO/OUSG or DPPA/OUSG	PKO-HUM-201	
	06	Reference	Reference documents supporting the Office's work. Special transfer: Reference documents are not considered records and should not be declared as records.	T	D	N/A	N/A		
	07	Sectoral Operations	Locally-produced sectoral and cluster operations records such as population figures, demographic analysis, movement of refugees and internally displaced persons (IDPs), meeting minutes, maps, etc.	P	A	Office of the Resident Coordinator or OCHA Field Office	UNHQ DPO/OUSG or DPPA/OUSG	PKO-HUM-201	
	08	HIV/AIDS	Programme records relating to HIV/AIDS outreach to local populations.	E + 10	D	Mission Office of HIV & AIDS Officer/Adviser	UNHQ DPO/OUSG or DPPA/OUSG	PKO-HUM-202	

File Classification Scheme				Records Retention Schedule					
Function	*Activity No.*	*Activity Name*	*Description and Notes*	*Retention Period*	*Disposition*	*Office of Record*	*Successor Office of Record*	*Retention Code*	*Vital*
Justice, Prison, and Corrections (JPC)	**JPC**	Records relating to the restoration of and support to justice, prison and corrections institutions and strengthening the rule of law.		OICT Enterprise Retention: JPC (Permanent)					
	01	Planning, strategy	Records relating to the planning and strategies of the Office's administrative, substantive and logistical activities. Records such as concept of operations, terms of reference, work plans.	P	A	Mission Justice/Corrections/Rule of Law Component	UNHQ DPO/OUSG or DPO/OROLSI	PKO-JPC-201	
	02	Policy, Procedure, Best Practice	Records relating to the policies and procedures of the Office's initiatives and activities including official policies, procedures, directives, instructions, guidelines. Records relating to manuals and standard operating procedures (SOPs) for field mission operations. Guidance and best practice documents/records, including mission-developed standard operating procedures, lessons learned reports or after-action reviews should be submitted to peacekeeping-bestpractices@un.org (for peacekeeping operations) or dppa-policy@un.org (for special political missions) for possible inclusion in the Policy and Practice Database. Copies of policies and procedures written by headquarters offices should be considered reference documents and disposed of when no longer needed.	P	A	Mission Justice/Corrections/Rule of Law Component	UNHQ DPO/OUSG or DPO/OROLSI	PKO-JPC-201	
	03	Coordination, partnership	Records relating to the Office's interaction with other entities; include collaborated work with other UN Departments, governmental/non-governmental organizations, local/civil institutions and all other entities. Special Instructions: Group meeting minutes should be destroyed after 5 years.	P	A	Mission Justice/Corrections/Rule of Law Component	UNHQ DPO/OUSG or DPO/OROLSI	PKO-JPC-201	
	04	Monitoring, reporting	Records relating to the Office's monitoring, reporting, assessing, and analysing of programs, activities, and initiatives.	P	A	Mission Justice/Corrections/Rule of Law Component	UNHQ DPO/OUSG or DPO/OROLSI	PKO-JPC-201	
	05	Capacity Building	Records relating to institutional and individual capacity building initiatives with government, non-governmental organizations (NGOs), community based organizations and other non-UN agencies.	P	A	Mission Justice/Corrections/Rule of Law Component	UNHQ DPO/OUSG or DPO/OROLSI	PKO-JPC-201	
	06	Reference	Reference documents supporting the Office's work. Special Instructions: Reference documents are not considered records, should not be declared as records and should be disposed of when no longer needed.	T	D	N/A	N/A		
	07	Operations and Programmes	Records relating to justice, prison and corrections activities in the field.	P	A	Mission Justice/Corrections/ Rule of Law Component	UNHQ DPO/OUSG or DPO/OROLSI	PKO-JPC-201	

File Classification Scheme				Records Retention Schedule					
Function	*Activity No.*	*Activity Name*	*Description and Notes*	*Retention Period*	*Disposition*	*Office of Record*	*Successor Office of Record*	*Retention Code*	*Vital*
Law Enforcement and Police (LAE)	**LAE**	Records relating to the provision and management of police and related activities in missions; rotation of formed police units; training materials for local police services in mission areas.		OICT Enterprise Retention: LAE (Permanent)					
	01	Planning, strategy	Records relating to the planning and strategies of the Office's administrative, substantive and logistical activities.	P	A	Office of the Police Commissioner	UNHQ DPO/OUSG or DPO/OROLSI	PKO-LAE-201	
	02	Policy, Procedure, Best Practice	Records relating to the policies and procedures of the Office's initiatives and activities including official policies, procedures, directives, instructions, guidelines. Guidance and best practice documents/records, including mission-developed standard operating procedures, lessons learned reports or after-action reviews should be submitted to peacekeeping-bestpractices@un.org (for peacekeeping operations) or dppa-policy@un.org (for special political missions) for possible inclusion in the Policy and Practice Database. Copies of policies and procedures written by headquarters offices should be considered reference documents and disposed of when no longer needed.	P	A	Office of the Police Commissioner	UNHQ DPO/OUSG or DPO/OROLSI	PKO-LAE-201	
	03	Coordination, partnership	Records relating to the Office's interaction with other entities; include collaborated work with other UN Departments, governmental/non-governmental organizations, local/civil institutions and all other entities.	P	A	Office of the Police Commissioner	UNHQ DPO/OUSG or DPO/OROLSI	PKO-LAE-201	
	04	Monitoring, reporting	Records relating to the Office's monitoring, reporting, assessing, and analysing of programs, activities, and initiatives.	C + 15	D	Office of the HoM, DSRSG, or Office of the Police Commissioner	UNHQ DPO/OUSG or DPO/OROLSI	PKO-LAE-202	
	05	Capacity Building	Records relating to institutional and individual capacity building initiatives with local governmental agencies, non-governmental organizations (NGOs), community based organizations and other non-UN agencies.	P	A	Office of the Police Commissioner	UNHQ DPO/OUSG or DPO/OROLSI	PKO-LAE-201	
	06	Reference	Reference documents supporting the Office's work. Special Instructions: Reference documents are not considered records, should not be declared as records and should be disposed of when no longer needed.	T	D	N/A	N/A		
	07	Local police administration	Records relating to the protection of property and lives; investigation of crime and criminality, and handover of policing authority to the national government.	P	A	Office of the Police Commissioner	UNHQ DPO/OUSG or DPO/OROLSI	PKO-LAE-201	
	08	Local police administration: investigation of local police service	Non-compliance reports issued against police officials, de-certification warnings, copies of HoM's correspondence to the Ministry of the Interior; copies of Ministry of the Interior's reply; advice from UNHQ DPO/OROLSI/PD.	P	A	Office of the Police Commissioner	UNHQ DPO/OUSG or DPO/OROLSI	PKO-LAE-201	

File Classification Scheme				Records Retention Schedule					
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Legal Affairs (LEG)	**LEG**	Records relating to the legal advice and agreements relating to missions.		OICT Enterprise Retention: LEG (Permanent)					
	01	Planning, strategy	Records relating to the planning and strategies of the Office's administrative, substantive and logistical activities.	P	A	Office of the HoM	UNHQ DPO/OUSG or DPPA/OUSG	PKO-LEG-201	
	02	Policy, Procedure, Best Practice	Records relating to the policies and procedures of the Office's initiatives and activities including official policies, procedures, directives, instructions, guidelines. Guidance and best practice documents/records, including mission-developed standard operating procedures, lessons learned reports or after-action reviews should be submitted to peacekeeping-bestpractices@un.org (for peacekeeping operations) or dppa-policy@un.org (for special political missions) for possible inclusion in the Policy and Practice Database. Copies of policies and procedures written by headquarters offices should be considered reference documents and disposed of when no longer needed.	P	A	Office of the HoM	UNHQ DPO/OUSG or DPPA/OUSG	PKO-LEG-201	
	03	Coordination, partnership	Records relating to the Office's interaction with other entities; include collaborated work with other UN Departments, governmental/non-governmental organizations, local/civil institutions and all other entities.	P	A	Office of the HoM	UNHQ DPO/OUSG or DPPA/OUSG	PKO-LEG-201	
	04	Monitoring, reporting	Records relating to the Office's monitoring, reporting, assessing, and analysing of programs, activities, and initiatives.	P	A	Office of the HoM	UNHQ DPO/OUSG or DPPA/OUSG	PKO-LEG-201	
	05	Capacity Building	Records relating to institutional and individual capacity building initiatives with local governmental agencies, non-governmental organizations (NGOs), community based organizations and other non-UN agencies.	P	A	Office of the HoM	UNHQ DPO/OUSG or DPPA/OUSG	PKO-LEG-201	
	06	Reference	Reference documents supporting the Office's work. Special Instructions: Reference documents are not considered records, should not be declared as records and should be disposed of when no longer needed.	T	D	N/A	N/A		
	07	Legal Agreements development and review	Records relating to the Status of forces agreements (SOFAs), status of mission agreements (SOMAs), letters of assist (LOAs), memoranda of understanding (MOUs), rules of engagement.	P	A	Office of the HoM	UNHQ DPO/OUSG or DPPA/OUSG	PKO-LEG-201	

