



EUROPEAN COMMISSION
SECRETARIAT-GENERAL

The Secretary General

Brussels,

SEC(2012)713

**« COMMON COMMISSION-LEVEL RETENTION LIST
FOR EUROPEAN COMMISSION FILES
– FIRST REVISION »**

1. INTRODUCTION

The common Commission-level retention list for European Commission files ("CRL") is a regulatory document in the form of a retention schedule that establishes the retention periods for the different types of Commission files¹.

The first version was adopted in July 2007 on the basis of Article 6 of the provisions on document management² and its implementing rules³, and the aim of this revision is to update and complement it.

2. STRUCTURE OF THE CRL RETENTION SCHEDULE

The CRL retention schedule (Annex 1) is set out in seven columns as follows:

- **File types:** Files concerning the same type of activities, issues or procedures.
- **Description:** General content of files belonging to this type.
- **ARP:** Period (in years) during which the DG/department is required to keep a file depending on its usefulness for administrative purposes and the relevant statutory and legal obligations. The ARP begins to run from the time when the file is closed.

This column contains the following references for certain types of files:

- «L_n» indicates (using the concordance table at the end of the retention schedule) the legal basis which lays down a specific retention period for that type of file and, where applicable, the opinions of the Legal Service and the European Data Protection Supervisor (EDPS), which recommend retention periods in order to comply with legal obligations for that type of file.
 - "T_n" indicates (using the concordance table at the end of the retention schedule) that an administrative procedure for elimination of documents applies to this type of file.
- **Post-ARP action or first review:** action to be taken by the DG at the end of the ARP. Three courses of action are possible:
1. **THA** (Transfer to the Historical Archives): the files are transferred to the Commission's Historical Archives.
 2. **SAM/SEL** (Sampling⁴ and/or Selection⁵): a group of files is chosen for preservation, the remainder is destroyed. The files identified for preservation are transferred to the Commission's Historical Archives.

¹ According to chapter I.3 of the implementing rules [SEC(2009)1643], a file is a "core around which documents are organised in line with the institution's activities, for reasons of proof, justification or information and to guarantee efficiency in the work...".

² As annexed to the Rules of Procedure of the Commission by Decision 2002/47/EC, ECSC, Euratom of the Commission of 23 January 2002, published in OJ L 21 of 24.1.2002, p. 23.

³ SEC(2009)1643 of 30.11.2009

⁴ Sampling is a particular form of appraisal where the aim is to preserve a certain number of files on the basis of objective criteria, regarded as representative of a larger group of files that will not be preserved in its entirety.

3. EL (Elimination): the files are physically destroyed.
- **Action following transfer to the Historical Archives:** the types of files to be transferred to the Historical Archives may be assigned (in their entirety or in the form of a sample or selection) for:
 1. PP : permanent preservation
 2. 2nd Review (second review): the Commission's Historical Archives Service assesses the historical value of the files to decide whether they should be permanently preserved or eliminated.
 - **Lead department:** the DGs that have files of this type and are required to keep them according to what is indicated in the CRL retention schedule.
 - **Observations :** the information that DGs must take into account when preserving these types of files.



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Annex 1: CRL retention schedule

⁵ Selection is a particular form of appraisal where the aim is to preserve a certain number of files according to subjective criteria (importance, media impact, etc.) that are part of a larger group of files that will not be preserved in its entirety.

ANNEX 1: CRL MANAGEMENT SCHEDULE

FILE TYPES	DESCRIPTION	ARP (Administrative retention period)	DISPOSAL		LEAD DEPARTMENT	OBSERVATIONS
			POST-ARP ACTION OR FIRST REVIEW: THA: transfer to the Historical Archives. EL: elimination SAM/SEL: sampling and/or selection	ACTION FOLLOWING TRANSFER TO HISTORICAL ARCHIVES PP: Permanent preservation, 2nd REVIEW: Second review		
1 INSTITUTIONAL AND GOVERNANCE ISSUES						
1.1	Horizontal institutional issues and revision of the Treaties	Interpretation of the Treaties in force, reflections on the future of the EU, its powers, means of action, enlargement vs deepening, amendment of the Treaties, etc.	5 years	THA SAM/SEL	PP 2nd review	SG: coordination files DG: contribution files
1.2	European governance	Adoption of rules promoting European Governance (better regulation, impact assessment, consultation, evaluation, simplification, taking account of the subsidiarity principle, proportionality, etc.), coordination of their implementation and monitoring of compliance (annual reports, etc.).	5 years	THA SAM/SEL	PP 2nd review	SG, BUDG, ENTR: coordination files DG: contribution files
1.3	Multilingualism	European Commission's adoption of rules promoting multilingualism (translating, interpreting, etc.) and coordination of their implementation.	5 years	THA	PP	SG, DGT, SCIC, EAC
1.4	Rules of Procedure of the Commission	Amendment of the Rules of Procedure of the Commission and rules and/or procedures (circulars, notes, follow-up, etc.) for their implementation (e.g. procedure for interdepartmental consultation, procedure for the creation of interdepartmental groups).	5 years	THA	PP	SG, HR
2 STRATEGY AND COORDINATION						
2.1	Strategic programming and planning (SPP)	In compliance with the political guidelines laid down by the President, the Commission establishes its multiannual strategic objectives and Annual Policy Strategy, on the basis of which it adopts each year its work programme and the preliminary draft budget for the following year (Article 2 of the Rules of Procedure of the Commission).				
2.1.1	Policy programme of the Commission (multiannual)	In compliance with the political guidelines laid down by the President, the Commission establishes its multiannual strategic objectives.	5 years	THA SAM/SEL	PP 2nd review	SG: coordination file DG: contribution files
2.1.2	Activity-Based Management (ABM)/ Activity-Based Budgeting (ABB)	Activity-based management - one of the pillars of the reform approved by the Commission in March 2000 - consists in taking decisions on policy priorities and decisions on the corresponding resources in tandem at every level in the organisation. This allows resources to be allocated to policy priorities.				
2.1.3	Annual Policy Strategy (APS)	The APS provides guidelines on policy and resources for the preliminary draft budget, the Commission's annual work programme and annual operational programming (DG's annual management plans).				
2.1.4	Commission's Legislative and Work Programme (CLWP)	This programme, adopted by the College, identifies specific measures and legislative/executive initiatives that translate APS priorities into operational terms. It includes mid-term reviews and road-maps.	5 years	THA	PP	DG
2.1.5	DG's Annual Management Plan (AMP)	On the basis of the APS and the work programme, the departments draw up their annual management plans (AMP) and the budgetary authority adopts the budget. AMPs, following the principles of activity-based management, translate the priority objectives into specific annual and long-term objectives and specify the indicators to be used to measure progress.				
2.1.6	Annual Activity Report (AAR)	Services elaborate their AARs, measuring results against the set objectives and accounting for the sound management of the resources allocated to them. The AARs are accompanied by a declaration of assurance (DAS) signed by the Director-General or Head of service.	5 years	THA	PP	DG

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2.1.7	Overview of the state of the internal control (not covered by chapter 12.10)	The <i>Overview of the state of internal control in the Commission DGs and services</i> is drafted by DG BUDG and used by the SG to prepare the synthesis report (Article 48 of the Implementing Rules (IR)).	5 years	THA	PP	BUDG	
2.1.8	Synthesis Report	The Commission draws up a Synthesis Report based on all the AARs. This report covers policy results as well as management and control performance.	5 years	THA	PP	SG	
2.2	Cabinet activities and coordination with the DGs.	Cabinet files and DG files concerning direct relations with their own cabinet and/or the cabinet of the President of the Commission and other files on DGs' work with the cabinets in general (preparation of briefing meetings of groups of Members of the Commission, etc.).					
2.2.1	Cabinet activities	The Member of the Commission's files and files of members of the cabinet on the monitoring of political/legislative issues, attendance at meetings (other than meetings of the Heads of Cabinet, of the Interinstitutional Relations Group (IRG) and the College: see point 3.1) or at other events, etc.					
A	Positions adopted/follow-up on files	Cabinet files on issues that are part of their portfolio and issues that are going to the College. In the second case, these include both files presented by a Member of the Commission as "lead department" and cabinet positions on issues presented by other Members of the Commission. Cabinet files concerning their relations with the other institutions, European organisations, Member States, third countries, international organisations and other organisations.	Term of the College	THA	PP	Cabinets	Cabinet members' notes should be in the files wherever possible, given their high historical value.
B	Speeches, articles, attendance at meetings and events, etc.	Files on the attendance of the Member of the Commission and cabinet members at meetings (other than meetings of the Heads of Cabinet, of the Interinstitutional Relations Group (IRG) and the College): see point 3.1) or at other events, etc.	Term of the College	THA	PP	Cabinets	
2.2.2	Coordination of DGs with cabinets	Relations of each DG with the cabinets, in particular its own cabinet.					
A	Meetings and working methods	Adoption of working procedures between the DG and the cabinet, meetings of departments with cabinet(s), organisation (agenda, minutes, relevant documents) of Groups of Members of the Commission (e.g. Audit Progress Committee CSA/APC), "ad hoc steering groups" and other coordinating activities.	5 years	THA	PP	DG and Cabinets	Most of these files are closed at the end of the term of the College.
B	Correspondence	Processing of the correspondence for the President of the Commission, the Members of the Commission, "round robin" correspondence or correspondence for more than one Member of the Commission.	Term of the College	THA	PP	Cabinets	The Cabinets have the final version of the replies to correspondence, briefings and speeches, etc. The preparatory and follow-up files of all these documents and actions are created by the DGs when they concern their Member of the Commission and by the SG when they concern the President or more than one Member of the Commission.
C	Briefings	DGs' preparation and follow-up of briefings for their cabinets, the President or the cabinets of other Members of the Commission.					
D	Speeches, interviews and articles	DGs' drafting of speeches, articles and other types of contributions for the press or other media, for their cabinet, the President or the cabinets of other Members of the Commission.	5 years	THA	2nd review	DG	

