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A - K. Kozlov

A. Kozlov

26

End of Report

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I	Appraisal Workshop Paper		Date: 09 Sept 1993
	TABLE OF CONTENTS		Ref: IRM/RAM/93-145 Subj: AD-570/Stan
Para	Heading	Subjects	Page
I	INTRODUCTION/[table of contents]	RAM/93-190	
I-A	WHY worry about Appraisal	Historical, Current, Electronic	
I-A1	Electronic Records in the News "Government Told to Save Messages Sent by Computer - Historians Praise Ruling" - "Appeals Panel Rejects View That White House Should Decide"	NY Times Front Page 14 August 1993 [Court tells U.S. it must preserve E-Mail]	
I-B	Examples of Research use	Sample of Requests for UN Records	
I-B1	Internal UN Requests		
I-B2	External Requests for UN records		
I-C	Charts of Research use	External, Internal Requests	
II	WHAT do we do and HOW do we do it well? [Irrespective of Who does it]	Identify, apply Criteria, document decision and reasons See RAM/93-177	
II-A	Reference Works: Previous Discussions of Appraisal: Past is Prologue	See RAM/93-146	
III	APPRAISAL CRITERIA - "Considerations when determining what is saved and continually protected" Value: what do we look for?	Items that may be involved in Appraisal Decision See RAM/93-149	
III-A	Matrix: Intersection of Appraisal Values	See RAM/93-168	
IV	APPRAISAL WORK SHEET - Cover Sheet, Instructions and Sample/Draft Check list: for use in preliminary & final appraisal	See RAM/93-169	
IV-A	UNICEF Sample Appraisal Grid used for preliminary retention/disposal decisions	Years records must be kept and when must be reviewed.	
V	APPRAISAL REPORT [Draft] [RAM93-170]	Documents decision taken and reasons	
VI	TOOL - Assistance of decision process: Multiple Views, to be used irrespective of media of Storage	Draft: Functional Requirements for Appraisal Tool	RAM 93/167

I	DRAFT	RAM/93-190 13 Oct 1993
Introduction to the Appraisal Guidelines - workshop papers		

## **The approach**

The substance of these papers has been produced with a view that they are a "work in progress". All comments and suggestions on how to improve these background documents for use by those addressing related problems would be welcomed.

## **Why appraisal is important?**

Appraisal of records has been of concern to records managers, archivists, historians, office managers and others for a variety of reasons. Most recognize that even in the smallest collections it is useful to group the more valuable records for special protection. It has also been found useful to identify the most often reused non-current records in ways that allow for quick retrieval and links to other related information. As the amount of records have increased the need for effective strategies for appraisal has become more apparent to those with responsibility for this function.

The recent news stories concerning court cases related to electronic records [I-A] have increased the interest of upper level managers as well as decision makers in government or business and the general public. These articles dramatize the point that not all records can be destroyed; it is equally valid that not all records, whether paper or electronic, should be saved. Even if storage costs are not an issue, excess amounts of information becomes a burden on any system and retention decisions should not be made by default on the basis of space and age alone.

Since many institutions question whether there is historical value in their records, some charts compiling examples of research use of the UN records [I-B, I-C] were developed to give a quick idea of some of the uses made of non-current records.

## **What has been done on the Subject of Appraisal in the past.**

We have attempted to identify sources of previous discussions on this issue in the time available. As such the "Reference Work" [II-A] annex and the "Appraisal Criteria" [III] annex are compilations of issues and items that have come to our attention as we began to review Appraisal Criteria especially as they relate to electronic records. Again additions are welcomed.

## **What is needed for appraisal.**

In thinking about the subject we have attempted to identify in simple terms the main steps [II] of "What to Do": Establish Criteria, Implement Review, Prepare Report, Implement Recommendations. We further thought it useful to consider "How to do Appraisals well": Understand criteria, apply procedures and start with information that is known. This seems sensible irrespective of the

organization, the person responsible or the volume of records to be appraised.

**The Draft Appraisal Criteria:** A list of items to be considered.

After listing all of the different items/values suggested by the literature on Appraisal [III] we placed the items into nine main groups: Record Type, Importance of Activity, Main Subjects, Level of Office, Practical issues, Research considerations, Form and Format, Business Model, and Classical Appraisal Values. The cover sheet and Legend for this Annex were developed to assist the discussion and provide a way to consider which items might have greater priority when looking at specific records and which items might have more weight when decisions may be required.

### **Matrix**

The Matrix of Appraisal values [III-A] was developed for possible use when considering the impact of one group of appraisal item values on a second group. This exercise is necessary for establishing general appraisal rules, procedures or retention periods for specific records.

