

Taxonomy for Recordkeeping in Field Missions of UN Peacekeeping Operations

User Guide

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1 Introduction to the *Taxonomy*

1.1 What is the *Taxonomy for Recordkeeping in Field Missions of UN Peacekeeping Operations*?

The *Taxonomy for Recordkeeping in Field Missions of UN Peacekeeping Operations* is a taxonomy for recordkeeping which has been developed for use in all UN peacekeeping missions.

A taxonomy for recordkeeping is an intellectual structure for classifying records into a hierarchy of categories and subcategories according to predetermined rules. It has three main purposes:

1. to enable individuals to organize records that they create or receive in the course of their work in a logical and consistent way
2. to enable individuals to find records that they and others have created or received by 'navigating' through the hierarchy of categories in the taxonomy
3. to enable the organization to implement its records management policies (e.g. on retention of records) by linking records management actions to categories in the taxonomy.

The terms *taxonomy* and *classification scheme* are often used interchangeably and, for all practical purposes, they are synonymous. A *taxonomy for recordkeeping* is also commonly referred to as a *records classification scheme*. However, the UN has decided to use the term *taxonomy for recordkeeping* to avoid any possible confusion with its system for security classification of documents.

The terms *taxonomy* and *thesaurus* are also often used interchangeably. In fact, a taxonomy and a thesaurus are completely different tools for completely different purposes.

- A taxonomy is an intellectual structure for classifying material into categories according to predetermined rules. The structure is usually hierarchical, with the top level containing the broadest categories and the lower levels becoming increasingly specific.
- A thesaurus is a controlled vocabulary of words and phrases which indicates preferred terms between synonyms and relationships (e.g. 'broader', 'narrower') between terms.

A thesaurus is a very valuable tool in developing and using a taxonomy. A controlled vocabulary helps people classifying records to do so accurately and consistently, and it helps people searching for records to navigate the classification hierarchy. However, a thesaurus is not, in itself, a taxonomy.

1.2 Why has the *Taxonomy* been developed?

The *Taxonomy* has been developed to establish a consistent approach to classifying records in field missions of UN peacekeeping operations.

The *Taxonomy* is based on an analysis of the functions and activities of field missions. It enables consistent classification of the records generated by these functions and activities in all missions irrespective of:

- the mandates under which they operate
- their organizational structures
- the media and formats in which their records are held.

When applied, the *Taxonomy* will make it easier for field missions to comply with UN records management policies and it will deliver practical benefits for both mission staff and the UN as a whole by:

- improving intellectual control of mission records
- improving access to mission records, and to the information they contain, by mission staff and others
- reducing the costs of mission recordkeeping

The *Taxonomy* is one of a suite of recordkeeping tools being developed to establish consistent recordkeeping practices within and across field missions.

1.3 Who is responsible for the *Taxonomy*?

The UN Archives and Records Management Section (ARMS) is responsible for the *Taxonomy*. ARMS will coordinate periodic reviews of the *Taxonomy* to ensure that it remains up to date.

The *Taxonomy* is one of a number of taxonomies and thesauri which support the implementation of the UN's Enterprise Content Management (ECM) system. ARMS will work with the teams responsible for the other tools to coordinate ongoing developments.

1.4 How should the *Taxonomy* be applied?

The *Taxonomy* has been developed for use in field missions of UN peacekeeping operations. It is one of a suite of recordkeeping tools being developed to establish consistent recordkeeping practices within and across missions. It should be applied in every mission irrespective of:

- its mandate
- its organizational structure
- the medium and format of its records.

Because the *Taxonomy* is based on an analysis of the functions and activities of field missions, it is not suitable for use by any other UN departments or agencies.

2 Content of the *Taxonomy*

The *Taxonomy* consists of a Classification Structure of categories and sub-categories. It also includes Scope Notes which define the categories.

2.1 Classification Structure

The Classification Structure is a hierarchy of categories and subcategories reflecting the *functions* and *activities* of a field mission.

- Functions are the major responsibilities that are managed in a mission to fulfil its mandate and its responsibilities to its stakeholders.
- Activities are the things that are done in a mission to accomplish each of its functions.

The Classification Structure is organised into three broad sections:

- Field Operations
- Field Mission Management
- Field Mission Support

Within each section, there are two levels in the hierarchy.

1. Level 1 – the top level, representing functions carried out in, or in support of, a field mission
2. Level 2 – the second level, representing activities carried out to fulfil the functions

In the Field Mission Management and Field Mission Support sections, there is a third level in the hierarchy for some functions.

3. Level 3 – the third level, representing smaller units of activity, steps in a process or groups of transactions

2.1.1 Level 1 – Functions

There are 42 categories in Level 1 of the Classification Structure, representing functions carried out in, or in support of, a field mission. A list of the Level 1 categories is in Annex A.

