



United Nations Department of Peacekeeping and Field Support Records Retention Schedule - November 2015

FUNCTION/ SCHEDULE NUMBER	RECORDS CLASS DESCRIPTION	RECORDS SERIES	RETENTION	DISPOSITION	NOTES	OFFICE OF RECORDS	VITAL
<b>BUDGET AND FINANCE</b> <b>Records related to budget, finance and accounting</b>							
PHRS-BUF-101	All records related to budget and finance policy, procedures and best practices .	Records relating to the policies and procedures of the Function's initiatives and activities including official policies, procedures, directives, instructions, guidelines.	P	A	<b>Special Instructions:</b> 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.	UNHQ DM / OPPBA / PFD or PPBD UNHQ DFS / OUSG or UNHQ DFS / FBFD / Front Office (other)	
PHRS-BUF-102	<b>Finance and accounting files:</b> General Ledger	General ledger transferred from field accounting system, including daily postings and trial balance.	P	A		UNHQ DFS / FBFD	
PHRS-BUF-103	<b>Finance:</b> Claim review Files	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	v
PHRS-BUF-104	<b>Budget</b> Monitoring, reporting, resourcing decisions, implementation and funds management	Records relating to the Function's monitoring, reporting, assessing, and analysing of programs, activities, and initiatives.  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.  Informal questions and clarifications to/from missions, to/from OPPBA. Redeployment requests from Missions	C+5	D		UNHQ DM / OPPBA / PFD / PPBD / Accounts Division UNHQ DFS / FBFD	
PHRS-BUF-105	All records related to planning and strategy for the function. All liquidation records.	Records relating to the planning and strategies of the Function's administrative, substantive, logistical activities and all financial liquidation records	C + 5	D		Office of the DMS / CMS	
PHRS-BUF-106	<b>Budget</b> Official communications	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		UNHQ DM / OPPBA / PFD / PPBD	
PHRS-BUF-107	All records related to 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	

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<b>CIVIL AFFAIRS</b>	<b>Records relating to the work at the social, administrative and subnational 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</b>						
PHRS-CIV-101	All records related to the administration of the civil affairs programme	Planning and strategy documents, policies, procedures, best practice. Records related to coordination, partnership and capacity building initiatives with other UN bodies and NGOs.	P	A	Special Instructions: Records relating to the Function's Best Practices including Business Continuity Plans, contingency planning /disaster recovery, and records relating to analysis and reengineering 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.	UNHQ DPKO / PBPS / / OO / OUSG / Civil Affairs Unit	
<b>DISARMAMENT, DEMOBILIZATION, REINTEGRATION</b>	<b>Documents relating to the disarmament, demobilization, and reintegration of people</b>						
PHRS-DDR-101	All records related to the DDR programme	Planning and strategy documents, policies, procedures, best practice. Records related to coordination, partnership and capacity building initiatives with other UN bodies and NGOs. Monitoring, reporting, surveys, assessments, analysis and verification of Armed groups and weapons. Socio-economic surveys. Day-to-day records related to weapons control, destruction. Day-to-day records related to demobilization and reinsertion. Day-to-day records related to repatriation, rehabilitation and resettlement of former combatants.	P	A	Special Instructions: Records relating to the Function's Best Practices including Business Continuity Plans, contingency planning /disaster recovery, and records relating to analysis and reengineering 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.	UNHQ DPKO / ORoLSI / DDRS	
<b>ELECTIONS</b>	<b>Records relating to the administration and coordination of electoral management or electoral assistance activities.</b>						
PHRS-ELE-101	All records related to the administration of the Election programme	Planning and strategy documents, policies, procedures, directives, instructions and best practices related to all aspects of electoral administration.	E	D	Special Instructions: Records relating to the Function's Best Practices including Business Continuity Plans, contingency planning /disaster recovery, and records relating to analysis and reengineering 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.	UNHQ DPA / EAD	
<b>FACILITIES AND ENGINEERING</b>	<b>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.</b>						
PHRS-FEN-101	All records related to the administration of the facilities and engineering programme (including monitoring and reporting) and relations with host country concerning construction.	Records relating to the planning and strategies of the Function's administrative, substantive and logistical activities. 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 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	A		Mission's Engineering Section Mission Integrated Support Services Office of the DMS / CMS	
PHRS-FEN-102	All records related to facilities and engineering policies, procedures and best practice	Policies, procedures, guidelines and best practices and directives of DFS/LSD and the Engineering Section.	P	A	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.	UNHQ DFS / OUSG or UNHQ DFS / LSD / Office of the Director	