File Classification Scheme				Records Retention Schedule					
Function	*Activity No.*	*Activity Name*	*Description and Notes*	*Retention Period*	*Disposition*	*Office of Record*	*Successor Office of Record*	*Retention Code*	*Vital*
Management and Integration (MAT)	**MAT**	Records with broad application across three or more UN business functions (e.g. administrative policies); records relating to the integration of three or more UN business functions (e.g. records relating to a mission's Joint Operations Centre); records relating to the supervision of and responsibility for increasing the performance of others, allocating labour material and capital to produce a high return, and decision-making; records relating to document, records, information, content and knowledge management in field missions; records relating to cartography and geography, including maps and geo-databases.		OICT Enterprise Retention: MGT (Permanent)					
	01	Planning, strategy	Records relating to the planning and strategies of the Office's administrative, substantive and logistical activities.	P	A	Office of the HoM	UNHQ DPO/OUSG or DPPA/OUSG	PKO-MAT-201	
	02	Policy, Procedure, Best Practice	Records relating to the policies and procedures of the Office's initiatives and activities including official policies, procedures, directives, instructions, guidelines. Guidance and best practice documents/records, including mission-developed standard operating procedures, lessons learned reports or after-action reviews should be submitted to peacekeeping-bestpractices@un.org (for peacekeeping operations) or dppa-policy@un.org (for special political missions) for possible inclusion in the Policy and Practice Database. Copies of policies and procedures written by headquarters offices should be considered reference documents and disposed of when no longer needed.	P	A	Office of the HoM	UNHQ DPO/OUSG or DPPA/OUSG	PKO-MAT-201	
	03	Coordination, partnership	Records relating to the Office's interaction with other entities; include collaborated work with other UN Departments, governmental/non-governmental organizations, local/civil institutions and all other entities.	P	A	Office of the HoM	UNHQ DPO/OUSG or DPPA/OUSG	PKO-MAT-201	
	04	Monitoring, reporting	Records relating to the Office's monitoring, reporting, assessing, and analysing of programs, activities, and initiatives.	P	A	Office of the HoM	UNHQ DPO/OUSG or DPPA/OUSG	PKO-MAT-201	
	05	Capacity Building	Records relating to institutional and individual capacity building initiatives with local governmental agencies, non-governmental organizations (NGOs), community based organizations and other non-UN agencies.	P	A	Office of the HoM	UNHQ DPO/OUSG	PKO-MAT-201	
	06	Reference	Reference documents supporting the Office's work. Special Instructions: Reference documents are not records, should not be declared records and should be disposed of when no longer needed.	T	D	N/A	N/A		
	07	Integrated Strategic Assessment, Mission Planning, Closure and Liquidation	Records related to integrated strategic assessment and mission planning for advance, start-up, mandate implementation, transition, closure and liquidation phases. Records include those related to integrated strategic and operational planning, implementation and evaluation activities in the field, such as HoM directive to Mission components, integrated strategic framework, joint transition plan. Records relating to the closure and liquidation of United Nations Field Missions.	P	A	Office of the HoM and UNHQ DPO/OUSG	UNHQ DOS/DSA	PKO-MAT-201	
	08	Business Continuity Management	Information relating to Business Continuity measures.	C + 10, E	D	Office of the HoM	N/A	PKO-MAT-203	V
	09	Business Process Improvement and Reform	Lean Six Sigma projects.	C + 5, E	D	Office of the HoM	N/A	PKO-MAT-202	
	10	Delegation of Authority	Documents relating to the delegation of authority for a mission, or initiative; controller's designation of officers approved and certified to make financial decisions regarding missions; Comptroller's designation of signatories.	E + 10	D	Various	UNHQ DMSPC/OPPFB/FOFD	PKO-MAT-204	V

File Classification Scheme				Records Retention Schedule					
Function	*Activity No.*	*Activity Name*	*Description and Notes*	*Retention Period*	*Disposition*	*Office of Record*	*Successor Office of Record*	*Retention Code*	*Vital*
Management and Integration (MAT)	**MAT**	Records with broad application across three or more UN business functions (e.g. administrative policies); records relating to the integration of three or more UN business functions (e.g. records relating to a mission's Joint Operations Centre); records relating to the supervision of and responsibility for increasing the performance of others, allocating labour material and capital to produce a high return, and decision-making; records relating to document, records, information, content and knowledge management in field missions; records relating to cartography and geography, including maps and geo-databases.		OICT Enterprise Retention: MGT (Permanent)					
	11	Information Management: Web publishing	Information published on internal websites/Intranets, collaboration spaces and workspaces of short-term value for internal communications and collaboration	C + 5, E	D	Office of the Chief of Staff	UNHQ DPPA/OUSG/SCS or DPPA-DPO/ODCSS/SCS	PKO-MAT-202	
	12	Information Management: Data aggregation and visualization	Records showing integrated multi-disciplinary aggregated data in maps, charts and graphs	P	A	Office of the Chief of Staff	UNHQ DPPA-DPO/ODCSS	PKO-MAT-201	
	13	Information Management: Mail and pouch management	Records relating to correspondence distribution lists, damaged shipment reports.	E	D	Mission Records Centre	N/A	PKO-MAT-205	
	14	Information Management: Access and distribution	Officially approved distribution lists and access matrixes	E	D	Office of the Chief of Staff	N/A	PKO-MAT-205	
	15	Information Management: Records and Correspondence management	Records relating to the vital records list; disaster recovery plan; disposal authorizations; intra-mission file transfer requests with file lists; locally-amended, ARMS-approved file classification schemes and retention schedules; researcher confidentiality agreements, section chief permissions to use the registry. Records relating to the chronological file of incoming and outgoing code cables (crypto faxes). Retention justification: This record series applies to non-record copies of code cables and crypto faxes originating from the Mission. The office of record for code cables is the creator/collector of the record (i.e. the Office of the HoM or SRSG). Both the creator and the recipient should file these communications with other business records borne from the same activity (e.g. staff travel), and dispose or archive based on the appropriate schedule. Special Instructions: UNHQ maintains a complete set of incoming and outgoing secure communications for the EOSG. Records relating to chronological file of incoming and outgoing faxes. File can be destroyed after 5 years. Retention justification: This record series applies only to non-record copies of faxes maintained by the Mission Communications and Information Technology Section. The creator/collector of the fax should file these with other business records borne from the same activity (e.g. staff travel)	P	A	Office of the HoM, or SRSG	UNHQ DPPA-DPO/ODCSS	PKO-MAT-201	V