### **Work Sheet and Report**

A draft Appraisal Work Sheet [IV], Report [V] and Sample Appraisal Grid [IV-A] are provided for those who require some forms to consider for their specific records.

### **The appraisal Tool.**

Some initial thoughts were noted concerning the development of function requirements for an appraisal tool [VI] that would give some automated assistance to the:

- a) records creator/user for preliminary appraisal at an early stage in the life cycle through default programs and
- b) decision assistance support to the Information system administrator, Archivist and/or Records Managers throughout life cycle of the records.

This list would need to be refined after further consideration of the Appraisal Criteria [III] and the Matrixes [III-A].

### **Comments and Follow up:**

<b>Please send comments, questions and suggestions to:</b>	
Ms. Liisa Fagerlund -	FAX:212-963-8686; INTERNET:fagerlun@unicc.bitnet MAIL: UN Archives, PK-1200, NY USA 10017
Mr. Adhiratha Kevin Keefe -	FAX:212-326-7740; INTERNET:akeefe@unicef.org MAIL: UNICEF, 3 UN Plaza, H-3F, NY USA 10017

II	APPRAISAL - WHAT TO DO	Date: 10 Sept 1993
	and how to do it well	Ref: IRM/RAM/93-177 Subj: AD-570/Stand

WHAT TO DO		
1	Establish APPRAISAL Criteria	
a	identify generic decisions	
2	Implement APPRAISAL Review	
a	Describe records [e.g Originating work Unit and Series, Box, folder, or item/Image]	
b	Apply Appraisal Criteria	
3	Prepare APPRAISAL REPORT -	
a	Note: retention/review period and possible exceptions; if decision is applicable to broader or related category of records and if preliminary or final disposal decision recommendation	
4	Implement Appraisal Recommendations	
a	Use as basis of disposal and similar reports [Transfer of custody, further retention, special preservation or destruction]	

HOW TO DO APPRAISALS WELL		
1	ALL Understand Criteria and Apply procedures	
a	irrespective of who does initial or final appraisal	
2	Start with information that is known	
a	Make and document preliminary recommendations/decisions	
b	Revisit/revise decisions based on new information	

II-A		REFERENCE WORKS: Appraisal of Records (determining Value: "Past is Prologue" and Reference to Previous UNICEF responses on related Subjects)			Date: 02 September 1993 Ref: IRM/RAM/93-146 Sub: AD-570/REF?		
No.	Title of Reference	Source	Document number	pages	RAM Folder	Comment	
1	Archival appraisal of records of international organizations: A RAMP study with guidelines	Gen Info Prog & UNISIST: UNESCO	PGI-85/WS/4 Paris 1985	99 p.	AD-570/ RAMP- GUIDE	Statment of standard archival methodology and its application in international organizations.	
2	ICA/SIO Recommendations on Appraisal 1979, 1983, 1986 [International Council on Archives/Section of Archivists of International Organizations]	ICA/SIO Section Handbook	1st edition, 1991	I.10. 1979, 1983, 1986			
3	The Appraisal of Modern Public Records by T.R.Schellenberg in "The Modern Archives Reader"	USA National Archives & Records Service,	ISBN 0-11333-12-6, Chapt 3	14 p.		Primary, Secondary, Evidential, Informational Values; Test Reasons, form & importance	
4	Appraising Machine Readable Records - Charles M. Dollar in "The Modern Archives Reader"	USA National Archives & Records Service,	ISBN 0-11333-12-6, Chapt 3	9 p.			
5	Appraisal Standards by T.R. Schellenberg in "Modern Archives: Principles and Techniques- Chapter XII"	University of Chicago Press	page 133 to 160	28 p. pp 133 -160			
6	Archives & Manuscripts: Appraisal & Accessioning by Maynard J. Brichford [1977]	Society of American Archivists [SAA]	Basic Manual Series	24 p.	Ad-571		
7	Pease Award: Transcendent Concepts: Power, Appraisal, and the Archivist as "Social Outcast" - Roy C. Schaeffer	American Archivist	Vol 55/Fall 1992	12 p. pp.608 -619	AD-570 /Stand		
8	Appraisal Standards - "Separating Records" [definition of terms and appraisal Grid of retention times]	UNICEF Information Circular	CF/IC/19 86-112	8 pages	AD-570 /Stand		