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<b>GENDER</b>							
<b>Records relating to the administration and coordination for implementing and monitoring the Women Peace and Security agenda.</b>							
PHRS-GEN-101	All records related to the administration of the gender programme in a mission	Records relating to the policies and procedures of the Function's initiatives and activities including strategies, plans, official policies, procedures, directives, instructions, guidelines. Records related to capacity building initiatives and coordination and partnerships with other entities. Correspondence and other records relating to the mainstreaming of women in the technical assistance to the host country. 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. Records relating to the prevention of gender-based violence, including rape and other forms of sexual abuse.	P	A	Special Instructions: Records relating to the Function's Best Practices including Business Continuity Plans, contingency planning /disaster recovery, and records relating to analysis and reengineering 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.	UNHQ DPKO / DPET / Gender Team	
<b>GOVERNANCE</b>							
<b>Records relating to the capacity building and economic development of a field mission's host government(s).</b>							
PHRS-GOV-101	All records related to the administration of the governance programme	Records relating to the policies and procedures of the Function's initiatives and activities including strategies, plans, official policies, procedures, directives, instructions, guidelines. Records related to capacity building initiatives and coordination and partnerships.	P	A	Special Instructions: Records relating to the Function's Best Practices including Business Continuity Plans, contingency planning /disaster recovery, and records relating to analysis and reengineering 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.	UNHQ DPKO / OUSG	
PHRS-GOV-102	All records related to capacity building for the economic sector	All records related to capacity building for the economic sector of the host country	C+10	D		UNHQ DPKO / OUSG	
<b>HUMAN RESOURCES</b>							
<b>Information relating to personnel matters for UN personnel, civilian staff, military and police officers and observers serving in field missions</b>							
PHRS-HRM-101	Policy, Procedure, Best Practices, Workforce planning framework and strategy. Mobility, Job classification and Organizational design.	Records relating to the policies and procedures of the Function's initiatives and activities including official policies, procedures, directives, instructions, guidelines. Records relating to the implementation of a global, as well as field-oriented, workforce planning documentation (User Guide, Policies, Templates). Records relating to interim mobility scheme and the results of the roll out of Mobility by Job Network. Generic job profiles for field missions, records relating to the classification of posts in field missions.	P	A	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.	UNHQ DFS / OUSG or UNHQ DPKO / OUSG or UNHQ DFS / FPD / Office of the Director	
PHRS-HRM-102	Planning and 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-103	Recruitment: Roster management, attracting candidates, outreach and staffing table management.	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.	C+10	D	Special Instructions: Records/Information located in Inspira.	UNHQ DFS / FPD	
PHRS-HRM-104	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.	T+5	D	Special Instructions: Transfer records of successful candidates to the candidate's OSF. Special Instructions: Records/Information located in Inspira. T-completion of rostering process	UNHQ DFS / FPD	