File Classification Scheme				Records Retention Schedule					
Function	*Activity No.*	*Activity Name*	*Description and Notes*	*Retention Period*	*Disposition*	*Office of Record*	*Successor Office of Record*	*Retention Code*	*Vital*
Management and Integration (MAT)	**MAT**	Records with broad application across three or more UN business functions (e.g. administrative policies); records relating to the integration of three or more UN business functions (e.g. records relating to a mission's Joint Operations Centre); records relating to the supervision of and responsibility for increasing the performance of others, allocating labour material and capital to produce a high return, and decision-making; records relating to document, records, information, content and knowledge management in field missions; records relating to cartography and geography, including maps and geo-databases.		OICT Enterprise Retention: MGT (Permanent)					
	16	Information Management: Peacekeeping Intelligence	Records relating to how United Nations peacekeeping operations acquire, collate, analyze, disseminate, use, protect and manage peacekeeping-intelligence in support of United Nations operations in the field. Special instructions: Peacekeeping-intelligence planning, programmatic designs, distributions lists and products shall be retained and transferred to the UN Archives on a biannual basis throughout the lifecycle of the mission and at the closure of a mission.	P	A	Office of the Chief of Staff	UNHQ DPPA-DPO/ODCSS	PKO-MAT-201	V
	17	Cartography and Geospatial Information Management	Global geo-database; mission-specific geo-data; softcopy geo-database outputs such as maps. Special Instructions: A mission's Geospatial Information Unit/Section must regularly transfer a back-up of its geospatial data and products to the UNLB/GSC Client Service Delivery Section (formerly, Geospatial Information Section). It must also centralize its standardized geo-database and softcopy outputs to the GSC GIS cloud. UNLB/GSC provides full access to the up-to-date geo-data and maps to the UNHQ OICT Geospatial Information Section for the purpose of UNHQ operations and support. Special Instructions: All hardcopy outputs and reference materials may be destroyed when reference value expires.	P	A	OICT/Mission Geospatial Information Unit/Section/	UNLB/GSC Client Service Delivery Section	PKO-MAT-201	V
	18	Translation and Interpretation	Information relating to translation and interpretation services. .	C+5, E	D	Office of the DMS/CMS	N/A	PKO-MAT-202	

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Function	*Activity No.*	*Activity Name*	*Description and Notes*	*Retention Period*	*Disposition*	*Office of Record*	*Successor Office of Record*	*Retention Code*	*Vital*
Military (MIL)	**MIL**	Records relating to the provision and management of military and related activities in field missions; rotation of military contingents; military-civil coordination.		OICT Enterprise Retention: MIL (Permanent)					
	01	Planning, strategy	Records relating to the planning and strategies of the Office's administrative, substantive and logistical activities. Strategic Military Concept of Operations (CONOPS) , Statement of Force and Unit Requirements (SFR/SUR); Rules of Engagement (ROE); Contingency Plan (CONPLAN) records relating to the provision of an immediate establishment capacity to newly-authorized missions in the perspective of the military; Strategic estimate, operational estimate; records relating to the adjustment of deployed military capacity. Mission Military Force Plans, to include OPSORDERS, FRAGOS, Contingency Plans, QRF Plans, Security Plans. Strategic Military Concept of Operations (CONOPS) , Statement of Force and Unit Requirements (SFR/SUR); Rules of Engagement (ROE); Contingency Plan (CONPLAN) records relating to the provision of an immediate establishment capacity to newly-authorized missions in the perspective of the military components of the mandate's implementation, and promoting and assisting in the co-ordination of such activities; Strategic estimate, operational estimate; records relating to the adjustment of deployed military capacity.	P	A	Mission Military Component	UNHQ DPO/OMA	PKO-MIL-201	
	02	Policy, Procedure, Best Practice	Records relating to the policies and procedures of the Office's initiatives and activities including official policies, procedures, directives, instructions, guidelines. Records relating to protection mandates, Human Rights, Humanitarian Crisis Management, planning guidance, performance standards, Command and Control, Gender, various manuals, Rule of Law. Guidance and best practice documents/records, including mission-developed standard operating procedures, lessons learned reports or after-action reviews should be submitted to peacekeeping-bestpractices@un.org (for peacekeeping operations) or dppa-policy@un.org (for special political missions) for possible inclusion in the Policy and Practice Database. Copies of policies and procedures written by headquarters offices should be considered reference documents and disposed of when no longer needed.	P	A	Mission Military Component	UNHQ DPO/OMA	PKO-MIL-201	
	03	Coordination, partnership	Records relating to the Office's interaction with other entities; include collaborated work with other UN Departments, governmental/non-governmental organizations, local/civil institutions and all other entities.	C + 15	D	Mission Military Component	UNHQ DPO/OMA	PKO-MIL-203	

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Function	*Activity No.*	*Activity Name*	*Description and Notes*	*Retention Period*	*Disposition*	*Office of Record*	*Successor Office of Record*	*Retention Code*	*Vital*
Military (MIL)	**MIL**	Records relating to the provision and management of military and related activities in field missions; rotation of military contingents; military-civil coordination.		OICT Enterprise Retention: MIL (Permanent)					
	04	Monitoring, reporting	Records relating to Force Commander's end of assignment report, 6-month reports. Reports and briefings from field missions including end of duty reports to HQ and related commentary; briefings for senior military appointees; significant operations after action reports. Records relating to daily and monthly monitoring reports, patrol reports, reports incorporated into DMS/CMS monthly reports. Monitoring of the military situation in mission areas and results of analysis, including relevant reference documents such as geography; daily military situation reports and situation updates for the OMA Office of the Military Adviser. Statistical data on military in UN peace operations (e.g. contributions by TCCs); NOTICAS statistics, "drone"/Unmanned Aircraft Systems (UAS)/sensors, remote or direct (e.g., body camera) footage collection and analysis. Special Instruction: Only "drone"/Unmanned Aircraft Systems (UAS)/sensors, remote or direct (e.g., body camera) footage used in final reports or information products is a permanent record. Raw footage should only be kept for 60 days by which time final information products e.g., reports, should be generated from it. Any disposition of footage should be signed off on by the Office of the HoM.	P	A	Office of the HoM	UNHQ DPO/OMA	PKO-MIL-201	
	05	Capacity Building	Records relating to institutional and individual capacity building initiatives with local governmental agencies, non-governmental organizations (NGOs), community based organizations and other non-UN agencies.	C + 15	D	Mission Military Component	UNHQ DPO/OMA	PKO-MIL-203	
	06	Reference	Reference documents supporting the Office's work. Special Instructions: Reference documents are not considered records, should not be declared as records and should be disposed of when no longer needed.	T	D	N/A	N/A		
	07	Military Information Analysis and Assessment	Records relating to threat assessments (as part of Military Capability Studies/Concept of Operations/Mandate review); Intelligence Reports (INTREPS); Mission briefings.	P	A	Office of the HoM	UNHQ DPO/OMA	PKO-MIL-201	
	08	Logs and records of Unmanned Aircraft Systems	Records relating to Unmanned Aircraft System (UAS) flight, maintenance, and operator logs.	C + 5 E	D	Office of the HoM	UNHQ DPO/OMA	PKO-MIL-202	

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Function	*Activity No.*	*Activity Name*	*Description and Notes*	*Retention Period*	*Disposition*	*Office of Record*	*Successor Office of Record*	*Retention Code*	*Vital*
Mine Action (MIN)	**MIN**	Records that deal with the administration and coordination of mine action activities.		OICT Enterprise Retention: MIN (Permanent)					
	01	Planning, strategy	Records relating to the planning and strategies of the Office's administrative, substantive and logistical activities.	P	A	UNMAS Field Programme	UNHQ DPO/OROLSI/MAS	PKO-MIN-201	
	02	Policy, Procedure, Best Practice	Records relating to the policies and procedures of the Office's initiatives and activities including official policies, procedures, directives, instructions, guidelines. Guidance and best practice documents/records, including mission-developed standard operating procedures, lessons learned reports or after-action reviews should be submitted to peacekeeping-bestpractices@un.org (for peacekeeping operations) or dppa-policy@un.org (for special political missions) for possible inclusion in the Policy and Practice Database. Copies of policies and procedures written by headquarters offices should be considered reference documents and disposed of when no longer needed.	P	A	UNMAS Field Programme	UNHQ DPO/OROLSI/MAS	PKO-MIN-201	
	03	Coordination, partnership	Records relating to the Office's interaction with other entities (i.e. Member States), include collaborated work with other UN Departments, governmental/non-governmental organisations, local/civil institutions and all other entities. Documents include (but not limited to local initiatives, confidence building, extension of state authority etc.).	P	A	UNMAS Field Programme	UNHQ DPO/OROLSI/MAS	PKO-MIN-201	
	04	Monitoring, reporting	Records relating to the Office's monitoring, reporting, assessing, and analysing of programs, activities, and initiatives.	P	A	UNMAS Field Programme	UNHQ DPO/OROLSI/MAS	PKO-MIN-201	
	05	Capacity Building	Records relating to institutional and individual capacity building initiatives with local governmental agencies, non-governmental organizations (NGOs), community based organizations and other non-UN agencies.	P	A	UNMAS Field Programme	UNHQ DPO/OROLSI/MAS	PKO-MIN-201	
	06	Reference	Reference documents supporting the Office's work. Special Instructions: Reference documents are not considered records, should not be declared as records and should be disposed of when no longer needed.	T	D	N/A	N/A		
	07	Mine survey, marking, and clearance	Records relating to Mine surveying, marking and clearing. Special Instructions: To facilitate continuity of mine action activities, certain records may be transferred to a support agency (e.g. UNDP) upon mission closure.	P	A	UNMAS Field Programme	UNHQ DPO/OROLSI/MAS	PKO-MIN-201	
	08	Mine Victim Assistance	Records relating to assistance provided to mine victims. Special Instructions: To facilitate continuity of mine action activities, certain records may be transferred to a support agency (e.g. UNDP) upon mission closure.	P	A	UNMAS Field Programme	UNHQ DPO/OROLSI/MAS	PKO-MIN-201	
	09	Stockpile destruction, Weapons and Ammunition Management	Records relating to stockpile destruction, weapons and ammunition management. Special Instructions: To facilitate continuity of mine action activities, certain records may be transferred to a support agency (e.g. UNDP) upon mission closure.	P	A	UNMAS Field Programme	UNHQ DPO/OROLSI/MAS	PKO-MIN-201	