II-A		REFERENCE WORKS: Appraisal of Records [determining Value: "Past is Prologue" and Reference to Previous UNICEF responses on related Subjects]			Date: 02 September 1993 Ref: IRM/RAM/93-146 Sub: AD-570/REF?		
No.	Title of Reference	Source	Document number	pages	RAM Folder	Comment	
9	Records Inventory, Appraisal, Review & Retention	UNICEF Policy & Procedure Manual - Admin Chapter 10.4	CF/MN/P. J/10.4	28 pages	IN-820/CF/MN/P.J		
10	Sharing Common premises and Services in the UN System - A statement by Executive Heads [UNICEF, UNDP, UNFPA, WFP]	Joint Consultative Group on Policy (JCGP)	CF/EXD/1 988-2921	3p. + 2p. Cover	AD-252	Policy, procedures for Review, Common Premises & Services	
11	Problems of Storage and its costs in organizations of the United Nations Systems (JIU/REP/86/9) & (JIU/REP/87/6)	UN Joint Inspection Unit	A/41/806 A/42/724 & Corr.1		AD-250 /ER-400 /JIU	Warehousing, Storage Costs, Possible Solutions	
12	PREVIOUS UNICEF Responses on related subjects: Storage, Archives etc See document RAM/93-055						

III			APPRAISAL CRITERIA Items that may be considered in Value decisions				Date: 07 Sept 1993		
			Cover Sheet & LEGEND				Ref: IRM/RAM/93-149 Subj: AD-570/Stand		
Para	Pri	Wei	Item Title	Description or Examples	Type Value			Time frames	Decision/Expl
			MAIN ITEMS = CAPS, Sub Items = Upper/Lower Case		P	E	I	Range of Time record might be kept and reference to rules that apply. TRT = Total Retention Time	Decision or Explanation. FRN = further research is necessary, SA = See attachment
	#		Weight = Importance						
	#		Priority = Order in which item is considered						
A	Para = Paragraph Number [see page two for details & main Subjects								
<p align="center">Classical Appraisal Value Considerations [PRIMARY, EVIDENTIAL, INFORMATIONAL]</p> <hr/> <p>P: Primary Value derives from agency need. The fact that it is needed in the conduct of agency affairs gives it sufficient value in and of itself for initial retention. Only requires further measurement if need is extended beyond primary need for Administrative, legal or Fiscal Value. However once this need has been protected (eg kept for 4-10 years) then the decision on further evidential or informational value must be confirmed before disposal. "Records having primary value satisfy, singly or in combination, the current administrative, legal, fiscal and other operating needs of the agency that created them." Ref: UNESCO PGI-85/WS/4 p.14</p> <p>E: Evidential Value. "Records having evidential value are those that allow the reconstruction of an agency's history, its origins, structure, goals, decisions, procedures, operations and accomplishments." Ref: UNESCO PGI-85/WS/4, p.16</p> <p>I: Informational Value is determined relative to the records exploitability by agency users or Future researchers irrespective of the original reason the records were created, collected or maintained. "Informational value derives .....from what the organization has collected on persons, places, events and things in the course of its operations" Ref: UNESCO PGI-85/WS/4 p.19.</p>									
<p>"F" = Facilitative,          "S" = Substantive &amp; number of years recommended for retention.          "Rev" = review for additional time in non-current record storage. Long term archival value must be considered Before final disposal. i.e the          "Informational Value" to the Agency and the international community weighed along with cost of preserving records. Consolidation may be proposed</p>									



2 - note H - Detail - A

III			APPRAISAL CRITERIA - Items that may be considered in Value decisions. Table of Contents [ & Summary Sheet - Main Items]					Ref: IRM/RAM/93-149 Subj: AD-570/Stand	
Para	Pri	Wei	Item Title	Subjects Covered	Type Value			Time Frames	DETAILS
					P	E	I		
A			RECORD TYPE	Policy, Precedent, Legal; Routine Operational [transactional]; Background; & Information copies					page 3
B			IMPORTANCE OF ACTIVITY Documented	Facilitative, Substantive [See also "D" Level of Office]					page 3
C			MAIN SUBJECTS of Special Interest	office record destroyed, special events, projects or scholarly research projects, emergency operations			I		page 4
D			LEVEL OF OFFICE Keeping the Record	Policy Authority: making, interpreting; implement; Position in Hierarchy; Importance of Function					page 4
E			PRACTICAL CONSIDERATIONS	uniqueness, adequacy, substitution, summarization, scarcity, aggregates, duplication, preservation cost, arrangement, restrictions, probability continued preservation, convertible, information concentration, age					page 6
F			RESEARCH Considerations	Importance, Accessibility of Research to others etc.					page 7
G			FORM & FORMAT (media of Storage) Unconventional	Art, Music, Audio, Video, Film, Photo, Exhibits and charts, maps					page 8
H			BUSINESS MODEL and Information Systems Planning	Process, Organization Structure, Function, Entity, Data Classes, Systems, Product [output] and Data Stores					page 8
J			CLASSICAL APPRAISAL VALUES	Primary, Evidential, Informational					page 8

