

ANNEX 1: CRL (EN)

FILE TYPES	DESCRIPTION	ADMINISTRATIVE RETENTION PERIOD (ARP)	POST-ARP ACTION OR FIRST REVIEW EL: elimination; SAM/SEL: sampling and/or selection; THA: transfer to the historical archives	ACTION FOLLOWING TRANSFER TO THE HISTORICAL ARCHIVES 2nd review: second review; PP: permanent preservation	LEAD DEPARTMENT	OBSERVATIONS	
<b>1 INSTITUTIONAL AND GOVERNANCE ISSUES</b>							
1.1	<b>Horizontal institutional issues and revision of the Treaties</b>	Files regarding the interpretation of the Treaties in force, reflections on the future of the EU, its powers, means of action, enlargement versus deepening, amendment of the Treaties, etc.	5 years	THA SAM/SEL	PP 2nd review	SG: coordination files DG: contribution files	
1.2	<b>European governance</b>	Files related to the 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: coordination files DG: contribution files	
1.3	<b>Multilingualism</b>	Files on the Commission's adoption of rules promoting multilingualism (translating, interpreting, etc.) and coordination of their implementation.	5 years	SAM/SEL	PP	SG, DGT, SCIC, EAC	
1.4	<b>Rules of Procedure</b>	Files that cover the revision of the Rules of Procedure and, as the case may be, their implementation.	5 years	THA	PP	SG	
<b>2 STRATEGY AND COORDINATION</b>							
2.1	<b>Strategic programming and planning</b>	Files covering the Commission's establishment of its multiannual strategic objectives, on the basis of which it adopts its work programme and the preliminary draft budget for each year.					
2.1.1	Multiannual strategic objectives and policy priorities	Files related to the Commission's establishment of its multiannual strategic objectives as well as its decisions on policy priorities.	5 years	THA SAM/SEL	PP 2nd review	SG: coordination files DG: contribution files	
2.1.2	Strategic/management plans and annual activity reports	Files related to the departments' drafting of the strategic and management plans as well as the annual activity reports.	5 years	THA	PP	DG	
2.1.3	Overview of the state of internal control	Files concerning the establishment of the overview of the state of internal control in the Commission DGs and services, which is drafted by DG BUDG and used by the SG to prepare the synthesis report.	5 years	THA	PP	BUDG	Other files related to internal control are covered by category 12.11.
2.1.4	Annual management and performance reports	Files concerning the drafting of the Commission's annual management and performance reports, which are based on all annual activity reports. These reports cover policy results as well as management and control performances.	5 years	THA	PP	SG	
2.2	<b>Cabinet activities and coordination with the DGs</b>	Cabinet 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 briefings, meetings of groups of Members of the Commission, etc.).					
2.2.1	Cabinet activities	Member of the Commission and member of Cabinet files on the monitoring of political/legislative issues and the attendance of meetings and events.	Term of the College T <sub>9</sub>	THA	PP	Cabinets, SG	Files must be closed by the end of the term of the College. Cabinet members' notes should be in the files wherever possible, given their high historical value. After the end of the College term, the files become the responsibility of the historical archives.
2.2.2	Coordination of DGs with Cabinets	Files covering the relations of each DG with the Cabinets, in particular their own Cabinet. Files cover the adoption of working procedures, the processing of correspondence as well as the preparation and follow-up of briefings, speeches, articles and other types of contributions.	Term of the College T <sub>9</sub>	THA	PP	DG, Cabinets	The private offices have the final version of the replies to correspondence, briefings and speeches, etc. The preparatory and follow-up files covering all these records and actions are created by the DGs when they concern their Member of the Commission and by the SG when they concern the President, an executive vice-president in a coordination role or a vice-president.
2.3	<b>Inter-DG coordination</b>	Files on the coordination between the Commission's departments.					
2.3.1	Interservice consultation	Files related to the launch of an interservice consultation that cover all responses received by the lead department of consulted DGs and all negotiations pertaining to these responses.	5 years	THA	PP	DG which launches the interservice consultation	
2.3.2	Business continuity and crisis management	Files on the 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. Files on the 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 SAM/SEL	PP 2nd review	SG: coordination files DG: contribution files	
2.3.3	High-level coordination	Files covering the coordination of the work of the various high-level groups managed and chaired by the Secretary-General. These files contain agendas, minutes, records relating to meetings, etc. Other coordination actions executed by the Secretary-General within the Commission or in the framework of interinstitutional relations are also covered.	5 years	THA SAM/SEL	2nd review	SG: coordination files DG: contribution files	These files minimally contain the agenda, background records circulated for the meetings and meeting minutes.