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Function	*Activity No.*	*Activity Name*	*Description and Notes*	*Retention Period*	*Disposition*	*Office of Record*	*Successor Office of Record*	*Retention Code*	*Vital*
Movement and Transport (MOV)	**MOV**	Records relating to movement of equipment, military contingents, and formed police units within and to/from missions; records relating to the movement of personnel and equipment inside a mission area.		OICT Enterprise Retention: MOV (5 Years)					
	01	Planning, strategy	Records relating to the planning and strategies of the Office's administrative, substantive and logistical activities.	P	A	Mission Ground Transport Section	TBD	PKO-MOV-201	
	02	Policy, Procedure, Best Practice	Records relating to the policies and procedures of the Office's initiatives and activities including official policies, procedures, directives, instructions, guidelines. Guidance and best practice documents/records, including mission-developed standard operating procedures, lessons learned reports or after-action reviews should be submitted to peacekeeping-bestpractices@un.org (for peacekeeping operations) or dppa-policy@un.org (for special political missions) for possible inclusion in the Policy and Practice Database. Copies of policies and procedures written by headquarters offices should be considered reference documents and disposed of when no longer needed.	P	A	Mission Integrated Support Services	TBD	PKO-MOV-201	
	03	Coordination, partnership	Records relating to the Office's interaction with other entities; include collaborated work with other UN Departments, governmental/non-governmental organizations, local/civil institutions and all other entities.	C + 10	D	Mission Ground Transport Section	TBD	PKO-MOV-202	
	04	Monitoring, reporting	Records relating to the Office's monitoring, reporting, assessing, and analysing of programs, activities, and initiatives.	P	D	Mission Integrated Support Services or Office of the DMS/CMS	TBD	PKO-MOV-201	
	05	Reference	Reference documents supporting the Office's work. Special Instructions: Reference documents are no records, should not be declared as records and should be disposed of when no longer needed.	T	D	N/A	N/A		
	06	Movement control/shipping	Transport schedules, bills of lading, customs records, shipping notifications, container tracking records; records relating to shipment of COE, UNOE, etc. to/from field missions; movement records relating to contingent/FPU deployment and repatriation.	C + 5 E	D	Mission Movement Control, Aviation, Traffic or Shipping Section	N/A	PKO-MOV-203	
	07	Air transport: aircraft inspection	Inspection reports; maintenance records supplied by air operators.	C + 5 E	D	Mission Air Transport Service	N/A	PKO-MOV-203	
	08	Air transport: flight operation: monthly	Manifests, landing clearance records, monthly flight schedules, actual daily flight schedules.	C + 5 E	D	Mission Air Transport Service	N/A	PKO-MOV-203	
	09	Air transport: flight operation: non-scheduled	Non-scheduled (i.e. special) flight requests.	C + 5	D	Mission Air Transport Service	DOS/OSCM	PKO-MOV-204	
	10	Air transport: aircraft use	Aircraft use reports. Special Instructions: originals maintained by UNHQ Air Transport Section for processing of payment to air operators/contractors.	C + 5 E	D	UNHQ DOS/OSCM/ATS	N/A	PKO-MOV-203	
	11	Surface transport: vehicle maintenance	Vehicle maintenance history records. Special Instructions: File closure: Close file annually on 31 December.	C + 5 E	D	Mission Ground Transport Section	N/A	PKO-MOV-203	
	12	Surface transport: surface operations	Vehicle allocation, inventory,logs, daily dispatch, mileage reports, trip tickets, statistics, meeting minutes of the Vehicle Establishment Committee, records of the Force Vehicle Inventory Unit (FVIU). Special Instructions: File closure: Close file annually on 31 December.	C + 5 E	D	Mission Ground Transport Section	N/A	PKO-MOV-203	
	13	Surface transport: licensing of drivers	Drivers' files (containing driver examination, photocopy of driver's license, etc.).	C + 5 E	D	Mission Ground Transport Section	N/A	PKO-MOV-203	

File Classification Scheme				Records Retention Schedule					
Function	*Activity No.*	*Activity Name*	*Description and Notes*	*Retention Period*	*Disposition*	*Office of Record*	*Successor Office of Record*	*Retention Code*	*Vital*
Oversight (OVE)	**OVE**	Records that deal with reviewing the administrative and substantive work of UN business units; Records relating to the investigation of violations of UN rules and regulations. Activities include Board of Inquiry case work, OIOS investigation, and internal and external auditing.		OICT Enterprise Retention: OVE (Permanent)					
	01	Planning, strategy	Records relating to the planning and strategies of the Office's administrative, substantive and logistical activities.	P	A	Office of the DMS/CMS	TBD	PKO-OVE-201	
	02	Policy, Procedure, Best Practice	Records relating to the policies and procedures of the Office's initiatives and activities including official policies, procedures, directives, instructions, guidelines. Guidance and best practice documents/records, including mission-developed standard operating procedures, lessons learned reports or after-action reviews should be submitted to peacekeeping-bestpractices@un.org (for peacekeeping operations) or dppa-policy@un.org (for special political missions) for possible inclusion in the Policy and Practice Database. Copies of policies and procedures written by headquarters offices should be considered reference documents and disposed of when no longer needed.	P	A	Office of the DMS/CMS	TBD	PKO-OVE-201	
	03	Coordination, partnership	Records relating to the Office's interaction with other entities; include collaborated work with other UN Departments, governmental/non-governmental organizations, local/civil institutions and all other entities.	T	D	Copies of HQ records, destroy when no longer needed	N/A		
	04	Monitoring, reporting	Records relating to the Office's monitoring, reporting, assessing, and analysing of programs, activities, and initiatives.	P	A	Office of the DMS/CMS	TBD	PKO-OVE-201	
	05	Capacity Building	Records relating to institutional and individual capacity building initiatives with local governmental agencies, non-governmental organizations (NGOs), community based organizations and other non-UN agencies.	T	D	Copies of HQ records, destroy when no longer needed	N/A		
	06	Reference	Reference documents supporting the Office's work. Special Instructions: Reference documents are not considered records, should not be declared as records and should be disposed of when no longer needed.	T	D	N/A	N/A		
	07	Aviation Safety Assessment Visits (ASAV)	Records include ASAV reports to missions and UN registered air vendors	P	A	Office of the DMS/CMS	UNHQ OASG/OROLSI/DPO	PKO-OVE-201	
	08	BOI technical investigation and case management	Military, police, and mission HQ BOI case files and final reports with supporting documentation such as: witness statements, medical reports, damage/discrepancy reports, technical inspection reports, incident scene sketches, maps, photographs, casualty notifications (NOTICAS), shooting reports (SHOOTREP), significant incident reports (SINCREP). Special Instructions: originals of investigation reports, such as Aviation Safety Technical Investigation Reports and State Investigation Reports, are placed on the BOI file.	E	D	Mission BOI Unit (DMS/CMS/CoS)	N/A	PKO-OVE-202	V

