

Function	No.	Activity	Description and Notes	Headquarters				Field				Vital
				Retention Period	Disposition	Office of Record	Retention Code	Retention Period	Disposition	Office of Record	Retention Code	
Budget & Finance	BUF	Information dealing with the support and management of HQ, Departments and field mission financial and budget matters, including claims and trust fund management, and travel.										
	01	Planning, strategy	Records relating to the planning and strategies of the Function's administrative, substantive and logistical activities.	C + 5	D	Office of the DMS / CMS	PHRS-BUF-105					
	02	Policy, Procedure, Best Practice	Records relating to the policies and procedures of the Function's initiatives and activities including official policies, procedures, directives, instructions, guidelines. Special Instructions: Records relating to the Function's Best Practices including Business Continuity Plans, contingency planning /disaster recovery, and records relating to analysis and re-engineering of business processes; also including all documents to be submitted to Peacekeeping Best Practice Section (peacekeeping-policysupport@un.org) for possible inclusion in the DPKO/DFS Policy and Practice Database.	P	A	UNHQ DM / OPPBA / PFD or PPBD UNHQ DFS / OUSG or UNHQ DFS / FBFD / Front Office (other)	PHRS-BUF-101	P	A	Mission Finance Section	PKO-BUF-101	
	03	Coordination, partnership	Records relating to the Function's interaction with other entities; include collaborated work with other UN Departments, governmental/non-governmental organizations, local/civil institutions and all other entities.									
	04	Monitoring, reporting	Records relating to the Function's monitoring, reporting, assessing, and analysing of programs, activities, and initiatives.	C + 5	D	UNHQ DM / OPPBA / PFD / PPBD / Accounts Division UNHQ DFS / FBFD	PHRS-BUF-104	C + 5	D	Mission Finance Section	PKO-BUF-104	
	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.									
	06	Reference	Documents relating to references supporting the Functions work. Special Instructions: Reference documents are not considered records and should not be declared as records. <i>T=Document is superseded</i>	T	D			T, E	D			
	07	Accounts Payable	Record 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.	C + 5	D	UNHQ DM / OPPBA / PFD or PPBD UNHQ DFS / OUSG or UNHQ DFS / FBFD / Front Office (other)	PHRS-BUF-105	C + 5	D	Mission Finance Section	PKO-BUF-105	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.					C + 10	D	Mission Finance Section	PKO-BUF-106	
	09	Bank Reconciliation	Bank reconciliations, bank debit/credit advices, bank statements, cleared checks.					C + 5	D	Mission Finance Section	PKO-BUF-105	
	10	Budget 1 (official communications to/through OPPBA)	Official budget/performance report submission records (memos to OPPBA), requests for commitment authority, responses to 5.C/ACABQ. Allotments from OPPBA. Responses to BOA (through USG/ASG focal point), responses to OIOS. Financial Implications for Sec Co <i>T = General Assembly review of performance report</i>	T + 5	D	FBFD / OPPBA	PHRS-BUF-106					
	11	Budget 2 (Resourcing decisions)	Resourcing decisions: BN, code cables to and from missions for strategic priorities, results/decision of USG/ASG reviews. Responses for missions, queries from OPPBA, responses to OPPBA. Review matrix.	C+5	D	FBFD / OPPBA	PHRS-BUF-104					
	12	Budget 3 (Implementation and funds management)	Informal questions and clarifications to/from missions, to/from OPPBA. Redeployment requests from Missions.	C+5	D	FBFD / OPPBA	PHRS-BUF-104					
	13	Cancellation of financial actions	Cancellation vouchers with supporting documentation such as cancelled/voided checks.					C + 10	D	Mission Finance Section	PKO-BUF-106	
14	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 DM/OHRM/MSD, confirmation NOTICAS from field, etc.).	P	A	UNHQ DM / OPPBA / ABCC and UNHQ DFS / FBFD	PHRS-BUF-103	P	A	UNHQ DFS / FBFD (major claims); Mission Claims Unit (minor claims)	PKO-BUF-103	V	

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				Retention Period	Disposition	Office of Record	Retention Code	Retention Period	Disposition	Office of Record	Retention Code	
Budget & Finance	15	Claims review: contingent-owned equipment (COE)	Records include claims relating to contingent-owned equipment (COE) and letters of assist (LOA). Claims case files (including verification report, review by appropriate DPKO expert service, etc.). Claims case files (claim and invoice from permanent mission, medical review from UNHQ DM/OHRM/MSD, confirmation NOTICAS from field, etc.). <i>T = settlement of case.</i>	T + 10	D	UNHQ DFS / FBFD / MCMS	PHRS-BUF-107					V
	16	Disbursement	Disbursement: check registers					C + 5	D	Mission Finance Section	PKO-BUF-105	
	17	General Ledger	General ledger transferred from field accounting system, including daily postings and trial balance.	P	A	UNHQ DFS / FBFD	PHRS-BUF-102	P	A	Mission Finance Section	PKO-BUF-102	
	18	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	UNHQ DFS / FBFD / Liquidation Unit	PHRS-BUF-105	C + 5	D	Mission Finance Section	PKO-BUF-105	
	19	Liquidation	Records relating to the liquidation of mission.	C + 5	D	UNHQ DFS / FBFD / Liquidation Unit	PHRS-BUF-105	C + 5	D	Mission Finance Section	PKO-BUF-105	
	20	Treasury Management						C + 5	D	Mission Finance Section	PKO-BUF-105	
	21	Trust Fund Establishment	Information pertaining to the establishment and administration of trust funds & the programmatic uses of the fund's assets including establishment of a field mission trust fund; authority and purpose for establishing the fund; establishment of bank accounts; designation of certifying officers; allotment advices, cash receipts, interoffice & journal files, expenditure reports, financial statements & current transactions and correspondence. <i>T = closure of trust fund.</i>					T + 10	D	Mission Finance Section / Trust Fund Unit	PKO-BUF-107	
	22	Vouchers	Records recording a liability or allowing for the payment of a liability, or debt.					C + 5	D	Mission Finance Section	PKO-BUF-105	
23	Write-off submission	Records substantiating published financial statements.			Office of the Controller		C + 5	D	Mission Finance Section	PKO-BUF-105		

Function	No.	Activity	Description and Notes	Headquarters				Field				Vital
				Retention Period	Disposition	Office of Record	Retention Code	Retention Period	Disposition	Office of Record	Retention Code	
Civil Affairs	CIV	Records relating to the work at the social, administrative and sub-national political levels to facilitate a countrywide implementation of peacekeeping mandates and to support the population and government in strengthening conditions and structures conducive to sustainable peace.										
	01	Planning, strategy	Records relating to the planning and strategies of the Function's administrative, substantive and logistical activities. Records relating to civil affairs-related operational support and strategy provided to specific peacekeeping missions.	P	A	UNHQ DPKO / OO	PHRS-CIV-101	P	A	Mission Civil Affairs Component	PKO-CIV-101	
	02	Policy, Procedure, Best Practice	Records relating to the policies and procedures of the Function's initiatives and activities including official policies, procedures, directives, instructions, guidelines. Special Instructions: Records relating to the Function's Best Practices including Business Continuity Plans, contingency planning /disaster recovery, and records relating to analysis and re-engineering of business processes; also including all documents to be submitted to Peacekeeping Best Practice Section (peacekeeping-policysupport@un.org) for possible inclusion in the DPKO/DFS Policy and Practice Database.	P	A	UNHQ DPKO / OUSG	PHRS-CIV-101	P	A	Mission Civil Affairs Component	PKO-CIV-101	
	03	Coordination, partnership	Records relating to the Function'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	UNHQ DPKO / PBPS / Civil Affairs Unit	PHRS-CIV-101	P	A	Mission Civil Affairs Component	PKO-CIV-101	
	04	Monitoring, reporting	Records relating to the Function'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	PKO-CIV-101	
	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	UNHQ DPKO / PBPS / Civil Affairs Unit	PHRS-CIV-101	P	A	Mission Civil Affairs Component	PKO-CIV-101	
	06	Reference	Documents relating to references supporting the Functions work. Special Instructions: Reference documents are not considered records and should not be declared as records. <i>T=Document is superseded</i>	T	D			T, E	D			
	07	Confidence Building: Conflict Resolution, Reconciliation	Substantive records relating to the promotion of good relations between the mission and the population; substantive records relating to the organization of town hall meetings and public briefings; narrative information regarding QIPs; records relating to the support to civil society efforts to promote a culture of peace, support to dialogue between groups in conflict, promotion of the interests of members of excluded groups, addressing specific conflict drivers.					P	A	Mission Civil Affairs Component	PKO-CIV-101	
	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; records relating to logistics and administrative support, support to resource mobilisation efforts, support to policy, planning and decision-making processes, implementation of capacity-building programmes, preliminary assessment of capacity-building and support needs, support to state institutions at the central level.					P	A	Mission Civil Affairs Component	PKO-CIV-101	

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				Retention Period	Disposition	Office of Record	Retention Code	Retention Period	Disposition	Office of Record	Retention Code	
Disarmament, Demobilization, Reintegration	DDR	Documents relating to the disarmament, demobilization, and reintegration of people.										
	01	Planning, strategy	Records relating to the planning and strategies of the Function's administrative, substantive and logistical activities. DDR programme documents, operational plans, resource mobilization strategies (assessed and voluntary).	C + 10	D	UNHQ DPKO / ORoLSI / DDRS	PHRS-DDR-101	P	A	Mission DDR Component	PKO-DDR-101	
	02	Policy, Procedure, Best Practice	Records relating to the policies and procedures of the Function's initiatives and activities including official policies, procedures, directives, instructions, guidelines. Records including eligibility criteria; weapons acceptance policy; policy towards combatants, groups associated with armed groups, and dependents. Special Instructions: Records relating to the Function's Best Practices including Business Continuity Plans, contingency planning /disaster recovery, and records relating to analysis and re-engineering of business processes; also including all documents to be submitted to Peacekeeping Best Practice Section (peacekeeping-policysupport@un.org) for possible inclusion in the DPKO/DFS Policy and Practice Database.	P	A	UNHQ DPKO / ORoLSI / DDRS	PHRS-DDR-101	P	A	Mission DDR Component	PKO-DDR-101	
	03	Coordination, partnership	Records relating to the Function'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	UNHQ DPKO / ORoLSI / DDRS	PHRS-DDR-101	P	A	Mission DDR Component	PKO-DDR-101	
	04	Monitoring, reporting	Records relating to the Function's monitoring, reporting, assessing, and analysing of programs, activities, and initiatives. Reports relating to monitoring and evaluation of DDR activities and programmes.	P	A	UNHQ DPKO / ORoLSI / DDRS	PHRS-DDR-101	P	A	Mission DDR Component or Office of the HoM	PKO-DDR-101	
	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	UNHQ DPKO / ORoLSI / DDRS	PHRS-DDR-101	P	A	Mission DDR Component	PKO-DDR-101	
	06	Reference	Documents relating to references supporting the Functions work. Special Instructions: Reference documents are not considered records and should not be declared as records. <i>T=Document is superseded</i>	T	D			T, E	D			
	07	Assessment, survey and analysis	Records relating to detailed field assessments including, inter alia, small arms baseline surveys, verifications of the armed groups and weapons, and socio-economic surveys.	P	A	UNHQ DPKO / ORoLSI / DDRS	PHRS-DDR-101	P	A	Mission DDR Component	PKO-DDR-101	
	08	Implementation: Disarmament	Records relating to day-to-day records relating to weapons control and destruction.	P	A	UNHQ DPKO / ORoLSI / DDRS	PHRS-DDR-101	C + 5	D	Mission DDR Component	PKO-DDR-102	
	09	Implementation: Demobilization	Records relating to day-to-day records relating to demobilization, reinsertion.	P	A	UNHQ DPKO / ORoLSI / DDRS	PHRS-DDR-101	C + 5	D	Mission DDR Component	PKO-DDR-102	
10	Implementation: Reintegration	Records relating to day-to-day records relating to repatriation, rehabilitation and resettlement.	P	A	UNHQ DPKO / ORoLSI / DDRS	PHRS-DDR-101	C + 5	D	Mission DDR Component	PKO-DDR-102		

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Elections	ELE	Records relating to the administration and coordination of electoral management or electoral assistance activities.										
	01	Planning, strategy	Records relating to the planning and strategies of the Function's administrative, substantive and logistical activities, electoral assessment reports, government's official requests for electoral assistance.	P	A	UNHQ DPA / EAD	PHRS-ELE-101	E	D	Mission Electoral Component	PKO-ELE-101	
	02	Policy, Procedure, Best Practice	Records relating to the policies and procedures of the Function's initiatives and activities including official policies, procedures, directives, instructions, guidelines. Records include policy and procedure relating to Legislative framework, electoral management, boundary delimitation, voter education, voter registration, voting operations, parties and candidates, vote counting, media and elections, election integrity (observation). Special Instructions: Records relating to the Function's Best Practices including Business Continuity Plans, contingency planning /disaster recovery, and records relating to analysis and re-engineering of business processes; also including all documents to be submitted to Peacekeeping Best Practice Section (peacekeeping-policysupport@un.org) for possible inclusion in the DPKO/DFS Policy and Practice Database.	P	A	UNHQ DPA / EAD	PHRS-ELE-101	E	D	Mission Electoral Component	PKO-ELE-101	
	03	Coordination, partnership	Records relating to the Function's interaction with other entities; include collaborated work with other UN Departments, governmental/non-governmental organizations, local/civil institutions and all other entities.					E	D	Mission Electoral Component	PKO-ELE-101	
	04	Monitoring, reporting	Records relating to the Function's monitoring, reporting, assessing, and analysing of programs, activities, and initiatives. Including technical assistance reports, weekly reports, end of mission reports.					E	D	Mission Electoral Component	PKO-ELE-101	
	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.					E	D	Mission Electoral Component	PKO-ELE-101	
	06	Reference	Documents relating to references supporting the Functions work. Special Instructions: Reference documents are not considered records and should not be declared as records.					E	D			
	07	Electoral	Records relating to the electoral process. 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	PKO-ELE-101	