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2.3	Inter-DG coordination	The quality and coherence of the Commission's work and that of its departments depends on effective coordination, as early as possible, between all the departments involved					
2.3.1	Interdepartmental consultation (CIS), including the fast-track procedure	Procedure whereby a DG requests the opinion of other DGs on a specific proposal (legislative or not) via CIS-NET or any other means, formally or not.				CIS-NET is the computer application which manages/stores most CIS.	
A	Launch of a CIS – On legislative proposals, reports and other actions that need to be preserved permanently	The lead department for the drafting of a proposal consults the DGs which may have a specific legitimate interest in the content of the proposal. The lead department has the obligation to constitute a complete file including all responses received by the DGs and all negotiations pertaining to these responses. These interdepartmental consultations concern legislative proposals, reports (Green Papers, White Papers, ...) or other actions for which the core file is to be preserved permanently.	5 years	THA	PP	DG which launches the CIS	Although most important documents can normally be found in CIS-NET (document submitted for CIS, answers of DGs consulted, final text), others may not be in the application (e.g. negotiations with departments).
A bis	Launch of a CIS – On projects and other measures with temporary value	The lead department for the drafting of a proposal consults the DGs which may have a specific legitimate interest in the content of the proposal. The lead department has the obligation to constitute a complete file including all responses received by the DGs and all negotiations pertaining to these responses. These interdepartmental consultations concern projects, measures or actions with temporary value. Temporary value means that the core file to which these projects, measures or actions pertain is not for permanent preservation.	5 years	SAM/SEL	2nd review	DG which launches the CIS	Although most important documents can normally be found in CIS-NET (document submitted for CIS, answers of DGs consulted, final text), others may not be in the application (e.g. negotiations with departments).
B	Response to CIS	A DG's responses (including the actions necessary to arrive at these responses) to CIS launched by other DGs.	2 years	SAM/SEL	2nd review	DG	At the time of selection (SEL), only files with a special importance for the DG which responded should be permanently preserved (difficult or controversial cases).
2.3.2	Business Continuity Planning (BCP)	Adoption and implementation of the plans and procedures necessary to guarantee the Commission's capacity to deal with a major disturbance and its preparation for and resilience to major disruptions. This includes strengthening its infrastructure where necessary.	5 years	THA	PP	SG: coordination files	
				SAM/SEL	2nd review	DG: contribution files	
2.3.2bis	Crisis management	Coordination of the policies and procedures for ensuring that the Commission is able to contribute in an efficient and coherent way to the resolution of crises that require an intervention at EU level.	5 years	THA	PP	SG: coordination files	
				SAM/SEL	2nd review	DG: contribution files	
2.3.3	High-level coordination	Coordination of the work of the various high-level groups managed and chaired by the Secretary-General. These files contain agendas, minutes, documents relating to the meetings, etc.					
A	Meetings at Directors-General level	The Group of Directors-General is chaired by the Secretary-General and meets once or twice a week. Bilateral meetings between the Secretary-General and the Directors-General in the context of up-stream coordination.	5 years	THA	2nd review	SG: coordination files	
B	Meetings of Resources Directors	The group of Resources Directors meets at least twice a month, chaired by the Deputy Secretary-General.					
C	Other high-level coordination groups, meetings and actions	Meetings of the interdepartmental coordination group, the ABM steering group, the group of Directors-General for administrative preparation for enlargement, etc., as well as other coordination actions carried out by the SG.		SAM/SEL	2nd review	DG: contribution files	

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2.3.4	Interdepartmental coordination groups, committees, networks and actions	Organisation and follow-up of works of all groups, committees, networks and actions of Commission departments set up on a formal or informal basis to meet increased coordination needs in specific areas. (e.g. files concerning the Audit Progress Committee (APC), the interservice group of Document Management Officers (DMO), the group of Data Protection Coordinators (DPC)).	5 years	THA	2nd review	DG which coordinates the group, committee, network or action: coordination file	There is a database concerning the interdepartmental groups of the Commission, managed by the SG.
				SAM/SEL	2nd review	DG: contribution files	
2.4	Interinstitutional relations						
2.4.1	Interinstitutional agreements	Files concerning the signing and implementation of agreements between the Commission and at least one other institution of the EU to establish cooperation in a specific area (e.g. the Interinstitutional Agreement on better law-making of 16 December 2003 between the European Parliament, the Council and the Commission).	5 years	THA	PP	Lead DG on behalf of the Commission: coordination file	File on the preparation and the signing of the Agreement as well as its later implementation
				SAM/SEL	2nd review	DG: contribution file	
2.4.2	Interinstitutional working groups	As the EU institutions coordinate their activities in certain areas (administration, publications, languages and communication), they are assisted by a number of interinstitutional working groups. These groups can take the form of committees, sub-committees, working parties, sub-groups or formal networks.	5 years	THA	PP	DG on behalf of the Commission: coordination file	
				SAM/SEL	2nd review	DG: contribution file	
2.4.3	Parliamentary questions	It is an essential element of Parliamentary oversight that, under TFEU (article 230(2)), "The Commission shall reply orally or in writing to questions put to it by the European Parliament or by its Members".	5 years	THA	PP	SG: coordination files	BASIL is the computer application that manages parliamentary questions.
2.4.4	Petitions	Coordination and draft answers to the Parliament, setting out the Commission's point of view on the petition received by the Parliament and any means of satisfying the petitioner.		SAM/SEL	2nd review	DG: contribution files	
2.4.5	Relations with the Council (other than codecision, see 2.4.7)	Monitoring the work of Council configurations and preparatory works, especially of COREPER I and II and the Council working groups (i.e. the Special Committee on Agriculture (SCA))	5 years	THA	PP	SG: coordination files	
2.4.6	Relations with the European Parliament (other than codecision, see 2.4.7)	Based on the Framework Agreement between the Parliament and the Commission in force since 21 October 2010.					
2.4.7	Codecision: Relations with the European Parliament and the Council	Coordination files both externally with the two colegislators (Parliament/Council) and internally, to ensure that all steps of the codecision procedure are properly followed by the DGs and that the appropriate institutional response is given at all times, in conformity with the Joint Declaration on the Practical Arrangements for the Codecision Procedure signed by the European Parliament, the Council and the Commission on 13 June 2007.	5 years	SAM/SEL	2nd review	DG: core files	The SG coordinates the DGs' actions vis-à-vis the institutions to ensure that the Commission's position on different subjects is consistent and in line with institutional and procedural practice. Every DG has an official responsible for relations with the other institutions, who constitutes the files.
2.4.8	Relations with the Committee of the Regions	Provided for by the Commission–Committee of the Regions Cooperation Protocol of 17.11.2005.					
2.4.9	Relations with the European Economic and Social Committee	Provided for by the Commission–European Economic and Social Committee Cooperation Protocol of 07.11.2005.					

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2.4.10	Relations with the Court of Auditors	Includes files concerning Court of Auditors reports (drafting and follow-up) examining whether all revenue has been received and all expenditure incurred in a lawful and regular manner and establishing whether the Commission's financial management is sound.	7 years	THA	PP	BUDG: coordination files	
				SAM/SEL	2nd review	DG: core files	
2.4.11	Relations with the Court of Justice (excluding litigation - see Chapter 11)	Files on relations with the Court of Justice other than those relating to litigation: opinions, meetings, etc.	5 years	THA	PP	DG	
2.4.12	Relations with the European Central Bank (ECB)	Files concerning relations with the European Central Bank (ECB): opinions, activities, statistics, studies, reports.	5 years	THA	PP	ECFIN: coordination files	
				SAM/SEL	2nd review	DG: core files	
2.4.13	Relations with the European Investment Bank (EIB)	Any application to the European Investment Bank (EIB) for a loan or guarantee to be financed from the Bank's own resources must be submitted to the Commission for its opinion (Article 21 of the EIB Statute). The EIB interdepartmental group at the Commission (GIB) prepares Commission opinions on applications for EIB financing.	10 years	THA	PP	ECFIN: coordination files	DG ECFIN is responsible for preparing Commission opinions on applications for EIB loans and guarantees.
				SAM/SEL	2nd review	DG: core files	
2.4.14	Relations with the European Ombudsman	Relations with the European Ombudsman, coordination and draft responses to the Ombudsman on the Commission's opinion on complaints concerning alleged maladministration by the Commission (activity under Article 228 TFEU).	5 years	THA	PP	SG: coordination files	An Ombudsman database stores all Ombudsman investigations.
				SAM/SEL	2nd review	DG: core files	
2.4.15	Relations with the European Data Protection Supervisor (EDPS)	Relations with the European Data Protection Supervisor (EDPS), including DGs' files concerning notifications and communications of personal data processing procedures.	5 years	THA	PP	DG	
2.4.16	Relations with the European External Action Service (EEAS)	Relations with the European External Action Service (EEAS), both with the Brussels headquarters and the delegations to third countries	5 years	THA	PP	DG	
2.4.17	Relations with the European Court of Human Rights (ECHR) other than legal proceedings (see 11.5)	Relations with the European Court of Human Rights (ECHR)	5 years	THA	PP	DG	
2.5	Relations with executive agencies (other than coordination of the agency's implementation of programmes by the parent DG - see 7.1.1)	Coordination and relations of departments with the executive agencies.	5 years	THA	PP	SG, BUDG, HR: coordination files	
				SAM/SEL	2nd review	DG: core files	
2.6	Relations with European Agencies	Departments' coordination and relations with the various bodies which currently fit the definition of "regulatory agency", although the terms used for them vary widely (Centre, Foundation, Agency, Office, Observatory). These agencies are bodies established under European public law and enjoying legal personality which have been set up by an instrument of Community secondary legislation to carry out a specific technical, scientific or administrative task.	5 years	THA	PP	SG, BUDG: coordination files	
				SAM/SEL	2nd review	DG: core files	

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2.7	Relations with the authorities of the Member States						
2.7.1	Comitology	Files concerning the works of comitology committees. These committees, set up by the legislator (the Council acting alone or with the Parliament) when it adopt acts which the Commission is then empowered to implement, control the executive powers of the Commission (article 291 TFEU).	5 years	THA	PP	DG	The SG constitutes the coordination file of all these committees while the DG responsible for each committee has the core file. For the implementing acts, the "Comitology Register", of the SG, contains all the committees' work: preparatory documents for meetings (agendas, draft implementing measures) and post-meeting documents (minutes, voting results, attendance lists).
2.7.2	Advisory bodies and committees (other than those covered under point 2.7.1)	Files concerning the cooperation structures between the Commission and the authorities of the Member States, provided for by the Community legislator (e.g. Transparency Committee provided for in Article 11 of Directive 89/105/EC) and not covered by the comitology approach.	5 years	THA	PP	DG	The SG constitutes the coordination file of all these bodies and committees while the DG responsible for each committee/body has the core file.
2.7.3	Relations with national Parliaments	Since September 2006, the Commission has been sending all its proposals to the national Parliaments. The Parliaments may then request more information or submit their comments.	5 years	THA	PP	SG: coordination files	The SG has a coordinating and centralising role.
				SAM/SEL	2nd review	DG: core files	
2.7.4	Relations with central/federal, regional and local authorities	Structuring of dialogue and general relations of the Commission and its Representations with central/federal authorities and with regional and local authorities, alongside the Committee of the Regions (see point 2.4.8).	5 years	THA	PP	SG and COMM: coordination files	
				SAM/SEL	2nd review	DG: core files	
2.7.5	Official visits – Member States	Coordination and organisation of practical aspects and protocol of official visits to the Commission by high-ranking Member State personalities (heads of state and government, foreign ministers, etc.) as well as official visits by the Commission to the Member States.	5 years	THA	PP	SG and COMM: coordination and protocol files	If the file contains documents concerning contractual or financial obligations, the ARP will be 10 years.
				SAM/SEL	2nd review	DG: core files	

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2.8	Relations with groups of experts, civil society and other interlocutors	In the course of its preparatory work, the Commission often consults various advisory committees, groups of experts, etc. or the general public.				
2.8.1	Groups of experts: creation, work and follow-up	5 years	THA	2nd review	DG	SG constitutes the coordination file on all these groups, while the DG responsible for each expert group has the core file. There is a 'register of Commission expert groups and other similar entities', accessible on-line via Europa, and coordinated by SG.
2.8.2	Dialogue with civil society, social partners , interest representatives, etc.	Under the White Paper on European Governance (July 2001) the Commission should involve civil society, the social partners and interest representatives (NGOs, trade associations, trade unions, etc) in the preparation and implementation of Community policies.				
A	Structuring dialogue	5 years	THA	PP	SG: coordination files	One person per DG coordinates this dialogue, in agreement with the SG.
			SAM/SEL	2nd review	DG	
B	Consultations: launch and results	5 years	THA	2nd review	DG	Sole access to open public consultation is through the "Your Voice on Europe" web portal (designed in the context of the Interactive Policy Making initiative).
2.8.3	European Citizens' Initiative (ECI)	5 years	THA	PP	SG: coordination files	The register for the citizens' initiative, managed by SG, contains all documents concerning these initiatives
			SAM/SEL	2nd review	DG: contribution files	
3	COMMISSION DECISION-MAKING					
3.1	Preparation and decision	Any department preparing an act or proposal for adoption by the Commission must bear in mind that the Commission as a whole will carry responsibility for that act. Although individual Members of the Commission are each responsible for specific sectors, the principles of the collective responsibility of the Commission and the indivisibility of the administration mean that the administration as a whole – i.e. all Commission departments together – serve the Commission as a whole.				
3.1.1	Preparatory meetings: meetings of the Heads of Cabinet and the Inter-Institutional Relations Group (GRI)	Term of the College	THA	PP	SG	SGVista / Vista contains most of the electronic documents concerning Commission meetings (agendas, minutes and related documents).
3.1.2	Meetings of the College					