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PHRS-HRM-105	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.  Records relating to the Function's monitoring, reporting, assessing, and analysing of programs, activities, and initiatives.	C + 5	D		UNHQ DFS / FPD	
PHRS-HRM-106	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-107	Appointment and assignment: field appointee management	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.	T + 30	D	Disposition justification: DFS/FPD's appointee file is equivalent to an OSF.	UNHQ DFS / FPD	v
PHRS-HRM-108	Appointment and assignment: field assignee management	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.	T + 5	D	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.  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 (DAH).  T = end of staff member's field assignment.	UNHQ DFS / FPD	
PHRS-HRM-109	Career support	Records relating to field staff's transitions, including those affected by downsizing and in need of placement. Records relating to succession planning, including official correspondence with HoMs alerting of upcoming vacancies	T + 5	D	Special Instructions: Route all official correspondence through repository online system (Comet2) and keep a record for each staff member being placed.  T = staff member reaches official UN retirement age, staff member's separation from mission or mission closure.	UNHQ DFS / FPD	
PHRS-HRM-110	Travel administration: Civilian staff and uniformed Personnel	Records relating to commercial travel arrangements for civilian staff to field mission assignments.	T + 5	D	Office of records is UNHQ DPKO/OMA/FGS for uniformed personnel	UNHQ DFS / FPD and UNHQ DPKO/OMA/FGS	
PHRS-HRM-111	Administration of justice: substantiated misconduct cases	Working files of substantiated misconduct files of all field personnel (including seconded officers and UN volunteers).	T + 30	D	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.  T = substantiation of case and subsequent action to UNHQ DM/OHRM or staff member's separation from mission or closure of mission.	UNHQ DFS / OASG / CDU	

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PHRS-HRM-112	Administration of justice: unsubstantiated cases	Unsubstantiated misconduct files of all field personnel (including seconded officers and UN volunteers).	T + 10	D	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.  T = determination that the Home recommendation is not well founded.	UNHQ DFS / OASG / CDU	
PHRS-HRM-113	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-114	<b>Uniformed Personnel (UP)</b> Force Generation 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			
PHRS-HRM-115	uniformed Personnel (UP) force generation: All personnel files for Individuals and military and formed units.	Administration files for Experts on Mission and Staff Officers and Generation of Military and Formed Units	C + 15	D	<u>Special Instructions:</u>  <b>For individuals:</b> 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.  <b>For Generation of Military and Formed Units:</b> The UN Force Link is used for the management of the United Nations Standby arrangements System (UNSAS) (FSS Contingent deployment tool )	Mission UP Component	

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PHRS-HRM-116	uniformed Personnel (UP)force generation: Generation of Military and FPU Units: Policy, Statistics, medals and records of service	Senior Military, Police and Correctional Personnel	P	A	<b>Special Instructions:</b> The FGS Database (in MS Access) is used for generation of monthly statistics of military and police contributions to peacekeeping missions.	Mission UP Component	
PHRS-HRM-117	uniformed Personnel (UP): Recruitment and Force Generations - Field Missions: Generation of UP Individuals: Senior Military, Police and Correctional Personnel	Files of Senior Military, Police and Correctional Personnel	P	A	Special Instructions: Contracted positions are not managed through OMART / Hermes	Mission UP Component	
PHRS-HRM-118	Training administration files	Training course evaluation forms, training examinations and tests, training examination reports, results sheets. Training course application forms, training placement tests, participant selection forms, certificates of completion. Assessment of Peacekeeping Training Centres. Training statistics. Training needs assessment files.	C + 5	D		Integrated Mission Training Cell or Equivalent	