III			Appraisal Criteria - Items considered for Value decisions				Ref: IRM/RAM/93-149		
Para	Pri	Wei	Item Title	Description or Examples	P	E	I	Time Frame	Decision/Expl
A			RECORD TYPE	See details below					
A1			Policy, Precedent	Policy, Procedure, + exceptions, legal & precedent setting action/decision				F= 10 + rev S= 15 + rev	
A2			Routine * (Transactional)	Operational, Administrative, Financial - commitment of funds, case files, acknowledgement of actions or requests					
A2a			Administrative	Operational, case files,				F= 4-7 S= 4-7 +rev	
A2b			Financial	commitment of funds, case files				F= 4-10 S= 4-10+rev	
A2c			Acknowledgement	of actions or requests				F= 5 S= 5 +rev	
A3			Background	Reference, Product literature, research notes, hand books and news clippings - usually not organization produced				F=1-3 S=3-8+rev	
A4			Temporary	Information circulars, and widely circulated convenience copies - information of short term use]				F=1 S=1 +rev	
B			IMPORTANCE OF ACTIVITY	DOCUMENTED [see details below]					
B1			Facilitative	support or promote or make easier main activities; e.g. housekeeping records [usually include routine administrative, financial and other such records as ordering supplies and maintaining accommodations]					

III			Appraisal Criteria - Items considered for Value decisions				Ref: IRM/RAM/93-149		
Para	Pri	Wei	Item Title	Description or Examples	P	E	I	Time Frame	Decision/Expl
B2			Substantive	Areas of primary importance to agency mandate and mission, such as main programme activities. Have a great potential to be kept permanently. Usually unique to Agency and distinguish Agency from other organization with a different mandate.					
C			MAIN SUBJECTS of Special Interest	May be useful where originating office record has been destroyed or for special events, projects or scholarly research projects (see also E.2).					SA
C1			SUBJECTS: originals destroyed	Better records from Substantive activities may not exist. So facilitative records may be accepted. If subject is important enough or in case where all records of country were destroyed by natural or human disaster. "Country records" <i>Should be reviewed</i>					SA
C2			SUBJECTS: Special Year or project	eg. International year of the Child, World Summit for Children. The "housekeeping" or administrative - financial records might be useful in planning for future similar events and therefor may not all be disposed when their primary value is fulfilled					SA
C3			SUBJECTS: Governmental or other Cooperation	for special/scholarly research projects (see also E.2).e.g. demonstrates international cooperation, trends in economic development, Country relations. "Selection of Executive Head", "Corridors of Peace".					SA

C. Appraisal Criteria - Items which may be considered for Value decisions								Ref: IRM/RAM/93-149	
Para	Pri	Wei	Item Title	Description or Examples	P	E	I	Time Frame	Decision/Expl
C3a			Emergency Operations	may necessitate forgo keeping some records due to danger to staff or other more important records					
C4			Special Research	may require keeping operational records that would usually be disposed. Request may be received from outside agency. See also F "Research Considerations"					
D			LEVEL OF OFFICE	KEEPING THE RECORD [See details below]					
D1			Policy Authority	Relationship of Office to establish[ed] policy & procedures					
D1a			Policy Making	e.g. Head of Office or work unit assigned responsibility for policy					
D1b			Policy interpreting	e.g. work units assigned responsibility for drafting/implementing procedures or approving exceptions which may be precedent setting					
D1c			Implementation	e.g. operational units					
D1d			Informational outlets	e.g. standard distribution or public inquiry units					
D2			Position in Organizational Structure	Relationship/Influence on main decision makers. Executive Head and or governing board. Visibility - perceived influence.					SA
D3			Relative Importance of Function	To success of main Goals of Agency and partners					SA
D3a			Political Areas	Executive Planning, Programmes					
D3b			Administrative	Supplies, Logistics, Office management					