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3.2	Decision-making procedures	Procedures under which the Commission takes its decisions: by oral procedure in meetings of the College, by written procedure, empowerment or delegation.					
3.2.1	Oral procedure	2 years	THA	PP	SG: files relating to procedures	SGVista / Vista contains electronic versions of most of the decisions adopted by the Commission, classified by type of procedure (oral, written, empowerment or delegation).	
3.2.2	Written procedure						Commission decision-making procedure under which proposals submitted in writing to all the Members of the Commission are deemed to be approved if no Member makes any comments or expresses any reservations within the time-limit (Article 12 of the Rules of Procedure).
3.2.3	Empowerment procedure						Commission decision-making procedure under which, provided the principle of collective responsibility is fully respected, the Commission empowers one of its Members to take management or administrative measures on its behalf and subject to such restrictions and conditions as it imposes (Article 13 of the Rules of Procedure).
3.2.4	Delegation and subdelegation						Commission decision-making procedure under which, provided the principle of collective responsibility is fully respected, the Commission empowers a Director-General or head of department to take management or administrative measures on its behalf and subject to such restrictions and conditions as it imposes (Article 14 of the Rules of Procedure).
3.3	Follow-up on the decision-making process						
3.3.1	Authentication	2 years	THA	PP	SG	Oral/written/empowerment procedure: hard copy files. Delegation: stored in eGreffé	
3.3.2	Notification and dispatch to Member States and third parties for information						To notify an act adopted by the Commission, the SG sends it together with a dispatch note addressed to the Permanent Representatives, asking them to forward the document to their Ministry of Foreign Affairs if the addressee is a Member State, or addressed to third parties (natural or legal persons). The SG Registry performs this notification (Article 297 of the TFEU).
3.3.3	Transmission to other institutions						Commission documents are sent to the other EU institutions by the SG Registry either because of their type or as the result of a specific decision by the Commission. These files include the covering letter and also, for some institutions (Parliament and Council), the proof of receipt sent by the institution to the Commission.
4	EU FINANCIAL SYSTEM AND THE BUDGET						
4.1	Financial perspective	Interinstitutional agreement between the Commission, the Council and the Parliament establishing the multi-annual framework (seven years) for EU expenditure and defining the maximum amounts (ceilings) for major categories of expenditure (headings).					
4.1.1	Financial framework	The financial framework is the multi-annual spending plan which guarantees sufficient resources to finance long-term EU activities.					
A	Establishment of the financial framework	2 years	THA	PP	BUDG and SG: coordination files		
							SAM/SEL
B	Annual management of the financial framework and application of the interinstitutional agreement on budgetary discipline and sound financial management	2 years	THA	PP	BUDG		

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FILE TYPES		DESCRIPTION	ARP (Administrative retention period)	DISPOSAL		LEAD DEPARTMENT	OBSERVATIONS
				POST-ARP ACTION OR FIRST REVIEW: THA: transfer to the Historical Archives. EL: elimination SAM/SEL: sampling and/or selection	ACTION FOLLOWING TRANSFER TO HISTORICAL ARCHIVES PP: Permanent preservation, 2nd REVIEW: Second review		
4.1.2	Own resources	Covers files relating to the decision on own resources [fiscal revenue directly channelled to the EU budget (agricultural duties, customs duties, % VAT and % GNI)].	2 years	THA	PP	BUDG	
4.2	Annual budget of the EU	As the budget is published in the OJ, these files accompany the estimates for the new budget, implementation of the current budget (n) and closure of the budget once the Parliament has given budget discharge (n+2).					
4.2.1	Budget procedure	The annual spending plans are negotiated between the European Parliament and the Council of Ministers on the basis of a proposal by the Commission.					
A	Establishment of the Preliminary Draft Budget (PDB)	BUDG prepares the preliminary draft budget (PDB) and its working papers and annexes (e.g. application of the Interinstitutional Agreement on legal bases). It is drafted on the basis of the framework set out in the Annual Policy Strategy (APS) decision to guarantee that the necessary resources are allocated to the Commission's priority objectives.	5 years	THA	PP	BUDG: coordination file	
				THA	2nd review	DG: contribution files	
B	Interinstitutional procedure for budget approval	Follow-up on budget approval by the budgetary authorities, including letters of amendment and the amending budget.	5 years	THA	2nd review	BUDG	
4.2.2	Implementation of the budget and accounting	The European Commission bears final responsibility for implementing the budget, although approximately 76% of the Community budget is implemented under so-called "shared management" (i.e. the Member State authorities manage expenditure, but a series of controls and counterbalancing mechanisms are in place to ensure that the funds are properly managed in compliance with the rules in force).					
A	Budget implementation framework	Circulars and notes to Directors-General setting the budget implementation framework for the year in question.	5 years	THA	PP	BUDG	
B	Reports on budget implementation	Covers files (at BUDG and DG level) relating to: the weekly or monthly budget implementation tables and budget implementation plan sent to the budgetary authority; the Report on Budgetary and Financial Management (Article 128 FR) sent to the budgetary authority and the Court of Auditors; the annual European Union Financial Report, etc.	5 years	THA	PP	BUDG: coordination file	
				SAM/SEL	2nd review	DG: contribution files	
C	Management of own resources, interest on arrears and amounts recovered under the PPI	Fiscal revenue channelled directly to the EU budget (agricultural duties, sugar levies, customs duties, % VAT, % GNI, Protocol on the Privileges and Immunities of the European Communities (PPI), interest on arrears, UK correction). Includes files relating to: budget forecasts of own resources, maximum rate of increase and EFTA proportionality factor, preparation of report on allocated expenditure (budget balances), management of own resources, recovery of VAT and PPI, control of Traditional Own Resources (TOR) management, recovery of TOR, verification of VAT and GNI.	10 years L ₁ and L ₃	THA	2nd review	DG	
D	Management of other revenue	Files relating to offsetting of recovery orders and payments, validation of recovery orders, reconciliation of receipts, various bookings, debt management and follow-up. Recovery files cover: pre-information notice for the recovery, the issue of the recovery order itself and any follow-up, until the matter is either brought before the Court (chapter 11) or enforced under Article 299 of the TFEU. Financial files concerning the sale of publications (Publications Office) are included in this category.	10 years L ₁ and L ₃	THA	2nd review	DG	
E	Management of expenditure	Also includes files relating to the release of appropriations, transfers, etc.	10 years L ₃	THA	2nd review	DG	
F	Management of accounts	Includes files relating to budget accounts, general accounts, bank accounts and payments, the institution's annual accounts, management of imprest accounts, the accounting framework and its rules, cash management, validation of accounting systems.	5 years	THA	2nd review	BUDG	

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4.2.3	Management of third-party files (Legal Entities File (LEF)/ Bank Account File (BAF)) and Early Warning System (EWS).	Files concerning all third parties with which the Commission conducts revenue and expenditure transactions; files containing bank data on all the companies, organisations and persons with which the Commission has financial relations; files concerning information on fund beneficiaries who have committed or are suspected of committing administrative errors or fraud.	5 years	THA	2nd review	BUDG	
4.2.4	Budget discharge: obtaining discharge and follow-up	With the discharge, Parliament "releases" the Commission from its management responsibility and ends the budget cycle. These files include prior contacts with the Court of Auditors to obtain the discharge (the Court of Auditors draws up external audit reports on the legality and correctness of receipts and expenditure and establishes whether the Commission has exercised sound financial management).	5 years	THA	2nd review	BUDG: coordination file	The files can only be closed once we have received the final decision of the Parliament and Council on the follow-up report (N+3).
				SAM/SEL	2nd review	DG: contribution files and files on discharge follow-up	The DGs are lead departments for preservation of the files concerning their part in budget implementation.
4.3	Implementation of the budget and European Development Fund (EDF) accounts	The European Development Fund (EDF) is funded not from the Community budget but from direct contributions from the EU Member States. It awards grants to aid programmes for countries that are signatories to the series of Lomé Conventions, replaced on 23 June 2000 by the Cotonou Agreement. It is managed by DG DEVCO, except for the emergency aid line, which is managed by ECHO.					
4.3.1	Budget implementation framework	Circulars and notes to Directors-General, plus the chart of accounts.	5 years	THA	PP	BUDG	
4.3.2	Revenue management	Files relating to offsetting of recovery orders and payments, validation of recovery orders, reconciliation of receipts, various bookings, debt management and follow-up.	10 years	THA	2nd review	BUDG, DEVCO, ECHO	
4.3.3	Management of expenditure	Also includes files relating to the release of appropriations, transfers, etc.					
4.3.4	Management of accounts	Includes files relating to general accounts, bank accounts and payments, annual accounts, management of imprest accounts, debts, the accounting framework and its rules, cash management, validation of accounting systems and discharge.	5 years	THA	2nd review	BUDG	
4.4	Application of the Financial Regulation, including the Financial Regulation in respect of the executive agencies	Includes files relating to the Financial Regulation, its detailed implementing rules, the Internal Rules for the Implementation of the General Budget of the European Communities (Commission section), delegation, subdelegation, cross-subdelegation and regulatory files.	5 years	THA	2nd review	DG	
4.5	Application of the European Development Fund (EDF) financial rules	Includes files relating to the Financial Regulations, delegation, subdelegation, cross-subdelegation and regulatory files.	5 years	THA	2nd review	BUDG, DEVCO, ECHO	
4.6	Cash, loans and operations outside the budget (treasury and assets management)	Files concerning the borrowing and lending activities by the EU and its partners in the framework of support programmes such as the European Financial Stabilisation Mechanism (EFSM), Balance of Payments (BOP), Macro-Financial Assistance (MFA) including those that concern EURATOM and the ECSC in liquidation as well as any operation outside the budget on the financial markets.	10 years	THA	2nd review	ECFIN	

