**Record Management Guidelines**

The present retention schedule complies with UNDP External Audit requirements.

### Temporary Files

Depending on the archival value to the organization, files may have a temporary retention schedule of between one year and ten years.

* **Programme Files**: Headquarters is the main repository for programme files. Programme files other than permanent files should be maintained for a period of seven years following completion of the project.
* **Financial Records**: Financial records should be kept for 7 (seven) years. This applies to both headquarters and country offices.
* **Staff members' records:** Records for locally-recruited Headquarters staff and all internationally-recruited staff are maintained at Headquarters. Country offices maintain records of locally-recruited staff.  A list of permanent staff records is found below.  Documentation on file other than the aforementioned records should be retained for a minimum period of seven years.
* **Valid lease agreements**: Both Headquarters (Administrative Services Division) and country offices must maintain permanent records of all valid lease agreements for office space and/or housing.
* **Other administrative, personnel, programme, organisation files**: All other files/records should be retained for a maximum of seven years.
* **Country offices: permanent files upon closure of UNDP office:** The General Operations, Office of Operations, Legal and Technology Services, Bureau for Management Services will coordinate this operation.  The Office of Human Resources, Office of Finance, and the appropriate Bureau will advise the country office of files/records to be sent to Headquarters or destroyed.

##  Permanent Retention

* **Staff members' records**
	+ *personal history form* *P.11*
	+ marriage certificates
	+ change of marital status
	+ divorce decree
	+ birth certificate
	+ adoption papers
	+ *national status of staff with more than one nationality* *P.78*
	+ change of nationality
	+ notice of the Secretary-General's authorisation for appointment
	+ *designation, change or revocation of beneficiary P.2*
	+ certificates, diplomas, etc (additional education)
	+ results of language examinations
	+ honors for work outside the UN
	+ honors for work in the UN
	+ letters of commendation
	+ personnel record/fact sheet
	+ change of address
	+ *personnel action form* *P.5*
	+ *settlement of final entitlements upon separation* *P.35*
	+ final clearance certificate
	+ cost sheets for junior professional officers
	+ personnel payroll clearance action
	+ offers of appointment
	+ notice of termination
	+ report of service-incurred accidents or illness
	+ change of medical classification
	+ copies of performance reports/appraisals
	+ confidential correspondence
* **Administrative records**
	+ inventory of non-expendable property
	+ credit union
	+ customs clearance and import procedures policy (country office)
	+ disposal of office equipment (Headquarters and country office)
	+ office establishment/leases (Headquarters and country office)
	+ contracts and procurement (Headquarters and country office)
* **Personnel administration records**
	+ duties, obligations and privileges of staff (hours of work, official holidays)
	+ salaries and related allowances (scales, language allowance, post adjustment, daily subsistence allowance, special post allowance, overtime and compensatory time off, advances)
	+ Compliance Review Panel and Compliance Review Board minutes (Headquarters and country office)

## Global Filing Classification System

* The current UNDP global filing classification system uses a subject classification for files.  Principal subjects are broadly divided into the following categories:

|  |  |  |
| --- | --- | --- |
| **series** | **activities** | **prefix** |
| 100 series  | organisational activities  | ORG  |
| 200 series  | general activities  | ADM  |
|   | financial activities  | FIN  |
|   | personnel activities  | PER  |
|   | public information activities  | PUB  |
| 300/400 series  | programme activities  | PRO  |
| 500 series  | legal matters  | LEG  |

Annex: Global Filing List

**I. Organisation**

Legislations (Omnibus Statute, resolutions, consensus, etc.) ORG 100

Major studies (Capacity Study - future studies can be numbered in consecutive order ) ORG 101