2.1.2 Level 2 – Activities

Within each Level 1 category representing a function, there are two or more Level 2 categories, representing activities carried out to fulfil the function. A list of the Level 1 categories with their associated Level 2 categories is in Annex B.

2.1.3 Common categories

There are eight Level 2 categories representing activities which are common to every function. A list of these common categories is in Annex C.

2.2 Scope Notes

There is a Scope Note for each category in the Classification Structure which defines the category and provides cross-references to other categories.

3 Use of the *Taxonomy*

A taxonomy for recordkeeping is a framework for classifying records. It is the starting point for developing other recordkeeping tools such as file plans and retention schedules, and it can also be used to support decision-making on a range of recordkeeping issues such as:

- selecting records storage facilities
- designing records destruction procedures
- identifying and protecting vital records
- providing (or withholding) access to records.

This *Taxonomy* will be used:

- **in field missions** primarily as the starting point for the development and implementation of mission file plans
- **by the UN Archives and Records Management Section** as a starting point for developing other generic recordkeeping tools for field missions (e.g. the *Peacekeeping Operations Retention Schedule*) and also to support their own work on, for example, selecting mission records for permanent preservation in the UN Archives.

The remainder of this User Guide focuses on using the *Taxonomy* in field missions as a starting point for developing and implementing mission file plans.

4 Use of the *Taxonomy* in Field Missions

The *Taxonomy* will be used in different ways by field missions at different stages of the mission lifecycle.

In an established mission, where a mission file plan has already been developed and implemented, the *Taxonomy* should be used as a benchmark to review, improve and support this existing file plan. This will help the mission to comply with other UN records management policies.

However, in a new mission, or in a recently-established mission which has not yet developed a file plan, the *Taxonomy* **must** be used as the starting point for developing the mission file plan. This will enable those responsible to develop the file plan quickly, without needing to 'reinvent the wheel' or to adapt file plans from other missions which might not be appropriate. More importantly, it will make it easier for the mission to comply with UN records management policies from the outset and to realise the practical benefits for both mission staff and the UN as a whole by:

- improving intellectual control of mission records
- improving access to mission records
- reducing costs of mission recordkeeping.

4.1 Improving intellectual control of mission records

Any taxonomy for recordkeeping improves intellectual control of records by enabling all records to be classified according to a single scheme, regardless of their origin or their medium.

This *Taxonomy* delivers additional benefits because its classification structure is based on mission functions and activities. This structure ensures that records relating to a particular function or activity, wherever they originate in the mission, are classified together. This preserves the audit trails of decisions made and actions taken which are essential to ensure compliance and demonstrate accountability. From a practical perspective, it will be much easier to assemble records which are needed to conduct or cooperate with audits, investigations or legal proceedings.

4.2 Improving access to mission records

Any taxonomy for recordkeeping improves access to records by providing a single point of access to all records, regardless of their origin or physical form.

This *Taxonomy* delivers additional benefits because it is based on mission functions and activities, and uses controlled terminology to describe them. All mission staff understand the mission functions and activities they deal with and, because the classification structure brings together all the records relating to a particular function or activity (as described in 4.1 above), staff can be confident that what they find in the file plan represents all the official records that the mission holds relating to the matter in hand.

4.3 Reducing the costs of mission recordkeeping

Any taxonomy for recordkeeping reduces the time and costs involved in maintaining records. Classifying all records according to a single scheme reduces the need for duplication, and therefore the costs of producing and storing duplicate records. Providing a single point of access to all records reduces the time needed to search for records and to recreate records which cannot be found.

This *Taxonomy* delivers additional benefits because it is based on mission functions and activities. First, functions and activities do not change over time so records will not need to be reorganized if the mission's structure is reorganized. Secondly, and more importantly, a retention period can be allocated to each classification category in a file plan based on functions and activities. This retention period can then be routinely applied to all records classified in that category, eliminating both the need for time-consuming review and weeding of individual files, and the risk that records might either be prematurely destroyed or retained for longer than is necessary. The retention periods to be applied to mission file plans will be those in the *Peacekeeping Operations Retention Schedule*. This *Schedule* is also based on field mission functions and activities and its structure is similar to that of the *Taxonomy*. A comparison of the *Taxonomy* and *Schedule* structures is in Annex F.

4.4 Using the *Taxonomy* to develop a mission file plan

The *Taxonomy* provides a starting point for developing a mission file plan.

Developing a mission file plan involves:

1. identifying the records which are held by the mission
2. establishing the top two levels of the file plan by selecting the relevant categories from the *Taxonomy*
3. extending the file plan hierarchy
4. determining the arrangement of the records
5. devising file codes for the categories in the file plan and for individual files
6. documenting the file plan
7. making the file plan available to mission staff
8. maintaining the file plan.