C. Appraisal Criteria - Items which may be considered for Value decisions								Ref: IRM/RAM/93-149	
Para	Pri	Wei	Item Title	Description or Examples	P	E	I	Time Frame	Decision/Expl
D3c			Coordination	Meeting Services, General Assembly or Governing/Executive Board Affairs					
D3d			External Relations	and public information/publications					
E			PRACTICAL CONSIDERATIONS	uniqueness, adequacy, duplication, preservation cost, arrangement, restrictions					
E1			Uniqueness	Relative to content or physical (see below)					
E1a			Adequate Document = reflects its intent	Content -accurate information from the specific record including completeness					
E1b			Adequate Document = Substitution for another record	Content - Ability to use the record to fill in information gaps for other records not available. [inadequacy of primary sources] e.g. records that should have been preserved elsewhere. Due to natural or man made disaster or politics original or other more important records destroyed. e.g. records for some developing countries					
E1c			Same Record Kept Elsewhere	Similar record may serve purpose if: a) available b) desirable arrangement c) good cost of preservation d) will be preserved e) able to validate data e.g Technical Assistance file.....					
E1d			Summarization - reputable	Adequate summarization in source or publication elsewhere					
E1e			Scarcity						
E1f			Peripheral material						

C. Appraisal Criteria - Items which may be considered for Value decisions								Ref: IRM/RAM/93-149	
Para	Pri	Wei	Item Title	Description or Examples	P	E	I	Time Frame	Decision/Expl
E2			Preservation Cost						
E2a			Probability continue preservation	Organization continue to pay					
E2c			Information Concentration Ratio	Ratio of useful information in record compared to total volume [see also probability of converting of useful information]					
E2d			Age of material	Condition [deterioration]					
E3			Arrangement	and Accessibility of Data. Showing how this or other data was collected. Validates the process?					
E3a			Convertible	Data in form that can easily be converted to new systems					
E3b			Conversion probability	probability that data will be converted to new systems or old readers etc maintained.					
E4			Restrictions on Use	Security?					
E4a			Personnel Records	If can't guarantee confidentiality is it better to destroy?					
E4b			Conditions of deed or Gift, mandate.	Donor or Authorizing Body conditions imposed.1					
F			Research Considerations						
F1			Importance of Research						
F1a			Research - accessibility?	Likely hood that research will be published or made widely available to others					
G			FORM & FORMAT [media of storage] Unconventional	Art, Music, Audio, Video, Film, Photo, Exhibits and charts, maps, [See also G]					

See H - A

III			Appraisal Criteria - Items considered for Value decisions					Ref: IRM/RAM/93-149	
Para	Pri	Wei	Item Title	Description or Examples	P	E	I	Time Frame	Decision/Expl
G1a			Special Considerations	for evaluating Art/Music to be protected/retained					
G1a1			Conditions of receipt	Circumstances/Symbolic value					
G1a2			Relation to goals	of agency					
G1a2			Status of Artist/person/group making/receiving presentation						
G1a3			Aesthetic Quality of Art work						
G1a4			Probability of Display/use - how often	(compared to cost of preservation see above)					
G1a5			Use by External Researcher						
G2			Considerations due to media	or specific type of work					
G2a			Can Work be recorded in different format	And retain essential value, slide of art, CD-ROM for wider distribution?					
G2a1			Can work be preserved/used elsewhere	Can another institution make better use. Consider offering to original or donating organization/individual if would be better preserved.					
G2b			Art						
G2c			Music						
G2d			Audio						
G2e			Video-Film						
H			BUSINESS MODEL and Information systems planning	Process, Organization Structure Function, Entity, Data Classes, Product [outputs]					

III			Appraisal Criteria - Items considered for Value decisions					Ref: IRM/RAM/93-149	
Para	Pri	Wei	Item Title	Description or Examples	P	E	I	Time Frame	Decision/Expl
H1			Process = groups of logically related decisions & activities required to manage resources of organization	An activity which receives, transforms, and outputs data, represented on a Data Flow Diagram [DFD] by a rectangular box. A DFD process may be shown in greater detail by decomposition, i.e. breaking it down in to further processes.					
H2			Organizational Structure [note also "D Level of Office keeping Record"]	Usually linked to Processes and identified as: a) Major responsibility & decision maker; b) Major involvement in Process; c) some involvement in process					
H3			Function [process group = similar patterns of data usage]	A design object which represents a group of closely related processes within a system. Convenient for describing system or for analysis work, review, testing [appraisal decisions?]					
H4			Entity = Something about which data can be stored and uniquely identified of lasting interest to an organization	Can be internal or external to Organization: person, place, thing, concept or event. [real-world object or concept, about which a system maintains some data]					
H4a			Data Class = a category of information about an entity or a logical grouping of data related to things [entities] that are significant to the organization. To assign responsibility for data integrity classes should be defined as being created by only one process.	Represent data that must be available for business activities and decision making. Not represent a particular format [e.g., report or display] of how currently being used. [Some may be automated, some automated and some at present not recorded at all] Data can be required by a process and can be created by a process.					
H5			System	Group of procedures etc. which support an organization processes					