Participation in UNDP ORG 120

Channel of communications ORG 122

 with governments ORG 122/1

 with participating and executing agencies ORG 122/2

Terminology ORG 123

Management inspections ORG 124

Cooperation and consultation ORG 130

 UN organs and offices (by organ or office) ORG 130/1

 Government (by ministry, if necessary) ORG 130/2

 Specialized agencies (by agency) ORG 130/3

 Organisations including universities and firms ORG 130/4

 Regional development banks, multilateral organisations

outside UN ORG 130/5

 Individuals (alphabetically) ORG 130/6

Meetings and conferences

 UN organs and offices ORG 130/1/1

 Governments ORG 130/2/1

 Specialized agencies ORG 130/3/1

 Organisations including universities and firms ORG 130/4/1

 Regional development banks, multilateral organisations

outside UN ORG 130/5/1

 Resident Representative - global ORG 130/6/1

 - regional ORG 130/6/1/1

 - other ORG 130/6/1/2

Machinery of the UNDP - organisation and management ORG 141

 Administrator and Deputy Administrators ORG 141/1

 Report of the Administrator ORG 141/1/1

 Governing Council ORG 141/2

 Terms of reference and rules of procedure ORG 141/21

 Appointment and election of members ORG 141/22

 Meetings ORG 141/23

 Representation at meetings (by session) ORG 141/24

Committees and working parties ORG 141/25

(Working Group on Technical Co-operation among Developing Countries, PWG and WGAFM)

Reports from ORG 141/26

Inter-Agency Consultative Board (IACB) ORG 141/3

 Terms of reference and rules of procedure ORG 141/31

 Meetings ORG 141/32

 Reports from ORG 141/33

Advisory Panel for Policy Planning (general) ORG 142/1

 Meetings (including reports, by session) ORG 142/11

Conference planning ORG 150

 Preparation and distribution of documents ORG 151

 Governing Council ORG 151/1

 IACB ORG 151/2

**II. Public Information Activities**

Policy PUB 171

Consultative Committee on Public Information PUB 171 CCPI

Letters from general public PUB 171/1

Speaking engagements (speeches) PUB 171/2

Publications (general) PUB 171/3

 *Pre-Investment News* PUB 171/31

 *Pre-Investment News* (covers production) PUB 171/311

 Commitment PUB 171/314

Press PUB 171/32

 (covers all aspects of news and features, correspondences with agencies, OPI and UNIC through Resident Representatives, etc.)

Individual publications “case files” by publication/brochures PUB 171/33

 Special articles PUB 171/34

Fuller reporting (general) PUB 171/4

Audio and visual information PUB 171/5

 TV and films PUB 171/51

 Radio and recordings PUB 171/52

 Photographs PUB 171/53

 Displays and exhibits PUB 171/54

 Postage stamps and UN medals PUB 171/55

Hospitality PUB 171/6

Non-governmental organisations PUB 171/7

Public information (including UN Day-Human Rights Day) PUB 171/8

Publication and sale (UN publications, project descriptions, etc. ) PUB 171/9

**III. Financial Administration and Management** FIN 210

**Financial control** FIN 211

Financial policies and procedures FIN 211/1

Financial reports of the participating/executing agencies FIN 211/2

Administrative and programme support services FIN 211/3

(including budget estimates - Headquarters and by COs)