Each step in the process is described in more detail in the following sections.

4.4.1 Identifying the records which are held by the mission

The first step is locating and identifying all the records which are held by the mission. This involves conducting a survey to collect information about the records held in all mission facilities and compiling this information into a records inventory.

The survey must cover all active records, regardless of their medium or format, security classification or physical location. Records should be grouped into record series. A record series is the basic unit for organizing and controlling records. It is a group of records that are kept together because they relate to a particular topic or case, or result from the same activity. A record series might consist of one or many records and these might be paper or electronic documents or files, or records in any other medium or format (e.g. maps, plans, photographs, artwork, audio and video recordings). One record series might contain records in many different media and formats. Examples of record series include:

- press releases
- personnel files
- situation reports
- supplier contracts
- minutes and papers of a particular committee
- training materials for UN training courses
- engineering project files.

The survey can be conducted either:

- by physically inspecting the records held in every mission office, storage area and computer system to collect the required information

This is the most effective approach but it can be very time-consuming in a large mission.

- by asking mission staff to provide the required information about the records they hold.

This is a less time-consuming method but it is often less effective. Staff might not complete the forms at all, or they might not do so accurately or in sufficient detail. It might still be necessary to physically inspect the records in some areas.

Whichever method is used, it is essential to inform all mission staff in advance that a survey of records is going to be conducted, why it is necessary and what, if anything, they need to do. It is also essential to plan the survey carefully, to make sure that it can be carried out as quickly as possible with minimal disruption to normal work.

A standard document should be used to capture the required data. This can be a simple form if the survey is to be conducted by one person (or a small group) physically inspecting records, but a questionnaire will be more suitable if the survey is to be conducted by asking mission staff to provide information. As a minimum, the following information is required for each record series:

- the title of the series
- a description of the series: what types of records it includes (including the medium and format of the records) and what information they contain
- a description of the purpose of the records: why they are created or received, and by whom; how they are used, and by whom
- the name of the unit which is responsible for maintaining the records.

ARMS can provide detailed guidance on conducting surveys and survey forms which can be adapted for local use.

4.4.2 Establishing the top two levels of the file plan hierarchy

The second step is establishing the top two levels of the file plan hierarchy by selecting relevant categories from the top two levels of the *Taxonomy*. This involves classifying all the record series identified by the survey into the *Taxonomy* categories and then extracting the categories which are relevant to the mission (i.e. those which are needed to classify the mission's records).

Note: Some record series should not be classified. Guidance on this is given in Annex E.

Each record series should first be classified into a Level 1 category in the *Taxonomy*. This will identify the Level 1 categories which are relevant to the mission and these should be extracted to form the top level of the mission's file plan.

Each record series should then be classified into a Level 2 category in the *Taxonomy*. This will identify the Level 2 categories which are relevant to the mission and these should be extracted to form the second level of the mission's file plan.

The top two levels of the file plan hierarchy **must** be taken from the *Taxonomy*. ARMS can provide advice and assistance if it is not clear how to classify a record series at Level 1 or Level 2 of the *Taxonomy*.

4.4.3 Extending the file plan hierarchy

The next step is extending the file plan hierarchy to three or more levels. This involves assessing where lower-level categories are needed to make it easy to organize and find records, and defining these categories.

If a second-level category in the mission file plan contains a large number of record series, the classification structure in that section (i.e. for that activity) should be extended to a third level to separate smaller units of activity, steps in a process or groups of transactions. For some particularly complex functions, it might be helpful to extend it to a fourth level. It is rarely necessary to extend a file plan beyond four levels.

Note: It is not essential to have the same number of levels throughout the file plan. Some functions might require more levels of hierarchy than others.

As each lower level is developed, the record series which have been identified should be reclassified at these lower levels. When all the record series can be easily classified, there is no need to extend the hierarchy any further.

There are already three levels in the Classification Structure for some functions in the Field Mission Management and Field Mission Support sections of the *Taxonomy*. If one of these functions has been included in the mission file plan, the Level 3 categories may be used to form the third level of the file plan hierarchy. Alternatively, local recordkeeping practice might suggest more appropriate third level categories. Although the top two levels of a mission file plan must be extracted from the *Taxonomy*, missions have complete flexibility to develop the lower levels of their file plans in a way which reflects local practices and preferences. However, these lower levels should also be developed in a way which achieves a balance between meeting local user needs and making it easy to comply with UN records management policies, particularly the *Peacekeeping Operations Retention Schedule*. ARMS can provide advice and assistance on developing the lower levels of the file plan hierarchy to achieve this balance.