III			Appraisal Criteria - Items considered for Value decisions					Ref: IRM/RAM/93-149	
Para	Pri	Wei	Item Title	Description or Examples	P	E	I	Time Frame	Decision/Expl
H6			Product [outputs] Represents information from an application being sent to a user (via screen or other device e.g report on printer	Data Stores: Design object represents store of information: non-transient computer maintained data [curent & historical]; transient data [e.g. batches of transactions or manually maintained [e.g. manual ledgers]					
J			CLASSICAL APPRAISAL VALUES	See definition on Legend page					
J1			Primary Value	Derives from Agency need: Current admin, legal, fiscal and other operating needs					
J2			Evidential Value	Allow reconstruction of Agency history, origins, structure, goals, decisions, procedures, operations & accomplishments					
J3			Informational Value	Persons, places, events & things in course of agency operations.' Exploitability irrespective of original reason collected.					

III-A				MATRIX of A P P R A I S A L Values																Date: 9 Sept 1993 Ref: IRM/RAM/93-168 Subj: AD-570/Stand									
				Table of Contents [ & Summary Sheet - Main Items] see also "III Appraisal Criteria" and Legend [IRM/RAM/93-149]																									
P a r a	A RECORD TYPE				B IMPORT ANCE OF ACTIV ITY		C MAIN SUBJECTS				D LEVEL OF OFFICE			E PRACTICAL CONSIDERATION				F RESEAR CH Consid er		G FORM & FORMAT		H BUSINESS MODEL				J Classical Appraisal Values			P a g e
	A 1	A 2	A 3	A 4	B 1	B 2	C 1	C 2	C 3	C 4	D 1	D 2	D 3	E 1	E 2	E 3	E 4	F 1	F 2	G 1	G 1	H 1	H 2	H 3	H 4	J 1	J 2	J 3	
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Possible uses of Matrix - conceptual design tool			
1	Compare where one Value Known will identify other values		
1a	Set up rules based on interrelationship of Values		
2	Identify what exceptions will change usual retention for item		
2a	If conditions met for one Value, What other condition must also be satisfied		
3	Designing Multiple Views. Start where values are known [entry point for appraisal] revise as additional information becomes available.		

III-A					Matrix of A P P R A I S A L Values														Ref: IRM/RAM/93-168 Subj: AD-570/Stand													
P a r a	A RECORD TYPE				B IMPORT ACTIV		C MAIN SUBJECTS				D LEVEL OF OFFICE			E PRACTICAL Consideration				F Resear ch		G FORM& 4-mat		H BUSINESS MODEL				J Classical Appraisal			P a g e			
	A 1	A 2	A 3	A 4	B 1	B 2	C 1	C 2	C 3	C 4	D 1	D 2	D 3	E 1	E 2	E 3	E 4	F 1	F 2	G 1	G 1	H 1	H 2	H 3	H 4	J 1	J 2	J 3				
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III-A					Matrix of A P P R A I S A L Values														Ref: IRM/RAM/93-168 Subj: AD-570/Stand										
P a r a m e t e r	A RECORD TYPE				B IMPORT ACTIV		C MAIN SUBJECTS				D LEVEL OF OFFICE			E PRACTICAL Consideration				F Resear ch		G FORM& 4-mat		H BUSINESS MODEL				J Classical Appraisal			P a g e
	A 1	A 2	A 3	A 4	B 1	B 2	C 1	C 2	C 3	C 4	D 1	D 2	D 3	E 1	E 2	E 3	E 4	F 1	F 2	G 1	G 1	H 1	H 2	H 3	H 4	J 1	J 2	J 3	
D 3																													4
E																													6
E 1																													6
E 2																													6
E 3																													6
E 4																													6
F																													7
F 1																													7
F 2																													7
G																													
G 1																													
G 2																													
H																													8
H 1																													8
H 2																													8

III-A					Matrix of A P P R A I S A L Values														Ref: IRM/RAM/93-168 Subj: AD-570/Stand										
P a r a m e t e r	A RECORD TYPE				B IMPORT ACTIV		C MAIN SUBJECTS				D LEVEL OF OFFICE			E PRACTICAL Consideration				F Resear ch		G FORM & 4-mat		H BUSINESS MODEL				J Classical Appraisal			P a g e
	A 1	A 2	A 3	A 4	B 1	B 2	C 1	C 2	C 3	C 4	D 1	D 2	D 3	E 1	E 2	E 3	E 4	F 1	F 2	G 1	G 1	H 1	H 2	H 3	H 4	J 1	J 2	J 3	
H 3																													B
H 4																													B
J																													B
J 1																													B
J 2																													B
J 3																													B

