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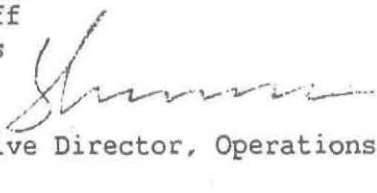
EXECUTIVE DIRECTIVE

CF/EXD/90-002
1 February 1990

For Action and
Information

ENGLISH ONLY

To: Heads of Offices
Executive Staff
Section Chiefs

From: Karin Lokhaug 
Deputy Executive Director, Operations

Subject: Organisational Filing Scheme

Introduction

Most UNICEF staff spend a good amount of their time manipulating UNICEF records. It is generally felt that this area is one where large improvements in productivity and work effectiveness are possible. After a review of the need for a standard organisational filing scheme with IRM Office and NY Directors, I have decided to proceed with the implementation of such a scheme for UNICEF.

This note explains the rationale for this work and the plan of action for its implementation. IRM Office will lead this work, and I ask you to give every co-operation to this endeavour.

This work will require management commitment and the devotion of effort at the sectional, divisional and office level if results are to be achieved. However, I believe that UNICEF has come to a point in its development when a standardised records management scheme is needed.

An important principle to bear in mind is that records do not belong to individual staff members, but to the organisation. Thus they should be managed accordingly.

Reasons for a standard filing system

The benefits of a standard filing scheme are to:

Ensure that all UNICEF offices and divisions maintain mandatory files.

Help familiarisation of staff rotated between offices and divisions, as well as trainees, consultants, auditors and those covering for colleagues on leave.

Reduce staff time, costs of filing and retrieval of information, as well as reducing the space and related costs needed for files and related documents.

Facilitate the storage and retrieval of information within and between offices/divisions. Enables one division or section to know what files are maintained by another division/section, and therefore, avoids the maintenance of duplicate information and enables divisions to request others for needed information.

Enable/facilitate the setting of archival standards and their implementation.

Enable linkage between correspondence registry (logging of outgoing, incoming and internal correspondence) with files and with archives.

Set the prerequisites for electronic filing and processing of text based information, and construction of standard electronic systems to support records management.

Elements of an organisational filing regime :

The element of an organisational filing regime are reflected in the accompanying chart and are as follows:

1. Standards for registry of outgoing and incoming correspondence and their relationship to follow up action and filing.

UNICEF has recommended standards in the Administrative Manual and a 1984 EXD on "Establishing functions in UNICEF Offices", which has been found useful. However, this recommendation is not completely followed in NYHQ or other offices. A standard system facilitates the filing and retrieval of records.

2. Identification of standard file series.

The major terms for a Global Classification Guide (GCG) for file series was included in the Administrative Manual. Some elaboration of this has been done on an ad-hoc basis with divisions. The results are summarised in Annex I. Most UNICEF divisions and offices have not used this scheme, and it needs to be reviewed for relevance and simplicity.

3. Standard list of subjects.

The subject terms are to be used to describe the file series and thus, aid searching and retrieval of records. UNICEF has a Thesaurus of terms, but this covers programme subjects better than other subject areas. Even the programme subject terms need updating for the new programme codes etc.

4. Appraisal criteria applied to file series.

Criteria have been specified when records are transferred to archive, and precedents are recorded for future use. A financial circular covers the criteria for major financial records, and a Supply instruction does the same for major supply records. When the file series are determined, appraisal criteria need to be developed in association with each one.

5. Standard support systems for records management.

IRM is in the process of developing computerised systems for registration of file series and archive management. This will allow sections/divisions to see what files are maintained in other divisions. Also, in April - July 1990, NYHQ will start to implement a computerised system for logging and tracking of correspondence. This will enable correspondence to be registered and tagged and notified by electronic-mail (WangOffice) to those who need to action it. In 1991 PC systems to support similar functions will be developed for introduction to field offices.

