Record Retention, Data Security and Contingency

1. **Records** comprise any information, regardless of physical form or characteristics, which originate from, or are received by, UNDP within the framework of its official activities.

2. **Files** contain records originating from, or received by, the organization in written or printed form as well as documents generated by the computer and electronic forms.

3. **Records management** relates to the creation, use and maintenance of current records in a systematic manner.

4. **Archiving or storing** deals with the preservation and maintenance of non-current records on a temporary or permanent/indefinite basis in accordance with an established retention schedule.

5. A **financial record** is a document either physical or electronic, which creates either:
   - Liability and its settlement
   - Asset and its liquidation
   - Receivable
   - Payment
   - Record of a deposit

6. The following are also financial records:
   - Contracts with third parties
   - Project documents or Annual Work Plans (AWPs)
   - Bank statements

7. The following staff has record management responsibilities.

   **Finance Staff:**
   - Create record in ATLAS
   - Maintain record
   - Store record for seven years
   - Dispose of record after seven years if it relates to non-staff payments, if agreed with Resident Representative (Senior General Service finance staff);
   - Retain record indefinitely if record relates to payment to staff

   **Resident Representative:**

8. Decides whether or not to dispose of non-staff records after seven years

9. UNDP country office records, regardless of physical form or characteristic, are the property of the organization. They shall not be destroyed or removed from originating units, except in accordance with established guidelines, or with the approval of and in consultation with management of the originating office.

10. The comptroller has delegated the authority on maintenance and retention of the financial records to the resident representatives for the country offices except for countries under crisis situations.
Retention schedule

11. Financial records should be retained locally according to the retention schedule detailed in RM 5.2.5, RM 5.2.6 and RM 7, of the Records Management policy in the new MOM. This schedule indicates which records are to be kept indefinitely and which records are to be kept for a temporary period (seven years). The seven year retention period discussed in this policy has been agreed with the Board of Auditors in accordance with Financial Rule 126.02, which gives authority to the Comptroller to prescribe and maintain financial records.

Disposal of financial records

12. The Records Management policy in the MOM governs the disposal of all records including financial records.

13. For financial records with the required retention period of minimum seven years, the country office will decide whether or not to dispose of these records after the completion of the required period.

Safety of permanent files upon closure of UNDP offices or in case of emergencies

14. Upon closure of a UNDP office or in case of emergencies, the Office of Operations, Legal and Technology Services (OOLTS), Bureau for Management Services will coordinate the safety of permanent files in accordance with the roles and responsibilities set out in section RM2.2 of the Records Management policy. The Office of Human Resources, Office of Financial Resources and Management and the appropriate Bureau will advise the country office of files/records to be sent to headquarters or destroyed in accordance with financial rule 126.02.