



Office of Programme Planning, Budget and Accounts

Controllers Office

revised 2008

Schedule No.	Record Series Title	Description	Total Retention	Disposition	Vital	Office of Record	Notes
CONT	Controllers Office						
CONT101	Agency/Grant Agreements	Agreements between the United Nations and implementing agencies for the United Nations to provide funds for project implementation.	T + 6	D	No		
CONT102	Audit Files - Financial - Board of Auditors	Reports, responses to reports and supporting materials pertaining to Controller's role in reviewing and commenting on audits conducted on behalf of the Board of Auditors.	C + 10	D	No	Board of Auditors	
CONT103	Audit Files - Office of Internal Oversight Services	Reports, responses to reports and supporting materials pertaining to Controller's role in reviewing and commenting on audits conducted by OIOS.	C + 10	D	No	OIOS/IAD	
CONT104	Chronological Files - Controller's	Copies of outgoing and incoming correspondence, memos, code cables, faxes, etc., arranged chronologically for quick reference. The record copy must be placed in the relevant subject file or record series in the office originating or taking action.	C + 3	D	No		
CONT105	Delegations of Authority - Financial	Assignments of authority from the Controller for United Nations officials to act with respect to specified financial matters.	C + 5	A	Yes		
CONT106	Donor Agreements	Agreements with member states to provide funding for the implementation of United Nations programmes and projects.	T + 6	D	No		T = Agreement terminated or expires
CONT107	European Commission Financial and Administrative Framework Agreements [EC FAFA]	Agreements between the United Nations and the European Unit to provide support for projects and programmes.	P	D	No		
CONT108	Fascicles [Proposed Programme Budgets]	Copies of draft budgets submitted for approval to deliberating bodies.	P	D	No	OPPBA PPBD/PFD	
CONT109	Financial Authority Designations	Designations of United Nations staff members as authorized to perform specific significant financial functions.	C + 10	D	No		
CONT110	Financial Statements	Signed copies of official financial statements for each United Nations Program.	B + 10	D	Yes		
CONT111	Fraud Reporting - Peacekeeping	Reports on monitoring for and investigations of fraud provided to the Board of Auditors.	C + 6	D	No		

Schedule No.	Record Series Title	Description	Total Retention	Disposition	Vital	Office of Record	Notes
CONT112	Fraud Reporting - Regular Budget	Reports on monitoring for and investigations of fraud provided to the Board of Auditors.	B + 6	D	No		
CONT113	Grievance and Disciplinary Case Files	Files concerning Controller's role in the investigations of grievance and disciplinary actions with respect to individual UN personnel including Administrative Tribunal Cases, and its execution of any payments resulting from the resolution each case.	C + 5	D	No	OHRM/ALU/U NAT	
CONT114	Host Country Agreements	Agreements with member states to host United Nations meetings.	C + 5	D	No		
CONT115	Iraq Oil-for-Food Program Project Files	Files concerning the operations of the Iraq Oil for Food program and the investigations concerning the program after its cessation.	T + 10	A	Yes		T = Conclusion of all investigations concerning the program and settlement of all claims, issues or charges.
CONT116	Joint Pension Fund Files	Files maintained by the Controller as the representative of the Secretary General to the UN Joint Pension Fund. Includes minutes & agendas for meetings of the Board of the Joint Pension fund as well as records concerning the management of the investments of the fund.	P	A	No		Currently not applicable as SRSG is the Assistant Secretary General OCSS
CONT117	Procurement Division Oversight Files	Correspondence and reports concerning the role of the Controller in providing oversight of the operations of the Procurement Division from 2005 - 2008.	T	A	No		T = Termination of controller's oversight role.
CONT118	Subject Files - Controller's	Official documentation the activities of the Controllers' office including correspondence, reports, memos, and related materials arranged by subject or function.	C + 5	D	No		
CONT119	Trust Fund Files	Files concerning the record or authority and purpose for the Trust Fund; trust fund policies and procedures.	T + 5	D	Yes	OPPBA PPBD & PFD	T = Trust fund closed out; all contributions and expenditures reconciled and final audit completed.
CONT120	Commitments against future financial periods files	Commitments against future financial periods	B + 5	A	No		
CONT121	Programmes Support Costs	Programme Support Costs	B + 5	D	No		
CONT122	Controller's Confidential Files	Controller's Confidential Files	T + 5	A	No		

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CONT123	Ex-Gratia cases	Ex Gratia	C + 7	D	No		
CONT124	Controller's project files	Controller's project files	C + 5	A	No		
CONT125	Peacekeeping Missions and Special Political Missions files	Peacekeeping Missions and Special Political Missions	T + 4	A	No		
CONT126	Joint Inspection Unit (JIU)	Joint Inspection Unit (JIU)	C + 10	D	No		
CONT127	Third Party and vendor claim arbitration files	Files concerning the record or authority and purpose for the Trust Fund; trust fund policies and procedures.	C + 10	D	Yes	OPPBA PPBD & PFD	T = Trust fund closed out; all contributions and expenditures reconciled and final audit completed.
CONT128	Controller's working files	Files concerning the record or authority and purpose for the Trust Fund; trust fund policies and procedures.	T + 10	D	No	OPPBA PPBD & PFD	T=end of Controller's Tenure
CONT129	Allotment Advices	Files concerning the record or authority and purpose for the Trust Fund; trust fund policies and procedures.	B + 2	D	No	OPPBA PPBD & PFD	

Retention codes: B=Budget period; C=Current Year; P=While needed to conduct UN business; T=Termination or completion of programme or project S=Superseded

Disposition codes: A=Review for Archival (permanent); D=Destroy