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4.7	Protection of EU financial interests – Investigations	Files on the activities by OLAF to protect the financial interests of the European Union and to fight fraud, corruption and any other illegal activity, including within the European institutions, but excluding its activities with regards to Commission personnel (which are covered under 12.4).					
4.7.1	Files that have not given rise to an investigation	These files essentially contain the documents in view of which a decision has been taken not to launch an investigation.	5 years	EL	OLAF		
4.7.2	Investigations	Investigation files essentially contain the mandate for an investigation, the proceedings of the investigation procedure, the investigation report with annexes (minutes of hearings, documents supporting the report conclusions etc.), as well as, where applicable, all post-investigation follow-up actions (recovery of funds, legal proceedings, etc.)					
A	Investigations without follow-up actions	These files end with the investigation report and there are no follow-up actions.	10 years L ₂	EL	OLAF		
B	Investigations with follow-up actions	The file, which essentially contains the investigation report, also contains all follow-up actions under the form of imposed sanctions, possible legal proceedings, etc.	20 years	EL	OLAF		
4.7.3	Cooperation in the investigations	Files by the DGs on their cooperation with OLAF in its investigations	5 years	EL	DG		
4.8	Setting up and running the financial circuit in a DG	Setting up and implementing the financial circuit in a DG: appointment of authorising officers by delegation and subdelegation, financial initiators, verifiers, evaluation of financial circuits, etc.	5 years	THA SAM/SEL	2nd review 2nd review	BUDG: coordination file DG: core file	
4.9	Ex post checks	Ex post checks, the purpose of which is generally to verify operations relating to budget implementation, are based on documents held by Commission departments (contracts, additional agreements, beneficiaries' declarations of expenditure, supporting documents received, audit certificates, etc.) and on additional documents formally requested from the beneficiary (often during on-the-spot checks) in order to collect information previously submitted. The last category includes supporting accounting documents such as invoices, but also paper or electronic documents needed for management purposes (analytical data, presence of persons, travel costs, sub-contracting, procurement procedures, etc.). Note that under shared management the documents will be in the systems set up by the Member States.	5 years	THA	PP	DG	
5	POLICY DEVELOPMENT						
5.1	Analyses and information, first steps towards developing a policy	The first steps from acquiring in-depth information (identifying indicators, methods for measuring or assessing needs, etc.) up to the drafting of preliminary documents (Green Papers, White Papers, studies and reports), which should provide the basis for a general approach or recommendation on the policy concerned.	5 years	THA	PP	DG	For the drafting of preliminary documents, you are advised, if applicable, to add to the file the document finally adopted by the College.
5.2	Strategies and action plans	These files contain, as appropriate, the relevant impact analysis or ex ante evaluations.					
5.2.1	Definition of strategies	This kind of file contains the whole procedure up to final adoption by the Commission or the Council and/or Parliament.	5 years	THA	PP	DG	
5.2.2	Drawing up action plans	This kind of file contains the whole procedure up to final adoption by the Commission or the Council and/or Parliament.					

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5.3	Legislation and other legal acts	Drawing up binding (directives, regulations and decisions) and non-binding (recommendations, resolutions and opinions) legal acts, as well as any amendment, recasting or repeal of existing legislation, including consolidation and codification of legislation. These files include, as appropriate, impact analyses, financial statements, ex ante evaluations (Articles 27 and 28 FR and Article 21 IR) and any other reports or analyses that prove necessary.					
5.3.1	Legal acts adopted by the Commission (autonomous acts)	Work on drafting the legal acts adopted by the Commission exercising its own power of decision (including the power to legislate conferred on it by the Council and/or Parliament through the basic legislation), taking the form of Commission regulations, directives, decisions, recommendations, opinions or administrative decisions (sui generis decisions). This thus includes any detailed measure adopted by the Commission through the committee procedure (questionnaires, lists of substances, etc.) and the adaptation of legislation (annexes above all) to technical progress.	5 years	THA	PP	DG	
5.3.2	Legal acts of the Council and/or Parliament						
A	Drafting proposals	Drafting work on proposals for acts to be submitted to the Commission for approval and subsequent transmission to the other institutions for adoption (proposals for regulations, directives, decisions, recommendations, etc. of the Council and/or the Parliament).	5 years	THA	PP	DG	
B	Adoption of the legal act	File documenting actions taken between the Commission's approval of the proposal for a legal act and its final adoption by the Council or by the Council and the European Parliament.	5 years	THA	PP	DG	
5.3.3	Codified and consolidated legislation	Codified legislation incorporates successive amendments to an act of secondary legislation to create a new act with the same legal value (authentic legal act). Consolidation, by contrast, integrates a basic act (Treaty or Community legislation) with its successive amendments to produce a single text for reference purposes only (not an authentic legal act).	5 years	THA	PP	OP, SJ	The Publications Office is responsible for the 'consolidation' files and the Legal Service for the 'codification' files.
5.4	Voluntary instruments, agreements with Member State authorities and standards	Development of instruments other than traditional legislation, such as voluntary agreements, agreements with Member State authorities (national, regional or local administrations), cooperation with industry organisations or standardisation bodies, etc. Most of these instruments are adopted under Community policies based on shared competences (the EU intervenes because its action adds significantly to the value of the Member States' action: internal market, economic and social cohesion, agriculture, the environment, consumers, transport, area of freedom, security and justice, etc.) and above all supporting, coordinating or complementary competences (the EU only intervenes to coordinate or supplement the Member States' action: industry, culture, tourism, education, etc).	5 years	THA	PP	DG	
6	IMPLEMENTATION OF POLICIES AND LEGISLATION						
6.1	Guidelines and support for implementation of legislation in Member States	Files on action taken by the Commission to ensure implementation of Community legislation in the Member States.					
6.1.1	Guidelines	Instruments adopted by the Commission to facilitate and harmonise transposition and implementation of Community legislation in the Member States.	5 years	THA	2nd review	DG	

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6.1.2	Information from the Member States	Receipt, verification and, where applicable, treatment of information sent to Commission departments especially when pursuant to obligations under Community legislation: statistical data and metadata, test results, national action plans and programmes, reports, notifications of draft technical rules (e.g. under Directive 98/34/EC), etc.	5 years	SAM/SEL	2nd review	DG	
6.1.3	Commission opinions	Commission opinions on specific issues provided for in Directives or Regulations.	5 years	THA	2nd review	DG	
6.1.4	Permits, certificates, licences	Permits, certificates, licences, authorisations and other instruments adopted by the Commission in connection with implementation of Community legislation.	5 years	THA	2nd review	DG	
6.1.5	Management of Community tools and mechanisms	Setting up and management of Community tools and instruments to facilitate the implementation of legislation.					
	A Databases, registers and other	Action relating to the construction, development and management of databases (including statistics databases that are publicly available online), online registers and other instruments set up by the Commission to implement Community legislation, as well as, where applicable, the information they manage.	5 years	SAM/SEL	2nd review	DG	
	B Networks	Management and coordination of networks and other Community-level mechanisms for implementing legislation (e.g. Natura2000 network).					
6.2	Implementation of voluntary instruments, agreements with Member State authorities and standards	Implementing and following-up on voluntary instruments, standards and agreements with Member State authorities (national, regional and/or local authorities) and other instruments apart from traditional legislation that facilitate cooperation between the Commission and its partners in the pursuit of policy objectives, particularly in areas which fall mainly under national competence. This includes follow-up files on implementation of the action plans and strategies adopted.					
6.3	Interim and/or ex post evaluations of legislation and activities (except expenditure programmes, for which see Chapter 7) and other reports	Drafting of ex post evaluations of legislation and Community action other than expenditure programmes under Articles 27 and 28 FR and SEC(2007)213. Also Commission reports to the other institutions and departmental reports to the College on implementation of policies and legislation.	5 years	THA	2nd review	DG	
6.4	Monitoring of transitional measures	Monitoring implementation of transitional measures adopted for some Member States (e.g. longer transposition times for some directives, or relaxation for some Member States, for transitional periods, of some requirements laid down in legislation, etc.).					
6.5	Inspections	Files concerning the visits and inspections that the services of the Commission carry out in the Member States or even in the Third Countries to verify whether Community legislation is properly applied (inspections in the field of maritime policy, competition policy, public health policy, nuclear policy, ...). These files can contain all relevant documents starting with the nomination of the inspectors, their work, their contacts with member states' authorities or other interlocutors, the results of the inspection, their follow-up actions, ...	20 years	SAM/SEL	2nd review	ENER	
			5 years	SAM/SEL	2nd review	DG	

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7 PROGRAMMES, PROJECTS AND GRANTS						
7.1	Direct management of Community programmes, pilot and preparatory actions, grants and macrofinancial aid	This concerns direct management by the Commission or executive agencies of Community programmes such as LIFE, SOCRATES, Research Framework Programmes, PUBLIC HEALTH and other direct financing of projects and actions using operating appropriations. It also involves all external aid programmes (MEDA, TACIS, etc.), development aid programmes, aid and grants under international agreements, macrofinancial aid to third countries and projects and grants under devolved management by Commission delegations in third countries.				
7.1.1	Work programmes, annual action programmes, planning and reporting, including where appropriate coordination of tasks with the executive agency.	Drawing up and adopting the work programme (e.g. annual action programme for development aid) and the necessary planning and reporting instruments for implementation of the programme (in both technical and financial terms), on the basis of implementing powers conferred by the legislative act setting up the programme.	5 years	THA	PP	DG
7.1.2	Procedures for award of grants	Preparation and publication of call for proposals, evaluation of applications for grants and selection of projects for financing. Management of preparatory files for grants for which, as an exception, no call for proposals has been made.	10 years L ₃ T ₁	SAM/SEL	2nd review	DG
7.1.3	Management of grant agreements and decisions (projects financed)	File which starts with the signing of the grant agreement or notification of the grant decision and continues up to the last payment by the Commission. These files cover both technical and financial documentation, including audits where appropriate.	10 years L ₃			
7.1.4	Procurement procedures	Preparation and launch of procurement procedure, opening and evaluation of tenders, award of contract.	10 years T ₂			
7.1.5	Contract management (following award of contracts)	File which starts with signing of the contract and continues up to the last payment by the Commission. These files cover both technical and financial documentation, including audits where appropriate.	10 years L ₃			
7.2	Shared management of programmes, projects and grants	These files concern the shared management (shared between the Commission and the bodies designated by the Member States or other partner organisations) of programmes financed by the Structural Funds and Cohesion Fund, programmes to assist agriculture (farm subsidies), or other programmes where the main management is done by national agencies in the benefiting Member States or third countries (e.g. Socrates, Life long learning, ...) or other partners (e.g. European Energy Efficient Fund (EEEF)). They can document both the technical and the financial parts of the programme or project and, where appropriate they contain the relevant evaluations or audits. They can also contain all information exchanges between the Commission and these organisations or national agencies, documents regarding participation in meetings, etc.				
7.2.1	Implementation of agricultural aid (intervention, programmes and direct payments)	Files concerning the annual implementation of budget lines relating to the Common Agricultural Policy (CAP).	10 years L ₁ and L ₃	SAM/SEL	2nd review	DG
7.2.2	Implementation of aid programmes under the Structural Funds (ERDF, ESF, FIG), the EAFRD and the Cohesion Fund, including Community initiatives	Files on the implementation of such programmes, as approved and/or amended by the Commission. These files include: monitoring at Monitoring Committees and meetings with national or regional authorities payments, clearance of accounts and conformity clearance by the Commission.				
7.2.3	Implementation of other Community aid programmes	Files on the implementation of such programmes or part of them (e.g. Socrates and Life long learning) by organisations or national agencies in the benefiting Member States or third countries as well as by other designated partners (e.g. European Energy Efficiency Fund (EEEF)). These files include all coordinating activities by the Commission, all information exchanges between the Commission and these national agencies or partners, documents on participation in meetings, etc.				

