

DRAFT 2008-10-25

DPA RECORDS RETENTION SCHEDULE

The following dispositions are based on extant paper files in DPA offices. The dispositions are for series of records, not for individual items.

The first section provides guidance for records found in many DPA units. In some units, an alternate disposition of those records is needed because of the particular circumstances of that office; these dispositions are found in the second section, records specific to individual DPA offices. A disposition in the second section takes priority over the disposition of the general type of records found in the first section. The second section also has dispositions for series of records that are unique to an office.

Records common to many DPA offices

Schedule number and series name	Description	Retention in office	Disposition	Notes
1. Country files, regional files	Cables, notes, correspondence, talking points, background briefs, profiles and general information about countries and regions filed by country or region	USG, ASG: B+2B ¹ All other units: B+2B	USG, ASG: <u>Permanent</u> . Transfer to A ² All other units: <u>Permanent</u> . RC 7B, transfer to A	Supersedes RCUN 110
2. Subject files	Correspondence, reports, memos, and related materials arranged by subject or function, excluding administrative subjects	USG, ASG: B+2B All other units: B+2B	USG, ASG, units with closed subject files: <u>Permanent</u> . Transfer to A All other units: <u>Permanent</u> . RC 7B, transfer to A	Supersedes RCUN 136; administrative subjects filed among a Subject File should be destroyed in accordance with the appropriate RCUN
3. Code cables, Outgoing	Code cables originating in DPA	OUSG: B+1B All other units: Retain while needed to conduct business	OUSG: <u>Permanent</u> . Transfer to A All other units: D ³ in office	Does not cover code cables maintained within country files, which are <u>Permanent</u>
4. Code cables, Incoming from DPA-led missions	Code cables originating in DPA-led missions	OUSG: B+1B All other units: Retain while needed to conduct business	OUSG: <u>Permanent</u> . Transfer to A All other units: D in office	Does not cover code cables maintained within country files, which are <u>Permanent</u>

¹ B = Biennium; for example, B+2B means hold to end of biennium in which the record was created plus hold two more full biennia.

² RC=Records Center; A=Archives. For example, the disposition for “all other units” of “Permanent. RC 7B, Transfer A” means that the series is permanent, that after the records are no longer retained in the office, the records will be held in the records center under control of DPA for 14 years (7 biennia) and then transferred to the Archives when they are approximately 20 years old (4 to 6 years in the office and 14 years in the records center)

³ D = Destroy

5. Code cables, Incoming and outgoing	Code cables originating in DPA or DPA-led missions or other UN entities and interfiled	Retain while needed to conduct business	Destroy in office	Does not cover code cables maintained within country files, which are <u>Permanent</u>
6. Chronological files (incoming, outgoing, or incoming and outgoing)	Copies of outgoing and incoming correspondence, memos, code cables, faxes, arranged chronologically for quick reference	B+2B	If the official record copy of substantive actions and transactions: <u>Permanent</u> . RC 7B, Transfer to A If not the record copy: D	If record copy, supercedes RCUN 104. Covers both confidential and general chronological files
7. Files on meetings, seminars, conferences organized by DPA	Meeting notices, agendas, papers, notes, minutes, memoranda of action	Unit responsible: B+2B All other units: Retain while needed to conduct business	Unit responsible: <u>Permanent</u> . Transfer to A All other units: D	Supercedes RCUN 118 and 119; administrative files among a Meeting File should be destroyed in accordance with the appropriate RCUN; for files on participation where DPA is not the organizer, apply RCUN 105
8. Notes of USG meetings	Proceedings of meetings, including names of persons present, topics discussed, and official actions taken, drafts, initial notes	Final minutes: USG: B+2B Final, All other units: Retain while needed to conduct business Drafts: Retain while needed to conduct business	Final minutes: USG: <u>Permanent</u> . Transfer to A; All other units: D Drafts: D Initial notes: D	Does not cover copies of notes maintained within country files, which are <u>Permanent</u>

		Initial notes: Retain until minutes approved		
9. Notes of SG meetings	Proceedings of meetings, including names of persons present, topics discussed, and official actions taken, draft, initial notes	Final minutes: USG: B Final, All other units: Retain while needed to conduct business Drafts: Retain while needed to conduct business Initial notes: Retain until minutes approved	D	Does not cover copies of notes (draft or final) maintained within country files, which are <u>Permanent</u>