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Facilities and Engineering	FEN	Records that deal with facilities planning, building management and infrastructure requirements of peacekeeping and political 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.										
	01	Planning, strategy	Records relating to the planning and strategies of the Function's administrative, substantive and logistical activities.	C + 10	D	UNHQ DFS / LSD / Office of the Director	PHRS-FEN-101	C + 10	D	Mission Engineering Section	PKO-FEN-102	
	02	Policy, Procedure, Best Practice	Records relating to the policies and procedures of the Function's initiatives and activities including official policies, procedures, directives, instructions, guidelines. Special Instructions: Records relating to the Function's Best Practices including Business Continuity Plans, contingency planning /disaster recovery, and records relating to analysis and re-engineering of business processes; also including all documents to be submitted to Peacekeeping Best Practice Section (peacekeeping-policysupport@un.org) for possible inclusion in the DPKO/DFS Policy and Practice Database.	P	A	UNHQ DFS / OUSG or UNHQ DFS / LSD / Office of the Director	PHRS-FEN-102	P	A	Mission Integrated Support Services	PKO-FEN-101	
	03	Coordination, partnership	Records relating to the Function'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	UNHQ DFS / OUSG or UNHQ DFS / LSD / Office of the Director	PHRS-FEN-101	C + 10	D	Mission Engineering Section	PKO-FEN-102	
	04	Monitoring, reporting	Records relating to the Function'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.	C + 10	D	UNHQ DFS / LSD / Self Accounting Units	PHRS-FEN-101	P	A	Mission Integrated Support Services or Office of the DMS / CMS	PKO-FEN-101	
	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.									
	06	Reference	Documents relating to references supporting the Functions work. Special Instructions: Reference documents are not considered records and should not be declared as records. <i>T=Document is superseded</i>	T	D			T, E	D			
	07	Engineering projects management	Records relating to road, bridge and landscape design and construction records. <i>T=Settlement of Financials</i>					T + 5	D	Mission Engineering Section	PKO-FEN-103	
	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. <i>T=Settlement of Financials</i>					T + 5	D	Mission Engineering Section	PKO-FEN-103	
	09	Facilities development and management	Records relating to the activities involved in undertaking construction, renovation, and refurbishment of premises; records relating to the development of new mission sites; records relating to construction scheduling, working accommodations, residential accommodations, implementation of projects, equipment specifications; records relating to space planning, internal moves, security systems operations; records relating to the management of PX/commissaries, warehouses, power plants, parking facilities. <i>T=Settlement of Financials</i>					T + 5	D	Mission Engineering Section (general); Office of the DMS / CMS (PX / commissary records)	PKO-FEN-103	
	10	Facilities maintenance	Records relating to premises inspections, cleaning services, extermination and pest control, waste management. <i>T=Settlement of Financials</i>					T + 5	D	Mission Engineering Section	PKO-FEN-103	
11	Facilities service provision	Records relating to requests by staff for routine facilities matters, such as creation of signage, affixing of wall hangings, etc. <i>T = Completion of request</i>					T + 5, E	D	Mission Engineering Section	PKO-FEN-103		

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Gender	GEN	Records relating to the administration and coordination for implementing and monitoring the Women Peace and Security agenda.										
	01	Planning, strategy	Records relating to the planning and strategies of the Function's administrative, substantive and logistical activities.	P	A	UNHQ DPKO / DPET / Gender Team	PHRS-GEN-101	P	A	Mission Office of Gender Affairs	PKO-GEN-101	
	02	Policy, Procedure, Best Practice	Records relating to the policies and procedures of the Function's initiatives and activities including official policies, procedures, directives, instructions, guidelines. Special Instructions: Records relating to the Function's Best Practices including Business Continuity Plans, contingency planning /disaster recovery, and records relating to analysis and re-engineering of business processes; also including all documents to be submitted to Peacekeeping Best Practice Section (peacekeeping-policysupport@un.org) for possible inclusion in the DPKO/DFS Policy and Practice Database.	P	A	UNHQ DPKO / DPET / Gender Team	PHRS-GEN-101	P	A	Mission Office of Gender Affairs	PKO-GEN-101	
	03	Coordination, partnership	Records relating to the Function'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	UNHQ DPKO / DPET / Gender Team	PHRS-GEN-101	C + 5	D	Mission Office of Gender Affairs	PKO-GEN-102	
	04	Monitoring, reporting	Records relating to the Function's monitoring, reporting, assessing, and analysing of programs, activities, and initiatives.					P	A	Mission Office of Gender Affairs	PKO-GEN-101	
	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	UNHQ DPKO / DPET / Gender Team	PHRS-GEN-101	P	A	Mission Office of Gender Affairs	PKO-GEN-101	
	06	Reference	Documents relating to references supporting the Functions work. Special Instructions: Reference documents are not considered records and should not be declared as records. <i>T=Document is superseded</i>	T	D			T, E	D			
	07	Gender affairs: mainstreaming	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	UNHQ DPKO / DPET / Gender Team	PHRS-GEN-101	P	A	Mission Office of Gender Affairs	PKO-GEN-101	
	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	UNHQ DPKO / DPET / Gender Team	PHRS-GEN-101	P	A	Mission Office of Gender Affairs	PKO-GEN-101	
	09	Addressing gender-based violence	Records relating to the prevention of gender-based violence, including rape and other forms of sexual abuse.	P	A	UNHQ DPKO / DPET	PHRS-GEN-101	P	A	Mission Office of the Gender Adviser	PKO-GEN-101	

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Governance	GOV	Records relating to the capacity building and economic development of a field mission's host government(s).										
	01	Planning, strategy	Records relating to the planning and strategies of the Function's administrative, substantive and logistical activities.	P	A	UNHQ DPKO / OUSG		P	A	Office of the HoM	PKO-GOV-101	
	02	Policy, Procedure, Best Practice	Records relating to the policies and procedures of the Function's initiatives and activities including official policies, procedures, directives, instructions, guidelines. Special Instructions: Records relating to the Function's Best Practices including Business Continuity Plans, contingency planning /disaster recovery, and records relating to analysis and re-engineering of business processes; also including all documents to be submitted to Peacekeeping Best Practice Section (peacekeeping-policysupport@un.org) for possible inclusion in the DPKO/DFS Policy and Practice Database.	P	A	UNHQ DPKO / OUSG		P	A	Office of the HoM	PKO-GOV-101	
	03	Coordination, partnership	Records relating to the Function'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	UNHQ DPKO / OUSG		P	A	Office of the HoM	PKO-GOV-101	
	04	Monitoring, reporting	Records relating to the Function's monitoring, reporting, assessing, and analysing of programs, activities, and initiatives.					P	A	Office of the HoM	PKO-GOV-101	
	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.	P	A	UNHQ DPKO / OUSG		P	A	Office of the HoM	PKO-GOV-101	
	06	Reference	Documents relating to references supporting the Functions work. Special Instructions: Reference documents are not considered records and should not be declared as records. <i>T=Document is superseded</i>	T	D			T, E	D			
	07	Capacity Building: Economic	Records relating to capacity building for the economic sector.	C + 10	D	UNHQ DPKO / OUSG		C + 10	D	Office of the HoM	PKO-GOV-102	

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Human Resources	HRM	Information relating to personnel matters for UN personnel, civilian staff, military and police officers and observers serving in field missions and HQ.										
	01	Planning, strategy	Records relating to the planning and strategies of the Function's administrative, substantive, financial and logistical activities.	C + 10	D	UNHQ DFS / FPD	PHRS-HRM-102	C + 10	D	Mission Personnel Section	PKO-HRM-101	
	02	Policy, Procedure, Best Practice	Records relating to the policies and procedures of the Function's initiatives and activities including official policies, procedures, directives, instructions, guidelines. Special Instructions: Records relating to the Function's Best Practices including Business Continuity Plans, contingency planning /disaster recovery, and records relating to analysis and re-engineering of business processes; also including all documents to be submitted to Peacekeeping Best Practice Section (peacekeeping-policysupport@un.org) for possible inclusion in the DPKO/DFS Policy and Practice Database.	P	A	UNHQ DFS / OUSG or UNHQ DPKO / OUSG or UNHQ DFS / FPD / Office of the Director	PHRS-HRM-101	P	A	Mission Personnel Section	PKO-HRM-101	
	03	Coordination, partnership	Coordination, partnership, civilian capacities initiative and Non-Staff Resources: Records relating to the Function'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 efforts undertaken by FPD in the concept and implementation of the CivCap Initiative. This activity reflects initiatives to attract and utilize non-staff resources.	C + 5	D	UNHQ DFS / FPD	PHRS-HRM-105	C + 5	D	Mission Personnel Section	PKO-HRM-102	
	04	Monitoring, reporting	Records relating to the Function's monitoring, reporting, assessing, and analysing of programs, activities, and initiatives.	C + 5	D	Office of the DMS / CMS or mission business unit at operational level	PHRS-HRM-106	P	A	Office of the DMS / CMS or business unit at operational level	PKO-HRM-101	
	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.									
	06	Reference	Documents relating to references supporting the Functions work. Special Instructions: Reference documents are not considered records and should not be declared as records. <i>T=Document is superseded</i>	T	D			T, E	D			
	07	Workforce planning framework and strategy	Records relating to the implementation of a global, as well as field-oriented, workforce planning documentation (User Guide, Policies, Templates)	P	A	UNHQ DFS / FPD	PHRS-HRM-101					
	08	Recruitment: Selection process	Short-listing records; competency-based interviewing 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. Special Instructions: Records/Information located in Inspira. <i>T = position filled</i>	T + 5	D	UNHQ DFS / FPD	PHRS-HRM-104	T+5	D	Mission Personnel Section	PKO-HRM-104	
	09	Recruitment: roster management, attracting candidates and outreach	Records relating to the general administration of rosters, such as notification of rostered candidates, marking rostered candidates, removal of rostered candidates. Post Specific Job Openings (PSJO), Recruit from the Roster (Refer), Hiring Managers' justification for creating a Job Opening, generic job openings, evaluation criteria, lists of nominated candidates submitted by Member States for senior appointments or for specific job families and functions. Records relating to establishing contacts with other UN agencies, funds and programmes and outside organizations, professional associations, universities and other partners with the aim of developing an occupational network. Records relating to outreach strategy for TCC/PCC including for senior level positions. Special Instructions: Records/Information located in Inspira.	C + 10	D	UNHQ DFS / FPD	PHRS-HRM-103					
10	Mobility	Records relating to interim mobility scheme and the results of the roll out of Mobility by Job Network.	P	A	UNHQ DFS / FPD	PHRS-HRM-101						

Function	No.	Activity	Description and Notes	Headquarters				Field				Vital	
				Retention Period	Disposition	Office of Record	Retention Code	Retention Period	Disposition	Office of Record	Retention Code		
Human Resources	11	Appointment and assignment: field appointee management	<p>Appointee files for international field staff, electoral observers; includes records relating to staff member's contract extensions, movement, benefits and entitlements, substantiated disciplinary cases, separation from organization, etc. Personnel file (equivalent to Official Status File) containing records relating to staff member's accidents, benefits and entitlements, career development, recruitment, awards, notices and condolences, promotion, contract extensions, separation, performance appraisals, etc. Records relating to retention and service. Disposition justification: DFS/FPD's appointee file is equivalent to an OSF.</p> <p>Special Instructions: Transfer from the field: original records generated in the field must regularly be transferred to FPD via diplomatic pouch for inclusion in the appointee file.</p> <p><i>T = staff separation from the Organization.</i></p>	T + 30	D	UNHQ DFS / FPD	PHRS-HRM-107					V	
	12	Appointment and assignment: field assignee management	<p>Personnel working files for staff assigned to missions from UNHQ offices; includes records relating to staff member's contract extensions, movement, benefits and entitlements, substantiated disciplinary cases, separation from organization, etc. Records relating to retention and service.</p> <p>Special Instructions: Transfer from the field: original records generated in the field must regularly be transferred to FPD via diplomatic pouch for inclusion in the personnel working file.</p> <p>Special Instructions: Transfer at UNHQ: at end of staff member's field assignment, consolidate the file with the staff member's official status file (OSF), located in UNHQ DM/OHRM or in an Office Away from Headquarters (OAH).</p> <p><i>T = end of staff member's field assignment.</i></p>	T + 5	D	UNHQ DFS / FPD	PHRS-HRM-108						
	13	Appointment and assignment: local staff management	<p>Personnel file (equivalent to Official Status File) containing records relating to staff member's accidents, benefits and entitlements, career development, recruitment, awards, notices and condolences, promotion, contract extensions, separation, performance appraisals, etc.</p> <p><i>T = staff separation from the mission or mission closure.</i></p>					T + 30	D	Mission Personnel Section	PKO-HRM-105	V	
	14	Appointment and assignment: international staff management	<p>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.</p> <p>Special Instructions: Original records must regularly be transferred to DFS/FPD via diplomatic pouch or to UNV HQ.</p> <p>Special Instructions: Prior to file destruction confirm that all necessary records have been received by DFS/FPD or to UNV HQ</p> <p><i>T = staff separation from the mission or at mission closure.</i></p>					T, E	D	UNHQ DFS / FPD or to UNV HQ	PKO-HRM-105	V	
	15	Staffing table management	<p>Records relating to locked staffing tables, staffing table authorizations, mission templates, organizational structures, staffing table statistics, post management.</p> <p>Special Instructions: Information is maintained in HR systems.</p>	C + 10	D	UNHQ DFS / FPD	PHRS-HRM-103	C + 5, E	D	UNHQ DFS / FPD	PKO-HRM-106		
	16	Job classification and Organizational design.	<p>Generic job profiles for field missions, records relating to the classification of posts in field missions.</p>	P	A	UNHQ DFS / FPD / GODS	PHRS-HRM-101						
	17	Career support	<p>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</p> <p>Special Instructions: Route all official correspondence through repository online system (Comet2) and keep a record for each staff member being placed.</p> <p><i>T = staff member reaches official UN retirement age, staff member's separation from mission or mission closure.</i></p>	T + 5	D	UNHQ DFS / FPD	PHRS-HRM-109	T + 5	D	Mission Career Development Officer	PKO-HRM-107		
	18	Examination administration	<p>Records relating to the administration of UN language proficiency examination (LPE) at field missions.</p> <p>Special Instructions: Records documenting a staff member's passing of an examination should be placed in the individual's appointee file or personnel working file.</p>					C + 5, E	D	Mission Personnel Section	PKO-HRM-108		
	19	Travel administration: Commercial: Civilian staff	<p>Records relating to commercial travel arrangements for civilian staff to field mission assignments.</p> <p><i>T = trip completed.</i></p>	T + 5	D	UNHQ DFS / FPD	PHRS-HRM-110	T + 5	D	Mission Travel Section	PKO-HRM-109		