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7.3	Decentralised management of programmes, projects and grants	These files concern decentralised management (between the Commission and Commission delegations and the authorities of candidate and potential candidate countries) of pre-accession aid programmes and projects. They cover both technical and financial documentation of the programme or project, as well as any evaluations or audits thereof.	10 years L ₃	SAM/SEL	2nd review	DG	
7.4	Indirect centralised management of programmes, financial instruments and pilot projects	Files on indirect centralised management of financial instruments, programmes and pilot projects between the Commission on the one hand and the European Investment Bank or any other international or national financial institution on the other hand. They cover both technical and financial documentation of the programme or project, as well as any evaluations or audits thereof.	10 years L ₃	SAM/SEL	2nd review	DG	
7.5	Evaluation of expenditure programmes	The Commission undertakes ex ante, interim and/or ex post evaluation of all the programmes, including pilot projects and preparatory actions, which entail significant spending (Articles 27 and 28 of the Financial Regulation and Article 21 IR).	6 years	THA	PP	DG	The operational DGs and departments are responsible for regular evaluations of their programmes and for organising the requisite capacity for planning and managing the evaluations needed in their policy area.
8	INTERNATIONAL ACTIVITIES AND ENLARGEMENT						
8.1	International agreements	The negotiation, conclusion and implementation of international agreements by the European Union are subject to general public international law, and in particular the law of treaties.					
8.1.1	Negotiation and conclusion of agreements	When exploratory talks are completed, the department responsible draws up a report and submits to the College a draft recommendation for a Council decision authorising the Commission to open negotiations. Thus the sequence is that the Commission recommends negotiations, the Council authorises them, the Commission initiates and conducts them and the Council approves their outcome.	5 years	THA	PP	DG responsible for agreement: coordination file	The DG responsible prepares, organises and conducts the negotiations and also supervises implementation of the agreement in close consultation with all the other departments concerned.
8.1.2	Implementation and political follow-up on agreements (for follow-up on aid and grants under the agreements, see Chapter 7): "Programmes, projects and grants")	Action for implementation and follow-up on existing international agreements to which the EU is a signatory (attendance at conferences, decisions and opinions on implementation, etc.)		SAM/SEL	2nd review	DG: contribution files	
8.1.3	Negotiation of agreements for implementing the Protocol on the Privileges and Immunities of the European Communities (PPI)	Files on both the Protocol on the Privileges and Immunities of the European Communities (PPI) and the arrangements for its application negotiated with the Member States (after empowerment by the Commission, the Member of the Commission in charge of the budget signs the arrangement in the form of an exchange of letters for the European institutions).	5 years	THA	PP	BUDG: coordination file HR, TAXUD: contribution files	
8.2	Relations with international organisations (public and private)	Commission relations and cooperation with international public organisations (WTO, OECD, OSCE, UN, WIPO, NAFO, IATTC, etc.), international financial organisations (EBRD, World Bank, etc.) or international private bodies (associations, NGOs, etc.). These files cover both the status of these bodies and the distribution of competences between the EU and other partners, the right to vote and participation in their financing.	5 years	THA	PP	DG	

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8.3	Relations with third countries and regional associations					
8.3.1	Diplomatic relations with third countries	Establishment of diplomatic relations, headquarters agreements, approval of ambassadors and credentials, visits, etc.	5 years	THA	PP	RH, SG
8.3.2	Cooperation with third countries	Country, Regional and Thematic Strategy Papers and the addenda thereto, including a mid-term, end-of-term and ad hoc review under the Financial Perspective concerned, such as the programming documents. Also cooperation measures with third countries in specific fields.	5 years	THA	PP	DG
8.3.3	Bilateral trade relations with third countries (negotiation, conclusion and implementation of agreements)	Agreements and specific trading policies between the EU and third countries and regional areas, legally binding only on the two entities. Bilateral trade relations can be agreements on custom unions, free trade, association, co-operation and partnership. They also include the implementation of measures to promote development and political stability in line with the EU's political priorities, such as granting tariff preferences under the General System of Preferences (GSP) or any other initiative to ensure stability and prosperity in certain regions.				
8.3.4	Multilateral trade relations with third countries (negotiation, conclusion and implementation of agreements)	EU negotiations and agreements in the context of the World Trade Organisation (WTO) on behalf of the EU's Member States. They concern common trade policy in many sectors, such as improving market access for European industries, services and investments. Monitoring policies related to EU trade and external investments such as the single market, consumers, health, the environment, technology, intellectual property, competitiveness, competition, energy, transport, agriculture and other sectoral measures.				
8.3.5	Trade defence	Defensive instruments to ensure faire trade and defend the interests of European countries, designed in line with specific WTO agreements. These instruments include anti-dumping measures, anti-subsidy measures, safeguards and combating technical barriers to trade. Monitoring of third countries' trade defence measures.				
8.4	Enlargement	Accession process for EU accession candidates				
8.4.1	Bilateral negotiations and pre-accession strategy	The purpose of the pre-accession strategy is to prepare candidate countries for accession. It includes the following frameworks and mechanisms: Europe Agreements/Association Agreements/Stabilisation and Association Agreements; accession partnerships/European partnerships; pre-accession aid; cofinancing by international financial institutions; participation in EU programmes, agencies and committees; national programmes for the adoption of the acquis; regular/monitoring reports; political dialogue.	5 years	THA	PP	ELARG: coordination files
A	Europe agreements and association agreements	The Europe Agreements form the legal framework of the relations between the EU and the countries in central and eastern Europe to provide them with an appropriate framework for their gradual integration in the EU.				
B	Accession Partnerships	The accession partnerships, integral to the reinforced pre-accession strategy, form the framework for the pre-accession process of each candidate country. They establish the priority areas for further work, specified by the Commission in the regular reports on progress by the candidate countries towards membership of the EU, the financial means available to help these countries implement the priorities, and the conditions applicable to such assistance.				

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C	Stabilisation and Association Agreements	These agreements set the framework for the relations between the EU and the Western Balkan establishing the priority areas for further work, specified by the Commission in the regular reports on progress by the Western Balkan countries towards membership of the EU, the financial means available to help these countries implement the priorities, and the conditions applicable to such assistance.		THA	2nd review	DG: contribution files	
8.4.2	Relations with potential candidate countries and candidate countries for accession, including the pre-accession applications	Files concerning the relations with potential candidate countries and candidate countries for accession. These countries may apply or not for accession to the EU. Article 49 of the EU Treaty lays down the conditions with which candidates must comply to become members of the EU. The application is presented to the Council, which acts unanimously after consulting the Commission and after receiving the assent of the European Parliament.	5 years	THA	PP	ELARG: coordination files	
				SAM/SEL	2nd review	DG: contribution files	
8.4.3	Accession negotiations	During the accession negotiations the candidate countries have the chance to prepare for accession to the EU to enable them to assume their obligations as Member States, while the EU assesses its absorption capacity. Negotiations are based on each candidate country's own merits and are held in the framework of bilateral intergovernmental conferences between the Member States and the candidate countries.					
A	Screening of <i>the acquis</i>	The European Commission screens <i>the acquis</i> with each candidate country. The screening is performed before the accession negotiations begin in order to identify the priority areas that have to be adapted and strengthened and that are split up into chapters to be negotiated.					
B	Negotiating framework	The negotiating framework establishes the general guidelines for the accession negotiations for each candidate country. This framework determines more specifically the reforms and adaptations that each candidate country must undertake in order to join the European Union. The European Commission draws up the negotiating framework and presents it at the start of the accession negotiations.	5 years	THA	PP	ELARG: coordination files	
C	Monitoring and reporting	A monitoring procedure was set up to assess candidate countries' progress towards fulfilling their commitments during the negotiation process. Reporting is part of the accession process and is conducted regularly to provide information on progress achieved regarding accession negotiations. The procedure points out the steps to be achieved by each candidate country and acceding country.		SAM/SEL	2nd review	DG: contribution files	
8.4.4	Accession Treaties and monitoring of their implementation	Files concerning the drafting, signing and entry into force of the Accession Treaties of new EU Member States (these treaties contain the conditions set for each new country's accession to the EU and the necessary adaptations of the founding Treaties of the EU), as well as monitoring of implementation of the treaties.	5 years	THA	PP	DG	
8.5	Official visits - Third countries and international organisations	Coordination and organisation of practical aspects and protocol of official visits to the Commission by high-ranking personalities (heads of state and government, foreign ministers, etc.) from third countries and international organisations as well as official visits by the Commission to third countries and/or international organisations.	5 years	THA	PP	SG: coordination and protocol files	If the file contains documents concerning contractual or financial obligations, the ARP will be 10 years.
				SAM/SEL	2nd review	DG: core files	

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9 TRANSPARENCY, INFORMATION, COMMUNICATION AND RELATIONS WITH CITIZENS						
9.1	Transparency	Adoption and coordination of the implementation by the Commission of measures to promote transparency: public register, document access policy, re-use of information, etc.	2 years	THA	PP	SG, CONNECT
9.2	DG's communication strategy and tools	Action based on a communication plan to publicise the DG's specific policies and activities among external groups (the general public, sectoral target groups, institutional groups) and internal groups.	2 years	THA	PP	DG
9.3	Events, visits and information campaigns	Organisation of conferences, proceedings of conferences, information and communication campaigns, etc.				
9.3.1	Organisation of events	Organisation by Commission departments of conferences, seminars, workshops, campaigns, exhibitions, fairs etc. to publicise Community policies and actions.	5 years	THA	PP	DG
9.3.2	Participation in external events	Participation of officials and staff of the institution in seminars, conferences and external meetings organised by public or private external bodies.	5 years	SAM/SEL	2nd review	DG
9.3.3	Visits to the Commission (other than those under 2.7.5 and 8.5)	Files containing administrative and financial data on the organisation of information conferences by the Commission's Visits Service for groups of external disseminators and "general public" groups, including Open Days DGs' files for visits which they organise directly.	10 years L ₃	SAM/SEL	2nd review	DG
9.4	Studies, publications/collections and websites	Studies produced by the Commission (internally or externally), files on publishing publications and creating web pages for internal use and for the general public				
9.4.1	Publications / Collections of the Official Journal	Drafting and publishing Commission and DG publications, including paper, multimedia, electronic and audiovisual publications (e.g.: photos, posters, videos, animated multimedia productions, e-books, ...) and O collections.				
A	Drafting publications/Official Journal	Files corresponding to the drafting/production phase of publications and the Official Journal. Core files on contract notices sent by Member State bodies and used for drafting Supplements to the OJ.	5 years	EL		OP: OJ and publications published by OP DG
B	Final product	Publishing publications and the Official Journal	2 years	THA	PP	OP: OJ and other publications published by OP DG: publications other than those produced and published by OP

If the file contains documents concerning contractual or financial obligations, the ARP will be 10 years.

