

United Nations
Department of Peacekeeping Operations

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DPKO and DFS Policy Directive

January 2006

Records Management

Approved by: J.M. Guehenno, USG/DPKO
Approval date: 30 January 2006

Date amended: 20 January 2009
Amendments approved by: D. Maxfield, Chief of Staff, DPKO
Approval date: 13 March 2009

Contact: Peacekeeping Information Management Unit
Review date: 13 March 2010

A handwritten signature in black ink is located to the right of the text, partially overlapping the 'DPKO' label. The signature appears to be 'D. Maxfield'.

POLICY DIRECTIVE ON DPKO AND DFS RECORDS MANAGEMENT

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A. PURPOSE

1. This Policy Directive establishes the framework and responsibilities for the Department of Peacekeeping Operations (DPKO) and Department of Field Support (DFS) records management programme.

B. SCOPE

2. This Policy Directive applies to all DPKO and DFS staff at Headquarters and in peacekeeping missions. Compliance is mandatory as provided in Section G below.

C. RATIONALE

3. This Policy Directive serves as the core of the DPKO and DFS records management programme, and is consistent with Secretariat-wide records management standards and requirements. DPKO and DFS are committed to maintaining a records management programme that meets the operational needs and accountability requirements of both departments, while ensuring that records of archival value that document the history of DPKO and DFS are transferred to the custody of the United Nations Archives and Records Management Section (ARMS).
4. DPKO and DFS records are a valuable resource to the Organization as they provide evidence of its operations, organizational structure, decision-making, rights and entitlements, policies and procedures. Departmental records are our institutional memory and represent a vital asset to support daily functions and operations. In addition, records support the delivery of services in a consistent and equitable way. Records assist DPKO and DFS in making good use of precedents and of organizational experience, and support consistency, continuity, efficiency and productivity in programme delivery, management and administration.

D. POLICY

5. General

- 5.1 All DPKO and DFS records are official records of the United Nations. The departments shall comply with the policies, standards and other records requirements of ARMS. DPKO and DFS shall regularly review departmental records management policy and SOPs to ensure they are in accordance with ARMS standards.
- 5.2 DPKO and DFS shall manage records effectively and efficiently to support and promote informed decision-making, better performance of operations, improved client service, protection of staff, and investigations.
- 5.3 DPKO and DFS shall create and maintain records that: support departmental business, meet accountability requirements, meet public research expectations, and can be accessed and retrieved as required. Records include those that are electronic and stored in DPKO and DFS systems and databases.
- 5.4 DPKO and DFS records management must be supported by applications and software that comply with the ARMS Functional Requirements for Recordkeeping Systems and the ARMS Standard on Recordkeeping Metadata.

6. Records Arrangement and Disposition

- 6.1 DPKO and DFS Headquarters and all field missions must use the Peacekeeping File Classification Scheme (PK FCS)¹ to organize and file all records, including electronic records.
- 6.2 DPKO and DFS Headquarters must use the Peacekeeping Headquarters Retention Schedule (PHRS) and the Retention Schedule for Records Common to All UN Offices (RCUN) to ensure that records of long-term value are preserved as archives and that temporary value records are systematically destroyed.
- 6.3 Peacekeeping missions must use the Peacekeeping Operations Retention Schedule (PORS) to ensure that mission records of long-term value are preserved as archives, and that records of temporary value are systematically destroyed.

7. Records Sensitivity, Access and Declassification

- 7.1 In accordance with ST/SGB/2007/6 *Information Sensitivity, Classification and Handling*, DPKO and DFS documents and records containing sensitive information must be classified, labeled, stored and handled according to departmental standards.
- 7.2 DPKO and DFS Standard Operating Procedure (SOP) on Access and Declassification of Archives and Non-Current Records must be used to ensure that requests for records access and declassification respect the Organization's commitment to openness and transparency without compromising information security within the departments.

