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UN/CS/RAI/USAA/DB01/2002-00046

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Record Item Title

United Nations Population Fund (UNFPA) Draft Memorandums [2] fr Yoh-ok Lee, Chief, Administrative Branch to Mr. Hirofumi Ando, Dep. Executive Director. Sub: Records Management. Dated 9 December 1993 and 8 June 1994. Lists & Summarizes Record Categories

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Date 3

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Electronic Details

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Alt Bar code = RAMP-TRIM Record Number

UN/CS/RAI/USAA/DB01/2002-00046

Notes

Print Name of Person Submit Images

Signature of Person Submit

Number of images
 without cover

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**UNFPA FNUAP**United Nations
Population FundFonds des Nations Unies
pour la population

DRAFT

Interoffice Memorandum

Date: 8 June 19 94File No: Records Manage.Sender's Telephone Extension: 5363

To: Mr. Hirofumi Ando
Deputy Executive Director

From: Yon-ok Lee
Chief, Administrative Branch

Subject: Records Management

Approved:
JA 8/6/94

TX (1-1)

Based on your approval of the record categories for the Geographical Divisions, we are pleased to advise that DASE and APD have reviewed/purged their current and retired files in the premises. It is expected that AD will finish shortly while LACD is taking steps to complete this exercise as soon as possible. The review of the geographical archived files at the UN is expected to commence in July.

We are now submitting for your review and approval of the recommended record categories for the remaining divisions/branches namely, TED, PCD, IERD (with Resource Development Branch), OED and Finance, Personnel and Administrative Branches. The format and approach in establishing the record categories followed that of the geographical divisions.

Upon receipt of your approval, we shall take necessary steps for the implementation of the pertinent management tasks with the above-mentioned divisions/branches.

cc: Mr. Jyoti Singh
Ms. Imelda J. M. Henkin
Mr. Jurgen Sacklowski
Mr. Stirling Scruggs
Ms. Mari Simonen

JUN - 8 1994

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RECORD CATEGORIES
PCD

A. Permanent Records

Office - up to 5 years.

Archives - permanent.

1. Legal Documents (Headquarters & Field):

-- Contracts/Agreements (initiated by PCD)

2. Management Documents:

- Master, copy of UNFPA's policy and procedure manual (PPM) including UNFPA 19 and Decentralization guidelines
- Programme Committee minutes
- Project Review Committee minutes
- Policy and Planning Committee minutes
- TSS/CST (IATF minutes and Agency support costs)
- JCGP minutes
- Annual ceilings and related financial planning

3. Programme/project documents (originated by PCD) including financial matters belonging to them

4. Financial documents:

NONE

5. Training Documents (Headquarters/field staff, JPOs)

- Plans
- Schedule/agenda
- List of participants
- Evaluation/reports
- One set of training materials produced
- Fellowships
- External training and EAP for each staff member

B. Non-permanent Records:

NONE

C. Non-records:

Office up to 5 years

-- Newspapers, magazines, clippings, draft documents.

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RECORD CATEGORIES
TED

A. Permanent Records

Office - up to 5 years

Archives - permanent

1. Legal Documents:

- Signed preparatory assistance; letters of agreements for projects between UNFPA and donor governments/organizations.
- Signed project documents (between recipient governments/organizations and UNFPA).
- Contracts/agreements (with individuals/firms)

2. Management Documents:

- General policies and procedures.
- Technical guidelines, check list, etc. (originated from TED)

3. Programme/projects documents (originated from TED):

- Project requests
- Signed board sheets
- Mid-term review reports
- TPR reports
- Final reports
- Evaluation reports
- PC presentation (documents and minutes)
- One set of publications, video/films, kits, produced
- Research/studies (background, methodology, findings/recommendations etc)
- Seminars/conferences/meetings

4. Financial Documents:

- All letters for approval and allocation of funds
- Approval of budget revisions with related correspondence

5. Training documents (originated by TED):

- Agenda, list of participants, final reports, etc.

B. Non-permanent Records:

Office - up to 5 years
Archives - up to 10 years

- Cables, faxes, procurement purchase orders, non-project files, personnel, workplans, telephone calls, travel, etc.
- NGO profiles
- Records other than permanent records

C. Non-records:

Office up to 5 years
-- Newspapers, magazines, draft documents, etc.