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<b>Records relating to the administration and coordination of human rights activities.</b> <b>Special transfer: Transfer records to OHCHR Geneva (UNOG Registry Records and Archives Unit) upon mission closure.</b>							
<b>HUMAN RIGHTS</b>							
PHRS-HRT-101	All records related to the administration of a human rights programme	Records relating to the planning and strategies of the Function's administrative, substantive and logistical activities, 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 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. Records may be specific to a peacekeeping mission or more general in nature. Records related to the coordination of programmes and activities with other UN entities and Negus. Investigation and verification records. Reporting human rights violation. Records related to truth and reconciliation process. Capacity building records.	P	A	Special Instructions: Records relating to the Function's Best Practices including Business Continuity Plans, contingency planning /disaster recovery, and records relating to analysis and reengineering 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.	UNHQ DPKO / OUSG / DPET	
<b>HUMANITARIAN</b>							
<b>Records relating to the administration and coordination of humanitarian activities, including the provision of assistance to victims of war and natural disasters.</b>							
PHRS-HUM-101	All records related to the administration of humanitarian programme	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. 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. Records relating to coordination and partnership, capacity building, and monitor and reporting.	P	A	Special Instructions: Records relating to the Function's Best Practices including Business Continuity Plans, contingency planning /disaster recovery, and records relating to analysis and reengineering 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 transfer: Transfer records to UNOG Registry, Records and Archives Unit upon mission closure.	UNHQ DPKO / OUSG	

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JUSTICE, PRISONS AND CORRECTIONS	Records relating to the restoration of and support to justice, prison and corrections institutions and strengthening the rule of law.						
PHRS-JPC-101	All records related to strengthening the rule of law	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. 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. Records related to the coordination with host country, NGOs and UN Organizations. Capacity building records.	P	A	Special Instructions: Records relating to the Function's Best Practices including Business Continuity Plans, contingency planning /disaster recovery, and records relating to analysis and reengineering 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: Group meeting minutes should be destroyed after 5 years.	UNHQ DPKO / OUSG or DPKO / ORoLSI / CLJAS (other)	



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<b>LAW ENFORCEMENT</b>							
<b>Records relating to law enforcement and related activities in peacekeeping missions, rotation of formed police units.</b>							
PHRS-LAE-101	All records related to police planning, strategy and rotation	Planning and strategy documents for the Function's administrative, substantive and logistical activities. Records relating to UN's pre-deployment assessment of FPU's; 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 States.	C + 15	D		UNHQ DPKO / ORoLSI / PD	
PHRS-LAE-102	All records related to the administration of the police.	Policies, procedures, best practice. Records related to coordination and partnerships with other UN bodies and NGOs.	P	A	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.	UNHQ DPKO / OUSG or UNHQ DPKO / ORoLSI / PD (other)	
<b>LEGAL AFFAIRS</b>							
<b>Information relating to the legal advice and agreements relating to missions</b>							
PHRS-LEG-101	All records to the management of legal issues (including legal agreements)	Planning and strategy documents, policies, procedures, best practice, monitoring and reporting. Records related to coordination, partnership and capacity building initiatives with other UN bodies and NGOs. Programme analysis, reports to UNHQ, Status of Force agreements (SOFAs), status of mission agreements (SOMAs), Letter of Assist (LoA), Memoranda of Understanding (MoU), rules of engagement.	P	A	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.	UNHQ DPKO / OUSG For legal agreements Office signing the agreement or regulation	Same as field / different OR

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<b>MANAGEMENT AND INTEGRATION</b>							
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 cross cutting activities in DPKO and DFS, such as information management.							
PHRS-MAT-101	All records related to the management and integration of 3 or more functions	Planning and strategy documents, policies, procedures, best practice, monitoring and reporting. Records related to coordination, partnership and capacity building initiatives with other UN bodies and NGOs. Integrated Strategic Assessment and Mission Planning. Information Management: Data aggregation and visualization. Information Management: Records and Correspondence Management. Cartography & Geospatial Information Management. Records from the Office of the Head of Mission or DMS/CMS. All records in the Office of the DPKO USG, DFS USG, that relate to substantive programmes and operations of the peacekeeping operations as opposed to routine administrative records.	P	A	<p><b>Special Instructions:</b> 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> <p>Special Instructions: UNHQ DM/OCSS/ITSD/CSS/VMS maintains a complete set of incoming and outgoing secure communications for the EOSG.</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>	UNHQ DPA / OUSG (or other department taking the lead, as designated by the Secretary-General) / PK-IMU / OCOS	
PHRS-MAT-102	All records relating to web publishing	All records related to Information Management web publishing and access and distribution	C + 5	D		UNHQ DFS / PK-IMU / OCOS	
PHRS-MAT-103	Business Continuity, Business Improvement and Knowledge Management	Business Continuity Management plans, vital records list, Knowledge Management records, Lean Six Sigma project records.	C + 10, E	D		UNHQ DPKO / OUSG or UNHQ DFS / DPET / OUSG ( or office initiating lean Six Sigma project.)	V
PHRS-MAT-104	All records relating to delegation of authority	Delegation of authority to undertake various functions in the mission	E + 10	D		Various	V

