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CF/EXD/1983-2867

To: All Staff (Headquarters and Field) 9 November 1983

From: James P. Grant ^{JP}
Executive Director EXD-2867

Subject: UNICEF Records and Archives

1. The purpose of this memorandum is to state certain general rules with regard to the preservation of records of UNICEF in accordance with United Nations practice, and to prescribe custodial responsibility.

(a) Specific policies governing access to records, the responsibility to transfer records at established intervals to the appropriate storage area (United Nations Archives or UNICEF Records Centre) and other provisions including definition of terms are covered in Administrative Instruction 359 of 9 November 1983 (attached).

(b) Procedures to be used by New York Headquarters divisions for packing, listing, transferring and retiring records from the UNICEF Records Centre or United Nations Archives were issued in Information Bulletin No. 83/64 of 28 September 1983. Field procedures will be developed in due course.

2. The Records Management Unit, in co-operation with the office from which the records originate and the United Nations Archives, shall be responsible for the custody, preservation and co-ordination of servicing for the archival material and records of UNICEF. This includes all records, regardless of their physical type, issued or received by UNICEF that should be preserved because of their administrative, legal, historical or other value as evidence of the official business of UNICEF. The archival material and records of UNICEF are not limited to those of Headquarters divisions/sections but include the archives and records of UNICEF offices away from Headquarters.

3. The archival material and records of UNICEF shall be inviolable and may not be destroyed or removed from any UNICEF premises without specific written authorization from the Records Management Unit. In due course, a Retention/Destruction Authorization Log reflecting agreed schedules for transfer and/or destruction of specified series of records will be issued as AI No. 359 Addendum 1. Common series identified as vital to the organization will be listed and special protection procedures set out in AI No. 359, Addendum 2.

4. UNICEF records may be made available to UNICEF/United Nations officials and other interested parties subject to any conditions under which the material was accepted by the Records Management Unit or the United Nations Archives.

UNITED NATIONS CHILDREN'S FUND

New York Headquarters

CF/AI/1983-359

Administrative Instruction 359

9 November 1983

TO: Members of the staff

FROM: Erich Buenger, Director
Division of Management Organization and Administration

SUBJECT: Procedural Guidelines for UNICEF Records and Archives

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1. Introduction

Pursuant to paragraph 1(a) of EXD-2867 of 9 November 1983, this instruction details the rules and procedures to be followed in respect of transfer, maintenance, custody and disposition of the archives and non-current records of UNICEF and also explains the guidelines concerning internal and public access to UNICEF records stored at the archives or records center.

I. Responsibilities of the Records Management Unit

2. Management and Preservation

The Records Management Unit shall establish procedures and monitor maintenance, preservation and repair of the archives and non-current records of UNICEF in co-operation with the United Nations Archives and shall arrange for the description of the archival groups and preparation of finding aids to make them available for use. In order to facilitate retrieval, the Records Management Unit will ensure that only properly described records are sent to storage areas and, where appropriate, that listing of all files is undertaken by the office from which records originate before transfer. The use of word processing equipment for this exercise will be encouraged.

3. Transfer of non-current records

When required, the Records Management Unit shall effect the mandatory transfer from Divisions/Sections and Units to the Records Centre or United Nations Archives for all non-current records which are more than three years old. It is the responsibility of the originating office concerned to complete the necessary forms. In exceptional cases where shorter or longer term retention periods are deemed desirable, a schedule mutually agreed upon between the Records Management Unit and offices concerned may be established. Agreements covering specific series will be reflected in the UNICEF Retention/Destruction Authorization Log to be updated and issued periodically as an addendum to this Administrative Instruction.

4. Conditions of access

The Records Management Unit shall make arrangements for access to archives and non-current records under the following conditions:

(a) Staff members of UNICEF may have access to archives and records necessary to the conduct of their official business except to those subject to restrictions imposed by the Secretary General or Executive Director.

(b) Members of the public may have access to - (i) archives and records that were accessible at the time of their creation; (ii) those which are more than 20 years old and which are not subject to restrictions imposed by the Secretary-General or Executive Director; (iii) those which are less than 20 years old and not subject to restrictions imposed by the Secretary-General or Executive Director on condition that the originating office has given written consent for access.

(c) Records as to which the Secretary-General, the Executive Director or their authorized representatives have imposed restrictions may be declassified at any time by the same authority. Records that remain restricted when transferred to the Archives will be declassified automatically or be subject to a declassification review when 20 years old. Those remaining restricted after 20 years shall undergo further declassification and review at 5-year intervals.