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RECORD CATEGORIES
IERD

A. Permanent Records

Office - up to 5 years.

Archives - permanent.

1. Legal Documents:

- Signed preparatory assistance; letters of agreements for projects between UNFPA and donor governments/organizations.
- Signed project documents (between recipient governments/organizations and UNFPA).
-

2. Management Documents:

- Information policy.
- Legislative Body decisions G.A. - plenary 2nd, 3rd, 5th Committee
ECOSOC-various segments, working group committee

Population commission, commission on sustainable development

Governing Council-sessions, board meetings, bureau meetings,
administrative logistics, documentation

Executive Board

CPC meetings

CPC-ACC joint meetings, ACC-OC

CCPOQ, IACSD, IATFAF, CCAQ, IACM

3. Programme/projects documents:

- Project requests
- Signed board sheets
- Mid-term revised reports
- TPR reports
- Final reports
- Evaluation reports



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- PC presentation (documents and minutes)
- One set of publications, video/films, kits produced
- Status of world population report
- Poster contest
- Population Forum
- Population Award
- International Conferences (Bucharest, Mexico, Amsterdam, Cairo)
- Parliamentarians

4. Financial Documents:

- All letters for approval and allocation of funds
- Approval of budget revisions with related correspondence

B. Non-permanent Records:

Office - up to 5 years

Archives - 5 years

- Non-permanent versions and copies
- Cables, faxes, procurement purchase orders, invoices, consultancy reports, final manuscripts of publications, clippings.

C. Non-records:

Office up to 5 years

- Magazines, various drafts of publications, newspapers, reports, etc.

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RECORD CATEGORIES
OED

A. Permanent Records

Office - as long as they are in current use

Archives - permanent:

1. Legal Documents (Headquarters & Field):

-- UNFPA agreements with other agencies/organizations , including UNDP*

2. Management Documents:

- UNFPA Committees - EC, MC
- Evaluations of UNFPA by donors
- OECD/Development Assistance Committee
- DRSAPs/CDs' meetings
- Special Studies/Surveys (e.g. McKinsy Study)
- Audit documents (external and internal)
- JIU

3. Program/projects documents:

NONE

4. Financial Documents:

NONE

5. Training:

NONE

* General agreements of cooperation signed by the Executive Director. Those related to finance, personnel, etc. will be kept by DFPA.

6. Other:

- Executive Director's Bio data
- Executive Director's speeches
- Article contributions to journals, books, pamphlet, etc.

B. Non-permanent Records:

- Office - as long as they are in current use
- Correspondence
- Chron files
- Other records than the permanent records

C. Non-records:

- Office up to 5 years
- Papers, magazines

C. Non-records:

Office up to 5 years
-- Papers, magazines, clippings.

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RECORD CATEGORIES
ADMINISTRATIVE BRANCH

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A. Permanent Records

Office - up to 5 years or as long as current.

Archives - permanent.

1. Legal Documents (Headquarters & Field):

- Lease and modifications.
- Contracts/agreements - on renovations, constructions premises, consultant
- Purchase/lease contracts on equipment and related maintenance-telephone, copy machines, signage, etc.
- Externally funded procurement agreements made with governments and donors

2. Management Documents:

- Policy and procedures (original, amendments and addendum)
- Inventory-and Insurance of non-expendable property, including vehicles (Headquarters and Field)
- Disposal of office equipment and property (minutes of HQ and field property survey Boards)
- Certifying officers (pouch)
- Consultants' final reports
- Listing of monthly document issues
- List of records of retired files/documents sent to the UN archives and lists of disposed records
- Final printed documents related to policy/programme (one copy only) this has to be kept at out office as long as it is current
- Contracts Review Committee records

B. Non-permanent Records:

Office - up to 5 years

Archives - up to 10 years

- Country files on common premises
- Travel files
- Payment of bills (rent, telephone, cables, telexes, maintenance, etc.)
- Files related to the translation/editing
- Records of files requested from the UN archives
- Files related to contracts (other than the CRC records), leases, bids, purchase orders

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C. Non-records:

Office up to 5 years

- Circulars (from UN, UNDP) for distribution.
- Pouch related correspondence and transmittal forms (summary enclosure logs)
- Incoming fax/telex/cable messages
- Request forms for printing
- Magazines, papers.