Records specific to individual DPA offices

Policy Planning Unit (PPU/MSU)

<p>10. SG's High Level Meetings files</p>	<p>Substantive and administrative records of 7 meetings, 1994-2006, with regional organizations; includes audio tapes of meetings</p>	<p>Until current assessment is completed</p>	<p>Substantive records: <u>Permanent</u>; transfer to A when assessment completed (if no further meetings anticipated) or hold most recent meeting file and transfer all others (if additional meetings anticipated) Administrative records: D in accordance with appropriate RCUN Audio tapes: Destroy when minutes approved</p>	<p>Does not cover copies of notes (draft or final) maintained within country files, which are <u>Permanent</u></p>
<p>11. Policy Committee records</p>	<p>Documentation relating to the meetings of the SG's Policy Committee</p>	<p>B+2B</p>	<p>D</p>	<p>Duplicate reference material</p>
<p>12. Executive Committee on Peace and Security meeting files</p>	<p>Substantive and administrative records of ECPS meetings, for which PPU is the office of record</p>	<p>B+2B</p>	<p>Substantive records: <u>Permanent</u>. RC 2B; transfer to A Administrative records: D in accordance with appropriate RCUN</p>	

Electoral Assistance Division (EAD)

13. Electoral projects files	Project plans, reports, correspondence, policy and technical papers, speeches relating to EAD involvement in the electoral process; arranged by country	B+1B or until key documents are scanned, whichever is later	<u>Permanent.</u> Transfer to A	Part of the Institutional Memory Project of EAD
14. Roster files	CVs and PHPs of electoral experts and consultants	Until expert is no longer active	D	
15. Subject files	Records of policy formation and recurrent topics, such as certification, electoral observation, democracy promotion; correspondence with internal and external partners	B+1B or until key documents are scanned, whichever is later	<u>Permanent.</u> Transfer to A	Part of the Institutional Memory Project of EAD

Europe and Americas Division (AED)

16. Key country, key region files	Files of key countries (for example, Colombia, Haiti) where the Division has recurring issues that predate 5 years and files on continuing relations with EU, OSCE, OAS, and CARICOM	B+5B	<u>Permanent.</u> RC 5B, transfer to A	Approximately 8 country files fall within this category
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East Asia and West Asia Divisions (APD)

17. Mission files	Documents pertaining to mission mandate, including talking points, correspondence, meeting notes, background briefs, cables, profiles	B+2B	<u>Permanent.</u> RC 5B, transfer to A	
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Division for Palestinian Rights (DPR)

18. Correspondence files	Correspondence with Member States, organizations, agencies and other UN offices	B+2B	<u>Permanent.</u> RC 5B, transfer to A	
19. Chief's correspondence files	Subject files of sensitive topics dating from 1970s to present; continue to interfile	While needed to conduct business or 10B, whichever is later	<u>Permanent.</u> Transfer to A	
20. NGO files	Records pertaining to individual NGOs, applications for accreditation, background materials	Retain until superceded or obsolete	D	
21. Preparatory Committee, ICOP files	Records, correspondence, summaries pertaining to meetings of CEIRPP acting as PrepCom for ICQP and of ICQP, 1976-1983	None; obsolete	<u>Permanent.</u> Transfer to A	These are files of office of record
22. Working group files	Records of meetings dealing with the preparation of the program of work, report of Committee to the GA, minutes, 1981-1995	None; obsolete	<u>Permanent.</u> Transfer to A	
23. Committee meeting files	Records of planning and facilitation of committee meetings, summaries of proceedings, 1976-2008	While needed to conduct business or 10B, whichever is later	<u>Permanent.</u> Transfer to A	
24. Bureau meeting files	Summaries of proceedings, decisions of the Bureau, 1984-2008	While needed to conduct business of 10B, whichever is later	<u>Permanent.</u> Transfer to A	
25. International meeting files	Invitations and logistics, programs, messages, statements, final documents, notes for chair,	B+4B	Invitations and administrative files: D Substantive files: <u>Permanent.</u>	

	biographical information, press releases, list of participants		Transfer to A	
26. Report files	Technical records, such as formats to be used for reporting, regarding the program of work and reports of the Committee to the GA	B+4B	D	
27. Palestinian Authority staff training program	GA mandated program of training; 2 or 3 persons per year; curriculum, study or paper produced; filed by year and thereunder by name of trainee	B+2B	<u>Permanent</u> . Transfer to A	
28. Solidarity Day and exhibition files	GA mandated commemoration, began 1978; correspondence with permanent missions, SG and OLA; list of participants; submissions to exhibits committee and photos of exhibits; administrative records	B+2B	Substantive files: <u>Permanent</u> . Transfer to A Administrative files: D	

