

ACCESSION, APPRAISAL AND DISPOSAL UNIT

On May 15, 1995, I interviewed Cynthia Del Rosario (Accession Officer) to learn about the operations and procedures of Accession, Appraisal and Disposal, a unit of the Archives and Records Management Section (ARMS). Ms. Del Rosario described the step-by-step transfer process beginning with the transfer request and ending with storage at the ARMS facility at 345 Park Avenue South.

Request for Transfer

A United Nations office makes a request for a transfer of their records to Archives through the Accession, Appraisal and Disposal Unit (AAD). The office is asked to complete the Request for Transfer of Records form (see Appendix I), and to certify that they understand the procedures for packing and listing the material to be transferred to storage.

Next, Archives delivers boxes to the requesting office with the United Nations Archives Request for Transfer of Inactive Records form (see Appendix II) and the List of Files form (see Appendix III). A separate set of these forms are completed for each record series. Also included in the package are instructions on how to complete the forms and to pack and transfer the material to Archives.

Packing and Transport

The United Nations office requesting the transfer packs the boxes and prepares the list of files. The Archives is contacted when the packing is completed. Archives then makes an onsite inspection of the boxes. If the records are not properly packed the office is asked to repeat the process. When the boxes are packed according to procedures, the Archives then transports them to storage. Upon arrival, the boxes are inspected and assigned box location numbers.

The Request for Transfer of Records form accompanying the boxes is forwarded to the Accessions Officer. The record series noted on the request form is first documented in the Accession Log (See Appendix IV) and given a number. The number is also noted on the request form.

The request form is reviewed for accuracy -- record series descriptions, dates, and number of boxes -- and for any changes due to office restructuring and staff reassignments. The transfer form is also checked against the List of Files form.

When offices have been restructured or renamed, research is conducted to determine the name of the predecessor office for records retention period consistency. This can be done by contacting the preparer of the transfer form, researching the United Nations Telephone Directory, reviewing existing records retention schedules and subject classification plans, and, searching the Archives Data Base System for similar records

accessioned in the past. If a match cannot be made, the Accessions Officer assigns a retention period to the record series which is reviewed and approved by the Chief of the Archives Section.

#### Data Entry

After data is verified and the records retention period assigned, data from the transfer form is entered into the Archives Data Base System. First, into the Responsible Official Table (see Appendix V), then the Series and Disposal Table (see Appendix VI).

An Archives Accession Control form (see Appendix VII) is generated and sent to the applicable office for future reference and retrieval purposes.

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**ARCHIVES AND RECORDS MANAGEMENT SECTION**  
**ACCESSION, APPRAISAL AND DISPOSAL UNIT**

**REQUEST FOR TRANSFER OF RECORDS**

DATE: \_\_\_\_\_

1. **NAME:** \_\_\_\_\_

**EXT.:** \_\_\_\_\_

**ROOM NO.:** \_\_\_\_\_

**DEPT.:** \_\_\_\_\_

**SECTION:** \_\_\_\_\_

2. **REASON FOR TRANSFER:**

a) **Retirement of staff member**

b) **Obligatory transfer**

c) **Moving**

d) **Other**

3. **AMOUNT OF RECORDS:**

**NUMBER OF BOXES REQUESTED:**

4. **TYPE OF MATERIAL:**

5. **CONTACT:**

6. **DATE OF COMPLETION:**

I fully understand the procedure of packing and listing the material as explained to me by archives staff member.

Signature: \_\_\_\_\_

Date: \_\_\_\_\_

UNITED NATIONS ARCHIVES

REQUEST FOR TRANSFER OF INACTIVE RECORDS

See reverse side for instructions to complete form. Please type.