Budget control statement FIN 211/3/1

Correspondence with external auditors FIN 211/4

Correspondence with Internal Audit Service FIN 211/5

Financial regulations and rules FIN 211/6

Computer operations FIN 211/7

Adjustments to indicative planning figures FIN 211/8

UNDP financial year-end action FIN 211/9

Agency flexibility arrangements (by agency) FIN 211/10

Remittance requests (by agency) FIN 211/11

Cost sharing, UNDP-assisted projects FIN 211/12

Field office IPF records FIN 211/13

Standard costs reporting FIN 211/14

Cost measurement system FIN 211/15

**Contributions** FIN 212

Pledging conference FIN 212/1

Voluntary contributions from governments to UNDP FIN 212/2

Contributions from governments to other organisations FIN 212/2/1

Donations from private sources FIN 212/3

Local costs - UNDP-assisted projects FIN 212/4

Local costs - regular programme of agencies FIN 212/4/1

Negotiating Committee for Extra Budgetary Funds FIN 212/5

Cash counterpart contributions FIN 212/6

Contributions in kind FIN 212/7

Government contributions toward country office expenditures FIN 212/8

Capital Development Fund -(Contributions from governments and

other sources) FIN 212/9

Trust funds (general and policy) FIN 212/10

UN trust funds administered by UNDP FIN 212/10/1

UNDP trust funds FIN 212/10/2

**Handling and custody of funds** FIN 213

Banking arrangements FIN 213/1

Operational reserve FIN 213/2

Currency management FIN 213/3

Investment and financial data (printed material) FIN 213/4

Stipend rates (general and by country) FIN 213/6

Rates of exchange (general and by country) FIN 213/7

Investments FIN 213/8

Reimbursable loans FIN 213/9

Field accounts FIN 213/10

Accounting and payment instructions FIN 213/10/1

Petty cash - stamp account FIN 213/10/2

Auditors report/observation on field accounts FIN 213/10/3

Duty status summaries (salaries) FIN 213/13

**UNDP accounts** FIN 214

Central accounts - general FIN 214/1

Central accounts - by agency FIN 214/1/-

UNDP administrative budget (accounts) FIN 214/2

UNDP loans FIN 214/3

Exchange of currencies FIN 214/6

**Programme financing** FIN 215

Projects

Projects components FIN 215/1

Standard costs FIN 215/2

Experts FIN 215/2/1

Fellowships FIN 215/2/2

Data processing system FIN 215/3

Programme reserve FIN 215/5

Overhead costs of participating/executing agencies FIN 216

**IV. Administration**

General ADM 250

Activities of the staff ADM 250/1

Inventory of non-expendable property ADM 250/2

Summary of country office organisation ADM 250/4

Briefing ADM 250/5

Certifying officers (pouch, accounts, etc.) ADM 250/6

Commissary and staff house ADM 250/7

Communications facilities ADM 250/8

Pouch - postal ADM 250/8/1

Telex - cables ADM 250/8/2

Communications study ADM 250/8/2/1

Telephone ADM 250/8/3

Registry activities ADM 250/8/4

Decentralisation of registry ADM 250/8/4/1

File classification (global system) ADM 250/8/4/2

Lists of files - country offices ADM 250/8/4/3

Lists of files and their location - HQ ADM 250/8/4/4

Records retirement - UN Archives ADM 250/8/4/5

Records retirement - HQ storage ADM 250/8/4/6

Records - surveys and statistics ADM 250/8/4/7

Procedures - handling of correspondence ADM 250/8/4/8

Registry equipment ADM 250/8/4/9

Radio equipment ADM 250/8/5

Charges to agencies for electronic messages ADM 250/8/6

Leased channel - RCA ADM 250/8/7

Telecommunications for the United Nations (Pilnick Survey) ADM 250/8/8

Communications in the United Nations system (Macy Report) ADM 250/8/9

Communications in the United Nations system ADM 250/8/9

Field coordination questions ADM 250/9

Cost of living surveys ADM 250/10

Credit union ADM 250/11

Customs clearances and import procedures ADM 250/12

Documents, reproduction, distribution, requests for ADM 250/13

Office equipment and supplies ADM 250/14

 Disposal of office equipment and property ADM 250/14/1

Manuals ADM 250/15

General services ADM 250/16

Housing - surveys - availability ADM 250/17

- Constructions and loans ADM 250/17/CL

- Rental subsidies and deductions ADM 250/17/1

Identification cards, ground passes and parking permits ADM 250/18

Interns and trainees ADM 250/19

Living conditions reports - briefing reports ADM 250/20

Survey Board - minutes ADM 250/21

Transportation - use of vehicles and availability, etc. ADM 250/22

Office - establishment of ADM 250/23

Office space, leases, contracts ADM 250/23/1

Maintenance ADM 250/23/2

Protocol ADM 250/24

Reference library ADM 250/25

Security ADM 250/26

Staff Benevolent Fund ADM 250/27

Staff list ADM 250/28

Staff meeting ADM 250/29

Staff movements - condolences - deaths ADM 250/30

Training and orientation - general ADM 250/31

Policy and procedure ADM 250/31/1

Study leave and UNDP-assisted independent studies ADM 250/31/2

Seminars and workshops outside UN system ADM 250/31/3

Training and fellowship offers ADM 250/31/4

Training for Headquarters and field staff - general ADM 250/31/5

Orientation course for professionals - Headquarters ADM 250/31/5/1

Orientation course and training for general service staff ADM 250/31/5/2

- Headquarters

Language training - country offices and Headquarters ADM 250/31/5/3

Regional and inter-regional seminars ADM 250/31/5/4

Project workshops; guest speakers ADM 250/31/5/7

Equipment and supplies ADM 250/31/6

Catalogues, pamphlets and books ADM 250/31/6/1

Vehicles - purchase, insurance and maintenance ADM 250/32

 - Sale, accidents, donation and theft ADM 250/32/1

Visitors ADM 250/33

Parties ADM 250/34

Importation facilities for field personnel ADM 250/35

Committee on contracts ADM 250/36

**Project services** ADM 255

Contract and procurement ADM 255/10

Dissemination of information on contract ADM 255/11

 work in UNDP-assisted projects

Inquires from consulting firms (A-Z) ADM 255/12

Contracting and procurement policy matters ADM 255/13

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 relevant information on “contract point”