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<b>MILITARY</b>	<b>Records relating to the provision and management of military and related activities in peacekeeping missions; rotation of military contingents; military-civil coordination.</b>						
<b>PHRS-MIL-101</b>	All records related to planning, strategy, policy best practices, monitoring, reporting and military information analysis/ assessment	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. 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.  Records relating to threat assessments (as part of Military Capability Studies/Concept of Operations/Mandate review); Intelligence Reports (INTREPS); Mission briefings.	P	A	<b>Special Instructions:</b> 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.	UNHQ DPKO / OUSG or UNHQ DPKO / OMA / Office of the Military Adviser / Policy & Doctrine Team (other) / Assessment Teams	
<b>PHRS-MIL-102</b>	All records related to coordination /partnership, capacity building and monitoring and reporting	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 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 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		UNHQ DPKO / OMA / FGS or CMOS	V
<b>MINE ACTON</b>	<b>Records that deal with the administration and coordination of mine action activities.</b>						
<b>PHRS-MIN-101</b>	All records related to the administration of mine activities	All records produced relating to Mine action activities, including policies, procedures, best practices, monitor and reporting, coordination and partnership, capacity building.	P	A	<b>Special Instructions:</b> 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.	UNHQ DPKO / OUSG or UNHQ DPKO / Mine Action Coordination Centre / ORoLSI / MAS (other)	
<b>PHRS-MIN-102</b>	All records related to monitoring, verification and emergency response	All records related to providing assurance that mine action operations meet international standards of quality and safety. All records relating to emergency responses including emergency humanitarian mine action, 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		

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<b>MOVEMENT AND TRANSPORT</b>							
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.							
PHRS-MOV-101	All records related to the planning, procedures, and monitoring of movement and transport	All records relating to planning and strategy documents, policies, procedures, best practice, and monitoring and reporting.	P	A	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.	UNHQ DFS / OUSG or UNHQ DFS / LSD / Office of the Director (other) / Self Accounting Units	
PHRS-MOV-102	All records relating to coordination and 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-103	All records related to 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-104	All records related to 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	
<b>OVERSIGHT</b>							
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.							
PHRS-OVE-101	All records related to oversight administration ASAV, and BOI investigations	Planning and strategy documents, policies, procedures, best practice. Aviation Safety Assessment Visits (ASAV) to field missions and UN registered air vendors. BOI technical investigation and case management	P	A	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: originals of investigation reports, such as Aviation Safety Technical Investigation Reports and State Investigation Reports, are placed on the BOI file.	UNHQ DFS / OUSG / LSD / ASS / Office of the ASG / BOI Team	
PHRS-OVE-102	All records related to the functions monitoring and 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-103	All records related to BOI technical investigations	Evidentiary and other supporting records used in the development of technical inspection reports; copies of final reports. <i>For BOI case management use PHRS-OVE-101</i> <b>Special Instructions:</b> 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	v
PHRS-OVE-104	All records relating to audit investigations	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	UNHQ OIOS	
<b>POLITICAL AFFAIRS</b>							
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.							
PHRS-POL-101	All records related to the administration of political affairs	Planning and strategy documents, policies, procedures, best practice. Records related to related to coordination and partnerships with other UN bodies and NGOs.. Records include records related to analysis of political process, dynamics and activities and early warning, including analysis of political actors and socio-economic conditions; and periodic and ad hoc reports submitted to HQ in all aspects of political affairs.	P	A	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.	UNHQ DPKO / OUSG, UNHQ DPKO / OO and UNHQ DPKO / Situation Centre	