4.4.4 Determining the arrangement of the records

When the file plan hierarchy has been extended far enough for all the mission's records to be classified clearly, the next step is determining how the records within each series should be arranged (e.g. alphabetically by surname, numerically by contract number). A logical arrangement might already have been established by the staff responsible for maintaining the records. If not, it is essential to consult them on this.

4.4.5 Devising file codes

The next step is devising a system of file codes to provide a convenient way of referring to file plan categories and individual files. Codes can be alphabetic, numeric or alphanumeric but they should be as simple and as short as possible. Whatever form they take, they should reflect the file plan hierarchy. A coding system might already have been established by the staff responsible for maintaining the records. If not, it is essential to consult them on this

4.4.6 Documenting the file plan

The final step is documenting the mission file plan in a format which is easy for staff to use (e.g. a Word document, an Excel spreadsheet, a web page). The file plan document must include

- the hierarchy of classification categories, with their file codes
- descriptions of the record series in each category and how files or other items in the series are to be arranged.

Examples of file plans for:

- Human Rights Support
- Public Information & Communications
- Procurement

are in Annex D.

4.4.7 Making the file plan available

The mission file plan must be made available to all mission staff who create and receive, or use, records. This involves distributing paper or electronic copies of the file plan document to staff, with instructions for using it to classify records they create or receive, or to identify records they need. To supplement written instructions, it is helpful to organise short briefing / training sessions where staff can ask specific questions about using the file plan for 'their own' records.

4.4.8 Maintaining the file plan

When it has been developed and implemented, the mission file plan must be maintained to ensure that it remains relevant, accurate and up to date. It might be necessary to:

- add new first or second level categories from the *Taxonomy* if a new function is added to the mission's mandate or if a new activity is introduced
- remove categories which are no longer required
- add new record series
- remove record series which are discontinued.

Any changes to the mission file plan must be controlled and documented.

4.5 Using the *Taxonomy* to support an existing mission file plan

The *Taxonomy* provides a benchmark for reviewing, improving and implementing an existing mission file plan, to help the mission to comply with other UN records management policies. Using the *Taxonomy* in this way involves

mapping the mission file plan to the *Taxonomy* categories and taking any actions which are necessary as a result.

Mapping an existing file plan to the *Taxonomy* might be difficult because:

- the *Taxonomy* is based on an analysis of field mission functions and activities whereas the existing mission file plan is more likely to be based on the mission's organizational structure, or on the subjects / cases / projects which the mission deals with
- the file plan might use different terminology to that used in the *Taxonomy*.

However, the mapping exercise will highlight any gaps in the file plan, in the *Taxonomy*, or in both, and suggest actions which should be taken. For example, if the file plan:

- does not cover all the functions and activities which are in the *Taxonomy*, its should be expanded to include them, in order to establish intellectual control over the records of these functions and activities
- includes functions or activities which do not appear to be covered by the *Taxonomy*, this should be discussed with ARMS which is responsible for maintaining the *Taxonomy*
- uses different terminology to that used in the *Taxonomy*, it should either be amended to match the *Taxonomy* or annotated to indicate the differences.

Mapping the relationship between the mission file plan and the *Taxonomy* will make it easier for the mission to use other recordkeeping tools which are being developed to establish consistent recordkeeping practices within and across missions, because these tools use the *Taxonomy* structure (or a similar structure). For example, mapping categories in the mission file plan to the *Taxonomy* will make it simpler to apply the *Peacekeeping Operations Retention Schedule* which has a similar structure to the *Taxonomy*. A comparison of the *Taxonomy* and *Schedule* structures is in Annex F.

5 Information, advice and assistance

For more information about the *Taxonomy*, or for advice or assistance in using it, contact [ARMS](#).

Annex A

Classification Structure : Level 1

FIELD OPERATIONS

- Civil Society Support
- Correctional System Support
- Disarmament, Demobilization & Reintegration Support
- Electoral Support
- Governance & Civil Administration Support
- Human Rights Support
- Humanitarian Assistance
- Legal & Judicial System Support
- Military Support
- Mine Action Assistance
- Police Support
- Political Affairs
- Quick Impact Project (QIP) Management

FIELD MISSION MANAGEMENT

- Crisis Management
- Gender Mainstreaming
- HIV / AIDS Coordination
- Mission Integration & Coordination
- Mission Monitoring & Evaluation
- Mission Planning
- Mission Reporting
- Mission Safety Management
- Mission Security Management
- Oversight, Audit & Investigation
- Political & Diplomatic Relations Management
- Public Information & Communications Management

FIELD MISSION SUPPORT

- Assets Management
- Budget Execution
- Claims Handling
- Commissary Management
- Engineering Services Management
- Finance Management
- Human Resources Management
- Information & Communications Technology (ICT) Systems Management
- Information Resources Management
- Legal Support
- Logistics Management
- Mail Services Management
- Materiel Management
- Medical Services Management
- Premises Management
- Procurement
- Supply Management