Function	No.	Activity	Description and Notes	Headquarters				Field				Vital
				Retention Period	Disposition	Office of Record	Retention Code	Retention Period	Disposition	Office of Record	Retention Code	
Human Resources	20	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 DM/OHRM, which will serve as the office of record for the official case file. <i>T = substantiation of case and subsequent action to UNHQ DM/OHRM or staff member's separation from mission or closure of mission.</i>	T + 30	D	UNHQ DFS / OASG / CDU	PHRS-HRM-111	T	D	UNHQ DM / OHRM and DFS / FPD or UNHQ DFS / OASG / CDU	PKO-HRM-110	
	21	Administration of justice: unsubstantiated cases	Unsubstantiated 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. <i>T = determination that the HoM recommendation is not well founded.</i>	T + 10	D	UNHQ DFS / OASG / CDU	PHRS-HRM-112					
	22	Administration of justice: General	Records relating to the wider system of administration and cases, submissions and guidance created from MEU and UNDT jurisprudence, in particular the Ombudsman's Office, MEU and UNDT.	T+ 30	D	UNHQ DFS / FPD	PHRS-HRM-113					
	23	Gender affairs: mainstreaming: implementation	Records relating to the implementation of gender mainstreaming in peacekeeping missions, i.e., records relating to the expansion of women's roles in, inter alia, policing, the military, elections, judicial/corrections/legal affairs, and peace negotiations.					C + 5, E	D	Mission offices affected by the policies of the Mission Office of the Gender Adviser	PKO-HRM-111	
	24	Gender affairs: mainstreaming: promotion	Monthly reports, weekly reports, and other records relating to the promotion of gender mainstreaming in peacekeeping missions, i.e., records 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 Office of the Gender Adviser	PKO-HRM-101	
	25	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; Staff Counsellor's Office or Equivalent	PKO-HRM-112	
	26	Health, welfare: medical examination and treatment: international staff	Staff medical file (MS.6 Periodic Report; medical treatment record, including laboratory results, progress notes and immunization card). <i>T = staff separation from the United Nations.</i>					T + 30	D	Mission Medical Section	PKO-HRM-113	
	27	Health, welfare: medical examination and treatment: other staff	Staff medical files (MS.6 Periodic Report; medical treatment record, including laboratory results, progress notes and immunization card). Medical records are kept in Earthmed <i>T = staff separation from the United Nations.</i>					T + 30	D	Mission Medical Section	PKO-HRM-113	
	28	Health, welfare: medical examination and treatment: military contingents and FPU's	Medical files for general treatment of military contingents and formed police units (FPUs). Special Instructions: Medical clearance of military contingents and formed police units is performed by the contributing Member State; these medical clearance records are not maintained by UNHQ DM/HRM/MSD nor by the Mission Medical Section. <i>T = military contingent's or formed police unit's end of tour of duty</i>					T + 15	D	Mission Medical Section	PKO-HRM-114	
	29	Health, welfare: medical team regional visits	Reports generated by field mission medical services relating to regional medical facilities. Special Instructions: Transfer to UNHQ DM/HRM/MSD.					P	A	Mission Medical Section	PKO-HRM-101	
	30	HIV/AIDS: mainstreaming	Records relating to the integration of HIV/AIDS awareness into field mission components.					E + 10	D	Mission Office of HIV / AIDS Officer / Adviser	PKO-HRM-115	
31	Uniformed Personnel (UP):Force Generations protocols	Records relating to generation, rotation, replacement and repatriation of contingents in mission areas; records documenting coordination with TCCs, including draft MoUs; records verifying a Member State's preparedness to meet UN peacekeeping operations MoU and COE agreements; administration and management of the Standby Arrangements System with Member States for the supply of troops, personnel, equipment and required services.	C + 15	D	UNHQ DPKO / OMA / FGS or UNHQ DPKO / ORoLSI / PD	PHRS-HRM-114					V	

Function	No.	Activity	Description and Notes	Headquarters				Field				Vital
				Retention Period	Disposition	Office of Record	Retention Code	Retention Period	Disposition	Office of Record	Retention Code	
Human Resources	32	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 Recruiting Tool (OMART) is used for the recruitment and management of individuals serving in peacekeeping missions. Hermes is used for UN Police individuals. Information is expected to be available permanently in OMART	C + 15	D	UNHQ DPKO / OMA / FGS or UNHQ DPKO / ORoLSI / PD	PHRS-HRM-115	C + 15	D	Mission UP Component	PKO-HRM-116	V
	33	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	P	A	UNHQ DPKO / OMA / FGS or UNHQ DPKO / ORoLSI / PD	PHRS-HRM-117	P	A	Mission UP Component	PKO-HRM-118	V
	34	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 UN Force Link is used for the management of the United Nations Standby arrangements System (UNSAS). FSS Contingent deployment tool	C + 15	D	UNHQ DPKO / OMA / FGS or UNHQ DPKO / ORoLSI / PD	PHRS-HRM-115	C + 15	D	Mission UP Component	PKO-HRM-116	V
	35	Uniformed Personnel (UP): Force Generations - Generation of Military and FPU Units: Policy, statistics, medals and records of service	Statistics, medals and records of service Special Instructions: The FGS Database (in MS Access) is used for generation of monthly statistics of military and police contributions to peacekeeping missions.	P	A	UNHQ DPKO / OMA / FGS or UNHQ DPKO / ORoLSI / PD	PHRS-HRM-116	P	A	Mission UP Component	PKO-HRM-117	V
	36	Uniformed Personnel (UP): Attendance and leave administration	Records relating to monthly attendance reports, attendance record cards, leave cards, leave passes (military personnel).					C + 5	D	Mission Personnel Section or Office of the Chief Military Personnel Officer	PKO-HRM-119	
	37	Uniformed Personnel (UP): Travel administration: Commercial	Records relating to commercial travel arrangements for military observers, police, and members of contingents or FPUs to field mission assignments. <i>T = trip completed.</i>	T + 5	D	UNHQ DPKO / OMA / FGS or UNHQ DPKO / ORoLSI / PD						
	38	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	D	UNHQ DPKO / DPET / ITS or Equivalent	PHRS-HRM-118	C + 5	D	Integrated Mission Training Cell or Equivalent	PKO-HRM-120	
39	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)					T+7	D	UNV	PKO-HRM-121		

Function	No.	Activity	Description and Notes	Headquarters				Field				Vital
				Retention Period	Disposition	Office of Record	Retention Code	Retention Period	Disposition	Office of Record	Retention Code	
Human Rights	HRT	Records relating to the administration and coordination of human rights activities. Special transfer: Transfer all human rights records to OHCHR Geneva (UNOG Registry Records and Archives Unit) upon mission closure.										
	01	Planning, strategy	Records relating to the planning and strategies of the Function's administrative, substantive and logistical activities.	P	A	UNHQ DPKO / OUSG	PHRS-HRT-101	P	A	Mission Human Rights Component	PKO-HRT-101	
	02	Policy, Procedure, Best Practice	Records relating to the policies and procedures of the Function'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 peacekeeping mission or more general in nature. Special Instructions: Records relating to the Function's Best Practices including Business Continuity Plans, contingency planning /disaster recovery, and records relating to analysis and re-engineering of business processes; also including all documents to be submitted to Peacekeeping Best Practice Section (peacekeeping-policysupport@un.org) for possible inclusion in the DPKO/DFS Policy and Practice Database.	P	A	UNHQ DPKO / OUSG	PHRS-HRT-101	P	A	Mission Human Rights Component	PKO-HRT-101	
	03	Coordination, partnership	Records relating to the Function'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	UNHQ DPKO / OUSG	PHRS-HRT-101	C + 5	D	Mission Human Rights Component	PKO-HRT-102	
	04	Monitoring, reporting	Records relating to the Function's monitoring, reporting, investigation, verification, assessing, and analysing of programs, activities, and initiatives. Including quarterly reports, ad hoc reports, and field mission responses to DPKO code cables; reports and supporting documentation relating to gender affairs programme implementation.	P				P	A	Mission Human Rights Component or Office of the HoM	PKO-HRT-101	
	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	UNHQ DPKO / OUSG	PHRS-HRT-101	P	A	Mission Human Rights Component	PKO-HRT-101	
	06	Reference	Documents relating to references supporting the Functions work. Special Instructions: Reference documents are not considered records and should not be declared as records. <i>T=Document is superseded</i>	T	D			T, E	D			
	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	PKO-HRT-101	
	08	Judicial and truth & 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	PKO-HRT-101	
	09	Promoting and protecting rights	Records relating to the promotion and protection of civil, cultural, economic, political and social rights.	P	A	UNHQ DPKO / DPET	PHRS-HRT-101	P	A	Mission Human Rights Component	PKO-HRT-101	
10	Human Rights: DDR-related programming	Records relating to the identification and integration of a human rights perspective into DDR programmes.					C + 10	D	Mission Human Rights Component	PKO-HRT-103		

Function	No.	Activity	Description and Notes	Headquarters				Field				Vital
				Retention Period	Disposition	Office of Record	Retention Code	Retention Period	Disposition	Office of Record	Retention Code	
Humanitarian	HUM	Records relating to the administration and coordination of humanitarian activities, including the provision of assistance to victims of war and natural disasters.										
	01	Planning, strategy	Records relating to the planning and strategies of the Function'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	UNHQ DPKO / OUSG	PHRS-HUM-101	P	A	Office of the Resident Coordinator or OCHA Field Office	PKO-HUM-101	
	02	Policy, Procedure, Best Practice	Records relating to the policies and procedures of the Function'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 peacekeeping mission or more general in nature. Special transfer: Records relating to the Function's Best Practices including Business Continuity Plans, contingency planning /disaster recovery, and records relating to analysis and re-engineering of business processes; also including all documents to be submitted to Peacekeeping Best Practice Section (peacekeeping-policysupport@un.org) for possible inclusion in the DPKO/DFS Policy and Practice Database.	P	A	UNHQ DPKO / OUSG	PHRS-HUM-101	P	A	Mission Human Rights Component or Office of the HoM	PKO-HUM-101	
	03	Coordination, partnership	Records relating to the Function'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	UNHQ DPKO / OUSG	PHRS-HUM-101	P	A	Office of the Resident Coordinator or OCHA Field Office	PKO-HUM-101	
	04	Monitoring, reporting	Records relating to the Function's monitoring, reporting, assessing, and analysing of programs, activities, and initiatives.					P	A	Office of the Resident Coordinator or OCHA Field Office	PKO-HUM-101	
	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	UNHQ DPKO / OUSG	PHRS-HUM-101	P	A	Mission Human Rights Component or Office of the HoM	PKO-HUM-101	
	06	Reference	Documents relating to references supporting the Functions work. Special transfer: Reference documents are not considered records and should not be declared as records. <i>T=Document is superseded</i>	T	D			T, E	D			
	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	PKO-HUM-101	
	08	HIV/AIDS	Programme records relating to HIV/AIDS outreach to local populations.					C + 5, E	D	Mission Office of HIV / AIDS Officer / Adviser	PKO-HUM-102	