IV	APPRAISAL Work Sheet		Date: 08 Sept 1993
	Cover Sheet & Instructions [See IRM/RAM/93-149 for Appraisal Criteria Legend & explanation of terms]		Ref: IRM/RAM/93-169 Subj: AD-570/Stand
Step			Example or Description
1	APPRAISAL IDENTIFICATION		
a	Fill in Appraisal Year & Number "CF/APP/"	CF/APP/1993-002	
b	Model decision that can be used as template	Model Decision, no exceptions noted	
c	Note other related Appraisals that will be/were considered	CF/APP/1992-052 CF/APP/1990-054	
2	DESCRIPTION OF RECORDS [note all that apply]		Records to be Appraised
a	Originating work Unit Archive Code & Valid date:	CF/NYH/01.AB 01-01-1989	
b	Accession Number: [part or all]	87R007 [Part]	
c	Series: Code or Number: [part or all]	CF/NYH/01.A.B 1987 AD [Part]	
d	Box: Year & Number: [part or all]	CF/NYH/01.A.B 1992-003 [Part]	
e	Folder: Year and Code: [part or all]	CF/NYH/01.A.B 1987 - AD-200 [All]	
f	Item: Registry Code/Year/Number		
3	APPRAISAL CRITERIA		IRM/RAM/93-149
a	Refer to Appraisal Criteria, Note paragraphs that apply & exceptions	Attach work sheet or notes	
4	APPRAISAL REPORT -		See IRM/RAM/93-170 for Report format
5	IMPLEMENT APPRAISAL RECOMMENDATIONS		See IRM/RAM/93-170 for Report format



**UNICEF FIELD MANUAL**  
**ADMINISTRATION**

Section: 10.4

BOOK J

Page: 27

**APPENDIX C**  
 (page 1 of 2)

**APPRAISAL for - Total Retention Time (TRT)**

VALUE = TYPE of record + IMPORTANCE of activity documented

TYPE OF RECORD	IMPORTANCE: (of activity)	
	<u>FACILITATIVE</u> (support/promote main activities e.g. housekeeping records)	<u>SUBSTANTIVE</u> (Unique to UNICEF mandate and mission main prog. activ.)
<b>POLICY, PRECEDENT</b> (Evidence of policy, procedure + exceptions, legal & precedent setting action/decision)	10 + rev*	15 + rev*
<b>ROUTINE, (TRANSACTIONAL)</b> (Operational, commitment of funds, case files)	4-10	4-10 + rev*
Admin	4-7	4-7 + rev*
Financial	4-10	4-10 + rev*
Acknowledgement (actions or requests)	2-5	5 + rev*
<b>BACKGROUND</b> (Product literature, research notes, news clippings - usually not UNICEF produced)	1-3	3-8 + rev*
<b>TEMPORARY</b> (Information circulars, convenience copies - widely circulated of short term use)	1	1 + rev*

\* rev = review for additional time in non-current storage. If retention time beyond 10 years is agreed for routine or background records consolidation may be considered. During the review for long term archival value to UNICEF, consideration is given to the information the records may contain concerning people, places, things and phenomena of interest to future researchers. This "Information Value" for UNICEF purposes and the international community is weighed along with the cost to UNICEF of maintaining the records before a decision on disposal is made.

<b>IV-A</b>	<b>UNICEF SAMPLE APPRAISAL GRID</b> used for preliminary retention/disposal decisions	Date: 10 September 1993 Ref: IRM/RAM/93-145 Sub: AD-570/Stan 176
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**UNICEF FIELD MANUAL  
ADMINISTRATION**

Section: 10.4

BOOK J

Page: 28

APPENDIX C (page 2 of 2)		
APPRAISAL for - Total Retention Time (TRT)		
Percentage and Time in Areas*		
TYPE OF RECORD	IMPORTANCE: (of activity)	
	FACILITATIVE 80%	SUBSTANTIVE 20%
<b>POLICY, PRECEDENT</b> (5%)	(5 oa + 5 as + rev) (4%)	(5 oa + 10 as + rev) (1%)
<b>ROUTINE, (TRANSACTIONAL)</b> (60%)	(48%)	(12%)
Admin	(3 oa + 1-4 rc)	(3 oa + 1-4 as + rev)
Financial	(3 oa + 1-7 rc)	(3 oa + 1-7 as + rev)
Acknowledgement of Requests	(2 oa)	(3 oa + 2 rc + rev)
Acknowledgement of Actions	(3 oa + 2 rc)	(3 oa + 2 rc + rev)
<b>BACKGROUND</b> (15%)	(1-3 oa) (12%)	(3 oa + 5 as + rev) (3%)
<b>TEMPORARY</b> (20%)	(1 oa) (16%)	(1 oa + rev) (4%)
<p>* % = Percentage (Guess &amp; estimate) of total record volume.  oa = Years in Office Area  rc = Years in Record Centre (non-current record storage area)  as = Years in Archival Storage (vital and archival storage - security area, may be separate part of non-current storage area)</p> <p>See Also: "Definitions" Sect. 10.1 and "Useful Phrases" Sect. 10.1 Appendix C</p>		