Decolonization Unit

29. Decolonization regional seminar files	Regional seminar rotates annually between Asia and Caribbean; agenda, reports, program of work, SG message, press releases, discussion papers, conference room papers (latter 2 not included in Official Documents report of seminar); administrative records	B+3B	Substantive files: <u>Permanent</u> . Transfer to A Administrative files: D	
30. Research reports and resolutions	Case studies (West Papua, Namibia), research reports, country files (Greenland, French Polynesia, Faroe Islands), draft resolutions	After study completed, B+3B	<u>Permanent</u> . RC 4B, transfer to A	
31. Records relating to the Special Committee	Statements, notes to the chair, outside speeches, historical reports (1969-1996)	B+3B	<u>Permanent</u> . RC 4B, transfer to A	
32. Records relating to the Fourth Committee on Decolonization	Statements, notes to the chair, outside speeches	B+3B	<u>Permanent</u> . RC 4B, transfer to A	
33. Territorial files	Mission records, work program, correspondence regarding listed territories, territories that have graduated, and other areas	B+3B	Current territories: <u>Permanent</u> . RC 4B, transfer to A Graduated territories: <u>Permanent</u> . Transfer to A Other areas: <u>Permanent</u> . RC 4B, transfer to A	

Assistant Secretary General II

34. UN Liaison Office with the African Union files	Correspondence, incoming and outgoing code cables, travel orders	B+2B	<u>Permanent.</u> RC 5B, transfer to A	
35. Confidential files, chronological	Confidential documents; does not include code cables	B+2B	<u>Permanent.</u> RC 5B, transfer to A	
36. Confidential files, subject	Confidential documents; does not include code cables, filed by topic	B+2B	<u>Permanent.</u> RC 5B, transfer to A	

Africa II

37. Mission files	Documents pertaining to mission mandate, including talking points, correspondence, meeting notes, background briefs, cables, profiles	B+2B	<u>Permanent.</u> RC 5B, transfer to A	
38. Director's issues file	Documents on topics and countries of special interest to the director; includes some administrative matters	B+2B	Substantive files: <u>Permanent.</u> RC 5B, transfer to A Administrative files: D in accordance with relevant RCUN	

Security Council Subsidiary Organs Branch

39. Committee, working group and expert group files	Documents circulated to members, summary records of meetings, notes verbale, press releases, evidence collected by experts, correspondence	Termination or end of mandate of entity + B	<u>Permanent.</u> RC 3B, transfer to A	
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Security Council Practices and Charter Research Branch

40. Research inquiries	Inquiries, responses, and background material to the response	B + 2B	D	
41. Records regarding relations with regional organizations	Correspondence, background information on framework for cooperation with UN-AU, AU, and OIC training	B + 2B	D	
42. Repertoire file	Correspondence, guidelines, monthly reports, publication matters, research material for publication of Repertoire	B + 2B	D	
43. Repertory file	DPA position papers on repertory, drafting guidelines, Repertory/Repertoire comparison table	B + 2B	D	
44. Rule of law files	Reference material on mandate, ROLIX project	While needed to conduct business or B + 2B, whichever is longer	D	OUSG is office of record
45. Security Council reform files	Correspondence and reference materials on the OEWG on Security Council reform	B + 2B	<u>Permanent.</u> Transfer to A	
46. Security Council new member files	Materials for familiarization sessions for new Security Council members, coverage of contemporary practice	While needed to conduct business or B + 2B, whichever is longer	D	