Action Plan

1. Early in 1990, implement the acquired package for NYHQ computerised logging and tracking of correspondence:

- Pilot implementation, about 100 users. (April - July 1990)
- Evaluate pilot for rest of NYHQ and make adjustments as necessary. (July 1990)
- Extend to full implementation. (August 1990 - March 1991)
- Consider to capture correspondence images electronically for transfer to action points. (June - December 1991)

2. Review the Global Classification Guide (GCG) for file series, and produce a revised one, as follows:

- Three HQ division were selected for initial review: Programme Division will be one of these, since it will help with an early field office review of proposed file series. Other Divisions selected were ID/DPA and Personnel. The Office of the Secretary of the Executive Board will be reviewed in October 1990.
- For each divisional review exercise, establish a team of divisional staff, including one senior person to oversee and one IRM advisor. Divisions will need to dedicate 1 GS staff member, or one short-term assistant for some months (larger divisions 6 - 8 months, smaller divisions 4 - 6 months). (February 1990)

- A preliminary appraisal, identification of major file series existing in each section and identification of existing major difficulties. (February - March 1990) List file titles where required. (April - May 1990)
- Formulate a revised Global Classification Guide (GCG), taking into account the previous GCG and existing files and problems. This process will be aided by use of the IRM developed computerised system for expressing GCG. (June - August 1990)
- Sort existing files into newly defined ones, and retire old files. (September 1990 - January 1991)
- Repeat the above steps for remaining HQ divisions as previous divisions complete their exercises and IRM resources are freed up to assist. (expected October 1990 - August 1991)

Note, that each divisional exercise will focus on the file series for which that division is functionally responsible. Files relating to other functional areas will wait for the determination of the related division. When that occurs, IRM will circulate these to the divisions so that they can, in this manner, gradually review and replace all their files with the new standard.

- A few pilot field offices will be asked to comment on proposed file series classifications. (July - October 1991)

3. After they have determined their file series, functional divisions to determine mandatory as opposed to discretionary files for all divisions and offices. For each file series, propose appraisal criteria for review, retention and destruction of records. (finalised for all divisions by end September 1991)

4. IRM Office to formulate guidelines for the implementation of the standard organisational filing system. This will be done incrementally, as each division completes its exercise. Generic training packages for all new staff will be developed with the Training Section for inclusion in orientation programme. This will include list of standard document series and types of general information which need not be filed by individual units. (to be completed by end October 1991)