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	2.3.4	Interdepartmental coordination groups, committees, networks and actions	Files that reflect the organisation and follow-up of work 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.	5 years	THA SAM/SEL	2nd review DG which coordinates the group, committee, network or action: coordination files DG: contribution files	
<b>2.4</b>	<b>Interinstitutional relations</b>						
	2.4.1	Interinstitutional agreements and working groups	Files concerning the preparation, signing and implementation of agreements between the Commission and at least one other EU institution, agency or body to establish cooperation in a specific area. Files on the activities of the interinstitutional working groups established to coordinate work in areas like administration, publications, languages and communication.	5 years	THA SAM/SEL	PP 2nd review Lead DG on behalf of the Commission: coordination files DG: contribution files	
	2.4.2	Parliamentary questions	Files regarding the process of preparing, coordinating and transmitting replies to the written and oral questions posed by the European Parliament and its members.	5 years	THA EL	2nd review SG, LS and private offices: coordination files DG: contribution files	
	2.4.3	Petitions	Files which document the coordination of the drafting of answers to the European Parliament, the setting out of the Commission's point of view on the petition received by the European Parliament and any other means of satisfying the petitioner.	5 years	THA SAM/SEL	2nd review SG: coordination files DG: contribution files	
	2.4.4	Relations with the Council, the European Parliament, the European Committee of the Regions (CoR), the European Economic and Social Committee (EESC) and the European Ombudsman	Files covering the relations with these EU institutions and bodies. For the Council and the European Parliament, these include the coordination files documenting the relationship with both co-legislators and all internal steps related to the codecision procedure. For the European Ombudsman, the files also cover the coordination of and draft responses to complaints concerning alleged maladministration by the Commission.	5 years T <sub>9</sub>	THA SAM/SEL	PP 2nd review SG: coordination files DG: core files	The SG coordinates the DGs' actions vis-à-vis the institutions/bodies 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/bodies, who constitutes the files.
	2.4.5	Relations with the European Court of Auditors (ECA)	Files on relations with the ECA, including files concerning the ECA's annual and special reports (drafting and follow-up), its examination whether all revenue has been received and all expenditure incurred in a lawful and regular manner and its judgement on whether the Commission's financial management is sound.	7 years T <sub>9</sub>	THA SAM/SEL	PP 2nd review BUDG: coordination files DG: core files	
	2.4.6	Relations with the Court of Justice of the European Union (CJEU) and the European Court of Human Rights (ECHR)	Files covering the relations with these organisations.	5 years	THA	PP SJ	Files related to legal proceedings are covered by category 11.1.
	2.4.7	Relations with the European Central Bank (ECB)	Files concerning relations with the ECB: opinions, activities, statistics, studies, reports.	5 years	THA SAM/SEL	PP 2nd review ECFIN: coordination files DG: core files	
	2.4.8	Relations with the European Investment Bank (EIB)	Files on applications to the EIB for a loan or guarantee to be financed from the Bank's own resources, which must be submitted to the Commission for its opinion.	10 years 5 years	THA SAM/SEL	PP 2nd review ECFIN: coordination files DG: core files	DG ECFIN is responsible for preparing the Commission opinions on applications for EIB loans and guarantees.
	2.4.9	Relations with the European Public Prosecutor's Office (EPPO)	Files on relations with the EPPO.	5 years	THA	PP OLAF	Files related to the cooperation with EPPO during its investigations and disciplinary procedures are covered by category 12.4.4.
	2.4.10	Relations with the European Data Protection Supervisor (EDPS) and the European External Action Service (EEAS)	Files covering the relations with these organisations. For the EDPS, these cover consultations and the provision of information. For the EEAS, both the relations with headquarters and the delegations are covered.	5 years	THA	PP DG	
<b>2.5</b>	<b>Relations with the executive and decentralised agencies</b>						
			Files covering the relations with the executive and decentralised agencies.	5 years	THA SAM/SEL	PP 2nd review SG, BUDG, HR: coordination files DG: core files	Files related to the coordination of executive agencies' implementation of programmes by the parent DGs are covered by category 7.1.1.