Contract awards and contracts to be awarded ADM 255/15

 for publication in *Pre-Investment News*

- Related matters ADM 250/15/1

- Contract awards ADM 255/15/2

- Contract tenders - by agency ADM 255/15/3

Requests (and related matters) for inclusion ADM 255/16

 in mailing list for *Pre-Investment News*

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Inventory ADM 255/21

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Fishing vessels ADM 255/24

**V. Personnel Administration**

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**Duties, obligations and privileges of staff** PER 260/1

Hours of work PER 260/2

Official holidays PER 260/3

 Change of official duty station PER 260/4

Inter-agency transfers (loans) PER 260/5

Outside interests and activities (honours, PER 260/6

 decorations, favours, gifts, political activities)

Service and conduct reports (periodic reports) PER 260/7

**Salaries and related allowances** PER 261

Professional staff PER 261/1

Salary scales for field service personnel PER 261/2

Salary scales for general service personnel PER 261/3

Salary scales for locally-recruited mission personnel PER 261/4

Currency of salary payments/3rd currency PER 261/5

Language allowance - examinations for translators, etc. PER 261/7

Post adjustment PER 261/9

Daily subsistence allowance rate PER 261/11

Salary policy in promotions PER 261/13

Tax exemption and income tax liabilities PER 261/14

Special post allowance PER 261/15

Overtime and compensatory time off PER 261/16

Salary advances PER 261/17

Pensionable remuneration PER 261/18

Staff Assessment Plan PER 261/19

Dependency benefits PER 261/20

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Salaries and allowances during mission assignments PER 261/22

Assignment allowance PER 261/23

Representation allowance (hospitality) PER 261/24

Safe driving bonus PER 261/25

**Appointments and promotion** PER 262

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Re-employment PER 262/2

Notification by staff members and PER 262/3

 obligations to supply information

Geographical distribution PER 262/4

Local recruitment PER 262/5

International recruitment PER 262/6

Criteria for selection of Resident PER 262/6/1

Representatives and other field officers

Hiring of experts for duty in home country PER 262/6/2

Nationality PER 262/7

Family relationships PER 262/8

Temporary appointments and fixed term appointments PER 262/9

Permanent and regular appointment PER 262/10

Appointment and Promotion Board PER 262/11

Promotion policy PER 262/11/1

Medical examination - examination physicians - PER 262/12

 vaccinations - inoculations

Group life insurance PER 262/12/1

Medical insurance PER 262/12/2

Medical Expenses Assistance Plan PER 262/12/3

Medical facilities and evacuation PER 262/12/4

**Annual and special leave** PER 263

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Military service PER 263/3

Home leave PER 263/4

Jury duty PER 263/5

**Social security** PER 264

Pension fund PER 264/1

Mission personnel PER 264/2

Sick leave PER 264/3

Maternity leave PER 264/4

Compensation for death, injury or illness PER 264/5

 attributable to service

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**Travel and removal expenses** PER 265

Official travel of staff members PER 265/1

Official travel of dependents - established offices PER 265/2

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Loss of entitlement to return transportation PER 265/4

Travel and removal expenses - eligible dependents PER 265/5

Authority for travel PER 265/6

Travel expenses PER 265/7

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Travel by automobile PER 265/9

Purchase of tickets PER 265/10

Terminal expenses PER 265/11

Expenses while in transit PER 265/12

Travel subsistence allowance PER 265/13

Installation PER 265/14

Excess baggage and unaccompanied shipments PER 265/15

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Shipment of personal effects and privately-owned automobiles PER 265/21

Travel claims PER 265/23

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Restitution of advance annual and sick leave PER 267/7

Last day for pay purposes PER 267/8

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**Disciplinary measures** PER 268