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<b>PROCUREMENT &amp; CONTRACT MANAGEMENT</b>		<b>Procurement cases originating from field mission procurement sections only, including contracts, purchase orders, requests for proposals, and vendor registration files.</b>					
PHRS-PRO-101	Planning and 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-102	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.	T	D	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.	UNHQ DFS / OASG / FPLT	
PHRS-PRO-103	Bids, Proposals, Quotations and partnership files	All successful and unsuccessful bids, proposals and quotations and supporting documentation received for a specific procurement.  Coordination, partnership files: 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.	T + 10	D	<b>Special Instructions:</b> 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.  T = Conclusion of bid process, bidder chosen or procurement  T = Completion of contracts for coordination and partnership files	UNHQ DFS / OASG / FPLT / UNHQ DM / OCSS / PD	
PHRS-PRO-104	Monitoring and 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-105	Headquarters /Local Committee on Contracts - Minutes and presentations	Records relating to Headquarters /Local Committee on Contracts meeting minutes and presentations.	T + 10	D	<b>Special Instructions:</b> This disposal class corresponds to LCC / HCC meeting minutes not filed in contract/purchase order case files.  T = completion/cancellation of procurement.	Secretariat of the Headquarters Committee on Contracts, UNHQ	
PHRS-PRO-106	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.	T + 10	D	T = Contract/Lease completed/cancelled and all charges, issued	DM / OCSS / PD	
PHRS-PRO-107	Vendor registration: vendor files	Records relating to mission's successful and unsuccessful vendor files.  T = Completion of review and notification to vendor or vendor dropped and no longer active	T + 5	D		UNHQ DM / OCSS / PD	
PHRS-PRO-108	Delegations of procurement authority	Records relating to the delegation of procurement authority and designation.	T + 5	D	T = Staff member is no longer active in function requiring delegation	UNHQ DFS / OASG / FPLT	

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<b>PROPERTY AND ASSETS MANAGEMENT</b>	<b>Records relating to the deployment, rotation, replenishment, inventory, write-off, and transfer of UN-owned and contingent-owned equipment in peacekeeping missions.</b>						
<b>PHRS-PRP-101</b>	All records related to the administration of the Property and Assets Management Function	Records relating to the policies and procedures of the Function's initiatives and activities including official policies, procedures, directives, instructions, guidelines. Records relating to the planning and strategies of the Function's administrative, substantive and logistical activities. Records relating to the planning and strategies of the Function's administrative, substantive and logistical activities. Records relating to the Function's monitoring, reporting, assessing, and analysing of programs, activities, and initiatives.	P	A	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.	UNHQ DFS / OUSG or UNHQ DFS / LSD / Office of the Director	Added planning / strategy - new OR
<b>PHRS-PRP-102</b>	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	
<b>PHRS-PRP-103</b>	Stock management" requests of stock	Mission requests for stock; signed approvals of requests.	C + 5	D		UNHQ DFS / LSD / Self-Accounting Units	New category as not kept by missions
<b>PHRS-PRP-104</b>	Stock management: issuance of stock	Material Release Orders (MRO) issued to UNLB by UNHQ SAUs.	P	A		UNHQ DFS / LSD / Office of the Director	
<b>PHRS-PRP-105</b>	Stock management	Records relating to the SDS composition table and other database outputs relating to the annual review of the composition of SDS. Also, SDS rotation indicators and related database outputs.	C + 15	D		UNHQ DFS / LSD / Office of the Director	
<b>PHRS-PRP-107</b>	Property control: annual inventory	Annual inventories of field missions	E + 5	D		UNHQ DFS / FPD / LSD and UNHQ DM / OPPBA	
<b>PHRS-PRP-108</b>	Property survey: solicitation of HPSB recommendation	Records relating to SB case files. <b>Special Instructions:</b> 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	
<b>PHRS-PRP-108</b>	Receiving and inspection: UNLB	Records relating to SDS receiving and inspection reports, damage discrepancy reports (DDR).	T + 5	D	T = approval of UNHQ, DFS/LSD SAU.	UNHQ DM / OPPBA	