Function	No.	Activity	Description and Notes	Headquarters				Field				Vital
				Retention Period	Disposition	Office of Record	Retention Code	Retention Period	Disposition	Office of Record	Retention Code	
Information Communication Technology	ICT	Records that deal with hardware, software, communication systems, information technology and software development and use in HQ and in field missions.										
	01	Planning, strategy	Records relating to the planning and strategies of the Function's administrative, substantive and logistical activities.	P	A	UNHQ DFS / ICTD	OICT-28 OICT-29					
	02	Policy, Procedure, Best Practices, Standards	Records relating to the policies and procedures of the Function's initiatives and activities including governance documents, official policies, procedures, directives, instructions, guidelines, management meeting documents.	P	A	UNHQ DFS / ICTD	OICT-28 OICT-29					
	03	Coordination, partnership	Records relating to the Function'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	UNHQ DFS / ICTD						
	04	Monitoring, reporting	Records relating to the Function's monitoring, reporting, assessing, and analysing of programs, activities, and initiatives.	P	A	UNHQ DFS / ICTD						
	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.									
	06	Reference	Documents relating to references supporting the Functions work. Special Instructions: Reference documents are not considered records and should not be declared as records. Special Instructions: File in Activities ICT021.									
	07	Application Development and Implementation Records: Project Management Documents for ICT Projects over \$200,000	Project management records, project briefs, business cases, status reports, feasibility study reports documenting the analysis of information management problems to determine effective operational, economical and technical solutions; also includes data collection material such as: interview notes, questionnaires, computer printouts, requirements analysis documents, and related correspondence. Assessments conducted following the completion of each IT project that address operational problems (whether the project met proposed objectives, was completed within the anticipated time and budgetary constraints, and achieved the proposed benefits). Includes: surveys, gap analysis checklists, third party recommendations, and auditor comments.	P	A	ICT service provider or UNHQ DFS / ICTD	OICT-O1	C + 5, E	A	Mission Communications and Information Technology Section	OICT-O1	V
	08	Application Development and Implementation Records: Project Management Documents for ICT Projects under \$200,000	Project management records, project briefs, business cases, status reports, feasibility study reports documenting the analysis of information management problems to determine effective operational, economical and technical solutions; also includes data collection material such as: interview notes, questionnaires, computer printouts, requirements analysis documents, and related correspondence. Assessments conducted following the completion of each IT project that address operational problems (whether the project met proposed objectives, was completed within the anticipated time and budgetary constraints, and achieved the proposed benefits). Includes: surveys, gap analysis checklists, third party recommendations, and auditor comments. <i>T= after end of life of application or system</i>	T + 10	D	ICT service provider or UNHQ DFS / ICTD	OICT-O2	C + 5, E	D	Mission Communications and Information Technology Section	OICT-O2	V
	09	Application Development and Implementation Records: System Design Documents	This records series documents the examination of an IT problem and the creation of its solution. Includes system architectural diagrams, database design. <i>T= after end of life of application or system</i>	T + 10	D	ICT service provider or UNHQ DFS / ICTD	OICT-O3	C + 5, E	D	Mission Communications and Information Technology Section		V
	10	Application Development and Implementation Records: Maintenance and configuration management	Configuration Management Database and configuration management related documents. Change requests and other change management records. <i>T= after end of life of application or system</i>	T + 10	D	ICT service provider or UNHQ DFS / ICTD	OICT-O4	C + 5, E	D	Mission Communications and Information Technology Section	OICT-O4	V
11	Application Development and Implementation Records: Delivery	Setup instructions, deployment procedures and manuals/instructions. <i>T= after end of life of application or system</i>	T + 10	D	ICT service provider or UNHQ DFS / ICTD	OICT-O5	C + 5, E	D	Mission Communications and Information Technology Section	OICT-O5	V	

Function	No.	Activity	Description and Notes	Headquarters				Field				Vital
				Retention Period	Disposition	Office of Record	Retention Code	Retention Period	Disposition	Office of Record	Retention Code	
Information Communication Technology	12	Application Development and Implementation Records: Change Management	Communications strategy, Training strategy and stake holder management strategy, change strategy. <i>T= after end of life of application or system</i>	T + 10	D	ICT service provider or UNHQ DFS / ICTD	OICT-06	C + 5, E	D	Mission Communications and Information Technology Section	OICT-06	V
	13	Application Development and Implementation Records: Testing Data and Documents	These file sets document programmer and user testing processes created prior to implementation of a new or revised application. Contains a sample of every category of valid data as well as many invalid conditions as possible and includes: test programs/scripts with their results, instructions, routines, validity checking and verification data, user acceptance tests, and other test documentation. <i>T= after end of life of application or system</i>	T + 10	D	ICT service provider or UNHQ DFS / ICTD	OICT-07	C + 5, E	D	Mission Communications and Information Technology Section	OICT-07	V
	14	Application Development and Implementation Records: Program Source Code & Programmer Documentation	This records series consists of programming statements and instructions that are written by a programmer, and convertible into machine language by compilers, assemblers or interpreters; and, other documentation the programmer utilizes for application implementation. May also include: data systems/file specifications, codebooks, file layouts, and output specifications. <i>T= after end of life of application or system</i>	T + 10	D	ICT service provider or UNHQ DFS / ICTD	OICT-08	C + 5, E	D	Mission Communications and Information Technology Section	OICT-08	V
	15	Application Development and Implementation Records: (User) Program Documentation & Training Materials	User manuals or training materials for the systems or applications. <i>T= after end of life of application or system</i>	T + 10	D	ICT service provider or UNHQ DFS / ICTD	OICT-09	C + 5, E	D	Mission Communications and Information Technology Section	OICT-09	V
	16	Application Development and Implementation Records: Database and Metadata documentation, projects over \$200,000	Meta data definitions, data structures, file layout and reports concerning the development and/or modification of an automated system as well as the metadata for access, retrieval, manipulation and interpretation of data in this automated system.	P	A	ICT service provider or UNHQ DFS / ICTD	OICT-10	C + 5, E	A	Mission Communications and Information Technology Section	OICT-10	V
	17	Application Development and Implementation Records: Database and Metadata documentation, projects under \$200,000	Meta data definitions, data structures, file layout and reports concerning the development and/or modification of an automated system as well as the metadata for access, retrieval, manipulation and interpretation of data in this automated system. <i>T= after end of life of application or system</i>	T + 10	D	ICT service provider or UNHQ DFS / ICTD	OICT-11	C + 5, E	D	Mission Communications and Information Technology Section	OICT-11	V
	18	Client Support / Service Provision Records: IT Access Authorizations	Records documenting the issuance of passwords, personal identity management, VPN requests, user acknowledgements and change requests about access authorizations, remote access agreements, requests for blocked internet sites, temporary/permanent firewall access requests and profiles, maintenance and closure of user accounts. <i>T = delivery of service or users name is removed from systems</i>	T + 5	D	ICT service provider or UNHQ DFS / ICTD	OICT-12	C + 5, E	D	Mission Communications and Information Technology Section	OICT-12	
	19	Communications systems development and operation	Requests for network access, network drawings, records relating to network design, requests for frequencies, frequency approvals, user accounts, work orders for pagers, radios, and satellite communications.	C + 5	D	UNHQ DFS / ICTD	OICT-13	C + 5, E	D	Mission Communications and Information Technology Section	OICT-13	
	20	Client Support / Service Provision Records: User requests for IT services and help desk logs	Records used to document user requests to recover data from backup or archives stores and actions taken; records documenting the request for technical assistance/services and responses for these requests as well as to collect information on the use of computer equipment to compile periodic statistics and for reference for planning, management analysis and other administrative purposes. <i>T = delivery of service or users name is removed from systems</i>	T + 5	D	ICT service provider or UNHQ DFS / ICTD	OICT-13	C + 5, E	D	Mission Communications and Information Technology Section	OICT-13	
	21	Client Support / Service Provision Records: Communication records	Telephone call logs, faxes logs, mobile logs, code cables logs. <i>T = completion of applicable review and verification procedures, or after any litigation, claim, audit or other official action involving the records has been completed.</i>	T + 5	D	ICT service provider or UNHQ DFS / ICTD	OICT-14	C + 5, E	D	Mission Communications and Information Technology Section	OICT-14	
22	Communications service provision	Records relating to setting telephone usage rates in the field; reports from the field relating to telephone usage; recovery costs records.	E + 5	D	UNHQ DFS / ICTD	OICT-13	C + 5	D	Mission Communications and Information Technology Section			
Technology	23	Infrastructure Management Records: System Backup -recovery files	Copies of software, Database Management System configuration files, directories and other records needed to restore a system. <i>T = copies replace previous copy</i>	T + 5	D	ICT service provider or UNHQ DFS / ICTD	OICT-15	T + 5	D	Mission Communications and Information Technology Section	OICT-15	
	24	Infrastructure Management Records: Storage System Records	List of backup tapes, disks and/or storage control records. <i>T= superseded</i>	T + 5	D	ICT service provider or UNHQ DFS / ICTD	OICT-16	T + 5	D	Mission Communications and Information Technology Section	OICT-16	

Function	No.	Activity	Description and Notes	Headquarters				Field				Vital
				Retention Period	Disposition	Office of Record	Retention Code	Retention Period	Disposition	Office of Record	Retention Code	
Communication Technology	25	Infrastructure Management Records: Network and Internet Usage Logs	Monitor network access including Service Logs, Mail server logs, Website logs, FTP logs, Telnet logs, Firewall and proxy logs, Application logs, Log-in files, Data entry logs as well as related reports such as: Authentication and Authorization Reports, Systems and Data Change Reports, Network Activity Reports, Resource Access Reports, Malware Activity Reports and Failure and Critical Error Reports.	C + 5	D	ICT service provider or UNHQ DFS / ICTD	OICT-17	C + 5	D	Mission Communications and Information Technology Section	OICT-17	
	26	Infrastructure Management Records: Email Backup	Backup is NOT meant for archiving but for the disaster recovery of the email system or for accidental deletion within a two week period. After two weeks the backup data is cloned from the virtual tape into the physical tape library and shipped to external site for storage. Email backups are kept 10 years on tape at a remote location.	C + 10	D	ICT service provider or UNHQ DFS / ICTD	OICT-18	C + 10	D	Mission Communications and Information Technology Section	OICT-18	
	27	Infrastructure Management Records: Data Backup Media	This retention policy is the default policy, applied to virtually all backups except the email backups. Notably, the policy is used to back up the "shared drives" and NFS file systems of the Celera filers (data movers) using Network Data Management Protocol technology.	C + 5	D	ICT service provider or UNHQ DFS / ICTD	OICT-19	C + 5	D	Mission Communications and Information Technology Section	OICT-19	
	28	Infrastructure Management Records: Capacity Usage Reports	Capacity usage reports/files for cost recovery, benefit analysis and future planning purposes.	C + 10	D	ICT service provider or UNHQ DFS / ICTD	OICT-20	C + 10	D	Mission Communications and Information Technology Section	OICT-20	
	29	Infrastructure Management Records: Network Implementation Project	Records used to plan and implement a network including reports, justifications, diagrams, etc.	P	A	ICT service provider or UNHQ DFS / ICTD	OICT-21	P	A	Mission Communications and Information Technology Section	OICT-21	
	30	Infrastructure Management Records: Network/ Circuit Installation and Service	Work orders, correspondence, work schedules. <i>T = completion of work order</i>	T + 5	D	ICT service provider or UNHQ DFS / ICTD	OICT-22	T + 5	D	Mission Communications and Information Technology Section	OICT-22	
	31	Infrastructure Management Records: System Architecture documents and Wiring schemas	Building/circuit diagrams and other records documenting the location of wiring and the design of the overall network environment. <i>T = superseded Architecture or wiring schemas</i>	T + 10	D	ICT service provider or UNHQ DFS / ICTD	OICT-23	T + 10	D	Mission Communications and Information Technology Section	OICT-23	
	32	Information Security Records: Information Security Incident	Reported or detected information security incidents. Reports, logs, extracts and compilations of data related to security incidents, misuse of ICT systems and actions taken. <i>T = incident</i>	T + 5	D	ICT service provider or UNHQ DFS / ICTD	OICT-24	T + 5	D	Mission Communications and Information Technology Section	OICT-24	
	33	Information Security Records: Disaster Prep. and Recovery Planning Docs	Business impact analysis documents, Disaster recovery plans and procedures, business continuity plans, contingency plans and any referenced document related to Disaster preparedness and recovery. <i>T = incident</i>	T + 5	D	ICT service provider or UNHQ DFS / ICTD	OICT-25	T + 5	D	Mission Communications and Information Technology Section	OICT-25	
	34	Information Security Records: IT Asset Audit Records	Records documenting the routine monitoring and testing of the operations of it systems and actions taken to rectify problems and optimise performance. These can be analysis reports, review reports, risk assessment reports or other audit documents regarding the maintenance and security of the IT asset. <i>T = incident</i>	T + 5	D	ICT service provider or UNHQ DFS / ICTD	OICT-26	T + 5	D	Mission Communications and Information Technology Section	OICT-26	
	35	Information Security Records: Disaster Incident Reports	Reports documenting disaster incidents, their cause, effects, costs, action taken, any related actions taken to limit future risks.	P	A	ICT service provider or UNHQ DFS / ICTD	OICT-27	C + 5, E	A	Mission Communications and Information Technology Section	OICT-27	
	36	IT Asset Management: Data System Equipment information and Support Files	Information about the hardware, software and other products and their vendors such as purchase orders, warranties, service contracts, service reports, service histories and correspondence. <i>T = disposal of asset or inventory superseded</i>	T + 5	D	ICT service provider or UNHQ DFS / ICTD	OICT-30	T + 5	D	Mission Communications and Information Technology Section	OICT-30	
	37	IT Asset Management: Asset Inventories. Hardware and software	Records documenting the assignment of a specific computer or mobile ICT systems to an individual. Records documenting common hardware inventory such as servers, routers, switches per organizational unit. Records documenting specific computer or mobile ICT systems to organizational unit <i>T = disposal of asset or inventory superseded</i>	T + 5	D	ICT service provider or UNHQ DFS / ICTD	OICT-31 OICT-32 OICT-33	T + 5	D	Mission Communications and Information Technology Section	OICT-31 OICT-32 OICT-33	