- Waste Management

Annex B

Classification Structure : Levels 1-2

FIELD OPERATIONS

- **Civil Society Support**
 - **Civil Society Liaison**
 - **Civil Society Capacity Building**
 - **Civil Society Institution Building**
- **Correctional System Support**
 - **Correctional System Monitoring & Reporting**
 - **Correctional System Capacity Building**
 - **Correctional System Institution Building**
 - **Executive Correctional System Administration**
- **Disarmament, Demobilization & Reintegration Support**
 - **Resource Mobilization**
 - **Disarmament Support**
 - **Demobilization Support**
 - **Reintegration Support**
- **Electoral Support**
 - **Electoral Assessment**
 - **Election Management**
 - **Election Assistance**

- **Electoral Administration Capacity Building**
- **Electoral Institution Building**
- **Governance & Civil Administration Support**
 - **Governance & Civil Administration Capacity Building**
 - **Governance & Civil Administration Institution Building**
 - **Executive Governance & Civil Administration**
- **Human Rights Support**
 - **Human Rights Monitoring & Reporting**
 - **Human Rights Violations Investigation**
 - **Human Rights Violations Assessment & Analysis**
 - **Human Rights Education & Training**
 - **Human Rights Capacity Building**
 - **Human Rights Institution Building**
- **Humanitarian Assistance**
 - **Humanitarian Assistance Coordination**
 - **Humanitarian Assistance Provision**
- **Legal & Judicial System Support**
 - **Legal Framework Support**
 - **Judicial System Monitoring & Reporting**
 - **Judicial System Capacity Building**

- **Judicial System Institution Building**
- **Executive Judicial Administration**
- **Military Support**
 - **Observation, Monitoring & Reporting**
 - **Peacemaking / Political Support**
 - **Military Operations**
- **Mine Action Assistance**
 - **Resource Mobilization**
 - **Mine Action Coordination Centre (MACC) Establishment**
 - **Mine Clearance**
 - **Mine Stockpile Destruction**
 - **Mine Risk Education**
 - **Mine Victim Assistance**
 - **Mine Action Capacity Building**
- **Police Support**
 - **Police Monitoring & Reporting**
 - **Police Capacity Building**
 - **Police Institution Building**
 - **Executive Law Enforcement**
- **Political Affairs**

- **Political Liaison**
- **Political Monitoring, Analysis & Reporting**
- **Political Strategy Development & Planning**
- **Political Coordination**
- **Quick Impact Project (QIP) Management**
 - **QIP Committee Administration**
 - **QIP Proposal Development**
 - **QIP Proposal Review**
 - **QIP Implementation**
 - **QIP Monitoring & Reporting**

FIELD MISSION MANAGEMENT

- Crisis Management
 - **Crisis Management Team Administration**
 - **Crisis Risk Assessment & Preparedness Planning**
 - **Crisis Response Training**
 - **Crisis Response**
 - **Crisis Investigation**
- Gender Mainstreaming
- HIV / AIDS Coordination
 - **HIV / AIDS Training**
 - **HIV / AIDS Counselling & Testing**
 - **HIV / AIDS Monitoring & Analysis**
 - **HIV / AIDS Capacity Building**
- Mission Integration & Coordination
- Mission Monitoring & Evaluation
- Mission Planning
 - **Mandate Implementation Planning**
 - **Resource Allocation & Budgeting**
 - **Contingency Planning**

- Mission Reporting
 - UN Headquarters Reporting
 - In-mission Reporting
- Mission Safety Management
 - Road Safety Committee Administration
 - Aviation Safety Council Administration
 - Safety Assessment
 - Safety Training
 - Safety Incident Investigation
- Mission Security Management
 - Security Assessment
 - Security Training
 - Security Surveillance
 - Security Control
 - Security Incident Investigation
- Oversight, Audit & Investigation
 - Internal Audit
 - External Audit
 - Internal Oversight / Investigation
- Political & Diplomatic Relations Management

- **Political Relations Management**
- **Diplomatic Relations Management**
- **Public Information & Communications Management**
 - **Media Relations Management**
 - **Publication Production**
 - **Website Management**
 - **Broadcasting**
 - **Public Event Management**
 - **Community Outreach**
 - **Local Media Capacity Development**

FIELD MISSION SUPPORT

- **Assets Management**
 - **Assets Inventory Maintenance**
 - **Assets Write-Off**
- **Budget Execution**
 - **Budget Allocation**
 - **Budget Monitoring**
- **Claims Handling**
 - **Claims Review Board Administration**
 - **Property Survey Board Administration**
 - **Claims Review**
- **Commissary Management**
- **Engineering Services Management**
 - **Engineering Services Provision**
 - **Engineering Projects Management**
- **Finance Management**
 - **Financial Accounting**
 - **Pay & Allowances Administration**
 - **Treasury Management**