5. IRM to complete a PC system to support field offices registration and control of files. (November 1990 - August 1991)

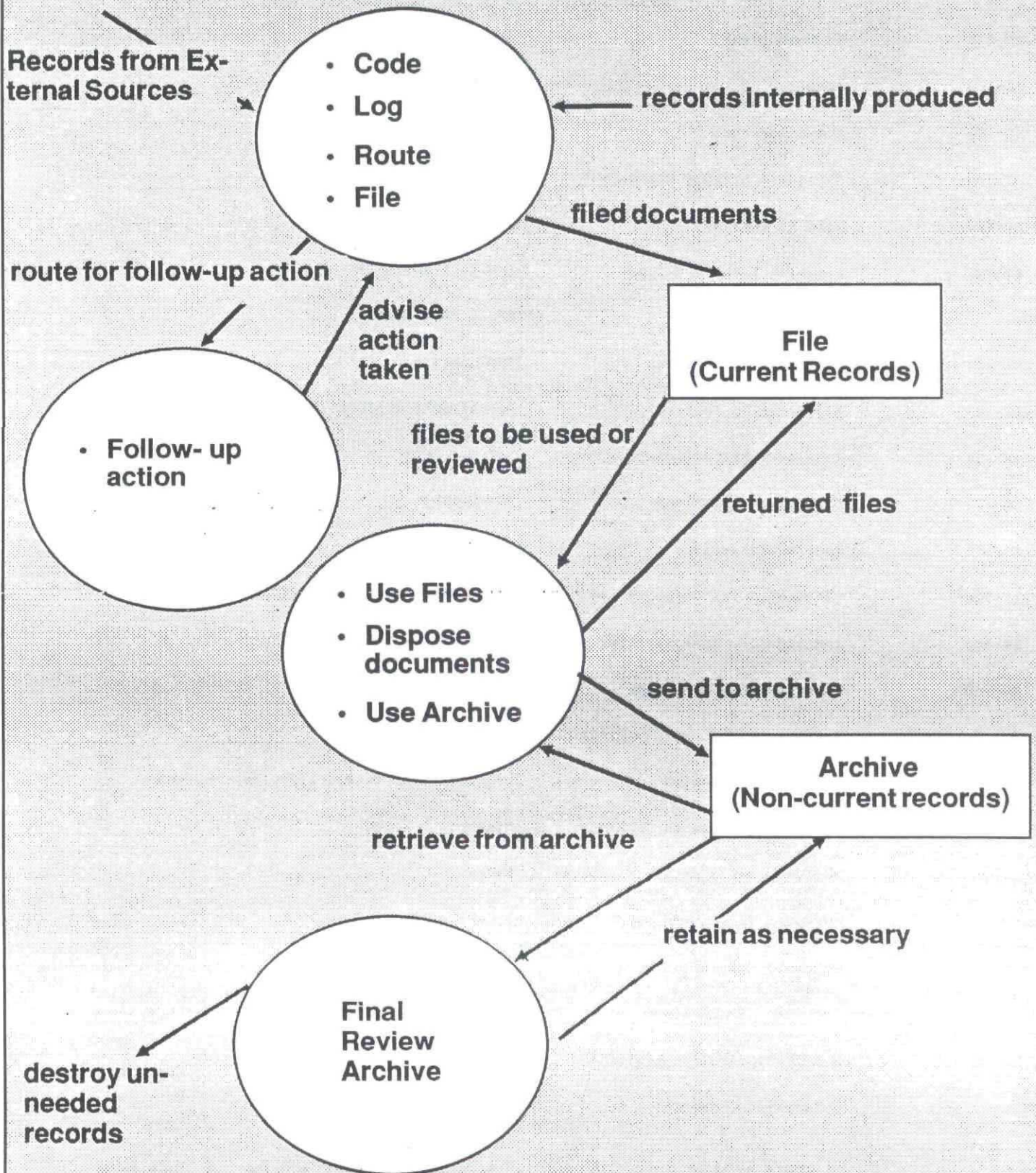
6. Field office pilot of the standard system (September - November 1991)

7. Revisions to the standard guidelines as a result of the field office pilot exercises. (November 1991 - December 1991)

8. Revised EXD on organisational filing. (31 December 1991)

9. Training support and implementation in field offices (April - September 1992)

• Records Lifecycle



Global Classification Guide Code Listing for Demonstration

Subj: OR-735

<u>GCG Code</u>	<u>Title</u>	<u>Subject</u>
AD-000	Administration	ADMINISTRATION
AD-100	General Service Administration	OVERVIEW
AD-200	Accommodations	ACCOMODATIONS
AD-300	Property	PROPERTY
AD-400	Communication	COMMUNICATION
AD-500	Records & Archive Management	RECORDS MANAGEMENT
AD-700	Data Processing	DATA PROCESSING
AD-800	Travel & Transportation	TRAVEL TRANSPORTATION
ER-000	External Relations	EXTERNAL RELATIONS
ER-200	Fund Raising; Awards	FUND RAISING
ER-300	Educational, Cultural,	EDUCATIONAL CULTURAL POLITICAL RELIGION
ER-400	International Agencies	INT'L AGENCY
ER-500	Government Relations	GOVERNMENT
ER-600	News Organizations	News Organization
ER-700	Non-Government Organizations	NON-GOVERNMENT ORGANIZATIONS
ER-800	Individuals, Personalities,	INDIVIDUALS, HEADS OF STATE
ER-900	Visits, Exhibits/Fairs,	VISITS, EXHIBITS, MEETINGS, EXTERNAL, EVENTS
FI-000	Finance, Budget and Accounts	FINANCE BUDGET ACCOUNTS
FI-100	General Coordinated and Over-	Coordination, Overlap, General Matters
FI-200	Finance (Reports on Exchange	Finance
FI-300	Budget related matters-(future	Budget
FI-400	Payments for Staff (income tax	Payments, Staff
FI-600	Accounts (Invoices) Payment	Accounts
FI-700	Investments, bank accounts,	Investments, Bank Accounts, Savings Loans
FI-800	Funding for UNICEF including	Funding
IN-000	Information Material	INFORMATION

