Appendix A: Document Retention Tables 03 Apr 2018

All retention instructions apply equally to records in all formats, hard copy and digital Retention Codes.

Legend:

	Description
B	End of biennium
P	While needed to conduct UN business
C	Current year
S	Superseded or Obsolete
D	Destroy
T	Termination, Settlement or Completion

#	Corporate Function	Subject title	Retention Period	Description and examples	Disposition	Responsible role
1	**General Administration**	Chronological files	C+ 5	Copies of outgoing correspondence, memos and faxes. Records for courier services including addresses for incoming and outgoing package logs.	Destroy	Recipient or responding party to/of the correspondence
2	**General Administration**	Travel Documents	T+5	Reservations, itineraries and TA+TEC if applicable	Destroy	Travel focal point

3	**General Administration**	Office management records	C+5	Records dealing with the management and structure of the office or practice, including retreat files and delivery forecast	Destroy	The editor of the record
4	**General Administration**	Equipment Maintenance Records	T+5	Records dealing with the maintenance and service of office equipment including all service contracts	Destroy	Buyer of the services
5	**General Administration**	Reference Files	S+5	Records used within the offices (ROs, OCs, Clusters and PCs) for reference only e.g. UN agency manuals	Destroy	Initiator of the document
6	**General Administration**	Supply Requests	C+5	Records dealing with the acquisition and receipt of office supplies which include supply requests, receipt records, and copies of invoices and payment records.	Destroy	Initiator of the acquisition
7	**Information and Communications Technology**	Equipment and System Usage reports	C+5	Records relating to the usage of equipment and/or systems which include daily and monthly usage reports	Destroy	Editor of the reports of the reports
8	**Information and Communications Technology**	Equipment and System Documentation	C+5	Documentation on the equipment and systems used within UNOPS which includes system instructions, manuals, guidelines and system information	Destroy	Buyer of the systems

9	**Information and Communications Technology**	IT Systems licenses	T S	Records documenting the licensing of IT systems and applications include hardware and software licenses, license purchase records, and correspondence.	Destroy	Buyer of the services
10	**Partnerships, and products and service quality management**	Presentations	S D	Presentation for external partners or clients.	Destroy	Editor of the material
11	**Corporate strategic management and leadership**	Statistical Information	C+5 D	Statistical reports and information including delivery reports and annual reports.	Destroy	Editor of the reports
12	**Corporate strategic management and leadership**	Business Acquisition	C+5	Records dealing with business acquisition include business acquisition data sheet, corporate information on projects, reports to partners and clients.	Destroy	Editor of the material
13	**Communication**	Business Development	C+5	Business plans, input documents, Significant drafts, strategic direction plans, and correspondence management, trends and guidelines,	Destroy	Editor of the material

14	**Partnerships, and products and service quality management**	Client Relationship Management and Service Performance	C+5	Records dealing with client relationship management and service performance include client profiles, CRM (customer relationship management) framework, client information and contact points, client satisfaction measurement systems, and client feedback	Destroy	Editor of the material
15	**Partnerships, and products and service quality management**	External Market Analysis and Trending	C+5	External marketing and trending information including research information from/on outside markets and donor clients, historic information on funds, external entity research, final UNOPS external analysis document, and background information.	Destroy	Editor of the material
16	**Corporate strategic management and leadership**	Marketing material	S+5	Current or historic UNOPS information including historic business data, country studies office profiles, facts and figures, sector profiles, and service profiles.	Destroy	Editor of the material

17	**Corporate strategic management and leadership**	Internal Portfolio Analysis	S	Internal portfolio analysis records including reserve and operational fund balances; analysis by client, division, portfolio manager, market segment, and location; UNOPS financial indicators; and review and expenditures by client, UNOPS delivery, operational results, and fund balance.	Destroy	Editor of the material
18	**Communication**	Marketing Material	S	Records dealing with historic UNOPS information including historic business data, country studies, presentations to clients and companies, office profiles, facts and figures, sector profiles, and service profiles.	Destroy	Editor of the material
19	**Legal**	DOA	S	Records which document various delegations of authority or lists containing authorized signatures for various activities.	Destroy	LPG case worker

20	**Legal**	Contracts, Agreements, and Memoranda of Understanding/Agreement	T+7	Records of or documenting contracts, agreements, memoranda of understanding (MOUs), etc. which include significant and pertinent correspondence; original and/or official copies of contracts, agreements, intra-agency agreements, commercial contracts, leases or rental agreements, vendor agreements, and memoranda of understanding (MOUs); interpretation of UNOPS mandate; significant drafts; negotiation documents; supporting and background information; and pertinent financial documents.	Destroy	Signatory of the document
21	**Legal**	Building Lease Records	T+7	Records dealing with requests for, allocation and maintenance of space and facilities and security measures include correspondence, memos, faxes, e-mail, reports, copies of lease, and floor plans.	Destroy	Signatory of the document
22	**Legal**	Insurance not related to HR	T+5	Records related to any insurance, coverage and records related to settlement of claims.	Destroy	Signatory of the document(s)