<b>2.6</b>	<b>Relations with the authorities of the Member States</b>						
	2.6.1	Advisory bodies and committees	Files concerning the work of comitology committees and other cooperation structures between the Commission and the authorities of the Member States.	5 years T <sub>9</sub>	THA	PP SG: coordination files DG: core files	
	2.6.2	Relations with national parliaments as well as central/federal, regional and local authorities	Files related to the official reactions of national parliaments to the Commission proposals sent. Files on the structuring of dialogues and general relations of the Commission and its representations with central/federal, regional and local authorities.	5 years	THA SAM/SEL	PP 2nd review SG and COMM: coordination files DG: core files	

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	2.6.3	Official visits - Member States	Files concerning the coordination and organisation of practical aspects and the 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 T <sub>9</sub>	THA	PP	DG	
<b>2.7</b>	<b>Relations with groups of experts, civil society and other interlocutors</b>		Files concerning the Commission's consultation of various advisory committees, groups of experts, etc. or the general public.					
	2.7.1	Groups of experts	Files on the creation, work and follow-up of the Commission's expert groups.	5 years T <sub>3</sub> and T <sub>9</sub>	THA	2nd review	SG, DG	SG manages the coordination file of all these groups, while the DG responsible for each expert group has the core file.
	2.7.2	Independent experts	Files regarding the management of expert contracts and expert pools. These files cover the selection and management (including reimbursements of expenses and payments where appropriate) of independent experts appointed by DGs to advise on or assist with: a) the evaluation of proposals; b) the monitoring of the implementation of actions carried out under research and/or innovation programmes; c) the implementation of Union research and innovation policies or programmes, as well as the achievement and functioning of the European Research Area; d) the evaluation of programmes and initiatives; e) the design of the Union research and innovation policy, including the preparation of future programmes.	10 years T <sub>3</sub> , T <sub>4</sub> and T <sub>9</sub>	EL		DG	
	2.7.3	Dialogue with civil society, social partners, interest representatives, etc.	Files covering the Commission's involvement of civil society, social partners and interest representatives (non-governmental organisations, trade associations, trade unions, etc.) in the preparation and implementation of EU policies.					
	A	Structuring dialogue	Coordination files to structure the dialogue between the Commission and civil society bodies and institutions (setting up of a register, code of conduct for interest representatives, etc.).	5 years	SAM/SEL	2nd review	SG, DG	One person per DG coordinates this dialogue, in agreement with the SG.
	B	Consultations	Files that reflect the consultations, discussions, debates and forums launched by the Commission as well as the responses received from bodies and individuals consulted.	5 years T <sub>9</sub>	THA	2nd review	DG	
	2.7.4	European Citizens' Initiative	Files concerning the Initiative's legal framework, organisation and follow-up by the Commission.	5 years T <sub>5</sub> and T <sub>9</sub>	THA SAM/SEL	PP 2nd review	SG: coordination files DG: contribution files	
	2.7.5	Transparency register of interest representatives that engage in activities to influence policy and law-making of the EU institutions	Files concerning the implementation of the legal framework of the transparency register and its key operational aspects.	5 years T <sub>9</sub>	SAM/SEL	2nd review	SG	
<b>3</b>	<b>DECISION-MAKING</b>							
	3.1	<b>Decision-making procedures</b>	Files covering the procedures under which the Commission takes its decisions: by oral procedure in meetings of the College, by written procedure, empowerment or delegation.	2 years	THA	PP	SG, DG, Cabinet: procedural files related to the adoption of acts	The SG is responsible for the procedural files relating to the adoption of acts via oral, written and empowerment procedures. The DGs are responsible for the files relating to the adoption of acts via delegation and subdelegation. Core files are those files prepared by a DG concerning the adoption procedure. For empowerment and delegation procedures, the paper originals of the "fiches de renseignement ou d'autocertification" have to be preserved and sent to the historical archives for permanent preservation, even when they have been scanned and uploaded in Decide or e-Greffe.
				5 years	SAM/SEL	2nd review	DG: core files	
	3.2	<b>Follow-up on the decision-making process</b>						
	3.2.1	Authentication of Commission acts and their subsequent notification to Member States and other addressees	Files covering the authentication of Commission acts such as regulations, directives, decisions, opinions, recommendations, as well as their notification to the Member States, third countries, natural or legal persons.	1 year	THA	PP	SG, DG	
	3.2.2	Transmission of Commission acts, proposals and/or other records to other EU institutions and national parliaments	Files on transmitted legislative and non-legislative proposals and Commission records which are sent to other EU institutions by the Commission's Registry, either because of their type or as the result of a specific decision by the Commission.	2 years	THA	PP	SG, DG	
<b>4</b>	<b>EU FINANCIAL SYSTEM AND THE BUDGET</b>							
	4.1	<b>Financial perspective</b>	Files on the interinstitutional agreement between the Commission, the Council and the European Parliament, establishing the Multiannual Financial Framework for EU expenditure, in which the maximum amounts (ceilings) for major categories of expenditure (headings) are defined.					