- **Human Resources Management**
 - **Recruitment / Appointment**
 - **Training**
 - **Travel Administration**
 - **Attendance & Leave Administration**
 - **Employment Contracts Administration**
- **Information & Communications Technology (ICT) Systems Management**
 - **ICT Systems Development**
 - **ICT Systems Operation**
- **Information Resources Management**
 - **Records Management**
- **Legal Support**
 - **Legal Agreements Development & Review**
 - **Legal Advice Provision**
- **Logistics Management**
 - **Joint Logistics & Operations Centre (JLOC) Management**
 - **Movement Control**
 - **Road Transport Operation**
 - **Air Transport Operation**

- **Mail Services Management**
 - **Postal Service Operation**
 - **Diplomatic Pouch Service Operation**
- **Materiel Management**
 - **Materiel Receipt & Inspection**
 - **Materiel Storage**
 - **Materiel Maintenance**
 - **Materiel Disposal**
 - **Contingent Owned Equipment (COE) Verification**
- **Medical Services Management**
 - **Medical Treatment Provision**
 - **Health & Welfare Services Provision**
 - **Medical Evacuation**
- **Premises Management**
 - **Premises Acquisition & Disposal**
 - **Premises Development**
 - **Premises Maintenance**
 - **Facilities Management**
- **Procurement**
 - **Vendors Approval / Registration**

- **Supply Contracts Tendering**
- **Supply Contracts Management**
- **Supply Management**
 - **Inventory Control**
 - **Distribution Control**
 - **Warehouse Operation**
- **Waste Management**
 - **Waste Collection**
 - **Waste Storage Site Operation**
 - **Waste Disposal**

Annex C

Common Activities

- [Function]
 - Policy Development
 - Procedure Development
 - Strategy Development
 - Planning
 - Evaluation
 - Partnership Management
 - In-Mission Coordination
 - Administration

Annex D

Examples of Mission File Plans

EXAMPLE 1

12 Public Information & Communications Management

01 Policy Development

- 01 Files for public information and communications policy areas arranged alphabetically by topic.

02 Procedure Development

- 01 Files for public information and communications procedures arranged alphabetically by topic.

03 Strategy Development

- 01 Files for public information and communications strategy areas arranged alphabetically by topic.

04 Planning

- 01 Files for public information and communications planning issues and specific plans arranged either alphabetically by topic or chronologically.

05 Evaluation

- 01 Files for reviews of public information and communications activities arranged chronologically.

06 Partnership Management

- 01 Files for partnership organizations arranged alphabetically by organization name.

07 In-Mission Coordination

08 Administration

09 Media Relations Management

- 01 Media Liaison
 - 01 Media Accreditation & Liaison

- 01 Files for media organizations arranged alphabetically by organization name.
- 02 Media Enquiry Handling
 - 01 Files for media enquiries arranged either alphabetically by topic or numerically by enquiry reference.
- 02 Media Communications Coordination
 - 01 Media briefing transcripts arranged chronologically.
 - 02 Press conference transcripts / recordings arranged chronologically.
 - 03 Press releases arranged chronologically.
 - 04 Files for media interviews arranged chronologically.
- 03 Media Monitoring & Analysis
 - 01 Press clippings arranged (1) by publication (2) chronologically.
 - 02 Media monitoring reports arranged chronologically.
- 10 Publication Production**
 - 01 Files for publications arranged either by publication title or alphabetically by subject. Files may be grouped by type of publication (e.g. print, audio-visual). Files have sections: Publication Development; Publication Production; Publication Distribution.
- 11 Website Management**
 - 01 Website Design
 - 02 Website Content Management
- 12 Broadcasting**
 - 01 Radio Broadcasting
 - 01 Files for radio programmes arranged either by programme title or chronologically. Files have sections: Programme

Development; Programme Production; Programme
Broadcasting.

02 Television Broadcasting

- 01 Files for television programmes arranged either by programme title or chronologically. Files have sections: Programme Development; Programme Production; Programme Broadcasting.

13 Public Event Management

- 01 Files for public events arranged either by topic / type of event or chronologically.

14 Community Outreach

- 01 Files for community outreach events arranged either by topic / type of event or chronologically.
- 02 Files for community outreach projects arranged either by topic / type or chronologically. Files have sections: Project Planning; Project Implementation; Project Review.

15 Local Media Capacity Development

01 Local Media Training

- 01 Files for local media training events arranged chronologically. Files have sections: Event Planning; Event Review; Event Administration.