8. Responsibilities

¹ Previously called the "Subject Classification Scheme" (SCS)

- 8.2 The Under-Secretaries-General of DPKO and DFS, in collaboration with the Assistant Secretaries-General and Division heads in both departments, have the responsibility to ensure that DPKO and DFS comply with UN records management policy, standards and procedures.
- 8.3 DPKO and DFS Directors and Section Chiefs have the responsibility to ensure that the mandatory elements of the DPKO and DFS records management programme are implemented in full within their areas of responsibility.
- 8.4 DPKO and DFS Directors and Section Chiefs have the responsibility to designate a records management focal point in their work units to implement UN and departmental records management policies and procedures.
- 8.5 All DPKO and DFS staff members are accountable to their supervisors for compliance with this policy and the DPKO and DFS records management programme.
- 8.6 All DPKO and DFS staff members have the responsibility to create records that document:
 - 8.6.1 Important decisions (those that concern the substantive work of the departments, and those that document key administrative decisions such as procurement, personnel and finance approvals);
 - 8.6.2 Oral decisions and commitments, including important telephone conversations where agreements and decisions are made; and
 - 8.6.3 High level management meetings and other events where important decisions or approvals are made.
- 8.7 All DPKO and DFS work units have the following responsibilities:
 - 8.7.1 Work units must capture electronic records they create by saving them electronically in folders within a records management system using the tools listed in Section 6 above, provided that such a records management system is available.
 - 8.7.2 In the absence of a records management system, work units:
 - 8.7.2.1 May capture **working documents** on the work unit's shared drive in a folder structure using the Peacekeeping File Classification Scheme
 - and**
 - 8.7.2.2 Must capture **official records** they create by physically placing them on a central file, classified in accordance with the Peacekeeping File Classification Scheme.
 - 8.7.3 In accordance with the above guidelines, work units must capture electronic and paper-based records received from organizations external to the UN Secretariat.
- 8.8 ARMS is responsible for creating and revising archives and records management policies and standards, and for monitoring compliance with records management requirements throughout the United Nations Secretariat.
- 8.9 The Peacekeeping Information Management Unit is responsible for creating and revising DPKO and DFS-specific records management policy, procedures and tools, in accordance with UN guidelines.

- 8.10 ARMS, in coordination with the Peacekeeping Information Management Unit, provides records advisory services and semi-annual records management training to DPKO and DFS.
- 8.11 The DFS Information and Communications Technology Division (ICTD) is responsible for supporting the proper management of DPKO and DFS electronic document and records management systems, and providing IT support services' to users of such systems, including training for records management software and applications.
- 8.12 The Office of Information and Communications Technology (OICT) has overall responsibility for electronic document and records management systems used throughout the United Nations Secretariat.

E. TERMS AND DEFINITIONS

9. The following definitions apply to this directive and subsidiary SOPs and guidelines:

Archives - Those records that are appraised as having historical value and are no longer required for current use

Document - Recorded information or object which can be treated as a unit. *International Standard ISO/IEC 15489-1, Clause 3.10*

Information management - A discipline that seeks to improve the quality of an organization's information, and how it is captured, stored, accessed, used, moved and destroyed. It achieves this by addressing relevant policies, processes, roles and resources, culture and technology.

Record - Information created, received and maintained by an organization or person and maintained as evidence in the transaction of operations or business.

Records management - The field of management responsible for the efficient and systematic control of the creation, receipt, maintenance, use and disposition of records

F. REFERENCES

- I. Normative or superior references

ST/SGB/2007/5 Recordkeeping and the Management of United Nations Archives
<http://daccess-ods.un.org/TMP/4686867.html>

ST/SGB/2007/6 Information Sensitivity, Classification and Handling
<http://daccess-ods.un.org/TMP/254118.7.html>

11. Related policies, SOPs or Guidelines

DPKO and DFS SOP on Access and Declassification of Archives and Non-Current Records
<http://intranet.dpkoinformationmanagement.org/dpkoinformationmanagement/pages/DocumentDetails.aspx?DocId=2843>

ARMS Standard on Recordkeeping Metadata
<http://archives.un.org/unarms/en/unrecordsmgmUnrecordsresources/recordkppoliciesandstds.html>