To: Archives Unit Room PK-1200 345 Park Avenue South New York, NY 10010	Ext. 3.8688 Fax 3.8686	From: (Responsible Official)
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1. Records belong to: Dept.:	Office/Division:	Section:	Unit:
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2. Location (Building & Room No.):	3. Creating Office (If different from 1)
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4. Records Series Description:

Detailed List Attached?     Yes                       No

5. Inclusive Dates:	6. Number of Boxes:
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7. Filing Method:

8. Series Finding Aids? Identify:

9a. Classification Status: <input type="checkbox"/> Unclassified <input type="checkbox"/> Classified	9b. Classification Level: <input type="checkbox"/> Strictly Confidential <input type="checkbox"/> Confidential
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9c. Other Restrictions? Define:

10. Extent of Duplication:	11. File Breaks? <input type="checkbox"/> Yes - When? <input type="checkbox"/> No
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12. Nature and Frequency of Use (per month):

13. Rate of Accumulation:	14. How often are these records retired?
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15. To be retained for how many years? (Not applicable to records on a disposal schedule)

16. Remarks (If any):

17. Prepared by:

(Name)	(Title)	(Ext.)	Date: _____
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For Archives Use Only:

Transfer Date:	Linear Feet:	Temporary Location:	Accession No.

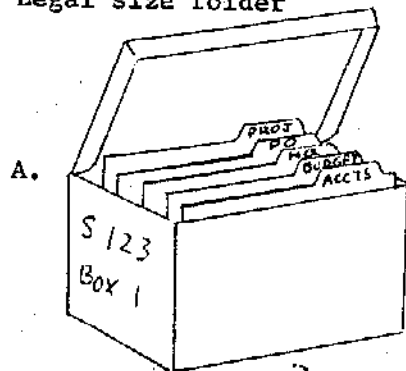
## INSTRUCTIONS

3. Creating Office. Give the name of the office that maintained the records if other than the current name of your office, e.g., in the case of reorganizations.
4. Records Series Description. A "series" is a group of records distinct from other records because it (a) is arranged in a serial order, such as chronological, alphabetical, or numerical; (b) contains the same record type, such as contracts, vouchers, etc.; or, (c) if not segregable on the basis of arrangement or type, it relates to an activity. The description should identify the record type (e.g. correspondence, memoranda, reports, summaries, etc.) and other characteristics which distinguish this series from others (e.g. its administrative origin, functions, and/or subject matter).  
  
Unless the series is of uniform record type and arranged in a consistent pattern, purchase vouchers arranged alphabetically by name or company, for example, you must submit a series file list.
7. Filing Method. Examples are: arranged alphabetically by subject, or, arranged numerically by case number and thereunder chronologically, etc.
8. Series Finding Aids. Any retrieval system devised by your office that facilitates the use of this series; for example, a card index arranged alphabetically that provides file numbers to documents arranged numerically.
10. Extent of Duplication. Is there duplication within this series? Do records in this series duplicate other records created by your office? Do they duplicate records maintained in other offices? If so, how does the duplication occur, and how extensive is it?
11. File Breaks. Termination of a file at regular intervals in order to facilitate continuous disposal or transfer of the series.
13. Rate of Accumulation. Amount of records added to this series per year.
18. Packing. Pack records to be transferred in boxes provided by the Archives Section. Please call Ext. 8688, or 8689, to obtain these boxes. When ready for transfer, the boxes should be numbered consecutively, with a copy of the series file list in the first box.

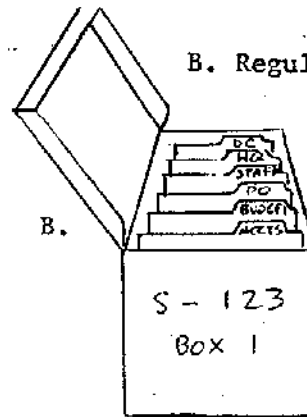
## INSTRUCTIONS FOR TRANSFER OF RECORDS TO ARCHIVES AND RECORDS MANAGEMENT SECTION