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1 June 1994

RECORD CATEGORIES
PERSONNEL BRANCH

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A. Permanent Records

Office - up to 5 years.

Archives - permanent.

1. Legal Documents (Headquarters & Field):

-- Minutes of appointment and promotion board/panel

2. Management Documents:

- Consultants personnel files
- Interns' personnel files
- Post classification files
- Personnel manuals
- Circulars
- Management Review Group records
- Field local staff files, PARs (Prof & GS)
- JPOs

B. Non-permanent Records:

Office - up to 5 years

Archives - up to 5 years

- Vacancy folders (of applicants)
- Personnel files after separation (Prof. & GS)

C. Non-records:

Office up to 5 years

- Interviewed candidates files
- Application forms (general)
- Chron

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RECORD CATEGORIES
FINANCE BRANCH

A. Permanent Records

Office - up to 5 years.

Archives - permanent.

1. Legal Documents:

- Trust Funds (by donor government agreements)
- United Nations legal division
- General agreement on financial reporting on audit requirement with UN Executing Agencies and NGOs

2. Management Documents:

- General policies , manuals, guidelines.
- External & Internal audit documents.
- UN Committees (ACABQ, CCAQ, JCGP, GA 5th committee).
- Governing Council (GC decisions; correspondence)

3. Programme/projects documents:

NONE

4. Financial Documents:

- UN organizational units
- UNDP organizational units
- UN specialized agencies
- NGOs
- Biannual Budget (APSS)
- Allotment and revisions and expenditure reports
- Purchase orders
- Agency statements (quarterly and annual)
- Trust Funds (payment records, financial statements and correspondence)
- UNDP treasury monthly accounts
- All executing agencies (UN agencies, NGOs, Governments) Audit reports
- Correspondence with UN missions
- Biennial Financial statements
- Field Office file (by Country)
- Budget & Management Analysis (Headquarters and Field)

5. Training documents (originated by Finance Branch):

- Agenda, list of participants, training material, final reports.

B. Non-permanent Records:

- Office - up to 5 years
- Archives - up to 5 years
- Financial schedules
- UNDP treasury monthly foreign exchange rate
- Travel plans
- Personnel payroll matters
- Branch work plans
- Payment vouchers (vendors, consultants, NGOs)
- Country files (correspondence to RR/CD)
- Final draft documents
- Reports, documents and minutes (Committees)
- Inter office vouchers
- Approval letter by Executing Agencies

C. Non-records:

- Office - up to 5 years
- Vendor profiles
- Papers, magazines, clippings
- Draft documents

RECORD CATEGORIES
RDB

*UZ Mark
6 June*

A. Permanent Records

Office - up to 5 years.

Archives - permanent.

1. Legal Documents:

- Contributions/Pledges
- Contracts/Agreement (with individual donors for multi-bi projects)

2. Management Documents:

- Executive director's statement on pledging conference
- Monthly statements on income and contributions
- Memoranda on annual pledging conference, fund raising, letters to Cds and UNFPA RRs (master copies only with notation of all addressees)
- Audit documents (external and internal)

3. Programme/projects documents:

- Annual submission of multi-bi proposals

4. Financial Documents:

- Payment records both for general resources and multi-bi projects
- Income reports

B. Non-permanent Records:

Office - up to 5 years

Archives - up to 5 years

- Multi-bi project files
- Major donor profiles
- Donor consultation reports
- Mission reports
- Travel documents
- Records other than permanent records

C. Non-records:

Office up to 5 years
-- Papers, magazines, clippings.

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1 June 1994

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Records Manage.

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13/1/94
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Mr. Hirofumi Ando
Deputy Executive Director

Yoh-ok Lee
Chief, Administrative Branch

Records Management

Record Categories: Based on the request of the PPC, attached is our recommendations on the establishment of the record categories in respect of the geographical divisions. These recommendations are based on the submissions provided to us by the Administrative Assistants/Senior Secretaries with the clearance of their respective Geographical Chief/Director and also based on discussions held with them.

To implement a manageable manual record management system, we recommend that we start with the geographical divisions. These offices deal with documents that can be easily categorized and identified by the staff. The bulk of our archives are from these divisions.