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9.4.2	Websites (both internal and public)	Files on the creation of websites for internal use on local Intranets, MyIntraComm and for public use under the Europa domain, including external sites created for the institution, and the websites themselves (editorial content, site structure and design).	2 years	SAM/SEL	2nd review	<p>COMM and HR: coordination file</p> <p>DG: core files</p> <p>DG HR has a coordinating role for internal websites and DG COMM for public websites. A website (or a section of a site) is to be archived in the case of major migrations (complete overhaul or replacement/removal of the site) if it contains substantial, not short-lived information. A website of which at least the core content is integrated into another site or which only contains links to documents that are registered elsewhere does not need to be preserved. Changes to a web page or site section are not preserved. If the file on the creation of a website contains documents concerning contractual or financial obligations, the ARP will be 10 years.</p>
9.4.3	Studies	Studies produced by the Commission (internally or externally)	2 years	THA	PP	DG
9.5	Management of the Commission's intellectual property rights	Management of all intellectual property rights belonging to the Commission as a result of its policies (e.g. buildings, research, publication policies) such as patents, copyright, trademark rights, image rights.				
9.5.1	Literary and artistic copyright	Files on literary and artistic copyright of the European Commission (royalties or copyright). The OP and DG COMM are the DGs most concerned by these files on management of Commission copyright on publications (paper, video etc.). The JRC is responsible for giving legal advice.				
	A	Authorisations granted to third parties	10 years L ₃	THA	PP	OP, COMM and JRC: coordination files
	B	Acquisition of copyright		THA	2nd review	DG: core files
9.5.2	Other intellectual property rights	Files on patents, trademark rights, image rights. This includes all files related to intellectual property rights (IPR) registration certificates and IPR related legal agreements covering the licencing, procurement, assignment and transfer of IP assets to and from third parties (e.g. taking out a patent or trademark right) as well as defence of acquired rights against infringements and exploitation of rights through licencing contracts.	10 years L ₃	THA	PP	JRC: coordination files
				THA	2nd review	DG: core files

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9.6	Relations with citizens					
9.6.1	Applications for access to documents	Any natural or legal person may apply to the Commission for access to its documents.				
	A Initial applications	DGs' files on initial processing of applications for access to documents: sending of all or part of the document requested or refusal of access.	5 years	THA	2nd review	DG
	B Confirmatory applications	Where access to a document is refused, the applicant may make an appeal for administrative review to the SG. The Secretary-General, on behalf of the Commission, takes the final decision (after receiving the opinion of the Legal Service).	5 years	THA	PP	SG
9.6.2	Requests for information	Commission departments also answer citizens' requests for information under the Code of Good Administrative Behaviour.	2 years	EL		DG
9.6.3	Requests for patronage and/or to use the European flag, emblem, logo etc.	Individuals and organisations may ask the Commission for moral support (patronage) and for authorisation to use the European emblem, which does not give them any exclusive rights or allow them to appropriate the emblem or any similar trademark or logo. Each case is examined individually to determine whether the above conditions are fulfilled.	2 years	EL		SG
9.6.4	Complaints to the Commission about maladministration (infringements of the Code of Good Administrative Behaviour)	Handling of complaints received by the Commission (SG) from citizens who consider that Commission departments have not treated them in accordance with the principles of legality, non-discrimination, proportionality of measures to their objective or consistency in administrative behaviour.	3 years	THA	2nd review	SG: coordination files
				SAM/SEL	2nd review	DG: contribution files
9.6.5	Complaints on grounds other than maladministration	Handling of complaints from citizens to the Commission on grounds other than maladministration (e.g. infringements of Community law by Member States, infringement of competition rules by businesses).	3 years	SAM/SEL	2nd review	DG
						CHAP is the computer application which manages this type of complaints
9.6.6	Transmission of information to OLAF (by Freephone or by other means)	European citizens can contact OLAF on subjects for which it is competent, mainly to denounce a suspected fraud or other irregularities that may have an impact on the Community budget, including corruption or other misconduct by members of staff of the Commission or other European institutions.	20 years	EL		OLAF
9.7	Relations with the media	Relations with the media (press, radio, TV etc.), cooperation with the spokesperson, relations of the DGs with the specialist press, etc.	5 years	SAM/SEL	2nd review	DG
						DG COMM is responsible for the files of the spokesperson and representations
10	MONITORING THE APPLICATION OF COMMUNITY LAW					
10.1	State aid	Monitoring of State aid (award of benefits or favourable treatment to certain products or enterprises to the detriment of others), given that aid which distorts free competition in the single market is in principle forbidden, apart from the exceptions provided for.	2 years	THA	PP	DG
10.2	Antitrust cases (Articles 101 and 102 TFEU)	Cases concerning agreements between undertakings, decisions by associations of undertakings which have as their object or effect the distortion of competition (Article 101 TFEU) as well as abuse by undertakings of a dominant position (Article 102 TFEU).	2 years	THA	PP	COMP: coordination files
10.3	Merger cases	Prior checking of concentrations which may substantially hinder effective competition.		SAM/SEL	2nd review	DG: contribution files

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10.4	Economic and fiscal surveillance	The Commission monitors the budget situation and public debt in the Member States and, when necessary, initiates the excessive deficit procedure.	5 years	THA	PP	ECFIN, ESTAT		
10.5	Infringements (preliminary procedure)	Infringement procedure by the Commission against a Member State. The procedure involves a preliminary phase (letter of formal warning and reasoned opinion) and, where necessary, legal proceedings (see Chapter 11).	5 years	THA	PP	DG	The NIF application (coordinated by the SG) covers the main documents for both the preliminary phase of the infringement procedure and the transposition of directives in Member States.	
10.6	Transposition of directives	The Member States must introduce the provisions necessary to comply with a directive within the deadline specified and inform the Commission of their action. They must also communicate to the Commission the texts of the main provisions of national law which they adopt in the field covered by the directive in question.	5 years	THA	PP	SG: coordination file		
				THA	2nd review	DG: core file		
11	Legal proceedings							
11.1	Cases before the European Courts	The Commission appears before the European Courts (Court of Justice of the EU, General Court and Civil Service Tribunal) as the applicant or the defendant, depending on the case; it is also called upon to make comments in preliminary ruling proceedings and may intervene to support a party to a dispute.	5 years	THA	PP	SJ: coordination files	The Commission's Legal Service, which consults the departments concerned and works in close communication with them, is the only department competent for the conduct of legal proceedings in which the Commission is involved on any basis in a case before a European, international or national court and in all cases in which the Commission is represented before an arbitration tribunal.	
11.2	Cases before the EFTA Court	The Commission appears before the EFTA Court as an intervening party, and is also called on to make comments in preliminary ruling proceedings.						
11.3	National court proceedings	In the majority of cases the Commission appears before national courts as the civil party in criminal cases, or as applicant in enforcement hearings (if a natural or legal person fails to pay the amount claimed after the authorising officer has sent a recovery order).						
11.4	WTO - Dispute settlement	The Commission appears before the WTO [Panels/Appellate Body] as plaintiff or defendant, but also as a third party.			THA	2nd review		DG: contribution files
11.5	Cases before the European Court of Human Rights (ECHR)	The Commission defends the interests of the EU before the European Court of Human Rights (ECHR).						
12	ADMINISTRATION							
12.1	Staff Regulations and administrative reforms	Adoption and coordination of the implementation of the measures necessary to apply the Staff Regulations and administrative reforms decided by the College (reform of the Staff Regulations etc.).	5 years	THA	PP	HR, SG		

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12.2	Social dialogue	All files on social dialogue at Commission level					
12.2.1	Negotiations and relations with trade unions and staff associations (OSP)	Negotiations [Minutes of meetings with the OSP (Organisations Syndicales ou Professionnelles), interim texts and final adopted texts, etc.] and relations with these organisations	10 years	THA	PP	HR	
				SAM/SEL	2nd review	DG	
12.2.2	Operation of social dialogue and funds allocated	Framework agreement, agreement on resources, annual protocol on resources, etc.	10 years	THA	PP	HR	
12.2.3	Relations with the Staff Committees	Documents on elections to the Staff Committees, consultation of the Central Staff Committee, etc.	5 years	THA	PP	HR	
12.2.4	Relations with the Joint Committees	Composition, rules of procedure, minutes of meetings.		SAM/SEL	2nd review	DG	
12.2.5	Interinstitutional conciliation	Minutes, preparatory documents, interim documents and final documents adopted, etc.	10 years	THA	PP	HR	
12.3	Management of human resources	All files on human resources policy and day-to-day staff management at Commission and DG level.					
12.3.1	Adoption of policies applicable to human resources (HR) and coordination of their implementation	Rules for implementing the Staff Regulations and Conditions of employment of other servants (CEOS), training, equal opportunities, harassment, teleworking, social dialogue, evaluation and promotion system, mobility, recruitment, pay, pensions, sickness, accidents, leave, missions, termination of service, external activities, contract staff, etc.	10 years	THA	PP	HR	
12.3.2	Implementation of HR policies	Files for centralised (by HR or PMO) or decentralised (by DGs and equivalent departments) implementation of applicable human resources policies, including the files concerning the management of vacancy notices.	10 years	EL		DG	HR and PMO are responsible for the files on policies implemented centrally. The current AIPN rules determine what is implemented centrally (HR, PMO) and what on a decentralised basis (DGs).
12.3.3	Selection of senior and middle managers	Files concerning the selection of heads of unit, directors and senior posts (vacancy notices, Appointing Authority (AIPN) decision appointing the selection panel, minutes of preselection committee, individual completed evaluation sheets, letters of thanks to members of the panel, note to the Consultative Committee on Appointments, act of appointment, etc).	10 years	THA	PP	HR: coordination file	
				EL		DG: core file	
12.3.4	Competitions, selection of staff and candidates' files	Test and exam procedures for staff recruitment and files of competition candidates					
A	Competitions	Organisation of competitions for officials (notice of competition, composition of the board, letters appointing board members, declarations of confidentiality of board members, invitations to meetings, minutes, list of exam centres, composition of supervision teams and instructions given, checklists, model admission and evaluation sheets, letters used, instructions to markers and, on occasion, minutes and references to disputes).	10 years L ₄	SAM/SEL	2nd review	EPSO, SCIC	For computer-based tests, where the questions are contained in a database set up by the department and regularly updated, the 10-year ARP does not apply to the database.
B	Procedures for the selection of contract staff, temporary staff (including temporary interpreters and translators) and auxiliary conference interpreters (ACIs)	Organisation of selection procedures for contract staff, temporary staff, temporary interpreters or translators (Articles 2A and 2B CEOS) and auxiliary conference interpreters (ACIs).	5 years L ₅	SAM/SEL	2nd review	EPSO, DGT, SCIC	

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C	Files on candidates for posts as officials	File on each competition candidate (application letter, exams, etc.), both those eliminated during the procedure and those entered on the reserve list.	10 years L ₄	EL	EPSO		
D	Files on candidates for posts as contract or temporary staff (including temporary interpreters and translators)	File on each candidate for a contract staff post (application letter, exams, etc.), a temporary staff post or a temporary interpreter or translator post, both those eliminated during the procedure and those entered on a reserve list (in the case of contract staff and temporary interpreters or translators) or taken on for a specific post (in the case of temporary staff).	5 years L ₅	EL	EPSO, DGT, SCIC	The CARL database manages the electronic files for contract staff candidates.	
E	Files of candidates for posts as auxiliary conference interpreters (ACIs) - freelance interpreters	File on each candidate for an ACI (freelance interpreter) post.	20 years L ₆	EL	SCIC	The CORALIN database (via its Signalétique application) manages AIC candidates' electronic files.	
12.3.5	Unsolicited applications	Annual file on all unsolicited applications received by a department.	2 years	EL	DG	EU-CV Online is the database which manages each application individually.	
12.3.6	Organisational charts	Reorganisation of all or part of a DG.	10 years	THA	PP	HR	Both DG HR and the DG concerned must keep their file: depending on the scale of the changes to the organisational structure, they are approved by the DG's Director-General, the Director-General of HR and the College. Minutes of College meetings do not contain all the changes in organisational structures.
			5 years	THA	PP	DG	
12.3.7	Personal files	File for each official or staff member (temporary, contractual or auxiliary) opened when they take up their duties and kept open until their service is terminated (because of retirement, death, voluntary departure or end of contract). Each file contains all documents relating to the official's or staff member's career (Article 26 of the Staff Regulations). The ARPs for personal files under this point and within the meaning of Article 26 of the Staff Regulations apply by analogy to the personal files of national experts on secondment, structural trainees and local staff.	8 years after the extinction of all rights of the person concerned and of any dependants, and for at least 120 years after the date of birth of the person concerned.	EL	HR COMM, ECHO, JRC: Files on contract and other staff in the delegations, representations, ECHO offices and JRC sites SCIC: Auxiliary conference interpreter (ACI) files	The ARP for these files is independent of the date on which the file is closed (date of termination of service of the staff member).	
12.3.8	Traineeships, grants and short or long term visits	Official programme of Commission traineeships ("Blue Book"), other traineeship programmes (e.g. for citizens of acceding countries), grants or short or long term visits such as those managed by JRC for visiting scientists.					
	A	Traineeship, grants and short or long term visits policy	Adoption and application of rules on Commission traineeship, grants and short or long term visits programmes (organisation, periods, types, setting amount of the grant, etc.) including interinstitutional communications or communications with the Member States on the subject.	5 years	THA	PP	DG
	B	Organisation of traineeships, grants and short or long term visits policy	Invitations to apply, procedure, selection panels, etc.	5 years	SAM/SEL	2nd review	DG