File Classification Scheme				Records Retention Schedule					
Function	*Activity No.*	*Activity Name*	*Description and Notes*	*Retention Period*	*Disposition*	*Office of Record*	*Successor Office of Record*	*Retention Code*	*Vital*
Oversight (OVE)	**OVE**	Records that deal with reviewing the administrative and substantive work of UN business units; Records relating to the investigation of violations of UN rules and regulations. Activities include Board of Inquiry case work, OIOS investigation, and internal and external auditing.		OICT Enterprise Retention: OVE (Permanent)					
	09	BOI technical investigation	Evidentiary and supporting records used in developing technical inspection reports; copies of final reports. Special Instructions: originals of final reports, such as Aviation Safety Technical Investigation Reports and Authority Investigation Reports, are placed on the BOI file.	E	D	UNHQ DOS/OUSG/ARBOIS	N/A	PKO-OVE-202	V
	10	Audit: external audit	Records include: administrative files relating to the work of the Board of Auditors. T = resolution of issues raised in Audit	E	D	Office of the DMS/CMS and UNHQ Secretariat of the Board of Auditors	N/A	PKO-OVE-203	
	11	Audit: internal audit	Records include: case files. T = resolution of issues raised in Audit	T + 15	D	UNHQ OIOS	TBD	PKO-OVE-204	
	12	Evaluation	Programme and mission monitoring evaluation records, including mandatory internal evaluations (self-assessments) and discretionary internal evaluations (self-evaluation). T = resolution of issues raised in Audit	T + 15	D	UNHQ OIOS	TBD	PKO-OVE-204	
	13	Investigation: Mission Security Investigation Unit (SIU)	Records of Mission Security Investigation Units (SIU) Special instructions: Records of OIOS mission investigation records belong to HQ under OIOS HQ schedule.	P	A	Mission SIU	TBD	PKO-OVE-201	V

File Classification Scheme				Records Retention Schedule					
Function	*Activity No.*	*Activity Name*	*Description and Notes*	*Retention Period*	*Disposition*	*Office of Record*	*Successor Office of Record*	*Retention Code*	*Vital*
Political Affairs (POL)	**POL**	Records that deal with the dynamics of armed conflict, including activities to help resolve them through peaceful processes, such as negotiation processes and good offices.		OICT Enterprise Retention: POL (Permanent)					
	01	Planning, strategy	Records relating to the planning and strategies of the Office's administrative, substantive and logistical activities. Records of the Field include Mission-authored strategy; strategic planning, implementation and evaluation documents, in all aspects of political affairs.	P	A	Office of the HoM or Political Affairs Component	UNHQ DPO/OUSG or DPPA/OUSG	PKO-POL-201	
	02	Policy, Procedure, Best Practice	Records relating to the policies and procedures of the Office's initiatives and activities including official policies, procedures, and guidelines. Guidance and best practice documents/records, including mission-developed standard operating procedures, lessons learned reports or after-action reviews should be submitted to peacekeeping-bestpractices@un.org (for peacekeeping operations) or dppa-policy@un.org (for special political missions) for possible inclusion in the Policy and Practice Database. Copies of policies and procedures written by headquarters offices should be considered reference documents and disposed of when no longer needed.	P	A	Office of the HoM	UNHQ DPO/OUSG or DPPA/OUSG	PKO-POL-201	
	03	Coordination, partnership	Records relating to the Office's interaction with other entities; include collaborated work with other UN Departments, governmental/non-governmental organizations, local/civil institutions and all other entities. Records include those related to the engagement and coordination in the field between Mission and the host Government, other Member States, UN entities, regional and sub-regional organizations, as well as civil society organisations, such as, but not limited to, meeting notes of USG/ASG meetings with those partners, in all aspects of political affairs, such as peace talks and elections.	P	A	Office of the HoM, Political and Civil Affairs Components	UNHQ DPO/OUSG or DPPA/OUSG	PKO-POL-201	
	04	Monitoring, reporting	Records relating to the Office's monitoring, reporting, assessing, and analysing of programs, activities, and initiatives. Records include records related to analysis of political process, dynamics and activities and early warning, including analysis of political actors and socio-economic conditions; and periodic and ad hoc reports submitted to HQ in all aspects of political affairs.	P	A	Office of the HoM, Political and Civil Affairs Components	UNHQ DPO/OUSG or DPPA/OUSG	PKO-POL-201	
	05	Capacity Building	Records relating to institutional and individual capacity building initiatives with local governmental agencies, non-governmental organizations (NGOs), community based organizations and other non-UN agencies.	P	A	Political and Civil Affairs Components	UNHQ DPO/OUSG or DPPA/OUSG	PKO-POL-201	
	06	Reference	Reference documents supporting the Office's work. Special Instructions: Reference documents are not considered records, should not be declared as records and should be disposed of when no longer needed.	T	D	N/A	N/A		

File Classification Scheme				Records Retention Schedule					
Function	*Activity No.*	*Activity Name*	*Description and Notes*	*Retention Period*	*Disposition*	*Office of Record*	*Successor Office of Record*	*Retention Code*	*Vital*
Procurement (PRO)	**PRO**	Procurement cases originating from field mission procurement sections only, including contracts, purchase orders, requests for proposals, and vendor registration files.		OICT Enterprise Retention: SCM (Permanent)					
	01	Planning, strategy	Records relating to the planning and strategies of the Office's administrative, substantive and logistical activities.	E	D	Mission Procurement Section	N/A	PKO-PRO-201	
	02	Policy, Procedure, Best Practice	Records relating to the policies and procedures of the Office's initiatives and activities including official policies, procedures, and guidelines. Guidance and best practice documents/records, including mission-developed standard operating procedures, lessons learned reports or after-action reviews should be submitted to peacekeeping-bestpractices@un.org (for peacekeeping operations) or dppa-policy@un.org (for special political missions) for possible inclusion in the Policy and Practice Database Records relating to policies, procedures, and best practices of UNHQ/DM/OCSS/PD are transferred to them and not maintained by UNHQ/DFS/OASG	T	D	Copies of HQ records, destroy when no longer needed	N/A		
	03	Coordination, partnership	Records relating to the Office's interaction with other entities; include collaborated work with other UN Departments, governmental/non-governmental organizations, local/civil institutions and all other entities. T = completion of contract	T + 10	D	Mission Procurement or Contract Management Section	UNHQ DOS/OSCM/PD	PKO-PRO-202	
	04	Monitoring, reporting	Records relating to the Office's monitoring, reporting, assessing, and analysing of programs, activities, and initiatives.	C + 5, E	D	Mission Procurement Section	N/A	PKO-PRO-203	
	05	Capacity Building	Records relating to institutional and individual capacity building initiatives with local governmental agencies, non-governmental organizations (NGOs), community based organizations and other non-UN agencies.	T	D	Copies of HQ records, destroy when no longer needed	N/A		
	06	Reference	Reference documents supporting the Office's work. Special Instructions: Reference documents are not considered records, should not be declared as records and should be disposed of when no longer needed.	T	D	N/A	N/A		
	07	Bids, Proposals, Quotations	All successful and unsuccessful bids, proposals and quotations and supporting documentation received for a specific procurement. Special Instructions: Original tender opening records are filed separately. Copies of relevant tender opening records are collocated with contract/purchase order. A list of vendors who have submitted unsuccessful bids, proposals or quotations at the time of cancellation should be kept in the relevant procurement case file. T = conclusion of bid process, bidder chosen or procurement	T + 10	D	Mission Procurement Section	UNHQ DOS/OSCM/PD	PKO-PRO-202	

File Classification Scheme				Records Retention Schedule					
Function	*Activity No.*	*Activity Name*	*Description and Notes*	*Retention Period*	*Disposition*	*Office of Record*	*Successor Office of Record*	*Retention Code*	*Vital*
Procurement (PRO)	**PRO**	Procurement cases originating from field mission procurement sections only, including contracts, purchase orders, requests for proposals, and vendor registration files.		OICT Enterprise Retention: SCM (Permanent)					
	08	Headquarters /Local Committee on Contracts - Minutes and presentations	Records relating to Headquarters /Local Committee on Contracts meeting minutes and presentations. Special Instructions: This disposal class corresponds to LCC / HCC meeting minutes not filed in contract/purchase order case files. T = completion/cancellation of procurement	T + 5	D	Mission Office of the DMS/CMS (Secretary of the Local Committee on Contracts)	UNHQ DOS/OSCM/PD	PKO-PRO-204	
	09	Contracts and Leases	Contracts and Leases which result from successful procurements. Key procurement file containing the purchase orders; signed contract (contracts, leases, institutional and corporate agreements); approved requisitions; ITB, RFP or RFQ; offers or bids; procurement abstracts or analysis; technical evaluations; vendor performance evaluations; HCC/LCC presentations and minutes; ASG approvals; Statement of Award and procurement correspondence. Vendor Performance Evaluation. T = Contract/Lease completed/cancelled and all charges, issues, claims settled.	T + 10	D	Mission Procurement Section	UNHQ DOS/OSCM/PD	PKO-PRO-202	V
	10	Delegations of procurement authority	Records relating to the delegation of procurement authority and designation. T = Staff member is no longer active in function requiring delegation of procurement authority or has received a new delegation of authority.	T + 5	D	Mission Procurement Section	UNHQ DOS/OSCM/PD	PKO-PRO-204	