ARMS Functional Requirements for Recordkeeping Systems
<http://archives.un.org/unarms/en/unrecordsmgmt/unrecordsresources/recordkppoliciesandstds.html>

III. Records management tools

Peacekeeping File Classification Scheme
<http://intranet.dpko.un.org/dpko/pages/DocumentDetails.aspx?DocId=621>

Peacekeeping Headquarters Retention Schedule (PHRS)
<http://intranet.dpko.un.org/dpko/pages/DocumentDetails.aspx?DocId=3258>

Retention Schedule for Records Common to All UN Offices (RCUN)
<http://archives.un.org/unarms/doc/retentionschedules/RCUN%20Retention%20Schedule%20v%202.4.5.pdf>

Peacekeeping Operations Retention Schedule (PORS)
<http://intranet.dpko.un.org/dpko/pages/DocumentDetails.aspx?DocId=3324>

G. MONITORING AND COMPLIANCE

10. The Peacekeeping Information Management Unit will monitor implementation of this Policy Directive and oversee audits to monitor records management compliance.

H. DATES

11. This Policy Directive shall become effective on 1 July 2006. This directive shall be reviewed no later than 31 December 2007.

I. CONTACT

12. The, Peacekeeping Information Management Unit should be contacted for information about this Policy Directive.

J. HISTORY

13. Previously amended on 31 December 2007. See attached schedule of amendments.
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SIGNED:

DATE:

Schedule of Amendments

Date of Amendment	Purpose	Signature
31 December 2007	Global change: "DPKO" to "DPKO and DFS"	Catherine Pollard, Chief of Staff, DPKO
31 December 2007	Contact for this Policy Directive changed from Peacekeeping Best Practices Section to Peacekeeping Information Management Unit	Ibid.
31 December 2007	Global change: "Subject Classification Scheme" to "Peacekeeping File Classification Scheme"	Ibid.
31 December 2007	Section D (6): Title changed from "Records Classification and Disposition" to "Records Arrangement and Disposition"	Ibid.
31 December 2007	Section D (6): Specific reference to existing recordkeeping tools added	Ibid.
31 December 2007	Section D (8.2): USG DFS added alongside USG DPKO	Ibid.
31 December 2007	Section D (8.4): New paragraph	Ibid.
31 December 2007	Section D (8.7): New section	Ibid.
31 December 2007	Section D (8.9): New paragraph	Ibid.
31 December 2007	Section D (8.10): New paragraph	Ibid.
31 December 2007	Section E: Definition of Information Management changed to match the DPKO Information Management Strategy	Ibid.
31 December 2007	Section F: Normative or superior references updated	Ibid.
31 December 2007	Section F: Hyperlinks added	Ibid.
20 January 2009	Section D (6.1) Peacekeeping File	Donna-Marie C. Maxfield, Chief of Staff, DPKO

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	Classification Scheme replaces "Taxonomy for Recordkeeping in Field Missions of UN Peacekeeping Operations" as official filing standard.	
20 January 2009	Section D (6.2) "approved UNHQ records retention schedules" changed to "Peacekeeping Headquarters Retention Schedule (PHRS) and the Retention Schedule for Records Common to All UN Offices (RCUN) "	Ibid.
20 January 2009	Section D (7.2) "on the condition that DPKO and DFS have given written consent" changed to "on the condition that DPKO, DFS, and/or other relevant departments and offices have given written consent"	Ibid.
20 January 2009	Section D (7.2) "must be formally declassified" changed to "go through a formal request for access or declassification"	Ibid.
20 January 2009	Section D (8.7.2) "Taxonomy for Peacekeeping Missions" removed	Ibid.
20 January 2009	Section F Email policy directive added; PHRS and RCUN schedules added.	Ibid.
20 January 2009	Section 7.2 deleted; Section 7.3 renumbered as 7.2	Ibid.
20 January 2009	Section 8.11 - CITS changed to ICTD	Ibid.
20 January 2009	Section 8.12 - added to reflect the role of OICT	Ibid.
20 January 2009	Section E - Definition for Document added	Ibid.