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C	Files on trainees, grant holders or short and long term visitors	File for each trainee, grant holder or visitor opened when s/he is recruited and kept open until the end of the traineeship; contains the application (form and attachments), preselection evaluation sheet, correspondence, offer of traineeship, grant or visit, letter of acceptance, legal entity, description of tasks, attestation of traineeship, grant or visit, traineeship certificate, etc.	50 years T ₃	EL		DG	
D	Files on candidates not taken on	Files on candidates who are: a) rejected; b) not pre-selected (e.g. in the Blue Book); c) pre-selected but not taken on; d) or who withdraw their application. These files contain candidates' applications and related correspondence.	2 years	EL		DG	
12.3.9	Files on recipients of benefits and wage packages	PMO files on salaries, refunds of medical costs, pensions, etc.	See PMO's Specific Retention List			PMO	
12.3.10	Medical records	The Commission's medical files contain all the medical reports and examinations of the person concerned, as well as administrative documents on procedures relating to Articles 33, 53, 59, 60 and 78 of the Staff Regulations and Chapters 1 and 3 of Annex VII to the Staff Regulations.	30 years after the termination of duties of the person concerned (but for at least 40 years after exposure for workers who have been exposed to carcinogens or mutagens) and, in any event, at least until the person concerned reaches the age of 75. L ₇	EL		HR COMM, ECHO, JRC: Files on contract staff in the representations, ECHO offices and JRC sites (Ispra and Seville)	
12.3.11	Article 90 (2) complaints (preliminary procedures), Article 90 (1) requests and Article 24 requests	Complaints to the administration under Article 90 of the Staff Regulations and requests under Article 24	5 years	THA	PP	HR, EPSO, PMO: coordination file	Complaints receiving a negative response in respect of which the person concerned submits an appeal to the General Court (and in some cases, later on, the Court of Justice) remain open until the Commission has complied with the Court's judgment.
			2 years	EL		DG: contribution file	
12.3.12	Psychological/social assistance, practical assistance	Fundamentally this concerns the individual files of recipients of financial, practical or psychological/social assistance.					
A	Legal Adviser	Legal advice to officials consulting on subjects such as leases, problems with neighbours, etc.	5 years	EL		HR, OIL	
B	Financial social assistance and psychological/social assistance	On the one hand, this means the individual files of recipients of financial assistance for home helps, assistance for the disabled, for retired persons, for surviving spouses, welfare grants and refunding exceptional education costs. On the other hand it means social workers' files containing the notes taken during their conversations with their clients. The files contain personal and/or financial data on the recipient/beneficiary.	30 years after the termination of duties L ₈	EL		HR	

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C	Practical assistance, section for disabled children	These files concern persons with a disabled child in their care who have applied to the section. They contain certain personal data on the official and the dependent disabled child.	7 years L ₈	EL	HR	
D	Practical assistance, section for relations with former staff	The files essentially concern requests from retired officials for access to the Commission Intranet and for renewal of passes for Commission buildings. Basically they contain the applicant's name and address. The files also concern pensioners in difficulties. Such files contain personal data and data on the person's family situation.	1 year L ₈	EL	HR	
12.3.13	Recognition events: award of medals and leaving presents	These files contain the names of those awarded medals and of persons retiring/leaving on invalidity in the current and previous year.	2 years	EL	HR	
12.3.14	Day-to-day management of human resources	Files of departments (DGs, directorates or units) on staff management, allocation of vacant posts, leave, etc., created for the purposes of sound management of human resources in the department concerned.	4 years	EL	DG	Any document that is important for an official's career (above all signed originals) must be placed in the relevant personal file (see 12.3.7)
12.4	Professional conduct and discipline	Files on the activities and investigations by OLAF and IDOC concerning Commission personnel (complementing chapter 4.7)				
12.4.1	Files that have not given rise to administrative investigations	These files essentially contain documents in view of which a decision has been taken not to launch administrative investigations.	2 years	EL	HR	
			5 years	EL	OLAF	
12.4.2	Administrative investigations	Administrative investigation files essentially contain the mandate for an investigation, the instruments of the investigation procedure, the investigation report with annexes (records of hearings, documents supporting the report's conclusions, etc.) as well as, where applicable, all post-investigation follow-up actions (recovery of funds, legal proceedings, ...) ..				
A	Investigations with disciplinary consequences	These files essentially contain the investigation report, instruments of the disciplinary procedure, correspondence with the person concerned, the decision imposing disciplinary measure and any follow-up (appeals).	20 years L ₉	EL	HR, OLAF	
			5 years	EL	HR	
B	Investigations without disciplinary consequences	These files essentially contain the investigation report and the documents in view of which the decision was taken not to open disciplinary proceedings.	10 years	EL	OLAF	
12.4.3	Disciplinary procedures	These files essentially contain the documents in view of which the decision was taken to open the disciplinary procedure, the instruments of the disciplinary procedure, correspondence with the person concerned, the decision imposing the disciplinary measure and any follow-up (appeals).	20 years L ₉	EL	HR	
12.4.4	Cooperation in the investigations and disciplinary procedures	Files created by the SG and the DGs cooperating with HR and OLAF during these investigations and disciplinary procedures.	15 years	EL	SG: coordination files	
			5 years	EL	DG: contribution files	

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12.4bis Security	Files concerning the adoption and implementation of the Commission's policy in the area of security (protection from premeditated events): information, persons, buildings, ...						
12.4bis.1	Security policy	Adoption of the Commission's policy in the area of security and coordination with regards to horizontal questions on security	7 years	THA	PP	HR	
12.4bis.2	Implementation of the policy in the area of security (buildings security and surveillance are dealt with under 12.5.2.F)	Coordination of the implementation of the security policy defined by the Commission, implementation by the DGs (elaboration and application of the DGs' specific security plans), information management, information exchange and outreach activities on security.	7 years	THA SAM/SEL	2nd review 2nd review	HR: coordination files DG: core files	
12.4bis.3	Protection and crisis management	Files concerning protection and crisis management	7 years	EL		HR	
12.5 Logistics	All files concerning logistics policies (buildings policy, mobility and transport policy, health and safety policy, etc.) and their implementation. Policies may be implemented directly by the DG or by OIB/OIL. IT issues are not included in this chapter (see chapter 12.7).						
12.5.1	Adoption of Commission logistics policies	Files on the adoption of policies on buildings, environmental protection (EMAS), health and safety, transport and mobility, etc. applicable at the Commission.					
A	Buildings policy	Coherent long-term policy for housing Commission staff (development of new or existing sites). These files also concern the choice of buildings, technical requirements, etc., as well as files for informing both arms of the budgetary authority about any buildings project that may have a financial impact, including the programming of some buildings projects.	5 years	THA	2nd review	BUDG, COMM, ECHO, HR, JRC	BUDG and HR (with OIB and OIL) are responsible for the files concerning BXL and LUX. BUDG, COMM, ECHO and JRC for their sites outside BXL and LUX
B	Transport and mobility policy	Adoption of transport and mobility policies within the institution which fit into an overall policy designed to benefit both the individual and the quality of the environment.					
C	Health, safety and hygiene protection policy	Adoption of policy on prevention and protection (safety: protection from accidental events) and hygiene for staff on Commission sites. Ensuring compliance with health, safety and hygiene standards through opinions and advice. Organisation of information programmes, prevention, training and intervention in emergencies.					
D	Environmental policy (EMAS etc.)	Files on waste processing, reduction of energy and water consumption, etc. to protect the environment (e.g. EMAS - environmental system used by the Commission to comply with Belgian legislation).	5 years	THA	2nd review	COMM, HR, ECHO, JRC	HR is responsible for the files concerning BXL and LUX. BUDG, COMM, ECHO and JRC for their sites outside BXL and LUX
E	Social infrastructure policy	Definition of rules and principles for the management of infrastructure for Commission staff and staff of the other institutions (e.g. mass catering and formal catering infrastructure, sports infrastructure, nurseries and child-minding facilities, etc.).					
12.5.2	Implementation of logistics	Implementation of all policies concerning logistics at the Commission. These policies are normally implemented by OIB and OIL for DGs and buildings in Brussels and Luxembourg. JRC, ECHO and COMM are responsible for logistics for their buildings outside Brussels and Luxembourg.					
A	Management of buildings contracts	Files on the negotiation, signing and implementation of contracts on the basis of which the Commission occupies buildings (rental and other tenancies, leasehold, etc.) until those contracts expire.	10 years	THA	2nd review	OIB, OIL, COMM, ECHO, JRC	OIB, OIL: files for BXL and LUX buildings. COM, ECHO, JRC: files for buildings outside BXL and LUX. The files are kept open for as long as the contract is in force and the ARP only applies from the date when the file is closed (end of lease, or deed of sale of a building owned by the Commission).