EXAMPLE 2

PRO Procurement

A Policy Development

01 Files for procurement policy areas arranged alphabetically by topic.

B Procedure Development

01 Files for procurement procedures arranged alphabetically by topic.

C Strategy Development

01 Files for procurement strategy areas arranged alphabetically by topic.

D Planning

01 Files for procurement planning issues and specific plans arranged either alphabetically by topic or chronologically.

E Evaluation

01 Files for reviews of procurement activities arranged chronologically.

F Partnership Management

01 Files for partnership organizations arranged alphabetically by organization name.

G In-Mission Coordination

H Administration

J Vendors Approval / Registration

01 Vendor registration applications arranged either alphabetically by vendor name or numerically by vendor reference, in separate sequences for approved vendors and unsuccessful applications.

K Supply Contracts Tendering

- 01 Files for tenders arranged either numerically by contract (case) number or chronologically.

L Supply Contracts Management

- 01 Files for supply contracts arranged numerically by contract (case) number. Includes: Local Contracts Committee minutes and presentations; UN Headquarters Contracts Committee minutes and presentations.

EXAMPLE 3

HRT Human Rights Support

01 Policy Development

01 Files for human rights policy areas arranged alphabetically by topic.

02 Procedure Development

01 Files for human rights procedures arranged alphabetically by topic.

03 Strategy Development

01 Files for human rights strategy areas arranged alphabetically by topic.

04 Planning

01 Files for human rights planning issues and specific plans arranged either alphabetically by topic or chronologically.

05 Evaluation

01 Files for reviews of human rights activities arranged chronologically.

06 Partnership Management

01 Files for partnership organizations arranged alphabetically by organization name

07 In-Mission Coordination

08 Administration

09 Human Rights Monitoring & Reporting

01 Files for human rights monitoring reports arranged chronologically.

10 Human Rights Violations Investigation

- 01 Files for human rights violations cases / occurrences arranged (1) by type of violation (2) either alphabetically by name or chronologically.

11 Human Rights Violations Assessment & Analysis

- 01 Files for human rights violations assessments and analyses arranged either by type of violation or chronologically.

12 Human Rights Education & Training

- 01 Files for human rights education and training programmes arranged either by type or chronologically. Files have sections: Programme Planning; Programme Delivery; Programme Review.

13 Human Rights Capacity Building

- 01 Files for human rights capacity building programmes arranged alphabetically by programme title. Files have sections: Programme Planning; Programme Delivery; Programme Review.

14 Human Rights Institution Building

- 01 Files for human rights institution building programmes arranged alphabetically by name of institution. Files have sections: Programme Planning; Programme Delivery; Programme Review.

Annex E

Records which should not be classified

Records which should not be classified

Most records which are held by field missions must be classified as UN records using the *Taxonomy for Recordkeeping in Field Missions of UN Peacekeeping Operations*.

However, some records which are created in, or acquired by, missions and others which are stored in mission premises, should not be classified as UN records.

There are three broad categories of records which should not be classified using the *Taxonomy*:

1. transitory records
2. non-mission information products
3. records which are not UN property

1 Transitory records

Transitory records are records which have only temporary value. They are produced:

- to monitor the completion of a routine action
- in the preparation of other records which supercedethem
- for convenience of reference

They are NOT records which are required as part of the audit trail of an activity or process, or to provide evidence of decisions or actions.

Examples of transitory records which are produced in, or received by, field missions include:

- duplicate copies of records which are produced for reference only where they are exact copies (i.e. not annotated or changed in any way) of records which are classified and filed in an official filing system (e.g. reference sets of meeting papers; chronological files of letters / faxes / code cables; reading files);
- drafts which do not document significant steps in the development of a final version and which are not needed to track the development process or provide evidence of decisions or precedents (e.g. drafts with proofreading marks);
- copies of mission information products which are distributed to mission staff for information / reference only;
- records received for information only from external organizations, as part of a distribution list.

Most transitory records can be destroyed when they are no longer required. However, some (e.g. chronological files of letters, faxes and code cables) are covered by the *Peacekeeping Operations Retention Schedule* and they must be retained and disposed of in accordance with this *Schedule*.

2 External information products

External information products are solicited and unsolicited materials which are received by the mission from external organizations (e.g. UN agencies, partner organizations, businesses) for reference only.

Examples of external information products which are held in field missions include:

- marketing / advertising materials
- media kits
- reports, newsletters and magazines

This category also includes publications purchased by a mission for its own use (e.g. newspapers, journals, books).

3 Records which are not the property of the UN

Records which are held by a mission, or in mission premises, but which are not the property of the UN, should not be classified as UN records.

Depending on its mandate or other local circumstances, a mission might hold records which are not the property of the UN (e.g. records which are the property of the local government). Such records will be transferred to their legitimate owner(s) before (or as part of) the liquidation of the mission and they should not be classified as UN records.