23	**Legal**	Legal Advice and Clearance	T+5	Documentation of legal advice and clearance provided to UNOPS internal clients or external clients and third parties on subjects including legal interpretation of regulations or procedures, provision of advice on any subject, claims, disputes, bid protests, and Human Resources (HR) issues.	Destroy	Signatory of the document
24	**Legal**	Legal Advice and Clearance	T+5	Documentation of legal advice and clearance provided to UNOPS internal clients or external clients and third parties on subjects including legal interpretation of regulations or procedures, provision of advice on any subject, claims, disputes, and bid protests.	Destroy	Signatory of the document
25	**Legal**	Disciplinary Cases	T+5 T=Separation of the staff member	Records related to legal advice provided on Human Resources (HR) disciplinary cases include copy of contracts, rules, Administrative Instructions, request from HRPG for advisement, and legal response.	Destroy	Signatory of the document

26	**Legal**	Financial disclosure	T+7 T=The time of the final report from the Third Party Administrator	Financial disclosure statements and the documents provided during the verification process.	Destroy	TPA who will transfer to UNOPS General Counsel
27	**Legal**	Documents to Dispute Tribunal	T+4 T=Separation of the staff member	Records related to case brought before the Dispute Tribunal includes appeal document, responses, annexes to appeal, background and supporting documents, and pertinent correspondence.	Destroy	Signatory of the document
28	**Project management**	Project contracts, agreement and MOA/ MOUs	T+5	Contracts and agreements entered into for specific projects.	Destroy	Submitter for official UNOPS signature
29	**Project management**	Umbrella MOUs and Financial agreements between UNOPS and a partner/client	T+7	Umbrella MOUs/ MOAs and agreements with client.	Destroy	Submitter for official signature

30	**Project management**	Host Country, Headquarters and Operational Agreements	T+7	Official and/or signed copies of Host Country agreements and Operational agreements including final agreements, significant drafts, negotiation files, and supporting and background documents.	Destroy	Submitter for official UNOPS signature

31	**Project management**	Project Folders	T+5	Any documents which are related to Legal - Agreement (MOU, LOA, LOE etc.) Legal - Delegation Of Authority Plan - Budget / Cash Flow* Plan – HR Plan Implementation Analysis Note (IAN)* Plan - Log (risks, issues, quality) Plan – Procurement Plan - Project Initiation Document Plan - Stage Plan Plan - Work Package Document Report – Asset Report – Assurance Report – Audit Report - Closure Checklist (operational/financial) Report - End Stage Report – Exception Report – Final Report - Financial Statement* Report - Handover/Disposal (assets, infrastructure, reports etc.) Report - Lessons Learned (internal) Report - Project Handover Report-Security/ Risk Assessment	Destroy	Submitter for official UNOPS signature

32	**HQCPC**	Committee Records	B+2	Records dealing with the creation, running and decisions of significant committees such as HQCPC and LCPCs. Records include agendas, agenda papers, decisions, supporting documents, meeting documents, submissions, completed HQCPC forms, analysis, copies of project documents, cost breakdowns, evaluation tables and recommendations.	Destroy	HQCPC/LCPC secretariat
33	**Human resources**	Personnel Folders (Staff)	T+10	All standard sections of the personnel files, including submission for entitlements and benefits	Destroy	Hiring manager
34	**Human resources**	Recruitment (Staff)	T+6	Records documenting the recruitment process	Destroy	Reviewing body
35	**Human resources**	HR insurances (Staff-regular separations, including permanent disability cases of separations) HR insurances (Staff-temporary disability cases)	T+6 T+10	Records related to staff insurance with regards to Health/ Death, Appendix D cf. the Staff rules, Medical expenses, Malicious Acts and FAMBI. The records to be kept are including the policies, the coverage and records related to settlement of claims.	Destroy	

36	**Human resources**	ASB/ASP (Staff)	T+5	Records documenting the decisions of the Appointment and Selection Board and Appointment and Selection Panel.	Destroy
37	**Human resources**	Job Descriptions (Staff)	S+5	Records documenting job descriptions include position descriptions, reclassification records, and correspondence.	Destroy
38	**Human resources**	Leave and Attendance Records (Staff)	T+6	Original attendance records (signed time sheets, leave requests, annual attendance chart that goes with employee).	Destroy
39	**Human resources**	Personnel Contracts (ICA/LICA)	T+6	Contracts and all personnel file forms and documents.	Destroy
40	**Finance**	Accounts Payable Records	C+7	Accounts Payable records and supporting documents for transactions paid including copies of contracts, agreements, etc.; invoices; payment information; pertinent correspondence; copies of purchase orders; confirmation of delivery; CPs; payment vouchers; APs; debit/credit advices; receipts; monthly	Destroy