GCG Code	Title	Subject
IN-100	Access to Information	Access
IN-200	Information Systems see also	Systems
IN-300	Information Machine Transfer	Machine Transfer Processing
IN-400	Creation (and Contribution) of	Creation & Contribution, Print & Non-Print
IN-500	Reproduction & Distribution	Reproduction Distribution Control
IN-600	Reference & Background by form	Reference & Background Non-UNICEF
IN-700	Reference Materials by Subject	Reference Materials Subject
IN-800	Publications and Documents	Publications and Documents
IN-900	Promotion, Publicity, Advocacy	Promotion, Publicity, Advocate
LE-000	Legal	LEGAL
LE-200	Agreements with: host countries	Agreements, Host country, Staff Associations
LE-300	Legal basis for UNICEF	Legal, UNICEF
LE-400	Conventions, Privileges,	Conventions, Privileges, Immunities
LE-500	Contracts	Contracts
LE-600	Tribunals - International	Tribunals, International Court
LE-700	Litigation, Disputes, Claims	Litigation, Disputes, Claims
LE-800	Interpretation of Laws	Interpretation, Laws
OR-000	Organization and Management	ORGANIZATION
OR-100	Policy & Procedure for UNICEF	Policy, Procedure
OR-200	Structure of UNICEF; Authority	Structure Authority
OR-300	Meetings - Internal UNICEF	Meetings, Internal UNICEF
OR-400	Plan, Goals and Objectives	Planning, Goals, Objectives, Targets
OR-500	Monitoring, Evaluation, Audits	Monitoring, Evaluation, Audits
OR-600	Leadership, Control, Coordina-	Leadership Coordination Control Direction
OR-700	Global System	Global System, Guide
PE-000	Personnel	PERSONNEL

GCG Code	Title	Subject
PE-100	Policy and Procedures	Policy Procedure
PE-200	Recuitment of Personnel	Recruitment
PE-300	Duties, Responsibilities,	Duties Responsibilities Obligation Privileges
PE-400	Renumeration - including	Renumeration
PE-500	Movement - Travel and Removal	Movement Travel Removal
PE-600	Evaluation & Development of	Evaluation Developpe Career Performance Report
PE-700	Training and Course Material	Training Course
PE-800	Staff Relations & Welfare,	Staff Welfare Relations Disciplinary Appeals
SU-000	Supply	SUPPLY
SU-200	Procurement	Procurement
SU-220	Requests for Procurement	Requests
SU-221	Supply List (SL)	Supply List (SL)
SU-224	UNICEF Administrative	UNICEF Administrative
SU-230	Local Procurement	Local
SU-240	Bids	Bids
SU-250	Offers - Bids Received	Offers Bids Received Returned
SU-260	Purchase Orders (General)	Purchase Orders
SU-261	Purchase Orders (Open)	Open
SU-263	Review of Purchase Orders	Review of
SU-264	Amendments to Purchase	Amendments
SU-265	Purchase Orders (Closed)	Closed
SU-300	Monitoring Supply, Operation:	Supply OPS
SU-500	Vendors/Suppliers	Vendors/Suppliers
SU-600	Commodities	Commodities
SU-700	Transport of Material and	Transport/Goods
SU-800	Warehouse, Storage & Packing	Storage/packing