Function	No.	Activity	Description and Notes	Headquarters				Field				Vital
				Retention Period	Disposition	Office of Record	Retention Code	Retention Period	Disposition	Office of Record	Retention Code	
Justice, Prisons and Corrections	JPC	Records relating to the restoration of and support to justice, prison and corrections institutions and strengthening the rule of law.										
	01	Planning, strategy	Records relating to the planning and strategies of the Function's administrative, substantive and logistical activities. Records such as concept of operations, terms of reference, work plans.	P	A	UNHQ DPKO / ORoLSI / CLJAS	PHRS-JPC-101	P	A	Mission Justice / Corrections / Rule of Law Component	PKO-JPC-101	
	02	Policy, Procedure, Best Practice	Records relating to the policies and procedures of the Function's initiatives and activities including official policies, procedures, directives, instructions, guidelines. Records relating to manuals and standard operating procedures (SOPs) for field mission operations. Special Instructions: Records relating to the Function's Best Practices including Business Continuity Plans, contingency planning /disaster recovery, and records relating to analysis and re-engineering of business processes; also including all documents to be submitted to Peacekeeping Best Practice Section (peacekeeping-policysupport@un.org) for possible inclusion in the DPKO/DFS Policy and Practice Database.	P	A	UNHQ DPKO / OUSG or DPKO / ORoLSI / CLJAS (other)	PHRS-JPC-101	P	A	Mission Justice / Corrections / Rule of Law Component	PKO-JPC-101	
	03	Coordination, partnership	Records relating to the Function'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	UNHQ DPKO / ORoLSI / CLJAS	PHRS-JPC-101	P	A	Mission Justice / Corrections / Rule of Law Component	PKO-JPC-101	
	04	Monitoring, reporting	Records relating to the Function's monitoring, reporting, assessing, and analysing of programs, activities, and initiatives.	P	A	UNHQ DPKO / ORoLSI / CLJAS	PHRS-JPC-101	P	A	Mission Justice / Corrections / Rule of Law Component	PKO-JPC-101	
	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	UNHQ DPKO / ORoLSI / CLJAS	PHRS-JPC-101	P	A	Mission Justice / Corrections / Rule of Law Component	PKO-JPC-101	
	06	Reference	Records relating to references supporting the Functions work.	P	A	UNHQ DPKO / ORoLSI / CLJAS	PHRS-JPC-101	P	A	Mission Justice / Corrections / Rule of Law Component	PKO-JPC-101	
	07	Operations and Programmes	Records relating to justice, prison and corrections activities in the field and related HQ support.	P	A	UNHQ DPKO / ORoLSI / CLJAS	PHRS-JPC-101	P	A	Mission Justice / Corrections / Rule of Law Component	PKO-JPC-101	

Function	No.	Activity	Description and Notes	Headquarters				Field				Vital
				Retention Period	Disposition	Office of Record	Retention Code	Retention Period	Disposition	Office of Record	Retention Code	
Law Enforcement	LAE	Records relating to the provision and management of police and related activities in peacekeeping missions; rotation of formed police units; training materials for local police services in mission areas.										
	01	Planning, strategy	Records relating to the planning and strategies of the Function's administrative, substantive and logistical activities.	C + 15	D	UNHQ DPKO / ORoLSI / PD	PHRS-LAE-101	P	A	Office of the Police Commissioner	PKO-LAE-101	
	02	Policy, Procedure, Best Practice	Records relating to the policies and procedures of the Function's initiatives and activities including official policies, procedures, directives, instructions, guidelines. Special Instructions: Records relating to the Function's Best Practices including Business Continuity Plans, contingency planning /disaster recovery, and records relating to analysis and re-engineering of business processes; also including all documents to be submitted to Peacekeeping Best Practice Section (peacekeeping-policysupport@un.org) for possible inclusion in the DPKO/DFS Policy and Practice Database.	P	A	UNHQ DPKO / OUSG or UNHQ DPKO / ORoLSI / PD (other)	PHRS-LAE-102	P	A	Office of the Police Commissioner	PKO-LAE-101	
	03	Coordination, partnership	Records relating to the Function'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	UNHQ DPKO / ORoLSI / PD	PHRS-LAE-102	P	A	Office of the Police Commissioner	PKO-LAE-101	
	04	Monitoring, reporting	Records relating to the Function'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	PKO-LAE-102	
	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	PKO-LAE-101	
	06	Reference	Documents relating to references supporting the Functions work. Special Instructions: Reference documents are not considered records and should not be declared as records. <i>T=Document is superseded</i>	T	D			T, E	D			
	07	Local police administration	Records relating to the protection of property and lives; investigation of crime and criminality; handover of policing authority to the national government.					P	A	Office of the Police Commissioner	PKO-LAE-101	
	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 DPKO/ORoLSI/PD.					P	A	Office of the Police Commissioner	PKO-LAE-101	
	09	Rotation	Records relating to UN's pre-deployment assessment of FPUs; pre-deployment training certifications; rotation records; records relating to extension of tours of duty; records relating to repatriation; on-call lists; deployment announcements; supporting correspondence with Member State.	C + 15	D	UNHQ DPKO / ORoLSI / PD	PHRS-PLC-101					

Function	No.	Activity	Description and Notes	Headquarters				Field				Vital
				Retention Period	Disposition	Office of Record	Retention Code	Retention Period	Disposition	Office of Record	Retention Code	
Legal Affairs	LEG	Information relating to the legal advice and agreements relating to missions										
	01	Planning, strategy	Records relating to the planning and strategies of the Function's administrative, substantive and logistical activities.	P	A	UNHQ DPKO / OUSG	PHRS-LEG-101	P	A	Office of the HoM	PKO-LEG-101	
	02	Policy, Procedure, Best Practice	Records relating to the policies and procedures of the Function's initiatives and activities including official policies, procedures, directives, instructions, guidelines. Special Instructions: Records relating to the Function's Best Practices including Business Continuity Plans, contingency planning /disaster recovery, and records relating to analysis and re-engineering of business processes; also including all documents to be submitted to Peacekeeping Best Practice Section (peacekeeping-policysupport@un.org) for possible inclusion in the DPKO/DFS Policy and Practice Database.	P	A	UNHQ DPKO / OUSG	PHRS-LEG-101	P	A	Office of the HoM	PKO-LEG-101	
	03	Coordination, partnership	Records relating to the Function'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	UNHQ DPKO / OUSG	PHRS-LEG-101	P	A	Office of the HoM	PKO-LEG-101	
	04	Monitoring, reporting	Records relating to the Function's monitoring, reporting, assessing, and analysing of programs, activities, and initiatives.	P	A	UNHQ DPKO / OUSG	PHRS-LEG-101	P	A	Office of the HoM	PKO-LEG-101	
	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	UNHQ DPKO / OUSG	PHRS-LEG-101	P	A	Office of the HoM	PKO-LEG-101	
	06	Reference	Documents relating to references supporting the Functions work. Special Instructions: Reference documents are not considered records and should not be declared as records. <i>T=Document is superseded</i>	T	D			T, E	D			
	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 signing the agreement or regulation	PHRS-LEG-101	P	A	Office of the HoM	PKO-LEG-101	

Function	No.	Activity	Description and Notes	Headquarters				Field				Vital
				Retention Period	Disposition	Office of Record	Retention Code	Retention Period	Disposition	Office of Record	Retention Code	
Management and Integration	MAT	Records having 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 peacekeeping 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 that pertain to document, records, information, content and knowledge management in field missions; records relating to cartography and geography, including maps and geo-databases.										
	01	Planning, strategy	Records relating to the planning and strategies of the Function's administrative, substantive and logistical activities.	P	A	UNHQ DPA / OUSG (or other department taking the lead, as designated by the Secretary-General)	PHRS-MAT-101	P	A	Office of the HoM	PKO-MAT-101	
	02	Policy, Procedure, Best Practice	Records relating to the policies and procedures of the Function's initiatives and activities including official policies, procedures, directives, instructions, guidelines. Special Instructions: Records relating to the Function's Best Practices including Business Continuity Plans, contingency planning /disaster recovery, and records relating to analysis and re-engineering of business processes; also including all documents to be submitted to Peacekeeping Best Practice Section (peacekeeping-policysupport@un.org) for possible inclusion in the DPKO/DFS Policy and Practice Database.	P	A	UNHQ DPKO / OUSG	PHRS-MAT-101	P	A	Office of the HoM	PKO-MAT-101	
	03	Coordination, partnership	Records relating to the Function'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	UNHQ DPKO / OUSG	PHRS-MAT-101	P	A	Office of the HoM	PKO-MAT-101	
	04	Monitoring, reporting	Records relating to the Function's monitoring, reporting, assessing, and analysing of programs, activities, and initiatives.	P	A	UNHQ DPKO / OUSG	PHRS-MAT-101	P	A	Office of the HoM	PKO-MAT-101	
	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	UNHQ DPKO / OUSG	PHRS-MAT-101	P	A	Office of the HoM	PKO-MAT-101	
	06	Reference	Documents relating to references supporting the Functions work. Special Instructions: Reference documents are not considered records and should not be declared as records. <i>T=Document is superseded</i>	T	D			T, E	D			
	07	Integrated Strategic Assessment and Mission Planning	Records related to integrated strategic assessment and mission planning for advance, start-up, mandate implementation, transition and exit phases, both at strategic and operational levels. Records of HQ include those relating to the establishment and activities of an Integrated Task Force; SG/USG's strategic planning directive; strategic assessment; periodic strategic review; Mission Concept; recommendations to the SG and the Security Council; strategic directive to the HoM. Records of the Field 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	P	A	The lead department as designated by the Secretary-General and UNHQ DPKO / OO	PHRS-MAT-101	P	A	Office of the HoM and UNHQ DPKO / OUSG	PKO-MAT-101	
	08	Business Continuity Management	Information relating to Business Continuity measures.	C + 10	D	UNHQ DPKO / OUSG or UNHQ DFS / OUSG	PHRS-MAT-103	C + 10, E	D	Office of the HoM	PKO-MAT-103	V
	09	Business Process Improvement & Reform	Lean Six Sigma projects.	C + 10	D	UNHQ DPKO / OUSG or office initiating the project.	PHRS-MAT-103	C + 5, E	D	Office of the HoM	PKO-MAT-102	
	10	Delegation of Authority	Documents relating to the delegation of authority for a department, mission, or initiative; controller's designation of officers approved and certified to make financial decisions regarding peacekeeping missions; Comptroller's designation of signatories. <i>T = liquidation of mission.</i>	T + 10	D	Various	PHRS-MAT-104	E + 10	D	Various	PKO-MAT-104	V
11	Knowledge management	Peacekeeper's discussion forum; communities of practice, regardless of topic. Retention justification: Fora, etc., are not evidence of UN business transactions.	C + 10	D	UNHQ DPKO / DPET	PHRS-MAT-103						

Function	No.	Activity	Description and Notes	Headquarters				Field				Vital
				Retention Period	Disposition	Office of Record	Retention Code	Retention Period	Disposition	Office of Record	Retention Code	
Management and Integration	12	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	D	UNHQ DFS / PK-IMU / OCOS	PHRS-MAT-102	C + 5	D	OCOS	PKO-MAT-102	
	13	Information Management: Data aggregation and visualization	Records showing integrated multi-disciplinary aggregated data in maps, charts and graphs	P	A	UNHQ DFS / PK-IMU / OCOS	PHRS-MAT-101	P	A	OCOS	PKO-MAT-101	
	14	Information Management: Mail and pouch management	Records relating to correspondence distribution lists, damaged shipment reports.					C + 5, E	D	Mission Records Centre	PKO-MAT-102	
	15	Information Management: Access and distribution	Officially approved distribution lists and access matrixes	C + 5	D	O / COS		C + 5	D	O / COS	PKO-MAT-102	
	16	Information Management: Records and Correspondence management	<p>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.</p> <p>Records relating to 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 the Mission. The office of record for code cables is the creator/collector of the record (i.e. the Office of the HoM). 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 PORS schedule.</p> <p>Special Instructions: UNHQ DM/OCSS/ITSD/CSS/VMS maintains a complete set of incoming and outgoing secure communications for the EOSG.</p> <p>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 communications with other business records borne from the same activity (e.g. staff travel)</p>	P	A	O / COS	PHRS-MAT-101	P	A	Mission Records Centre O / SRSG	PKO-MAT-101	V
	17	Cartography & Geospatial Information Management	<p>Global geo-database; mission-specific geo-data; softcopy geo-database outputs such as maps.</p> <p>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 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 DFS/ICTD/Cartographic Section for the purpose of UNHQ operations and support.</p> <p>Special Instructions: All hardcopy outputs and reference materials may be destroyed when reference value expires.</p>	P	A	UNLB / GSC Geospatial Information Section and UNHQ DFS / ICTD / Cartographic Section	PHRS-MAT-101	P	A	Mission Geospatial Information Unit / Section	PKO-MAT-101	
	18	Translation and Interpretation	<p>Information relating to translation and interpretation services.</p> <p>Documents relating to Service Provision should be destroyed after 3 years.</p>					P	A	Office of the DMS / CMS	PKO-MAT-101	
	19	Office of the DPKO USG: Records	<p>All records in the Office of the USG that relate to substantive programmes and operations of the peacekeeping operation. This includes records for which the USG may not have daily primary responsibility, such as human rights, disarmament, justice, etc. These substantive records of the Office of the USG should be filed separately from those relating to the routine administrative matters of the Office of the USG, such as time and attendance and travel for staff or requisitions of services for the Office of the USG.</p> <p>The Office's routine administrative files are subject to standard retention guidelines.</p>	P	A	UNDP DPKO USG	PHRS-MAT-101					
	20	Office of the DFS USG: Records	<p>All records in the Office of the USG that relate to substantive programmes and operations of the peacekeeping operation. This includes records for which the USG may not have daily primary responsibility, such as human rights, disarmament, justice, etc. These substantive records of the Office of the USG should be filed separately from those relating to the routine administrative matters of the Office of the USG, such as time and attendance and travel for staff or requisitions of services for the Office of the USG.</p> <p>The Office's routine administrative files are subject to standard retention guidelines.</p>	P	A	UNDP DFS USG	PHRS-MAT-101					