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<b>PROTECTION</b>							
<b>Records relating to the administration and coordination of protection activities.</b>							
PHRS-PRT-101	All records related to protection activities	Planning and strategy documents, policies, procedures, best practice. Records related to coordination, partnership and capacity building initiatives with other UN bodies and NGOs. Information relating to the protection of civilians, children. Records relating to the sexual violence in conflict situation	P	A	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.	UNHQ DPKO / DPET	
<b>PUBLIC INFORMATION AND COMMUNICATION</b>							
<b>Records relating to the creation, management, and dissemination of DPKO and DFS materials that document, describe, and promote the departments' work.</b>							
PHRS-PUC-101	All records relating to the administration of public information and communication	Planning and strategy documents, policies, procedures, best practice. Records relating to , internal and external relations, media relations, and publishing and broadcasting	P	A	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: 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.	UNHQ DPKO / OUSG, UNHQ UNMAS, etc.	
PHRS-PUC-102	All records relating to coordination and partnership, protocol and publishing and broadcasting	Records related to coordination and partnership initiatives with other UN bodies and NGOs. Records relating to the hosting of visitors at UNHQ; congratulatory and thank you letters. Records relating to radio programme scripts, television programme scripts, video and audio recordings of the broadcasted content, print information products.	C + 5	D	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.	UNHQ DPKO / OUSG / Various	

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<b>SAFETY AND SECURITY MANAGEMENT</b>		<b>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.</b>					
PHRS-SSM-101	All records related to the administration of safety and security	Planning and strategy documents, policies, procedures, best practice. Records related to coordination, partnership and capacity building initiatives with other UN bodies and NGOs. Monitoring and reporting. UN contracted aircraft accident investigation; DFS aviation safety technical investigation (ASTI); Crisis management; Surface transport safety; Air transport safety; Fire safety; Occupational safety. Staff identification; Staff tracking; Security clearance; Surveillance; Security broadcasts	P	A	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.	UNHQ DFS/OUSG UNHQ DFS/LSD/ASU or ASS UNHQ DSS/DRO/POSS UNHQ DPKO/DFS/FPS/SitSenDFS-LSD Surface Trip Section + UNDSS	
PHRS-SSM-102	All records relating to staff tracking, security clearance, and incidents resulting in minor damage/loss	Staff tracking; Security clearance (TRIP (external or internal travel)); MOPs; special cases i.e. travel to locations classified as "very high" risk area); Investigation: incidents resulting in minor damage/loss; general; Investigation: incidents resulting in minor damage/loss; UN vehicles; Investigation: incidents resulting in no damage/loss of property;	C + 5	D		OUSG DPKO-FPS, UNDSS - SSIRS, DFS-LSD UNHQ DSS/DRO/POSS	
PHRS-SSM-103	All records relating to inventory of personal effects	Inventory of personal effects	T	D	T = staff member's separation from mission or mission closure.	UNHQ DSS/DRO/POSS	
<b>SECURITY SECTOR REFORM</b>		<b>Records relating to security sector development, including assessment, review and reform of the security sector and its institutions.</b>					
PHRS-SSR-101	All records related to the administration of the security sector	Planning and strategy documents, policies, procedures, best practice. Records related to coordination, partnership and capacity building initiatives with other UN bodies and NGOs. Monitoring and reporting.	P	A	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.	UNHQ DPKO / OUSG or UNHQ DPKO / OROLSI / OASG	

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