ANNEX 1: CRL MANAGEMENT SCHEDULE

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B	Administration, building/renovation and fitting out of buildings, including general and technical maintenance	5 years	SAM/SEL	2nd review	OIB, OIL, HR, COMM, ECHO, JRC	OIB, OIL: files on the logistics for DGs and/or buildings in Brussels and Luxembourg. HR: for building security files in Brussels. COMM, ECHO, JRC: files on the logistics for their sites outside Brussels and Luxembourg. If the file contains documents concerning contractual or financial obligations, the ARP will be 10 years.
C	Office moves					
D	Health, safety and hygiene protection at work					
E	Management of environmental constraints					
F	Buildings security					
G	Management, stock-taking and decommissioning of movable property					
H	Management of supplies					
I	Restaurants and cafeterias					
J	Management of social infrastructure facilities					
K	Management of the car pool, car parks, bicycles, etc.					
12.5.3	Infrastructure and resources for conferences and meetings	5 years	SAM/SEL	2nd review	SCIC	If the file contains documents concerning contractual or financial obligations, the ARP will be 10 years.
A	Planning, logistical and technical support for multilingual events					
B	Organisation and planning of meetings and conferences					
12.5.4	Management and logistics of translations	5 years	SAM/SEL	2nd review	DGT	

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12.5.5	Central mail service and reproduction						
A	Commission central mail service	Collection and distribution of Commission departments' mail.	5 years	SAM/SEL	2nd review	OIB, OIL, JRC	OIB, OIL: files concerning BXL and LUX. JRC: files concerning sites outside BXL. If the file contains documents concerning contractual or financial obligations, the ARP will be 10 years.
B	Design and reproduction	Efficient service for producing and distributing documents/brochures to all Commission departments.					
12.5.6	Day-to-day management of logistical issues	Files on day-to-day management of logistical issues in the DGs and departments.	5 years	EL		DG	
12.6	Financial management	Files on DGs' and services' day-to-day financial management.					
12.6.1	Management of decentralised administrative appropriations (supplements Chapter 7: Operating appropriations)	This category includes all files on expenditure covered by decentralised administrative appropriations (non operational expenditure) such as studies, service provisions, etc., expenditure on staff authorised in the establishment plan, expenditure relating to external staff (including auxiliary and agency staff) and other management expenditure (including representation expenses and meeting expenses), expenditure on buildings and other related expenditure, including cleaning and maintenance, rental and hiring, telecommunications, water, gas and electricity, support expenditure, etc.					
A	Planning and reporting	Initial planning of the DG's administrative appropriations, follow-up, implementation and reporting instruments, including follow-up on commitments and payments.	5 years	THA	PP	DG	
B	Procurement procedures	Preparation and launch of tendering procedure, opening and evaluation of tenders and award of contract. The file will contain: the call for expressions of interest; the invitation to tender (open, restricted, negotiated, etc.) the preliminary and final information sheets to GAMA (for DIGIT files), the award decision, etc.	10 years L ₃ T ₂	SAM/SEL	2nd review	DG	The procurement procedure file will be closed immediately after the contract is signed.
C	Contract management (following award of contracts)	File which starts with signing of the contract and continues up to the last payment by the Commission. These files contain documentation of both the technical and financial parts of the project.	10 years L ₃	SAM/SEL	2nd review	DG	
D	Procedures for award of grants	Preparation and publication of call for proposals, evaluation of applications for grants and selection of projects for financing. Management of preparatory files for grants for which, as an exception, no call for proposals has been made.	10 years L ₃ T ₁	SAM/SEL	2nd review	DG	
E	Management of grant agreements and decisions	File which starts with the signing of the grant agreement or notification of the grant decision and continues up to the last payment by the Commission. These files contain documentation of both the technical and financial parts of the project.	10 years L ₃	SAM/SEL	2nd review	DG	
12.6.2	Accounting	Includes files relating to validation of accounts and the function of the Accounting Correspondent.	5 years	THA	PP	DG	
12.7	IT and technology	Concerns applications, in particular their documentation, reasons for choice of technologies, etc.; management of infrastructure services and IT services in general (mainly supplied by DIGIT).					
12.7.1	IT architecture	Policies and broad guidelines implemented by DIGIT (e.g. e-governance) including issues related to IT security and protection (essentially issues such as viruses, spam, secure e-mail, ...).	5 years	THA SAM/SEL	PP 2nd review	DIGIT: coordination files DG: own files	
12.7.2	Information system (IS)	IS creation, maintenance and development (including reporting and evaluation) and use (migrations, access authorisation and management, support, etc.).					
A	Corporate systems	These are systems such as SYSPER2, ARES, CIS-NET, ABAC, etc.	3 years	THA SAM/SEL	2nd review 2nd review	Project owner DG, DIGIT User DGs	Account must be taken of the lifetime of the big systems.
B	DG-specific systems	IT system developed and used by a DG.	3 years	THA	2nd review	DG	

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12.7.3	Informatics solutions and services including the infrastructure and the Data Centres	Includes all files on the development services, infrastructure services and computer engineering services, Corporate Infrastructure Solution, Consulting management, Data Centre and ICT logistics processes				
A	Strategy	5 years	THA SAM/SEL	2nd review 2nd review	DIGIT: coordination files DG: own files	If the file contains documents concerning contractual or financial obligations, the ARP will be 10 years.
B	Infrastructure and maintenance	5 years	EL		DG	If the file contains documents concerning contractual or financial obligations, the ARP will be 10 years.
12.7.4	Networks and telecommunications	Includes all files on supply of Corporate User Proximity Services (CUPS) and network infrastructure services.				
A	Strategy	5 years	THA SAM/SEL	2nd review 2nd review	DIGIT: coordination files DG: own files	If the file contains documents concerning contractual or financial obligations, the ARP will be 10 years.
B	Management of networks and telecommunications services	5 years	EL		DG	If the file contains documents concerning contractual or financial obligations, the ARP will be 10 years.
12.7.5	Day-to-day management of IT issues and follow-up of the life cycle of IT equipment	5 years	EL		DG	
12.8	Management of documents and archives	Commission policy on the management of documents and historical archives.				
12.8.1	Document management policy and archive policy	5 years	THA SAM/SEL	PP 2nd review	SG: coordination files DG: contribution files	
12.8.2	Implementation of rules on document management and historical archives	5 years	THA THA	PP 2nd review	SG and OIB: coordination files DG: core files	
12.8.3	Documentation Centre	10 years	SAM/SEL	2nd review	DG	
12.8.4	Libraries	10 years	SAM/SEL	2nd review	EAC	Concerns both paper and electronic libraries.
12.9	Internal auditing					
12.9.1	Annual audit work plan	6 years	THA	PP	DG	

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12.9.2	Internal audit reports	These internal audit files contain the internal auditors' comments recorded during their auditing work, the internal auditor's opinion on the internal control system audited and his/her recommendations. The auditees' comments are annexed to the reports. The annual internal audit reports of the IAS, drawn up under Article 86(3) and (4) of the Financial Regulation are also included in this category.	10 years	THA	2nd review	IAS: own files	As a minimum these files must contain the audit report and its recommendations.	
			6 years	THA	2nd review	DG: own files, above all IAC reports		
	12.9.3	Opinions/consultancy	Opinions given by the DGs' IACs when consulted by the departments.	6 years	SAM/SEL	2nd review		DG
	12.9.4	IAS-IAC relations	All files on exchanges between the IAS and the IACs (excluding audits).	6 years	EL			DG
	12.9.5	Permanent audit files	Files containing general information on the systems and environment of the field to be audited by the IAC or IAS.	6 years	EL			DG
12.10	Evaluation, internal control and other monitoring and risk management actions	Files on the evaluation of services' functioning and on the EU delegations' and Commission representations' activities; files on internal control as well as other monitoring actions and on risk management.						
12.10.1	Adoption and coordination of the implementation of these policies and actions	Definition, adoption and coordination of the implementation of 1) policies and/or actions regarding the evaluation of services' functioning and of delegations' activities, 2) internal control (the Internal Control Standards (ICS)), and 3) other monitoring and risk management actions, including the risk management/assessment exercise.	7 years	THA	PP	DG		
12.10.2	Implementation of these policies and actions	Files by the DGs and services regarding evaluations (f.ex. the 'inspection reports' of the delegations), the application of the Internal Control Standards (ICS), and the execution of other monitoring actions (f.ex. the 'verification missions' in the delegations) and risk management, as is the case of the risk management/risk assessment exercise.	7 years	THA	PP	DG		
12.11	Relation between the DGs and the Offices	Files on the Management Committee, interdepartmental meetings, working parties and other administrative action concerning the Offices (OP, OIB, OIL, EPSO, etc.).	5 years	SAM/SEL	2nd review	DG	BUDG, HR and SG have the coordination files, while DGs keep their own core files	
12.12	General administration and management of units/directorates	Concerns the day-to-day management of the DG and its administrative entities (meetings, work circulars, procedures etc.).						
12.12.1	Activities of the Director-General	Files concerning the Director-General's tasks and activities.						
A	Management meetings, coordination actions and activities of the Director-General	Files concerning internal top and middle management meetings (agenda, minutes etc.), files concerning the coordination actions and the activities undertaken by the Director-General.	4 years	SAM/SEL	2nd review	DG		
B	Briefings for the Director-General	Drafting by departments of notes and briefings for the Director-General.						
12.12.2	DG procedures and internal guidelines	Adoption and implementation by the DG of internal procedures and guidelines, work circulars, and working methods, including internal information	5 years	THA	PP	DG		

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12.12.3	Service Level Agreements (SLA) and other administrative agreements between DGs or between DGs and other institutions/entities	Adoption and implementation of agreements between DGs (e.g. agreement between SG and BEPA on management of budgetary/human resources or document management; agreement between two DGs on allocation of posts, on provision of statistics etc) and between a DG and other services or institutions on administrative issues (e.g. agreements between BUDG and Community agencies or institutions on the use of ABAC).	5 years	THA	2nd review	DG	
12.12.4	General administrative support management	Files on the day-to-day application of administrative provisions.	7 years	EL		DG	
12.12.5	Unit meetings, directorate meetings, etc.	Agendas and minutes of unit meetings, directorate meetings, etc.	5 years	SAM/SEL	2nd review	DG	
12.12.6	Internal working parties and other collaboration actions within the DG	Collaboration actions between units and/or directorates within the DG, composition, working methods, meetings of internal working parties etc.					

L ₁	Commission Regulation (EC) No 885/2006 of 21 June 2006 laying down detailed rules for the application of Council Regulation (EC) No 1290/2005 as regard the accreditation of paying agencies and other bodies and the clearance of the accounts of the EAGF and of the EAFRD [Article 9]
L ₂	Opinion of 23 June 2006 on a notification for prior checking on OLAF internal investigations (Case 2005-418)
L ₃	Council Regulation (EC, Euratom) No 1605/2002 of 25 June 2002 on the Financial Regulation applicable to the general budget of the European Communities as last amended by Council Regulation (EC, Euratom) No 1995/2006 of 13 December 2006 (OJ L 390, 30.12.2006) and Commission Regulation (EC, Euratom) No 2342/2002 of 23 December 2002 laying down detailed rules for the implementation of Council Regulation (EC, Euratom) No 1605/2002 on the Financial Regulation applicable to the general budget of the European Communities, as last amended by Commission Regulation (EC, Euratom) No 478/2007 of 23 April 2007 (OJ L 111, 28.4.2007) [Article 49]
L ₄	Opinion of the Legal Service JUR(2006) 30336 of 19 June 2006 and Opinion of the EDPS of 24 February 2006 on a notification for prior checking on the system of "Recruitment, by competition, of permanent staff for the European institutions or for Community bodies, offices and agencies" (Case 2004-236)
L ₅	Opinion of the EDPS of 2 May 2006 on the notification for prior checking on the system of "Selection of temporary staff with a view to recruitment by the European institutions or by Community bodies, offices and agencies" (Case 2005-365)
L ₆	Preliminary opinion of the EDPS of 16 May 2007 on the management of the files of candidates for auxiliary conference interpreters (ACIs) (Case 2006-364)
L ₇	Council Directive 96/29/Euratom of 13 May 1996 laying down basic safety standards for the protection of the health of workers and the general public against the dangers arising from ionizing radiation (Article 34) and Directive 2004/37/EC of the European Parliament and of the Council of 29 April 2004 on the protection of workers from the risks related to exposure to carcinogens or mutagens at work (Article 15)
L ₈	Opinion of the EDPS of 13 March 2006 on a notification for prior checking regarding social and financial assistance (Case 2004-223)
L ₉	Opinion of the EDPS of 20 April 2005 on the notification for prior checking relating to "Internal administrative inquiries and disciplinary procedures within the European Commission" - IDOC (Case 2004-187)

T ₁	Elimination of all projects not selected after three years
T ₂	Elimination of all unsuccessful bids after five years.
T ₃	Elimination after five years of all documents except the sheet for the reconstruction of one's career