Security Council Secretariat Branch

47. S documents	Master set of Security Council numbered documents in number order	B + 1B	Transfer to A	Electronic index to S documents exists
48. Informal transmittal files	Documents circulated to Security Council members with a Secretariat number, of two types (1) documents that never become an official document and (2) documents that eventually get an official document number; filed chronologically	B + 1B	Transfer to A	Originals are scanned
49. Incoming letters not from members	Correspondence from individuals and groups; filed chronologically. Copies may be forwarded to pertinent UN offices; list of documents published once a year	While needed to conduct UN business	Transfer to A	
50. Reference copies, SG reports to the Security Council and Security Council reports to GA	Copies of published S and A documents	While needed to conduct UN business	D	
51. Security Council resolutions	Final resolutions; includes some copies of “blue” provisional resolutions	B + 1B	Transfer to A	Electronic copy of final resolutions exists
52. Agendas and Programmes of Work	Monthly “Forecasts” of monthly programme of work for the Security Council, adopted monthly programme of work, daily “forecast” for each day that the Security Council meets	B + 1B	Daily programmes: D Monthly programmes: Transfer to A	
53. Minutes of open	Published verbatim transcript in 6	While needed to	Published transcripts: D	Official Documents

meetings of the SC	official languages, filed chronologically; audio tapes of sessions	conduct UN business	Audio tapes: D when transcripts approved	has master set of transcripts; this copy is reference material for the Branch
54. Minutes of closed meetings of the SC	Unpublished verbatim transcripts in 6 official languages, filed chronologically from 1946 to present; public communiqués of closed meetings, filed chronologically; audio tapes of sessions	While needed to conduct UN business	Transcripts and related public communiqués: <u>Permanent</u> . Transfer to A Audio tapes: Hold for appraisal by ARMS to determine the completeness of the transcript and historical importance of the audio	Although communiqués are part of Official Documents, it is useful to maintain them with the related closed minutes
55. SC meeting facilitation records	President's procedural brief, filed by meeting number and date; summary of meeting for journal, filed by meeting and date; inscription letters filed by meeting and date	B + 1B	<u>Permanent</u> . Transfer to A	Inscription letters may be retired to A in advance of B + 1B if voluminous
56. Consultations records	"Activities reports" of closed meetings among members; meetings are not audio recorded; confidential; filed chronologically	While needed to conduct UN business	<u>Permanent</u> . Transfer to A	
57. Informal meeting facilitation records	Calendars and facilitative records of meetings of SC members with international organizations, regional organizations, NGOs, and other external bodies (ARRIA formula); minutes are not kept, but a list with date, attendees, and topics discussed is filed chronologically	While needed to conduct UN business	<u>Permanent</u> . Transfer to A	Electronic copy of list of attendees and topics exists
58. Credentials file	Originals of credentials presented by member states to the Secretary	B + 1B	<u>Permanent</u> . Transfer to A	

	Generals; maintained by country and thereunder chronologically			
59. Records of working groups	Records of ad hoc working groups created by the Security Council	Termination of working group + 2 B or while needed for UN business, whichever is later	<u>Permanent.</u> Transfer to A	Only 2 very small bodies of records at present
60. Records of committees	Records of the Admission Committee, the Committee of Experts on Rules of Procedure, and Committee on Meetings away from Headquarters	Admission Committee: No retention in office Rules and Meetings Away Committees: While needed for UN business	<u>Permanent.</u> Transfer to A	Admission Committee can be transferred to A now
61. Records relating to subsidiary bodies	Correspondence and background information relating to UNSCOM, UNIKOM, ICJ, and ICTR	None; obsolete	<u>Permanent.</u> Transfer to A	
62. Notes verbale	Protocols sent to all members on diplomatic relations	While needed for UN business	D	Duplicate copy preserved for convenience of reference
63. Records of Security Council retreats	Agendas, supporting material, administrative records	B + 1B	Substantive records: <u>Permanent.</u> Transfer to A Administrative records: D	One confidential file in division director's office
64. Records of Security Council missions	Agendas, supporting material, administrative records	B + 1B	Substantive records: <u>Permanent.</u> Transfer to A Administrative records: D	
65. Notes for the file	Memoranda on topics; precedents	While needed for UN business	<u>Permanent.</u> Transfer to A	
66. Seizure statements	Information sent as informal transmittals	B + 2B	<u>Permanent.</u> Transfer to A	