	4.1.1	Financial framework						

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	A	Establishment of the financial framework	5 years	THA	2nd review	BUDG and SG: coordination files	On the expenditure side, the financial framework falls under the general responsibility of the SG, which coordinates with DG BUDG on all financial aspects.		
				EL		DG: contribution files			
	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			
4.1.2	Own resources	Files relating to the decision on own resources, i.e. fiscal revenue directly channelled to the EU budget (agricultural duties, customs duties, % VAT and % GNI).	2 years	THA	PP	BUDG			
<b>4.2</b>	<b>Annual budget of the EU</b>		Files covering the estimates for the new budget, the implementation of the current budget (n) and the closure of the budget once the European Parliament has given budget discharge (n+2).						
4.2.1	Budget procedure								
	A	Establishment of the preliminary draft budget	5 years	THA	PP	BUDG: coordination files			
				EL		DG: contribution files			
	B	Interinstitutional procedure for budget approval	5 years	THA	2nd review	BUDG			
4.2.2	Implementation of the budget and accounting								
	A	Budget implementation framework	10 years	THA	PP	BUDG			
	B	Reports on budget implementation		THA				PP	BUDG: coordination files
				EL				DG: contribution files	
	C	Management of revenue and expenditure	10 years L <sub>1</sub> and L <sub>3</sub>	THA	2nd review	BUDG, INTPA, ECHO, DG			
	D	Management of accounts	10 years	EL		BUDG			
4.2.3	Management of third party files		10 years T <sub>6</sub> and T <sub>9</sub>	SAM/SEL	2nd review	BUDG			
4.2.4	Management of the Early Detection and Exclusion System (EDES)		5 years	EL		BUDG			
4.2.5	Budget discharge		5 years	THA	2nd review	BUDG: coordination files	Files can only be closed once the final decision of the European Parliament and of the Council on the follow-up report (n+3) has been received. The DGs are lead department for those files concerning their part of the budget implementation.		
		SAM/SEL		DG: contribution files and files on discharge follow-up					

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4.3	Application of the Financial Regulation	Files relating to the Financial Regulation, its detailed implementing rules, the Internal Rules for the Implementation of the General Budget of the European Union (Commission section), as well as delegation, subdelegation, cross-subdelegation and regulatory files.	5 years	THA	2nd review	BUDG, INTPA, ECHO, DG	
4.4	Cash, loans and operations outside the budget	Files concerning the borrowing and lending activities of the EU and its partners in the framework of support programmes, as well as any operation outside the budget on the financial markets.	10 years	THA	2nd review	ECFIN	
4.5	Protection of EU financial interests - Investigations	Files on the OLAF activities to protect the financial interests of the EU 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 by chapter 12.4).					
4.5.1	Dismissed cases and investigations	Files concerning dismissed cases. Investigation files containing the mandate for an investigation, the proceedings of the investigation procedure, the investigation report with annexes (minutes of hearings, records supporting the report's conclusions, etc.), as well as, where applicable, all post-investigation follow-up actions (recovery of funds, legal proceedings, etc.).	15 years L <sub>2</sub> and T <sub>9</sub>	THA	PP	OLAF	Dismissed case files are closed following receipt of the decision to dismiss the case. Only the initial information (such as information about the context and background of the allegation, the allegation itself as well as its impact and recommendations), the selection opinion and the dismissal decision are transferred to the historical archives. Investigation files are closed following receipt of the decision to finalise the investigation.
4.5.2	Cooperation in the investigations	Files by the DGs on their cooperation with OLAF in its investigations.	5 years	EL		DG	
4.6	Setting up and running the financial circuit in a DG	Files reflecting the setting up and implementation of 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	2nd review	BUDG, DG	
4.7	Ex-post checks	Files regarding ex-post checks. These include records held by Commission departments (contracts, additional agreements, beneficiaries' declarations of expenditure, supporting records received, audit certificates, etc.) and additional records formally requested from the beneficiary (often during on-the-spot checks) in order to collect information previously submitted. The information requested from the beneficiary equally includes supporting accounting records such as invoices, but also records needed for management purposes (analytical data, presence of persons, travel costs, sub-contracting, procurement procedures, etc.).	5 years T <sub>9</sub>	THA	PP	DG	
5	<b>POLICY DEVELOPMENT</b>						
5.1	Policy development process	Files reflecting the first steps from acquiring in-depth information up to the drafting of preliminary documents like Green Papers, White Papers, studies and reports, the development of strategies and action plans to the development and adoption of binding and non-binding legal acts, as well as, for supporting, coordinating or complementary competences, the development of instruments other than traditional legislation like voluntary agreements, agreements with Member State authorities, cooperation with industry organisations or standardisation bodies.	5 years	THA	PP	DG, OP, SJ	This category includes the files related to codified and consolidated legislation. OP is responsible for the 'consolidation' files and the SJ for the 'codification' files.