Joint Disciplinary Committee PER 268/1

Disciplinary measures PER 268/2

Suspension pending investigation PER 268/3

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**General provisions** PER 269

Financial responsibility - liability insurance PER 269/1

Staff members beneficiaries PER 269/2

Proprietary rights PER 269/3

Arrangements relating to military service PER 269/4

**Personnel files** (see Unnumbered files - Miscellaneous, below )

**VI. Programming Organization and Activities (Continued)**

UNDP Country programmes (by country, agency, PRO 300

 policy and general)

Indicative planning figures PRO 300 IPF

Country programmes PRO 300 CP

Inter-country programmes PRO 300 ICP

Regional projects PRO 300 REG

Inter-regional projects PRO 300 INT

Global projects PRO 300 GLO

OPAS PRO 300 OPAS

Fellowships PRO 300 FEL

Seminars PRO 300 SEM

Funds-in-trust projects PRO 300 FIT

UN Volunteers PRO 300 UNV

UN Fund for Population Activities PRO 300 FPA

UN Capital Development Fund PRO 300 CDF

Programme monitoring PRO 300 PM

General policy files could be established for all programmes of activity PRO 301/........

**Reports**

Annual report to IACB Country/Annual/IACB

Annual report on development assistance Country/Annual//Dev.

 Assist.

Investment follow-up Country/Investment

Bilateral programmes (by country) PRO 302

Regular programmes (by country, agency) PRO 303

Experts (general and policy) PRO 304

Briefing PRO 304/1

Listing of PRO 304/2

Periodic meeting of PRO 304/3

Reporting procedures PRO 304/4

Fellows (general and policy) PRO 305

Candidates PRO 305/1

List of PRO 305/2

Appointment procedures PRO 305/3

Agency advisors PRO 306-310-....

Evaluations PRO 400

Programme evaluation and analysis reports PRO 410

 and recommendations

Programme evaluation and analysis (internal reports) PRO 411

Methodology and techniques PRO 420

Meetings and seminars (general) PRO 430

Inter-Agency Study Group on Evaluation PRO 431

Country files PRO 440

Bureau for Africa PRO 441

Bureau for Latin America and Caribbean PRO 442

Bureau for Asia and the Pacific PRO 443

Bureau for Arab States PRO 444

Bureau for European Communities PRO 445

Project files (by project) PRO 450

Mid-project and other reviews of individual projects PRO 470

Special studies PRO 480

**VII. Legal Matters**

Participation in UNDP, policy -

States and governments LEG 500

Regional and other organisations LEG 500/1

Relationship with governments (by country) LEG 501

Agreements with government (policy and by country) LEG 502- Technical Assistance

- Special fund

- Operational assistance

- Office agreement

Plans of operations/project documents LEG/PO or /PD

Agreements/relationship with executing agencies LEG 503

 (policy and by agency)

UNFPA agreements LEG 504

UN Volunteers agreements LEG 505

Agreements for sectoral advisers to Resident Representatives LEG 506

Agreements with UNDP contractors LEG 507

Construction and/or loan agreements LEG 508

Equipment agreements LEG 509

Capital Development Fund agreements LEG 510

Leases (office and residential housing) LEG 511

Patent questions LEG 512

Privileges and immunities (policy and by country) LEG 520

Income tax LEG 520/1

Conditions of service, social security, participation LEG 520/2

 and payments

Other tax exemptions of organization and staff LEG 520/3

(Importation of equipment - release of office cars)

Immigration procedures, entry clearance procedures LEG 520/4

and permits, work permits, identification cards,

etc. for staff, national service obligations, UN

laissez-passer, free movement, persona non-grata

doctrine

Car and other accidents, police investigations, LEG 520/5

arrest of staff, waiver of immunity, etc.

Other questions on privileges and immunities LEG 520/6

(e.g. additional facilities for Resident Representative),

privileges and immunities in connection with UNDP-

assisted projects

**VIII. Unnumbered Files - Miscellaneous**

Staff members 1 Official status file

1 Confidential file (for privileged and/or non-privileged material)

1 Travel and finance file

Experts )

Consultants )

Advisers ) By name - 1 File personnel matters

Volunteers ) 1 File finance - travel

Fellows )

Employment Queries By name

Leave Reports By Name