File Classification Scheme				Records Retention Schedule					
Function	*Activity No.*	*Activity Name*	*Description and Notes*	*Retention Period*	*Disposition*	*Office of Record*	*Successor Office of Record*	*Retention Code*	*Vital*
Property Management (PRP)	**PRP**	Records relating to the deployment, rotation, replenishment, inventory, write-off, and transfer of UN-owned and contingent-owned equipment in missions.		OICT Enterprise Retention: ADM (Permanent)					
	01	Planning, strategy	Records relating to the planning and strategies of the Office's administrative, substantive and logistical activities.	P	A	UNHQ DFS/LSD/Office of the Director	TBD	PKO-PRP-201	
	02	Policy, Procedure, Best Practice	Records relating to the policies and procedures of the Office's initiatives and activities including official policies, procedures, directives, instructions, guidelines. Guidance and best practice documents/records, including mission-developed standard operating procedures, lessons learned reports or after-action reviews should be submitted to peacekeeping-bestpractices@un.org (for peacekeeping operations) or dppa-policy@un.org (for special political missions) for possible inclusion in the Policy and Practice Database. Copies of policies and procedures written by headquarters offices should be considered reference documents and disposed of when no longer needed.	P	A	Office of the DMS/CMS	TBD	PKO-PRP-201	
	03	Coordination, partnership	Records relating to the Office's interaction with other entities; include collaborated work with other UN Departments, governmental/non-governmental organizations, local/civil institutions and all other entities.	C +10	D	Office of the DMS/CMS	TBD	PKO-PRP-202	
	04	Monitoring, reporting	Records relating to the Office's monitoring, reporting, assessing, and analysing of programs, activities, and initiatives.	P	A	Office of the DMS/CMS	TBD	PKO-PRP-201	
	05	Capacity Building	Records relating to institutional and individual capacity building initiatives with local governmental agencies, non-governmental organizations (NGOs), community based organizations and other non-UN agencies.	T	D	Copies of HQ records, destroy when no longer needed	N/A		
	06	Reference	Reference documents supporting the Office's work. Special Instructions: Reference documents are not considered records, should not be declared as records and should be disposed of when no longer needed.	T	D	N/A	N/A		
	07	Stock management: Equipment maintenance	Documents include information relating to the service and maintenance of office property and equipment.	C + 5	D	Mission Technical Section	TBD	PKO-PRP-203	
	08	Stock management: warehousing	Records relating to the warehousing of mission supplies, care and storage of materiel.	C + 5, E	D	Mission Warehousing Section	TBD	PKO-PRP-204	
	09	Property control: annual inventory	Annual inventories of field missions	E + 5	D	Office of the DMS/CMS	TBD	PKO-PRP-205	
	10	Property control: Issue of property	Records relating to mission issue vouchers, authority to release vouchers.	E + 5	D	Mission Technical Section	TBD	PKO-PRP-205	
	11	Property control: handover of property: general	Records relating to internal mission handover vouchers (UN equipment, vehicles, IT equipment, radios, etc.). T = completion of handover	T + 5	D	Mission Technical Section	TBD	PKO-PRP-206	
	12	Property control: handover of property: donation	Records relating to mission donation handover vouchers.	E + 10	D	Mission Property Control and Inventory Unit	TBD	PKO-PRP-207	

File Classification Scheme				Records Retention Schedule					
Function	*Activity No.*	*Activity Name*	*Description and Notes*	*Retention Period*	*Disposition*	*Office of Record*	*Successor Office of Record*	*Retention Code*	*Vital*
Property Management (PRP)	**PRP**	Records relating to the deployment, rotation, replenishment, inventory, write-off, and transfer of UN-owned and contingent-owned equipment in missions.		OICT Enterprise Retention: ADM (Permanent)					
	13	Property control: return of property	Records relating to mission return stores vouchers.	E + 5	D	Mission Technical Section	N/A	PKO-PRP-205	
	14	Property survey: rejected write-off requests rejected	Records relating to mission Survey Team's Physical Verification records; Asset Managers' write-off requests and asset lists. Special Instructions: New request must be submitted if rejected; appeal based on request at hand not permitted.	C + 5, E	D	Mission Technical Section, Mission General Services Section or Claims Unit (Property Survey Officer)	N/A	PKO-PRP-204	
	15	Property survey: processing of accepted write-off requests	Records relating to mission property survey AW case records (DMS/CMS decision); LPSB meeting minutes with attached A case records. T = physical disposal of assets and after asset records have been deleted from mission inventory.	T + 5	D	Office of the DMS/CMS or Mission LPSB	N/A	PKO-PRP-206	
	16	Property survey: solicitation of HPSB recommendation	Records relating to SB case files. Special Instructions: Office of record changes from Mission Local Property Survey Board (LPSB) to UNHQ HPSB upon the latter's receipt of SB case files; LPSB retains non-record copies of SB case files T = physical disposal of assets and after asset records have been deleted from mission inventory.	T + 5	D	Mission LPSB	TBD	PKO-PRP-206	
	17	Receiving and inspection: mission	Records relating to field mission receiving and inspection reports, damage discrepancy reports (DDR). Special Instructions: Receiving and inspection reports maintained by Mission Finance Section are attached to the corresponding voucher and so adopt the voucher's retention requirements. Office of Record is the Mission Receiving and Inspection Unit where no payment is involved, such as inter-mission transactions; and the Mission Finance Section where payment is involved, such as procurement of goods T = approval of mission self-accounting unit.	T + 5	D	Mission Receiving and Inspection Unit or Mission Finance Section	TBD	PKO-PRP-206	
	18	Receiving and inspection: UNLB	Records relating to receiving and inspection reports, damage discrepancy reports (DDR). T = approval of UNHQ/DMSPC	T + 5	D	Mission Receiving and Inspection Unit	TBD	PKO-PRP-206	

File Classification Scheme				Records Retention Schedule					
Function	*Activity No.*	*Activity Name*	*Description and Notes*	*Retention Period*	*Disposition*	*Office of Record*	*Successor Office of Record*	*Retention Code*	*Vital*
Protection (PRT)	**PRT**	Records relating to the administration and coordination of protection activities.		OICT Enterprise Retention: (CIV Permanent)					
	01	Planning, strategy	Records relating to the planning and strategies of the Office's administrative, substantive and logistical activities.	P	A	Mission Component	UNHQ DPO/DPET	PKO-PRT-201	
	02	Policy, Procedure, Best Practice	Records relating to the policies and procedures of the Office's initiatives and activities including official policies, procedures, directives, instructions, guidelines. Guidance and best practice documents/records, including mission-developed standard operating procedures, lessons learned reports or after-action reviews should be submitted to peacekeeping-bestpractices@un.org (for peacekeeping operations) or dppa-policy@un.org (for special political missions) for possible inclusion in the Policy and Practice Database. Copies of policies and procedures written by headquarters offices should be considered reference documents and disposed of when no longer needed.	P	A	Mission Component	UNHQ DPO/DPET	PKO-PRT-201	
	03	Coordination, partnership	Records relating to the Office's interaction with other entities; include collaborated work with other UN Departments, governmental/non-governmental organizations, local/civil institutions and all other entities.	P	A	Mission Component	UNHQ DPO/DPET	PKO-PRT-201	
	04	Monitoring, reporting	Records relating to the Office's monitoring, reporting, assessing, and analysing of programs, activities, and initiatives.	P	A	Mission Component	UNHQ DPO/DPET	PKO-PRT-201	
	05	Capacity Building	Records relating to institutional and individual capacity building initiatives with local governmental agencies, non-governmental organizations (NGOs), community based organizations and other non-UN agencies.	P	A	Mission Component	UNHQ DPO/DPET	PKO-PRT-201	
	06	Reference	Reference documents supporting the Office's work. Special Instructions: Reference documents are not considered records, should not be declared as records and should be disposed of when no longer needed.	T	D	N/A	N/A		
	07	Protection of Civilians	Records relating to the protection of civilians.	P	A	Mission Component	UNHQ DPO/DPET/PBPS/PCT	PKO-PRT-201	
	08	Protection of Children	Records relating to the protection of children.	P	A	Mission Component	UNHQ DPO/DPET/PBPS/CPT	PKO-PRT-201	
	09	Conflict Related Sexual Violence	Records relating to sexual violence in conflict.	P	A	Mission Component	UNHQ DPO/DPET/PBPS/CRSV	PKO-PRT-201	