Mission staff might keep records which are their personal property (e.g. personal correspondence, records of involvement with other organizations in a personal capacity) in field mission premises. These records will be removed by the staff concerned on their separation from the mission and they should not be classified as UN records.

Annex F

Mapping of the *Taxonomy for Recordkeeping in Field Missions of UN Peacekeeping Operations* and the *Peacekeeping Operations Retention Schedule*

| <i>Taxonomy for Recordkeeping in Field Missions of UN Peacekeeping Operations</i> | <i>Peacekeeping Operations Retention Schedule</i> |
|--|--|
| FIELD OPERATIONS | |
| Civil Society Support | Rule of Law / Post-Conflict Reconstruction |
| Correctional System Support | Rule of Law |
| Disarmament, Demobilization & Reintegration Support | Disarmament, Demobilization and Reintegration |
| Electoral Support | Electoral Affairs |
| Governance & Civil Administration Support | Post-Conflict Reconstruction / Rule of Law |
| Human Rights Support | Human Rights |
| Humanitarian Assistance | Humanitarian Affairs |
| Legal & Judicial System Support | Rule of Law |
| Military Support | Military |
| Mine Action Assistance | Mine Action |
| Police Support | Police |
| Political Affairs | Political Affairs |
| FIELD MISSION SUPPORT | |
| Assets Management | Logistics |
| Budget Execution | Budget |
| Claims Handling | Financial Management |
| Commissary Management | Logistics |
| Engineering Services Management | Logistics |

| <i>Taxonomy for Recordkeeping in Field Missions of UN Peacekeeping Operations</i> | <i>Peacekeeping Operations Retention Schedule</i> |
|--|--|
| Finance Management | Financial Management |
| Human Resources Management | Human Resources Management |
| Information & Communications Technology (ICT) Systems Management | Information Management |
| Information Resources Management | Information Management |
| Legal Support | Legal |
| Logistics Management | Logistics |
| Mail Services Management | Information Management |
| Materiel Management | Logistics |
| Medical Services Management | Human Resources Management |
| Premises Management | Logistics |
| Procurement | Procurement |
| Supply Management | Logistics |
| Waste Management | Logistics |
| FIELD MISSION MANAGEMENT | |
| Gender Mainstreaming | Human Resources Management |
| HIV / AIDS Coordination | Human Resources Management |
| Mission Planning | Budget |
| Mission Safety Management | Safety and Security |
| Mission Security Management | Safety and Security |
| Oversight, Audit & Investigation | Audit, Oversight, Evaluation, Investigation |

| <i>Taxonomy for Recordkeeping in Field Missions of UN Peacekeeping Operations</i> | <i>Peacekeeping Operations Retention Schedule</i> |
|--|--|
| Political & Diplomatic Relations Management | Political Affairs |
| Public Information & Communications Management | External Relations / Public Information |

Annex G

Management Summary

Management Summary

The *Taxonomy for Recordkeeping in Field Missions of UN Peacekeeping Operations* is one of a suite of recordkeeping tools being developed to establish consistent recordkeeping practices within and across field missions.

The *Taxonomy* is a classification scheme for field mission records. Based on an analysis of the functions and activities of field missions, it enables consistent classification of the records generated by all missions irrespective of their individual mandates, their organizational structures or the media and formats in which their records are held.

When applied, the *Taxonomy* will make it easier for field missions to comply with UN records management policies and it will deliver practical benefits for both mission staff and the UN as a whole by:

- improving intellectual control of mission records
- improving access to mission records, and to the information they contain, by mission staff and others
- reducing the costs of mission recordkeeping
- facilitating retention management of records

The *Taxonomy* should be used in all field missions as a framework for recordkeeping, with a primary role as the starting point for the development and implementation of mission file plans. In an established mission, where a mission file plan has already been developed and implemented, the *Taxonomy* should be used as a benchmark to review, improve and support this existing file plan. This will help the mission to comply with other UN records management policies. However, in a new or recently-established mission, the *Taxonomy* **must** be used as the starting point for developing the mission file plan. This will enable those responsible to develop the file plan quickly without ‘reinventing the wheel’ or adapting file plans from other missions. More importantly, the mission will be able to comply with UN records management policies and practices from the outset, and to realise the benefits of improved recordkeeping.

The *Taxonomy* will be used by the UN Archives and Records Management Section (ARMS) as a starting point for developing other generic recordkeeping tools for field missions (e.g. the *Peacekeeping Operations Retention Schedule*) and to support their own work on, for example, selecting mission records for permanent preservation in the UN Archives. It will also support and integrate with the UN’s Enterprise Content Management (ECM) system.

For more information about the *Taxonomy*, or for advice or assistance in using it, contact the UN Archives and Records Management Section arms@un.org.