Discarding of non-permanent records: Assuming that the attached is acceptable to you, we suggest that a committee be established consisting of one representative (Senior Secretary or Administrative Assistant) from each division to discuss the implementation process. Training sessions should also be conducted by Committee members for the secretaries on how the filing and purging process should be done.

At present, we have 29 secretarial posts in the geographical divisions (LAC-5 posts, Africa-11 posts, Asia-8 posts, DASE-5 posts). Ideally, if we request that each secretary to review one archive box a day or 10 to 20 boxes (depending on the size of the divisions) per week per division, we may be able to reduce our archives boxes which are now stored at the UN and in our premises in a short period of time without authorizing overtime. Based on the boxes we inspected, there are approximately 4-6 project files (upto 10 folders) in a box.

Other Divisions: We shall prepare similar proposals to be submitted to you upon completion of the above-mentioned training sessions. By that time, we will have the feedbacks from the geographical staff.

cc: Ms. Imelda J. M. Henkin ✓

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RECORD CATEGORIES
GEOGRAPHICAL DIVISIONS

A. Permanent Records:

Office - period of country programme cycle - usually 4 - 5 years.

Archives - permanently.

1. Legal Documents:

-- Signed preparatory assistance; letters of agreements for projects between governments (donor governments and UNFPA).

-- Signed project documents (between recipient governments and UNFPA).

2. Management Documents:

-- PRC Documents

-- Gov. Council approved country program documents

3. Programme/projects documents:

-- Project request

-- Signed board reports prepared by Headquarters

-- PRSD reports

-- Mid-term review reports

-- TPR reports

-- Final reports

-- Evaluation reports

-- PC presentation (documents and minutes)

4. Financial Documents:

-- All letters for approval and allocation of funds

-- Approval of budget revisions with related correspondence (i.e. transmission letters from Country Directors to Headquarters, letters of allocation to the executing agencies).

B. Non-permanent Records:

Office up to 5 years
Archives 5 years

- Non-permanent versions and copies
- Cables, faxes, procurement purchase orders, survey reports/field consultancy report
- Non-project files

C. Non-records:

Office up to 5 years

- Newspapers
- Magazine
- Drafts of various reports
- Pamphlets/books

PROGRAMME FILING SYSTEM

CLASSIFICATION OF DOCUMENTS

PERMANENT FILE

I. Country Programme File

- ◆ Country Population Assessment Report (CPA)
- ◆ Executive Board Approved Country Programme Document
- ◆ PRC Documents and PRC Minutes
- ◆ MTR Report and PRC Minutes
- ◆ Country Evaluation Report
- ◆ Country Thematic Evaluation Report
- ◆ Policy Application Review (PAR)
- ◆ Country Audit Report
- ◆ Copy of the Final Status of Country Programme Report (printed from PRMS)

II. Sub-Programme File

- ◆ Appraisal Committee Report of Sub-Programme
- ◆ Sub-Programme Document with Log Frame
- ◆ Summary and approved Sub-Programme Document
- ◆ Annual Review Report
- ◆ Sub-Programme Evaluation Report

III. Component Project File

- ◆ Initial Component Project Document Approved
- ◆ Initial Allocation
- ◆ Supplementary Allocations
- ◆ Budget Revisions
- ◆ Letters of Approval
- ◆ Trust Fund Agreement (if applicable)
- ◆ Cost Sharing Agreement (if applicable)
- ◆ Letter of Agreement
- ◆ Letter of Understanding (for NGO-executed projects only)
- ◆ Component Project Monitoring and Evaluation Reports
- ◆ Annual Report
- ◆ Final Project Report
- ◆ Audit Report

NON-PERMANENT FILE

I. Country Programme

- ◆ General Correspondence
- ◆ CST Mission Reports
- ◆ Mission Reports
- ◆ PRC Minutes (longer version if required) ?
- ◆ Country Visits

II. Sub-Programme File

- ◆ General Correspondence
- ◆ Comments - negotiations between Government / Field Office / Headquarters
- ◆ Appraisal Committee report
- ◆ PRC minutes ?

III. Component Project File

- ◆ General Correspondence
- ◆ General reports, documents
- ◆ Copy of Forms A/B/C/D/E
- ◆ CST Mission Reports