File Classification Scheme				Records Retention Schedule					
Function	*Activity No.*	*Activity Name*	*Description and Notes*	*Retention Period*	*Disposition*	*Office of Record*	*Successor Office of Record*	*Retention Code*	*Vital*
Public Information and Communication (PUC)	**PUC**	Records relating to the creation, management, and dissemination of UN mission materials that document, describe, and promote the departments' work.		OICT Enterprise Retention: (PUB Permanent)					
	01	Planning, strategy	Records relating to the planning and strategies of the Office's administrative, substantive and logistical activities.	P	A	Mission Public Information Component	UNHQ DPPA/OUSG/SCS or DPPA-DPO/ODCSS/SCS	PKO-PUC-201	
	02	Policy, Procedure, Best Practice	Records relating to the policies and procedures of the Office's initiatives and activities including official policies, procedures, directives, instructions, guidelines. Guidance and best practice documents/records, including mission-developed standard operating procedures, lessons learned reports or after-action reviews should be submitted to peacekeeping-bestpractices@un.org (for peacekeeping operations) or dppa-policy@un.org (for special political missions) for possible inclusion in the Policy and Practice Database. Copies of policies and procedures written by headquarters offices should be considered reference documents and disposed of when no longer needed.	P	A	Mission Public Information Component	UNHQ DPPA/OUSG/SCS or DPPA-DPO/ODCSS/SCS	PKO-PUC-201	
	03	Coordination, partnership	Records relating to the Office's interaction with other entities; include collaborated work with other UN Departments, governmental/non-governmental organizations, local/civil institutions and all other entities.	C + 5 E	D	Mission Public Information Component	N/A	PKO-PUC-202	
	04	Monitoring, reporting	Records relating to the Office's monitoring, reporting, assessing, and analysing of programs, activities, and initiatives.	P	A	Office of the HoM Mission Public Information Component	UNHQ DPPA/OUSG/SCS or DPPA-DPO/ODCSS/SCS	PKO-PUC-201	
	05	Capacity Building	Records relating to institutional and individual capacity building initiatives with local governmental agencies, non-governmental organizations (NGOs), community based organizations and other non-UN agencies.	P	A	Mission Public Information Component	UNHQ DPPA/OUSG/SCS or DPPA-DPO/ODCSS/SCS	PKO-PUC-201	
	06	Reference	Reference documents supporting the Office's work. Special Instructions: Reference documents are not considered records, should not be declared as records and should be disposed of when no longer needed.	T	D	N/A	N/A		
	07	Education	Public information in the fields of voter education programmes; mine-risk education and advocacy programmes. Special Instructions: Transfer mine action records to a support agency (e.g. UNDP) upon mission closure; do not transfer to ARMS.	P	A	Mission Public Information Component or MACC	UNHQ DPPA/OUSG/SCS or DPPA-DPO/ODCSS/SCS	PKO-PUC-201	

File Classification Scheme				Records Retention Schedule					
Function	*Activity No.*	*Activity Name*	*Description and Notes*	*Retention Period*	*Disposition*	*Office of Record*	*Successor Office of Record*	*Retention Code*	*Vital*
Public Information and Communication (PUC)	**PUC**	Records relating to the creation, management, and dissemination of UN mission materials that document, describe, and promote the departments' work.		OICT Enterprise Retention: (PUB Permanent)					
	08	External Relations	All press releases; all external speeches and statements from USGs regardless of topic; statistics relating to representational invitations; mission fact sheets; exhibition-related Web and print publications; educational outreach materials; mine risk advocacy records. Special Instructions: Representational invitations should only be kept for 2 years.	P	A	Mission Public Information Component	UNHQ DPPA/OUSG/SCS or DPPA-DPO/ODCSS/SCS	PKO-PUC-201	
	09	Internal Relations	DPO/DOS/DPPA USG messages to all staff regardless of topic; Intranet profiles; edited field mission press releases and Web stories; Web casts.	P	A	Mission Public Information Component	UNHQ DPPA/OUSG/SCS or DPPA-DPO/ODCSS/SCS	PKO-PUC-201	
	10	Media Relations	Statistics and statistical analysis relating to media interaction; records relating to the preparation of press encounters, including cover notes, prep sheets, and supporting materials; interview transcripts; transcripts of Spokesman's press briefings, press releases, interview transcripts, video and audio recordings of the broadcasted content. Special Instructions: For transfer of audio and video materials, please refer to the Policy and Guidance for Public Information on the Policy and Practice Database.	P	A	Mission Public Information Component	UNHQ DPPA/OUSG/SCS or DPPA-DPO/ODCSS/SCS	PKO-PUC-201	
	11	Protocol	Records relating to the hosting of visitors; congratulatory and thank you letters.	E + 5	D	Mission General Services Section	UNHQ DPPA/OUSG/SCS or DPPA-DPO/ODCSS/SCS	PKO-PUC-203	
	12	Publishing and Broadcasting	Records relating to radio and television programme scripts, video and audio recordings of broadcasted content, print information products. Special Instructions: To transfer audio and video materials refer to the Policy and Guidance for Public Information on the Policy and Practice Database. Special instructions: Raw footage is not included and be disposed when no longer needed.	P	A	Mission Public Information Component	UNHQ DPPA/OUSG/SCS or DPPA-DPO/ODCSS/SCS	PKO-PUC-201	

File Classification Scheme				Records Retention Schedule					
Function	*Activity No.*	*Activity Name*	*Description and Notes*	*Retention Period*	*Disposition*	*Office of Record*	*Successor Office of Record*	*Retention Code*	*Vital*
Safety and Security Management (SSM)	**SSM**	Records relating to missions safety and security programmes and practices, including physical, personnel and travel safety and security; investigations of safety and security incidents.		OICT Enterprise Retention: (SSM Permanent)					
	01	Planning, strategy	Records relating to the planning and strategies of the Office's administrative, substantive and logistical activities. Records include: Aviation Safety Support Plans for new missions; DFS and Mission Aviation Safety Programmes; Aviation Safety Work Plans.	P	A	Office of the DMS/CMS Mission Office of the Chief/Principal Security Adviser	UNHQ DPPA-DPO/ODCSS/FPS	PKO-SSM-201	V
	02	Policy, Procedure, Best Practice	Records relating to the UNHQ policies, guidelines and procedures of the Office's initiatives and activities including official policies, procedures, directives, instructions; safety programmes and activities in the field relating to Safety and Security. Guidance and best practice documents/records, including mission-developed standard operating procedures, lessons learned reports or after-action reviews should be submitted to peacekeeping-bestpractices@un.org (for peacekeeping operations) or dppa-policy@un.org (for special political missions) for possible inclusion in the Policy and Practice Database. Special Instructions: Security policy and procedure is authored by UNHQ DSS/DRO/POSS. Copies of policies and procedures written by headquarters offices should be considered reference documents and disposed of when no longer needed. Special Instructions: Custody Triggers: Local Archive after Date Closed	P	A	Office of the DMS/CMS Mission Office of the Chief/Principal Security Adviser	UNHQ DPPA-DPO/ODCSS/FPS	PKO-SSM-201	V
	03	Coordination, partnership	Records relating to the Office's interaction with other entities; include collaborated work with other UN Departments, governmental/non-governmental organizations, local/civil institutions and all other entities.	P	A	Office of the DMS/CMS	UNHQ DPPA-DPO/ODCSS/FPS	PKO-SSM-201	
	04	Monitoring, reporting	Records relating to the Office's monitoring, reporting, assessing, and analysing of programs, activities, and initiatives. Raw CCTV Footage is retained for 30 days unless used in the context of an investigation, inquiry, etc. In this case, the retention assigned will be the one of the support material related to that inquiry or investigation. Records include: aircraft occurrence reports (OR), hazard reports (HR), risk assessment/ safety indicators, Aviation Safety Council agenda and minutes, monthly and annual reports. Special Instructions: Custody Triggers: Local Archive after Date Closed	P	A	Office of the DMS/CMS or CSA	UNHQ DPPA-DPO/ODCSS/FPS	PKO-SSM-201	V
	05	Capacity Building	Records relating to institutional and individual capacity building initiatives with local governmental agencies, non-governmental organizations (NGOs), community based organizations and other non-UN agencies.	P	A	Office of the DMS/CMS Mission Office of the Chief/Principal Security Adviser	UNHQ DPPA-DPO/ODCSS/FPS	PKO-SSM-201	