Function	No.	Activity	Description and Notes	Headquarters				Field				Vital
				Retention Period	Disposition	Office of Record	Retention Code	Retention Period	Disposition	Office of Record	Retention Code	
Management and Integration	21	Office of the Head of Mission: Records	<p>All records in the Office of the HoM that relate to substantive programmes and operations of the peacekeeping operation within the authority of the Office of the HoM must be transferred to ARMS at UNHQ before or upon expiration of a mission mandate. This includes records for which the HoM may not have daily primary responsibility, such as human rights, disarmament, justice, etc. These substantive records of the Office of the HoM should be filed separately from those relating to the routine administrative matters of the Office of the HoM, such as time and attendance and travel for staff or requisitions of services for the Office of the HoM.</p> <p>The Office's routine administrative files are subject to standard retention guidelines.</p>					P	A	Office of the HoM	PKO-MAT-105	
	22	Office of the DMS/CMS: Records	<p>All records in the Office of the Director/Chief of Mission Support that relate to programmes and operations of the peacekeeping operation within the authority of the Office of the DMS/CMS must be transferred to ARMS at UNHQ before or upon expiration of a mission mandate. This includes records for which the DMS/CMS may not have daily primary responsibility, such as facilities management, procurement, etc. These records should be filed separately from records that relate to the routine administration of the Office of the DMS/CMS, such as time & attendance and travel records, and requisitions of services for the Office of the DMS/CMS.</p> <p>The Office's routine administrative files are subject to standard retention guidelines.</p>					P	A	Office of the DMS / CMS	PKO-MAT-106	

Function	No.	Activity	Description and Notes	Headquarters				Field				Vital
				Retention Period	Disposition	Office of Record	Retention Code	Retention Period	Disposition	Office of Record	Retention Code	
Military	MIL	Records relating to the provision and management of military and related activities in peacekeeping missions; rotation of military contingents; military-civil coordination.										
	01	Planning, strategy	Records relating to the planning and strategies of the Function'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	UNHQ DPKO / OMA / MPS	PHRS-MIL-101	P	A	Mission Military Component	PKO-MIL-101	
	02	Policy, Procedure, Best Practice	Records relating to the policies and procedures of the Function'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. Special Instructions: Records relating to the Function's Best Practices including Business Continuity Plans, contingency planning /disaster recovery, and records relating to analysis and re-engineering of business processes; also including all documents to be submitted to Peacekeeping Best Practice Section (peacekeeping-policysupport@un.org) for possible inclusion in the DPKO/DFS Policy and Practice Database.	P	A	UNHQ DPKO / OUSG or UNHQ DPKO / OMA / Office of the Military Adviser / Policy & Doctrine Team (other)	PHRS-MIL-101	P	A	Mission Military Component	PKO-MIL-101	
	03	Coordination, partnership	Records relating to the Function'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	UNHQ DPKO / OMA	PHRS-MIL-102	C + 15	D	Mission Military Component	PKO-MIL-102	
	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 DPKO-DFS 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.	C + 15	D		PHRS-MIL-102	P	A	Office of the HoMC	PKO-MIL-101	
	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	UNHQ DPKO / OUSG or UNHQ DPKO / OMA / Office of the Military Adviser / Policy & Doctrine Team (other)	PHRS-MIL-102	C + 15	D	Mission Military Component	PKO-MIL-102	
	06	Reference	Documents relating to references supporting the Functions work. Special Instructions: Reference documents are not considered records and should not be declared as records. <i>T=Document is superseded</i>	T	D			T, E	D			
	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	UNHQ DPKO / OMA / Assessment Teams	PHRS-MIL-101	P	A	Office of the HoMC	PKO-MIL-101	

Function	No.	Activity	Description and Notes	Headquarters				Field				Vital
				Retention Period	Disposition	Office of Record	Retention Code	Retention Period	Disposition	Office of Record	Retention Code	
Mine Action	MIN	Records that deal with the administration and coordination of mine action activities.										
	01	Planning, strategy	Records relating to the planning and strategies of the Function's administrative, substantive and logistical activities.	P	A	UNHQ DPKO / ORoLSI / MAS	PHRS-MIN-101	P	A	UNMAS Field Programme	PKO-MIN-101	
	02	Policy, Procedure, Best Practice	Records relating to the policies and procedures of the Function's initiatives and activities including official policies, procedures, directives, instructions, guidelines. Special Instructions: Records relating to the Function's Best Practices including Business Continuity Plans, contingency planning /disaster recovery, and records relating to analysis and re-engineering of business processes; also including all documents to be submitted to Peacekeeping Best Practice Section (peacekeeping-policy-support@un.org) for possible inclusion in the DPKO/DFS Policy and Practice Database.	P	A	UNHQ DPKO / OUSG or UNHQ DPKO / ORoLSI / MAS (other)	PHRS-MIN-101	P	A	UNMAS Field Programme	PKO-MIN-101	
	03	Coordination, partnership	Records relating to the Function'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	UNHQ DPKO / ORoLSI / MAS	PHRS-MIN-101	P	A	UNMAS Field Programme	PKO-MIN-101	
	04	Monitoring, reporting	Records relating to the Function's monitoring, reporting, assessing, and analysing of programs, activities, and initiatives.	C + 15	D	Mine Action Coordination Centre UNHQ DPKO / ORoLSI / MAS	PHRS-MIN-101	P	A	UNMAS Field Programme	PKO-MIN-101	
	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	PKO-MIN-101	
	06	Reference	Documents relating to references supporting the Functions work. Special Instructions: Reference documents are not considered records and should not be declared as records. <i>T=Document is superseded</i>	T	D			T, E	D			
	07	Monitoring, verification	Records relating to assurance that mine-action operations meet international standards for quality and safety.	C + 5	D	UNHQ DPKO / ORoLSI / MAS	PHRS-MIN-102					
	08	Emergency Response	Records relating to the emergency, rapid response activities; emergency humanitarian mine action response, implementation of operational capabilities under the rapid response plan for Mine Action; emergency support to Mine Action Centre.	C + 5	D	UNHQ DPKO / ORoLSI / MAS	PHRS-MIN-102					
	09	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	PKO-MIN-101	
	10	Mine Victim Assistance	Records relating to the 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	PKO-MIN-101	
11	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	PKO-MIN-101		

Function	No.	Activity	Description and Notes	Headquarters				Field				Vital
				Retention Period	Disposition	Office of Record	Retention Code	Retention Period	Disposition	Office of Record	Retention Code	
Movement and Transport	MOV	Records relating to movement of equipment, military contingents, and formed police units within and to/from peacekeeping missions; records relating to the movement of all personnel and equipment inside a mission area.										
	01	Planning, strategy	Records relating to the planning and strategies of the Function's administrative, substantive and logistical activities.	P	A	UNHQ DFS / LSD	PHRS-MOV-101	P	A	Mission Ground Transport Section	PKO-MOV-101	
	02	Policy, Procedure, Best Practice	Records relating to the policies and procedures of the Function's initiatives and activities including official policies, procedures, directives, instructions, guidelines. Special Instructions: Records relating to the Function's Best Practices including Business Continuity Plans, contingency planning /disaster recovery, and records relating to analysis and re-engineering of business processes; also including all documents to be submitted to Peacekeeping Best Practice Section (peacekeeping-policysupport@un.org) for possible inclusion in the DPKO/DFS Policy and Practice Database.	P	A	UNHQ DFS / OUSG or UNHQ DFS / LSD / Office of the Director (other)	PHRS-MOV-101	P	A	Mission Integrated Support Services	PKO-MOV-101	
	03	Coordination, partnership	Records relating to the Function'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	UNHQ DFS / LSD	PHRS-MOV-102	C + 10	D	Mission Ground Transport Section	PKO-MOV-102	
	04	Monitoring, reporting	Records relating to the Function's monitoring, reporting, assessing, and analysing of programs, activities, and initiatives.	P	D	UNHQ DFS / LSD / Self Accounting Units	PHRS-MOV-101	P	D	Mission Integrated Support Services or Office of the DMS / CMS	PKO-MOV-101	
	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.									
	06	Reference	Documents relating to references supporting the Functions work. Special Instructions: Reference documents are not considered records and should not be declared as records. <i>T=Document is superseded</i>	T	D			T, E	D			
	07	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. <i>T = Completion of movement</i>	T + 5	D	UNHQ DFS / LSD / TMS / MCU	PHRS-MOV-103	T + 5, E	D	Mission Movement Control, Aviation, Traffic or Shipping Section	PKO-MOV-103	
	08	Air transport: aircraft inspection	Inspection reports; maintenance records supplied by air operators. <i>T = Completion of activity</i>					T + 5, E	D	Mission Air Transport Section	PKO-MOV-103	
	09	Air transport: flight operation: monthly	Manifests, landing clearance records, monthly flight schedules, actual daily flight schedules. <i>T = Completion of activity</i>					T + 5, E	D	Mission Air Transport Section	PKO-MOV-103	
	10	Air transport: flight operation: non-scheduled	Non-scheduled (i.e. special) flight requests. Aircraft use reports.					E + 5	D	Mission Air Transport Section	PKO-MOV-104	
	11	Air transport: aircraft use	Special Instructions: originals maintained by UNHQ Air Transport Section for processing of payment to air operators/contractors. <i>T = Completion of payment to air operators.</i>					T + 5, E	D	DFS / LSD / TMS / ATS	PKO-MOV-103	
	12	Surface transport: vehicle maintenance	Vehicle maintenance history records. Special Instructions: File closure: Close file annually on 31 December. <i>T = Completion of activity</i>					T + 5, E	D	Mission Ground Transport Section	PKO-MOV-103	
	13	Surface transport: surface operations	Vehicle allocation records, vehicle inventory records, vehicle logs, vehicle daily dispatch records, mileage reports, trip tickets, vehicle 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. <i>T = Completion of activity</i>					T + 5, E	D	Mission Ground Transport Section	PKO-MOV-103	
	14	Surface transport: licencing of drivers	Drivers' files (containing driver examination, photocopy of driver's licence, etc.). <i>T = staff separation from mission or mission closure.</i>					T + 5	D	Mission Ground Transport Section	PKO-MOV-103	
15	Surface transport: Procurement and vehicle purchase documents	Requisition notes, correspondence, technical details, and purchasing history for all vehicle and equipment purchases. <i>T = Life of vehicle</i>	T + 10	D	UNHQ DFS / LSD / SSS / STS							

Function	No.	Activity	Description and Notes	Headquarters				Field				Vital
				Retention Period	Disposition	Office of Record	Retention Code	Retention Period	Disposition	Office of Record	Retention Code	
Oversight	OVE	Information dealing with reviewing the administrative and substantive work of field missions only. Activities include Board of Inquiry case work, OIOS investigation, and internal and external auditing.										
	01	Planning, strategy	Records relating to the planning and strategies of the Function's administrative, substantive and logistical activities.	P	A	UNHQ DFS / OUSG	PHRS-OVE-101	P	A	Office of the DMS / CMS	PKO-OVE-101	
	02	Policy, Procedure, Best Practice	Records relating to the policies and procedures of the Function's initiatives and activities including official policies, procedures, directives, instructions, guidelines. Special Instructions: Records relating to the Function's Best Practices including Business Continuity Plans, contingency planning /disaster recovery, and records relating to analysis and re-engineering of business processes; also including all documents to be submitted to Peacekeeping Best Practice Section (peacekeeping-policysupport@un.org) for possible inclusion in the DPKO/DFS Policy and Practice Database.	P	A	UNHQ DFS / OUSG	PHRS-OVE-101	P	A	Office of the DMS / CMS	PKO-OVE-101	
	03	Coordination, partnership	Records relating to the Function's interaction with other entities; include collaborated work with other UN Departments, governmental/non-governmental organizations, local/civil institutions and all other entities.									
	04	Monitoring, reporting	Records relating to the Function's monitoring, reporting, assessing, and analysing of programs, activities, and initiatives. <i>T = resolution of matter.</i>	T + 15	A	Office of the DMS / CMS	PHRS-OVE-102	P	A	Office of the DMS / CMS	PKO-OVE-101	
	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.									
	06	Reference	Documents relating to references supporting the Functions work. Special Instructions: Reference documents are not considered records and should not be declared as records. <i>T=Document is superseded</i>	T	D			T, E	D			
	07	Aviation Safety Assessment Visits (ASAV) to field missions and UN registered air vendors	ASAV reports	P	A	UNHQ DFS / LSD / ASS	PHRS-OVE-101	P	A	DMS / CMS	PKO-OVE-101	
	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, notifications of casualties (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.	P	A	UNHQ DFS / Office of the ASG / BOI Team	PHRS-OVE-101	E	D	Mission BOI Unit (DMS / CMS / CoS)	PKO-OVE-102	V
	09	BOI technical investigation	Evidentiary and other supporting records used in the development of 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. <i>T = resolution of issues raised in audit.</i>	T + 5	D	Office varies according to the nature of the investigation	PHRS-OVE-103	E	D	UNHQ DFS / OASG / BOI Unit	PKO-OVE-102	V
	10	Audit: external audit	Records include: administrative files relating to the work of the Board of Auditors. <i>T = resolution of issues raised in audit.</i>					T + 5	D	Office of the DMS / CMS and Secretariat of the Board of Auditors, UNHQ	PKO-OVE-103	
	11	Audit: internal audit	Records include: case files. <i>T = resolution of issues raised in audit.</i>					T + 15	D	UNHQ OIOS	PKO-OVE-104	
	12	Evaluation	Programme and mission monitoring evaluation records, including mandatory internal evaluations (self-assessments) and discretionary internal evaluations (self-evaluation).					T + 15	D	UNHQ OIOS	PKO-OVE-104	
13	Investigation: case management, evidence gathering	Hard copies of case files (including print-outs from OIOS' ICMS database) relating to the administrative investigation of violations of UN rules and regulations. Records relating to forensic evidence relating to the administrative investigation of violations of UN rules and regulations. <i>T = resolution of issues raised in audit</i>	T + 5	A	Office varies according to the nature of the investigation	PHRS-OVE-104	P	A	Mission Office of the Resident Investigator	PKO-OVE-101	V	