41	**Finance**	Bank Records	C+7	Account receivable records and supporting documents including bank statements with supporting documents, correspondence, authorizations, memos, and deposits.	Destroy
42	**Finance**	Budget Records	C+7	Budgets for all entities (according to OD 15) including, approved budget, supporting documents (business plan and budget narrative), budget revisions, and copies of approvals.	Destroy
43	**Finance**	Templates	S	Master copy of templates used by each office/practice to fill out for their submission of budget revenue and administrative expenditures and to calculate pro-forma salary and benefits.	Destroy
44	**Finance**	Budget Records Project Specific	T+7	Budget documents relating to specific projects	Destroy
45	**Finance**	General Ledger	C+7	Records related to the General Ledger including general ledgers, balance sheets, reconciliation sheets, and supporting documents.	Destroy

46	**Finance**	Journal Vouchers	C+7	Journal vouchers with supporting documents.	Destroy
47	**Finance**	Imprest Fund Records	C+7	Records documenting imp rest funds including (1) original delegations of authorization and acceptance; (2) Imprest Account Master/Maintenance Records including requests and authorization for opening imprest account, signatory panel amendments, imprest level changes, banking approval memos, approval and updated	Destroy
48	**Finance**	Payroll Records	T+5	Payroll records for all UNOPS personnel including monthly payroll reports; and Payroll Files	Destroy
49	**Finance**	Petty Cash Records Headquarters Accounts	T+7	Records relating to petty cash accounts for Headquarters offices include petty cash authorizations, changes of custodian, account approvals, and closing documents.	Destroy

50	**Finance**	Operational advances Field Offices	C+2	Records relating to operational advances for field offices (project specific) include OA authorizations, changes of custodian, account approvals, and closing documents.	Destroy
51	**Finance**	Financial Statements	T+7	UNOPS Financial Statements including supporting documents and working papers.	Destroy
52	**Finance**	Project Management – Finance	T+7	Finance Division's documents dealing with project management include project work plan, status for divisions, meeting minutes, division contacts, and Client Reporting Calendar	
53	**Finance**	Financial Statements Project Specific	T+7	Project Specific Financial Statements including supporting, documents, working papers and year end reports.	
54	**Finance**	Vendor Profiles	C+5	Requests for creating vendor profiles.	Destroy
55	**Finance**	Vehicle Liability Insurance	T+7	Records related insuring vehicles include lists of vehicles to be insured, vehicle inventory, invoices, and letters to field offices. Records related to settlement of Claims.	Destroy

56	**Procurement and Supply chain**	Cargo Premium Payment Records	C+7	Records related to cargo premium payments include summary sheets or lists of shipments to be incurred by month, general vouchers, copy of invoices, and copy of payment vouchers.	Destroy
57	**Procurement and Supply chain**	Property and Equipment Records	T+5 T=procurement is completed and all services are expired	Records dealing with acquisition and replacement of assets or services.	Destroy
58	**Procurement and Supply chain**	Bidding Support Other Documents	C+5	Records dealing with bidding support for UNOPS bidding activities include cycle and decision notes, strategy documents, bidding guidelines and procedures, past proposals and EOI (Expression of Interest), Procurement announcements and supporting documents.	Destroy
59	**Procurement and Supply chain**	Project Procurement Folders Project Specific	C+7	For goods and services for projects includes purchase orders, invoices, solicitation documents, bids, bid evaluations, contract award documents, correspondence, and authorization to purchase.	Destroy

60	**Procurement and Supply chain**	Procurement Records	T=Termination of the procurement process and the delivery has been received, inspected and found in acceptable condition.	For goods and services includes requisitions, quotes, purchase orders, packing slips, shipping documents, proof of payment, copies of invoices and payment vouchers, correspondence, specs, short lists, invitations to bid, requests for proposal (RFPs), copies of HQCPC minutes, orders, bills of lading, responses, and selection information.	Destroy
61	**Internal Audit and Investigations**	Internal Audit Records	T+5 T= closure of all issues and recommendations arising from the internal audit reports, with a minimum of five years after issuance of the report.	Records dealing with internal audits including reports from IAIG and any client requested project audit. The records are including work papers, draft reports, responses to draft reports, final reports, and pertinent correspondence.	Destroy

62	**Internal Audit and Investigations**	Investigations records	T + 7 T = closure of all legal issues arising from the allegations, with a minimum of seven years after closure of a case	Records dealing with allegations of wrongdoing reported to IAIG. The records include all relevant reports, notes, work papers and supporting documentation and all pertinent correspondence.	Destroy
63	**Internal Audit and Investigations**	Documents other than related to IA reports or looking into allegations - stemming from the Internal Audit and Investigations function,	T+7 T= date of review of the topic under consideration	Documents stemming from the Internal Audit and Investigations function, other than related to IA reports or to looking into allegations, e.g. review of draft policies or agreements	Destroy
64	**Finance**	External Audit records	T+7 T = closure of all issues and recs arising from the external audit reports	Records dealing with external audits from the UNBOA. The records are including preliminary reports, responses to preliminary reports, final reports, and pertinent correspondence.	Destroy