File Classification Scheme				Records Retention Schedule					
Function	*Activity No.*	*Activity Name*	*Description and Notes*	*Retention Period*	*Disposition*	*Office of Record*	*Successor Office of Record*	*Retention Code*	*Vital*
Safety and Security Management (SSM)	**SSM**	Records relating to missions safety and security programmes and practices, including physical, personnel and travel safety and security; investigations of safety and security incidents.		OICT Enterprise Retention: (SSM Permanent)					
	06	Reference	Reference documents supporting the Office's work (industry standards, recommended practices, instructions, manuals, etc.). Special Instructions: Reference documents are not considered records, should not be declared as records and should be disposed of when no longer needed.	T	D	N/A	N/A		
	07	AVSS aviation safety technical investigation (ASTI)	UN contracted aircraft accident investigation; state investigation and DOS/OSCM/AVSS/ASTI reports	P	A	Office of the DMS/CMS	UNHQ DPPA-DPO/ODCSS/FPS	PKO-SSM-201	
	08	Aviation crisis management	Mission Aviation Emergency Response Plan	P	A	Office of the DMS/CMS, Joint Operations Centre or CSO	UNHQ DPPA-DPO/ODCSS/FPS	PKO-SSM-201	
	09	Investigation: incidents resulting in minor damage/loss: general	Non-Board of Inquiry case files documenting minor damage/loss to the following: 1.) UN-owned property (excluding vehicles) 2.) contingent-owned equipment (COE) 3.) mission staff personal effects.	C + 5, E	D	Office of DMS/CMS/CSO, Office of Chief/Principal Security Adviser or Office of the Force Commander	N/A	PKO-SSM-202	V
	10	Investigation: incidents resulting in minor damage/loss: UN vehicles	Non-Board of Inquiry case files documenting minor damage/loss to UN vehicles.	C + 5, E	D	Office of DMS/CMS/CSO, Office of Chief/Principal Security Adviser or Office of the Force Commander	N/A	PKO-SSM-202	V
	11	Investigation: incidents resulting in no damage/loss of property	Attempted theft reports; reports of traffic offences resulting in no injury or damage.	C + 5, E	D	Office of DMS/CMS/CSO, Office of Chief/Principal Security Adviser or Office of the Force Commander	N/A	PKO-SSM-202	V
	12	Surface transport safety	File here: policy and procedure on the surface transport of hazardous materials.	P	A	Office of the DMS/CMS/ Transport Section	UNHQ DPPA-DPO/ODCSS/FPS	PKO-SSM-201	
	13	Air transport safety	File here: preliminary aircraft occurrence reports (PAORs), aircraft observed hazard reports, aircraft risk assessment/safety indicators, Aviation Safety Council minutes and agenda.	P	A	Office of DMS/CMS, Transport Section, Aviation Safety Section or CSA/CSO	UNHQ DPPA-DPO/ODCSS/FPS	PKO-SSM-201	
	14	Fire safety	File here: records relating to fire prevention, fire escape routes, and fire warden designation.	E	D	CSA/CSO	N/A	PKO-SSM-203	

File Classification Scheme				Records Retention Schedule					
Function	*Activity No.*	*Activity Name*	*Description and Notes*	*Retention Period*	*Disposition*	*Office of Record*	*Successor Office of Record*	*Retention Code*	*Vital*
Safety and Security Management (SSM)	**SSM**	Records relating to missions safety and security programmes and practices, including physical, personnel and travel safety and security; investigations of safety and security incidents.		OICT Enterprise Retention: (SSM Permanent)					
	15	Occupational safety	File here: policies and practices intended to prevent and reduce occupational accidents and diseases by means of training, regulations, etc.	P	A	Office of DMS/CMS or OSO/FOSFP	UNHQ DPPA-DPO/ODCSS/FPS	PKO-SSM-201	V
	16	Security crisis management	Individual crisis case file folders, such as abductions, attacks, and evacuations	P	A	Joint Operations Centre or Office of the CoS	UNHQ DPPA-DPO/ODCSS/FPS	PKO-SSM-201	V
	17	Inventory of personal effects	Staff personal effects inventories.	E	D	Office of the DMS/CMS	UNHQ DPPA-DPO/ODCSS/FPS	PKO-SSM-202	
	18	Staff identification	Identification cards (including temporary cards for visitors), border crossing passes, entry passes for UN contractors.	C + 5, E	D	Office of the DMS/CMS	N/A	PKO-SSM-202	
	19	Staff tracking	Staff tracking data.	C + 5, E	D	Mission Security Operations Centre (SOC) or Equivalent	N/A	PKO-SSM-202	V
	20	Security clearance	TRIP (external or internal travel); MOPs; special cases i.e. travel to locations classified as "very high" risk area	C + 5, E	D	CSA/CSO	N/A	PKO-SSM-202	
	21	Surveillance	Surveillance camera logs. Raw CCTV Footage is retained for 30 days unless used in the context of an investigation, inquiry, etc. Then it will either kept as a monitoring and reporting record (SSM 04, above), or as part of the records of a specific investigation.	30 Days	D	Office of the Chief/Principal Security Adviser	N/A	PKO-SSM-204	
	22	Security broadcasts	Staff security broadcasts.	P	A	Office of the Chief/Principal Security Adviser	UNHQ DPPA-DPO/ODCSS/FPS	PKO-SSM-201	

File Classification Scheme				Records Retention Schedule					
Function	*Activity No.*	*Activity Name*	*Description and Notes*	*Retention Period*	*Disposition*	*Office of Record*	*Successor Office of Record*	*Retention Code*	*Vital*
Security Sector Reform (SSR)	**SSR**	Records relating to security sector development, including assessment, review and reform of the security sector and its institutions.		OICT Enterprise Retention: SSR (Permanent)					
	01	Planning, strategy	Records relating to the planning and strategies of the Office's administrative, substantive and logistical activities.	P	A	Mission SSR Component or Mission Political Lead	UNHQ DPO/OROLSI/SSRU	PKO-SSR-201	
	02	Policy, Procedure, Best Practice	Records relating to the policies and procedures of the Office's initiatives and activities including official policies, procedures, directives, instructions, guidelines. Guidance and best practice documents/records, including mission-developed standard operating procedures, lessons learned reports or after-action reviews should be submitted to peacekeeping-bestpractices@un.org (for peacekeeping operations) or dppa-policy@un.org (for special political missions) for possible inclusion in the Policy and Practice Database. Copies of policies and procedures written by headquarters offices should be considered reference documents and disposed of when no longer needed.	P	A	Mission SSR Component or Mission Political Lead	UNHQ DPO/OROLSI/SSRU	PKO-SSR-201	
	03	Coordination, partnership	Records relating to the Office's interaction with other entities; include collaborated work with other UN Departments, governmental/non-governmental organizations, local/civil institutions and all other entities.	P	A	Mission SSR Component or Mission Political Lead	UNHQ DPO/OROLSI/SSRU	PKO-SSR-201	
	04	Monitoring, reporting	Records relating to the Office's monitoring, reporting, assessing, and analysing of programs, activities, and initiatives; including monthly SSR reports to UNHQ.	P	A	Mission SSR Component or Mission Political Lead	UNHQ DPO/OROLSI/SSRU	PKO-SSR-201	
	05	Capacity Building	Records relating to institutional and individual capacity building initiatives with local governmental agencies, non-governmental organizations (NGOs), community based organizations and other non-UN agencies.	P	A	Mission SSR Component or Mission Political Lead	UNHQ DPO/OROLSI/SSRU	PKO-SSR-201	
	06	Reference	Reference documents supporting the Office's work. Special Instructions: Reference documents are not considered records, should not be declared as records and should be disposed of when no longer needed.	T	D	N/A	N/A		