Function	No.	Activity	Description and Notes	Headquarters				Field				Vital
				Retention Period	Disposition	Office of Record	Retention Code	Retention Period	Disposition	Office of Record	Retention Code	
Political Affairs	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.										
	01	Planning, strategy	Records relating to the planning and strategies of the Function's administrative, substantive and logistical activities. Records of HQ include HQ-authored strategy; strategic planning, implementation and evaluation documents; directives and instructions to the field, in all aspects of political affairs. Records of the Field include Mission-authored strategy; strategic planning, implementation and evaluation documents, in all aspects of political affairs.	P	A	UNHQ DPKO / OO	PHRS-POL-101	P	A	Office of the HoM or Political Affairs Component	PKO-POL-101	
	02	Policy, Procedure, Best Practice	Records relating to the policies and procedures of the Function's initiatives and activities including official policies, procedures, and guidelines. Special Instructions: Records relating to the Function's Best Practices including Business Continuity Plans, contingency planning /disaster recovery, and records relating to analysis and re-engineering of business processes; also including all documents to be submitted to Peacekeeping Best Practice Section (peacekeeping-policysupport@un.org) for possible inclusion in the DPKO/DFS Policy and Practice Database.	P	A	UNHQ DPKO / OO and DPET	PHRS-POL-101	P	A	Office of the HoM	PKO-POL-101	
	03	Coordination, partnership	Records relating to the Function's interaction with other entities; include collaborated work with other UN Departments, governmental/non-governmental organizations, local/civil institutions and all other entities. Records of HQ include those related to the engagement and coordination between HQ and Member States (both Permanent Missions in NY and Capitals), 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. Records of the Field 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	UNHQ DPKO / OO and UNHQ DPKO / OUSG	PHRS-POL-101	P	A	Office of the HoM, Political and Civil Affairs Components	PKO-POL-101	
	04	Monitoring, reporting	Records relating to the Function's monitoring, reporting, assessing, and analysing of programs, activities, and initiatives. Records of HQ include records related to analysis of political process, dynamics and activities and early warning. This include reports submitted to the SG and USG as well as the Security Council. Records also include SitCen's internal and external reports and briefings. Records of the Field 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	UNHQ DPKO / OUSG, UNHQ DPKO / OO and UNHQ DPKO / Situation Centre	PHRS-POL-101	P	A	Office of the HoM, Political and Civil Affairs Components	PKO-POL-101	
	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	PKO-POL-101	
	06	Reference	Documents relating to references supporting the Functions work. Special Instructions: Reference documents are not considered records and should not be declared as records. <i>T=Document is superseded</i>	T	D			T, E	D			
	07	Good office, peace support and sanctions	Records related to the negotiations with political parties, host governments, insurgent force. Cease fire agreements. Support to constitutional processes and demarcation efforts.	P	A	UNHQ /OUSG DPKO/DPA	PHRS-POL-101					

Function	No.	Activity	Description and Notes	Headquarters				Field				Vital
				Retention Period	Disposition	Office of Record	Retention Code	Retention Period	Disposition	Office of Record	Retention Code	
Procurement and Contracts Management	PRO	Procurement cases originating from field mission procurement sections only, including contracts, purchase orders, requests for proposals, and vendor registration files.										
	01	Planning, strategy	Records relating to the planning and strategies of the Function's administrative, substantive and logistical activities.	C + 10	D	UNHQ DFS / OASG / FPLT	PHRS-PRO-101	C + 5, E	D	Mission Procurement Section	PKO-PRO-101	
	02	Policy, Procedure, Best Practice	Records relating to the policies and procedures of the Function's initiatives and activities including official policies, procedures, directives, instructions, guidelines. Special Instructions: Records relating to the Function's Best Practices including Business Continuity Plans, contingency planning /disaster recovery, and records relating to analysis and re-engineering of business processes; also including all documents to be submitted to Peacekeeping Best Practice Section (peacekeeping-policysupport@un.org) for possible inclusion in the DPKO/DFS Policy and Practice Database. T=Document is superseded 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	UNHQ DFS / OASG / FPLT	PHRS-PRO-102					
	03	Coordination, partnership	Records relating to the Function's interaction with other entities; include collaborated work with other UN Departments, governmental/non-governmental organizations, local/civil institutions and all other entities. <i>T = Completion of contract</i>	T + 10	D	UNHQ DFS / OASG / FPLT	PHRS-PRO-103	T + 10	D	Mission Procurement or Contract Management Section	PKO-PRO-102	
	04	Monitoring, reporting	Records relating to the Function's monitoring, reporting, assessing, and analysing of programs, activities, and initiatives.	C + 5	D	UNHQ DFS / OASG / FPLT	PHRS-PRO-104	C + 5, E	D	Mission Procurement Section	PKO-PRO-101	
	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.									
	06	Reference	Documents relating to references supporting the Functions work. Special Instructions: Reference documents are not considered records and should not be declared as records. <i>T=Document is superseded</i>	T	D			T, E	D			
	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. Special Instructions: 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. <i>T = Conclusion of bid process, bidder chosen or procurement</i>	T + 10	D	UNHQ DM / OCSS / PD	PHRS-PRO-103	T + 10	D	Mission Procurement Section	PKO-PRO-102	
	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. <i>T = completion/cancellation of procurement.</i>	T + 10	D	Secretariat of the Headquarters Committee on Contracts, UNHQ	PHRS-PRO-105	T + 10	D	Mission Office of the DMS/GMS (Secretary of the Local Committee on Contracts)	PKO-PRO-103	
	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/OCSS approval; Statement of Award and procurement correspondence. Vendor Performance Evaluation. <i>T = Contract/Lease completed/cancelled and all charges, issues, claims settled.</i>	T + 10	D	DM / OCSS / PD	PHRS-PRO-106	T + 10	D	Mission Procurement Section	PKO-PRO-104	V
	10	Vendor registration: vendor files	Records relating to mission's successful and unsuccessful vendor files. <i>T = Completion of review and notification to vendor or vendor dropped and no longer active</i>	T + 5	D	UNHQ DM / OCSS / PD	PHRS-PRO-107					
11	Delegations of procurement authority	Records relating to the delegation of procurement authority and designation. <i>T = Staff member is no longer active in function requiring delegation of procurement authority or has received a new delegation of authority.</i>	T + 5	D	UNHQ DFS / OASG / FPLT	PHRS-PRO-108	T + 5	D	Mission Procurement Section	PKO-PRO-105		

Function	No.	Activity	Description and Notes	Headquarters				Field				Vital
				Retention Period	Disposition	Office of Record	Retention Code	Retention Period	Disposition	Office of Record	Retention Code	
Property Management	PRP	Records relating to the deployment, rotation, replenishment, inventory, write-off, and transfer of UN-owned and contingent-owned equipment in peacekeeping missions.										
	01	Planning, strategy	Records relating to the planning and strategies of the Function's administrative, substantive and logistical activities.	P	A	UNHQ DFS / LSD / Office of the Director	PHRS-PRP-101					
	02	Policy, Procedure, Best Practice	Records relating to the policies and procedures of the Function's initiatives and activities including official policies, procedures, directives, instructions, guidelines. Special Instructions: Records relating to the Function's Best Practices including Business Continuity Plans, contingency planning /disaster recovery, and records relating to analysis and re-engineering of business processes; also including all documents to be submitted to Peacekeeping Best Practice Section (peacekeeping-policysupport@un.org) for possible inclusion in the DPKO/DFS Policy and Practice Database.	P	A	UNHQ DFS / OUSG or UNHQ DFS / LSD / Office of the Director	PHRS-PRP-101	P	A	Office of the DMS / CMS	PKO-PRP-101	
	03	Coordination, partnership	Records relating to the Function'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	DFS / LSD / Office of the Director	PHRS-PRP-102	C + 10	D	Office of the DMS / CMS	PKO-PRP-102	
	04	Monitoring, reporting	Records relating to the Function's monitoring, reporting, assessing, and analysing of programs, activities, and initiatives.	P	A	UNHQ DFS / LSD / Office of the Director	PHRS-PRP-101	P	A	Office of the DMS / CMS	PKO-PRP-101	
	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.									
	06	Reference	Documents relating to references supporting the Functions work. Special Instructions: Reference documents are not considered records and should not be declared as records. <i>T=Document is superseded</i>	T	D			T, E	D			
	07	Stock management: request for stock	Mission requests for stock; signed approvals of requests.	C + 5	D	UNHQ DFS / LSD / Self-Accounting Units	PHRS-PRP-103					
	08	Stock management: issuance of stock	Material Release Orders (MRO) issued to UNLB by UNHQ SAUs.	P	A	UNHQ DFS / LSD / Office of the Director	PHRS-PRP-104					
	09	Stock management: review of stock	SDS composition table and other database outputs relating to the annual review of the composition of SDS.	C + 15	D	UNHQ DFS / LSD / Office of the Director	PHRS-PRP-105					
	10	Stock management: rotation of stock	SDS rotation indicators and related database outputs.	C + 15	D	UNHQ DFS / LSD / Office of the Director	PHRS-PRP-105					
	11	Stock management: Equipment maintenance	Documents include information relating to the service and maintenance of office property and equipment.					C + 5, E	D	Mission Technical Section	PKO-PRP-103	
	12	Stock management: warehousing	Records relating to the warehousing of mission supplies, care and storage of materiel.					C + 5, E	D	Mission Warehousing Section	PKO-PRP-103	
	13	Property control: annual inventory	Annual inventories of field missions	E + 5	D	UNHQ DFS / FPD / LSD and UNHQ DM / OPPBA	PHRS-PRP-106	E + 5	D	Office of the DMS / CMS	PKO-PRP-104	
	14	Property control: Issue of property	Records relating to mission issue vouchers, authority to release vouchers.					E + 5	D	Mission Technical Section	PKO-PRP-104	
	15	Property control: handover of property: general	Records relating to internal mission handover vouchers (UN equipment, vehicles, IT equipment, radios, etc.). <i>T = completion of handover</i>					T + 5	D	Mission Technical Section	PKO-PRP-105	
	16	Property control: handover of property: donation	Records relating to mission donation handover vouchers.					E + 10	D	Mission Property Control and Inventory Unit	PKO-PRP-106	
17	Property control: return of property	Records relating to mission return stores vouchers.					E + 5	D	Mission Technical Section	PKO-PRP-104		

Function	No.	Activity	Description and Notes	Headquarters				Field				Vital
				Retention Period	Disposition	Office of Record	Retention Code	Retention Period	Disposition	Office of Record	Retention Code	
Property Management	18	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: A new request must be submitted upon rejection; appeal based on request at hand is not permitted.					C + 5, E	D	Mission Technical Section, Mission General Services Section, Claims Unit (Property Survey Officer)	PKO-PRP-107	
	19	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. <i>T = physical disposal of assets and after asset records have been deleted from mission inventory.</i>					T + 5	D	Office of the DMS / CMS or Mission LPSB	PKO-PRP-108	
	20	Property survey: solicitation of HPSB recommendation	Records relating to SB case files. Special Instructions: Office of record changes from Mission LPSB to UNHQ HPSB upon the latter's receipt of SB case files; LPSB retains non-record copies of SB case files <i>T = physical disposal of assets and after asset records have been deleted from mission inventory.</i>	T + 5	D	UNHQ HPSB	PHRS-PRP-108	T + 5	D	Mission LPSB	PKO-PRP-108	
	21	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 the Mission Finance Section are attached to the corresponding voucher and thus adopt the voucher's retention requirements. Special Instructions: The 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 <i>T = approval of mission self-accounting unit.</i>					T + 5	D	Mission Receiving and Inspection Unit Mission Finance Section	PKO-PRP-109	
	22	Receiving and inspection: UNLB	Records relating to SDS receiving and inspection reports, damage discrepancy reports (DDR). <i>T = approval of UNHQ DFS/LSD SAU.</i>	T + 5	D	UNHQ DM / OPPBA	PHRS-PRP-108	T + 5	D	UNHQ DM / OPPBA	PKO-PRP-110	

Function	No.	Activity	Description and Notes	Headquarters				Field				Vital
				Retention Period	Disposition	Office of Record	Retention Code	Retention Period	Disposition	Office of Record	Retention Code	
Protection	PRT	Records relating to the administration and coordination of protection activities.										
	01	Planning, strategy	Records relating to the planning and strategies of the Function's administrative, substantive and logistical activities.	P	A	UNHQ DPKO / DPET	PHRS-PRT-101	P	A	Mission Component	PKO-PRT-101	
	02	Policy, Procedure, Best Practice	Records relating to the policies and procedures of the Function's initiatives and activities including official policies, procedures, directives, instructions, guidelines. Special Instructions: Records relating to the Function's Best Practices including Business Continuity Plans, contingency planning /disaster recovery, and records relating to analysis and re-engineering of business processes; also including all documents to be submitted to Peacekeeping Best Practice Section (peacekeeping-policysupport@un.org) for possible inclusion in the DPKO/DFS Policy and Practice Database.	P	A	UNHQ DPKO / DPET	PHRS-PRT-101	P	A	Mission Component	PKO-PRT-101	
	03	Coordination, partnership	Records relating to the Function'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	UNHQ DPKO / DPET	PHRS-PRT-101	P	A	Mission Component	PKO-PRT-101	
	04	Monitoring, reporting	Records relating to the Function's monitoring, reporting, assessing, and analysing of programs, activities, and initiatives.	P	A	UNHQ DPKO / DPET	PHRS-PRT-101	P	A	Mission Component	PKO-PRT-101	
	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	UNHQ DPKO / DPET	PHRS-PRT-101	P	A	Mission Component	PKO-PRT-101	
	06	Reference	Documents relating to references supporting the Functions work. Special Instructions: Reference documents are not considered records and should not be declared as records. <i>T=Document is superseded</i>	T	D			T, E	D			
	07	Protection of Civilians	Information relating to the protection of civilians.	P	A	UNHQ DPKO / DPET	PHRS-PRT-101	P	A	Mission Component	PKO-PRT-101	
	08	Protection of Children	Information relating to the protection of children.	P	A	UNHQ DPKO / DPET	PHRS-PRT-101	P	A	Mission Component	PKO-PRT-101	
	09	Conflict Related Sexual Violence	Records relating to the sexual violence in conflict situation	P	A	UNHQ DPKO / DPET	PHRS-PRT-101	P	A	Mission Component	PKO-PRT-101	