1. Fill out the "Request for Transfer of Inactive Records" and if necessary, the "List of Files". The request should be signed by the responsible official. Separate set of forms should be submitted for each records series being transferred. All the files in a box should be of the same series and be retained for the same length of time. For help in identifying series, please contact the Records Management Unit at 3. 5912.
2. On the form provided, list the files according to your office's filing method, such as alphabetically by subject; numerically by file number; chronologically by date; etc. If your office has a file plan based on function, activity or subject, it is not necessary to list the files; instead, attach a copy of the plan to the request. Put misplaced files in the correct sequence to conform with the existing filing method or file plan.
3. Write in the appropriate column on the list the box number where the file can be found; period covered by the file, for example 1986-89; and file number if on a numerical system.
4. Arrange the files in the boxes provided in the order they are listed. The first file on the list should be the first file in box number one. Please note that a box holds one linear foot of paper records placed horizontally in it.
5. When transferring two or more records series, number the boxes in each series consecutively. Write the box number and your room number on the two sides of the box as shown below.

A. Legal size folder



B. Regular size folder



6. Return the completed forms to Archives. Room No. PK-1200.
7. A staff member from the Archives will check the boxes for conformity with the instructions and have them removed from your office as soon as possible.
8. For the necessary forms, boxes or additional information, call the Accession, Appraisal and Disposal Unit at 3.8688 or 3.8689.

ARCHIVES TRANSFER - LIST OF FILES

Date \_\_\_\_\_

Box No.	Period	File No.	A N N O T A T I O N S	Dispose

# ARCHIVES ACCESSION LOG

Acc. # 1995	Originating Office	Records Description	H.B.
0190			
0191			
0192			
0193			
0194			
0195			
0196			
0197			
0198			
0199			
0200			
0201			
0202			
0203			
0204			
0205			
0206			
0207			
0208			
0209			
0210			
0211			
0212			
0213			
0214			
0215			
0216			



Query Responsible Official

? = any value ; = or : = range See 'Help' for Instructions

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- 2A Accession Number: ?.....
- 1A AG: ?.....
- Office of Origin: ?.....
- Responsible Official: ?.....
- Room No: ?.....
- Phone: ?.....
- Records Class: ?.....
- Data Entry by: ?.....
- Data Entry Date: ?.....

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Enter) List

15) Output / Help  
16) Return

- 1) Sort-Select
- 4) Clear / All
- 5) Or / Not
- 6) Add

Query Series and Disposal Table

? = any value                   ; = or                   : = range                   See 'Help' for Instructions  
\*\*\*\*\*  
.. Accession Number:                   ?.....  
.. AG:                                   ?.....  
.. Series Description\*: ?.....  
.. Series Identification:               ?.....  
.. Accession Date:                      ?.....  
.. Review for Disposal Date:            ?.....  
.. Disposal Date:                       ?.....  
.. Disposal Completed:                  ?.....  
.. Note on Disposition\*: ?.....  
.. Finding Aid AG Symbol:               ?.....  
.. Fl:                                   ?.....  
.. General Location:                    ?.....  
.. Linear Feet:                         ?.....  
\*\*\*\*\*

- Enter) List                   1) Sort-Select
- 3) Down                       6) Add                                   15) Output / Help  
4) Clear / All               8) Delete                               16) Return  
5) Or / Not                   9) Modify

UNITED NATIONS  
INTEROFFICE MEMORANDUM



NATIONS UNIES  
MEMORANDUM INTERIEUR

VI

TO:  
A:

DATE: \_\_\_\_\_

THROUGH:  
S/C DE:

REFERENCE: \_\_\_\_\_

FROM:  
DE:

Robert Liao, Administrative Assistant  
Archives Unit/ARMS/CAS/SS/DCSS

SUBJECT:  
OBJET:

Archives accession control form pertaining to your records.

1. The attached archives accession control form identifies the records you had transferred to us.
2. Please keep it on file so that you can give us the necessary information when you request for a file in the future.
3. If you have any questions, please call ext. 3-8688/3-8689.