V	APPRAISAL Report	Date: 09 Sept 1993
	C o v e r   S h e e t   &   I n s t r u c t i o n s	Ref: IRM/RAM/93-170 Subj: AD-570/Stand
	Step	Example or Description
1	APPRAISAL IDENTIFICATION	SEE RAM/93-169
2	DESCRIPTION OF RECORDS	See RAM/93-169
3	APPRAISAL CRITERIA	See RAM/93-149
4	APPRAISAL REPORT -	
a	Note suggested disposal decision including retention/review period and possible exceptions [e.g what in subset needs further special appraisal]	Keep 5 years. Review with originating office. Emergency items might be kept
b	Note if decision is applicable to broader or related category of records	All folders in box may have same retention period. Possibly similar series in work unit.
c	Note if preliminary or final disposal decision recommendation	Preliminary. Review again December 1998
d	Note title, name & date of individual making recommendation	Pratap Edward Bushek, Senior RAM Assistant, 08 September 1993
e	Note title, name and date of Individual approving recommendation	Adhiratha Kevin Keefe, RAM Officer, 10 September 1993
5	Implement Appraisal recommendations	
a	Basis of Disposal and similar reports	<ul style="list-style-type: none"> <li>o Further retention</li> <li>o Transfer of custody</li> <li>o special preservation</li> <li>o Alternate media of storage/conversion</li> <li>o destruction authorization</li> <li>o destruction certification</li> </ul>

VI			Functional Requirements for Appraisal Tool [Decision Assistance and Documentation]	Date: 03 August 1993 Ref: IRM/RAM/93-167 Sub:
Para	Pri	Wai	Requirement or Specification	Details or comments
1			The Goal of Tool is:	
1a			to assist pick/or fill in information concerning the item or grouping	(description of item or grouping important)
1b			to give a suggested retention period for a series, folder or record item - irrespective of Box stored or Shipment/Accession	retention period will be based on choices selected in F1
1c			to provide [printed] Reports showing decision and reasons for decision and exceptions that were considered.	[choices selected and any narrative reflecting interpretation]
2			CONSIDERATIONS/EXCEPTIONS/ASSUMPTIONS	Process of elimination
2a			The Question: "Are there exceptions" must be posed at regular intervals	If answer "there are no exceptions" then proceed. If yes then different schedule may apply
2b			When making selections it may also be necessary to determine what item or group is not.	In some cases this will eliminate a whole set or subset of Questions from consideration
2c			Decision at lowest level would cascade up to higher level for longest date.	Box to Shipment Folder to Box and Folder to Series
2d			Decision at higher level could cascade to lower level.	
2e			Exception Question must be raised for F0c and F2d: Do all Records in this Box or Series conform to the Series Description.	If some records do not: Identify which ones and begin Appraisal Process for exceptions.
3			BUSINESS MODEL & Process/Function/Product/Entity orientated	Values can be assigned to items or groups of items [Series]

VI			Functional Requirements for Appraisal Tool [Decision Assistance and Documentation]	Date: 03 August 1993 Ref: IRM/RAM/93-167 Sub:
Para	Pri	Wei	Requirement or Specification	Details or comments
3a			Appraisal Values could be related to Information Products which are "linked" to: functions and/or Processes (& reverse) or Entities [and all Functions/Process performed]	If assigned to Entities they might have impact on retention times related to function/processes.
4			MULTIPLE VIEWS AND LINKING VALUES. Matrix Considerations	Multiple ways to begin appraisal.
4a			Criteria would be linked and cross checked as they are applied to item.	Values would be challenged or refined as different retention values were suggested by conflicting rules.
4b			Need to be able to appraise, based on what ever is known at the time about item. Later consider subset or additional information.	
4c			Need to be able to apply what ever criteria is available. Later revise based on new or more detailed criteria.	Decision would be suggested based on what known