Function	No.	Activity	Description and Notes	Headquarters				Field				Vital
				Retention Period	Disposition	Office of Record	Retention Code	Retention Period	Disposition	Office of Record	Retention Code	
Public Information and Communication	PUC	Records relating to the creation, management, and dissemination of DPKO and DFS materials that document, describe, and promote the departments' work.										
	01	Planning, strategy	Records relating to the planning and strategies of the Function's administrative, substantive and logistical activities.	P	A	UNHQ DPKO / OUSG	PHRS-PUC-101	P	A	Mission Public Information Component	PKO-PUC-101	
	02	Policy, Procedure, Best Practice	Records relating to the policies and procedures of the Function's initiatives and activities including official policies, procedures, directives, instructions, guidelines. Special Instructions: Records relating to the Function's Best Practices including Business Continuity Plans, contingency planning /disaster recovery, and records relating to analysis and re-engineering of business processes; also including all documents to be submitted to Peacekeeping Best Practice Section (peacekeeping-policysupport@un.org) for possible inclusion in the DPKO/DFS Policy and Practice Database.	P	A	UNHQ DPKO / OUSG	PHRS-PUC-101	P	A	Mission Public Information Component	PKO-PUC-101	
	03	Coordination, partnership	Records relating to the Function'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	D	UNHQ DPKO / OUSG	PHRS-PUC-102	C + 5	D	Mission Public Information Component	PKO-PUC-102	
	04	Monitoring, reporting	Records relating to the Function's monitoring, reporting, assessing, and analysing of programs, activities, and initiatives.					P	A	Office of the HoM Mission Public Information Component	PKO-PUC-101	
	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	PKO-PUC-101	
	06	Reference	Documents relating to references supporting the Functions work. Special Instructions: Reference documents are not considered records and should not be declared as records.	C + 5	D	UNHQ DPKO / OUSG	PHRS-PUC-101	T, E	D	Mission Public Information Component		
	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	PKO-PUC-101	
	08	External Relations	All DPKO/DFS press releases; all external speeches and statements from DPKO/DFS 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	UNHQ DPKO / OUSG, UNHQ UNMAS, etc.	PHRS-PUC-101	P	A	Mission Public Information Component	PKO-PUC-101	
	09	Internal Relations	DPKO/DFS USG messages to all staff regardless of topic; DPKO Intranet profiles; edited field mission press releases and Web stories; Web casts.	P	A	UNHQ DPKO / OUSG	PHRS-PUC-101	P	A	Mission Public Information Component	PKO-PUC-101	
	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 <i>Policy and Guidance for Public Information</i> on the Policy and Practice Database.	P	A	UNHQ DPKO / OUSG	PHRS-PUC-101	P	A	Mission Public Information Component	PKO-PUC-101	
	11	Protocol	Records relating to the hosting of visitors at UNHQ; congratulatory and thank you letters.	C + 5	D	Various	PHRS-PUC-102	C + 5, E	D	Mission General Services Section	PKO-PUC-102	
12	Publishing and Broadcasting	Records relating to radio programme scripts, television programme scripts, video and audio recordings of the broadcasted content, print information products. 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.	C + 5	D	Various	PHRS-PUC-102	P	A	Mission Public Information Component	PKO-PUC-101		

Function	No.	Activity	Description and Notes	Headquarters				Field				Vital
				Retention Period	Disposition	Office of Record	Retention Code	Retention Period	Disposition	Office of Record	Retention Code	
Safety and Security Management	SSM	Records relating to peacekeeping and political mission safety and security programmes and practices, including physical, personnel and travel safety and security; investigations of safety and security incidents.										
	01	Planning, strategy	Records relating to the planning and strategies of the Function'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. Special Instructions: Custody Triggers: Archive after Date Closed; Interim Archive 3 Years after Date Closed <i>T = document is superseded, or upon closure of mission.</i>	P	A	UNHQ DFS/OUSG UNHQ DFS/LSD/ASU or ASS UNHQ DSS/DRO/POSS UNHQ DPKO/DFS/FPS	PHRS-SSM-101	P	A	Office of the DMS/CMS Mission Office of the Chief/Principal Security Adviser	PKO-SSM-101	V
	02	Policy, Procedure, Best Practice	Records relating to the UNHQ policies, guidelines and procedures of the Function's initiatives and activities including official policies, procedures, directives, instructions; safety programmes and activities in the field relating to Safety and Security. Special Instructions: Records relating to the Function's Best Practices including Business Continuity Plans, contingency planning /disaster recovery, and records relating to analysis and re-engineering of business processes; also including all documents to be submitted to Peacekeeping Best Practice Section (peacekeeping-policysupport@un.org) for possible inclusion in the DPKO/DFS Policy and Practice Database. Special Instructions: Security policy and procedure is authored by UNHQ DSS/DRO/POSS. Special Instructions: Custody Triggers: Local Archive after Date Closed Permanent Archive 1 Month after End of Mission Mandate (User Defined)	P	A	UNHQ DFS/OUSG UNHQ DFS/LSD/ASU or ASS UNHQ DSS/DRO/POSS UNHQ DPKO/DFS/FPS	PHRS-SSM-101	P	A	Office of the DMS/CMS Mission Office of the Chief/Principal Security Adviser	PKO-SSM-101	V
	03	Coordination, partnership	Records relating to the Function'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	UNHQ DFS/LSD/ASS UNHQ DSS/DRO/POSS	PHRS-SSM-101	P	A	Office of the DMS/CMS	PKO-SSM-101	
	04	Monitoring, reporting	Records relating to the Function's monitoring, reporting, assessing, and analysing of programs, activities, and initiatives. 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	UNHQ DFS/LSD/ASS UNDSS UNHQ DSS/DRO/POSS	PHRS-SSM-101	P	A	Office of the DMS/CMS CSA	PKO-SSM-101	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	UNHQ DFS/OUSG UNHQ DFS/LSD/ASU or ASS UNHQ DSS/DRO/POSS	PHRS-SSM-101	P	A	Office of the DMS/CMS Mission Office of the Chief/Principal Security Adviser	PKO-SSM-101	
	06	Reference	Documents relating to references supporting the Functions work (industry standards, recommended practices, instructions, manuals, etc.). Special Instructions: Reference documents are not considered records and should not be declared as records. <i>T=Document is superseded</i>	T	D	UNHQ DFS/LSD/ASS UNHQ OUSG DPKO/COS-FPS, LSD AS, UNDSS UNHQ DSS/DRO/POSS		T, E	D	Office of the DMS/CMS		
	07	UN contracted aircraft accident investigation; DFS aviation safety technical investigation (ASTI)	State investigation report and DFS/ASTI reports	P	A	UNHQ DFS/LSD/ASS	PHRS-SSM-101	P	A	Office of the DMS/CMS	PKO-SSM-101	
	08	Crisis management	Mission Aviation Emergency Response Plan	P	A	UNHQ DFS/LSD/ASS UNHQ DPKO SitCen UNHQ UNDSS/POSS	PHRS-SSM-101	P	A	Office of the DMS/CMS Joint Operations Centre, CSO	PKO-SSM-101	

Function	No.	Activity	Description and Notes	Headquarters				Field				Vital
				Retention Period	Disposition	Office of Record	Retention Code	Retention Period	Disposition	Office of Record	Retention Code	
Safety and Security Management	09	Investigation: incidents resulting in minor damage/loss: general	Non-Board of Inquiry case files documenting minor (as defined by the DPKO Field Administration Manual) damage/loss to the following: 1.) UN-owned property (excluding vehicles) 2.) contingent-owned equipment (COE) 3.) mission staff personal effects.	C + 5	D	OUSG DPKO-FPS, UNDSS - SSIRS, DFS-LSD UNHQ DSS/DRO/POSS	PHRS-SSM-102	C + 5; E	D	Office of the DMS/CMS, CSO Office of the Chief/Principal Security Adviser or Office of the Force Commander	PKO-SSM-102	V
	10	Investigation: incidents resulting in minor damage/loss: UN vehicles	Non-Board of Inquiry case files documenting minor (as defined by the DPKO Field Administration Manual) damage/loss to UN vehicles.	C + 5	D	OUSG DPKO-FPS, UNDSS - SSIRS, DFS-LSD UNHQ DSS/DRO/POSS	PHRS-SSM-102	C + 5; E	D	Office of the DMS/CMS, CSO Office of the Chief/Principal Security Adviser or Office of the Force Commander	PKO-SSM-102	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	D	OUSG DPKO-FPS, UNDSS - SSIRS, DFS-LSD UNHQ DSS/DRO/POSS	PHRS-SSM-102	C + 5; E	D	Office of the DMS/CMS, CSO Office of the Chief/Principal Security Adviser or Office of the Force	PKO-SSM-102	V
	12	Surface transport safety	File here: policy and procedure on the surface transport of hazardous materials.	P	A	DFS-LSD Surface Trp Section + UNDSS/POSS	PHRS-SSM-101	P	A	D/CMS/ Trp Section	PKO-SSM-101	
	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	DFS-LSD-AS + UNDSS/POSS	PHRS-SSM-101	P	A	D/CMS, Transp Section, AS Section + CSA/CSO	PKO-SSM-101	
	14	Fire safety	File here: records relating to fire prevention, fire escape routes, and fire warden designation.	P	A	UNDSS/POSS	PHRS-SSM-101	P	A	CSA/CSO	PKO-SSM-101	
	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	OUSG DPKO/OCOS- FPS	PHRS-SSM-101	P	A	D/CMS + OSO/FOSFP	PKO-SSM-101	V
	16	Crisis management	Individual crisis case file folders, such as abductions, attacks, evacuations.	P	A	UNHQ HQ POSS and UNOCC UNHQ DPKO/DFS/FPS	PHRS-SSM-101	P	A	Joint Operations Centre Office of the CoS	PKO-SSM-101	V
	17	Inventory of personal effects	Staff personal effects inventories. <i>T = staff member's separation from mission or mission closure.</i>	T	D	UNHQ DSS/DRO/POSS	PHRS-SSM-103	T	D	Office of the DMS/CMS	PKO-SSM-103	
	18	Staff identification	Identification cards (including temporary cards for visitors), border crossing passes, entry passes for UN contractors.	P	A	UNHQ DSS/DRO/POSS	PHRS-SSM-101	P	A	Office of the DMS/CMS	PKO-SSM-101	
	19	Staff tracking	Staff tracking data.	C + 5	D	UNHQ DSS/DRO/POSS	PHRS-SSM-102	C + 5; E	D	Mission Security Operations Centre (SOC) or Equivalent	PKO-SSM-102	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	D	UNHQ DSS/DRO/POSS	PHRS-SSM-102	C + 5; E	D	CSA/CSO	PKO-SSM-102	
	21	Surveillance	Surveillance camera logs.	P	A	UNHQ DSS/DRO/POSS	PHRS-SSM-101	P	A	Office of the Chief/Principal Security Adviser	PKO-SSM-101	
	22	Security broadcasts	Staff security broadcasts.	P	A	UNHQ DSS/DRO/POSS	PHRS-SSM-101	P	A	Office of the Chief/Principal Security Adviser	PKO-SSM-101	

Function	No.	Activity	Description and Notes	Headquarters				Field				Vital
				Retention Period	Disposition	Office of Record	Retention Code	Retention Period	Disposition	Office of Record	Retention Code	
Security Sector Reform	SSR	Records relating to security sector development, including assessment, review and reform of the security sector and its institutions.										
	01	Planning, strategy	Records relating to the planning and strategies of the Function's administrative, substantive and logistical activities.	P	A	UNHQ DPKO / OUSG or UNHQ DPKO / OROLSI / OASG	PHRS-SSR-101	P	A	Mission SSR Component or Mission Political Lead	PKO-SSR-101	
	02	Policy, Procedure, Best Practice	Records relating to the policies and procedures of the Function's initiatives and activities including official policies, procedures, directives, instructions, guidelines. Special Instructions: Records relating to the Function's Best Practices including Business Continuity Plans, contingency planning /disaster recovery, and records relating to analysis and re-engineering of business processes; also including all documents to be submitted to Peacekeeping Best Practice Section (peacekeeping-policysupport@un.org) for possible inclusion in the DPKO/DFS Policy and Practice Database.	P	A	UNHQ DPKO / OUSG or UNHQ DPKO / OROLSI / OASG	PHRS-SSR-101	P	A	Mission SSR Component or Mission Political Lead	PKO-SSR-101	
	03	Coordination, partnership	Records relating to the Function'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	UNHQ DPKO / OUSG or UNHQ DPKO / OROLSI / OASG	PHRS-SSR-101	P	A	Mission SSR Component or Mission Political Lead	PKO-SSR-101	
	04	Monitoring, reporting	Records relating to the Function'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	PKO-SSR-101	
	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	UNHQ DPKO / OUSG or UNHQ DPKO / OROLSI / OASG	PHRS-SSR-101	P	A	Mission SSR Component or Mission Political Lead	PKO-SSR-101	
	06	Reference	Documents relating to references supporting the Functions work. Special Instructions: Reference documents are not considered records and should not be declared as records. <i>T=Document is superseded</i>	T	D			T, E	D			
C	Year Created	Maintain until the end of calendar year the record was created										
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										
A	Archive	Document should be archived										
D	Destroy	Document should be destroyed										