5. Disposal

With the agreement of the UNICEF work unit concerned, the Records Management Unit shall arrange for disposal of non-current records that have no further administrative, legal, historical or other informational value. When required, security arrangements will be undertaken in co-operation with the United Nations Archives. Offices away from Headquarters may follow the guidelines set forth in the Destruction/Retention Authorization Log which will be issued as an addendum to this Administrative Instruction.

II. Responsibilities of UNICEF Sections/Units at Headquarters6. Transfer of non-current records

UNICEF Sections/Units shall transfer their non-current records, to the UNICEF Records Center or United Nations Archives in accordance with predetermined disposition schedules, mutually agreed upon between the Records Management Unit and Sections/Units concerned. Prior to transferring their records, Sections/Units shall prepare them for transfer in accordance with the format established by the Records Management Unit (see Information Bulletin No. 83/64 of 28 September 1983). Listing of files will be completed using the word processor. The Documents and Reproduction Unit will make arrangements for the physical transfer of records, assign storage location and maintain a Log of Transactions.

7. Conditions for temporary retention

Sections/Units authorized to retain archives and non-current records beyond the normal three-year period for the conduct of their official business, shall establish suitable conditions for the preservation of these archives and records as approved by the Records Management Unit.

8. Disposal

Sections/Units shall not dispose of records in their possession without the written authorization of the Records Management Unit which will consult with the United Nations Archivist and other interested parties (i.e. UNICEF History Project) in questionable cases. The Records Management Unit may require samples of the records proposed for disposal to be sent to the Unit for review prior to authorizing disposal.

III. Responsibility of staff members9. Legal title to the records

All records regardless of physical form, created or received by UNICEF staff in connection with or as a result of the official work of UNICEF are the property of UNICEF.

10. Inviolability of records

Prior to separation from UNICEF or transfer to another post, staff members shall make arrangements for the transfer, through the Records Management Unit, of those records in their possession not retained for their successor and shall not remove any records from the UNICEF premises. The Records Management Unit may inspect all records of a staff member prior to separation from service. Staff members to be separated are entitled to have a reasonable number of unrestricted resource documents copied at their own expense, and to retain their private papers.

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IV. Archival Guidance to UNICEF offices away from Headquarters

11. The Records Management Unit shall provide guidance and set standards for the maintenance, preservation, repair, arrangement, description and disposal of, and public access to, the archives and non-current records of UNICEF offices away from Headquarters. In the event of the closure of an office, its archives and records shall be transferred to UNICEF Headquarters in accordance with procedures to be laid down after mutual consultation between the office and the Records Management Unit.

V. Explanation of terms

12. For the purpose of this instruction the following explanation of terms apply:

(a) records are all documentary materials i.e., correspondence, memoranda, cables, completed forms, reports, publications, documents, films, photographs, maps, sound recordings and machine-readable records regardless of physical type received or originated by UNICEF and staff, excluding "official United Nations documents" (for UNICEF, "official documents" generally refers to printed material covered by the "E/ICEF" and related series)

(b) non-records include library and exhibit material made or acquired and preserved solely for reference and exhibition purposes; extra copies of records retained solely for convenience or reference; stocks of publication, documents, reports, etc.

(c) vital records are those for which special security arrangements must be provided. In the event that a natural (fire, flood, etc.) or man-made disaster (sabotage, theft, accident) should destroy or seriously damage UNICEF premises, the vital records are those necessary to:

- (i) insure the essential functions of UNICEF
 - all records that would be needed to recreate the financial position at the time of the disaster
 - all records required by laws or agreements to which UNICEF may be subject.
- (ii) secure the interest of staff members;
- (iii) fulfil obligations to countries, projects and other outside interests; and
- (iv) regenerate information without which the organization cannot function.

(d) non-current records are those which are no longer needed for daily use in the transaction of official business but which should be preserved on a temporary basis because of administrative or legal consideration; the term

(e) archives applies to those records to be permanently preserved for their administrative, legal, historical or informational value;

(f) an archive group is a body of organizationally related records established on the basis of their origin;

(g) disposition is the action taken with regard to non-current records following their appraisal: including transfer to a temporary storage area (Records Centre), transfer to the Archives, reproduction on microforms or other media of storage and disposal;

(h) disposal is the act of the destruction of records by appropriate methods;