6	<b>IMPLEMENTATION OF POLICIES AND LEGISLATION</b>						
6.1	<b>Guidelines and support for the implementation of legislation in the Member States</b>		Files on actions taken by the Commission to ensure implementation of EU legislation in the Member States.				
6.1.1	Guidelines and other supporting instruments	Files on the instruments adopted by the Commission to facilitate and harmonise transposition and implementation of EU legislation in the Member States, such as files on the development and adoption of Commission opinions on specific issues provided for in directives or regulations, as well as files on the development and adoption of permits, certificates, licences, authorisations and other instruments in connection with EU legislation implementation.	5 years	THA	2nd review	DG	
6.1.2	Information from the Member States and the candidate and potential Member States	Files concerning the receipt, verification and, where applicable, treatment of information sent to Commission departments, especially when pursuant to obligations under EU legislation: statistical data and metadata, test results, national action plans and programmes, reports, notifications on draft technical rules, etc.	5 years	SAM/SEL	2nd review	DG	
6.1.3	Management of EU tools and mechanisms	Files concerning the setting up and management of EU tools and instruments, such as databases, registers, networks and mechanisms, to facilitate the implementation of EU legislation.	5 years	SAM/SEL	2nd review	DG	

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6.2	Implementation and follow-up of agreements, ex-post evaluation of legislation and activities as well as monitoring of transitional measures	Files reflecting the implementation and follow-up on voluntary instruments, standards, agreements and other instruments apart from traditional legislation with Member State authorities that facilitate cooperation between the Commission and its partners in the pursuit of policy objectives, particularly in areas which mainly fall under national competence. This includes follow-up files on the implementation of action plans and strategies adopted. Files on the drafting of ex-post evaluations of legislation and EU action other than expenditure programmes. These files equally include Commission reports to other EU institutions and departmental reports to the College on the implementation of policies and legislation. Files regarding the monitoring of implementation of transitional measures adopted for some Member States (e.g. longer transposition times for some directives, relaxation of some requirements laid down in legislation, etc.).	5 years	THA	2nd review	DG	Files related to the evaluation of expenditure programmes are covered by categories part of chapter 7.
6.3	Inspections	Files concerning visits and inspections that Commission services carry out in the Member States and third countries to verify whether EU legislation is properly applied. These files contain all relevant records, starting with the nomination of the inspectors, their work, their contacts with Member State authorities or other interlocutors, the results of the inspection, follow-up actions, etc.	5 years	THA	PP	DG	Files related to nuclear inspections are covered by category 6.4.
6.4	Nuclear liabilities	Files covering information managed in the context of various nuclear activities, including inspections.	99 years T <sub>8</sub>	THA	PP	JRC, ENER	
7	<b>PROGRAMMES, PROJECTS AND GRANTS</b>						
7.1	Direct management of EU programmes, pilot and preparatory actions, grants and macro-financial aid	Files concerning the direct management by the Commission or executive agencies of EU programmes and other direct financing of projects and actions using operating appropriations. They also involve all external aid and international cooperation programmes, aid and grants under international agreements, macro-financial aid to third countries and projects and grants under devolved management by EU 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	Files reflecting the drawing up and adoption of the work programme and the necessary planning and reporting instruments for implementing the programme (in both technical and financial terms), on the basis of implementing powers conferred by the legislative act setting up the programme.	10 years	THA	PP	DG	
7.1.2	Operational grant, prize and procurement procedures	Files covering the preparation and launch of calls for proposals, contests and procurement procedures, the evaluation of applications for grants or prizes and tenders as well as the selection of projects for financing or the award of contracts or prizes. These files also cover the management of preparatory files for grants for which, as an exception, no call for proposals has been launched.	10 years L <sub>3</sub> T <sub>1</sub> and T <sub>9</sub>	SAM/SEL	2nd review	DG	Procurement procedure files are closed immediately after the contract is signed. If a procurement procedure allows for several contracts to be signed over a period of time, the relevant file is closed immediately after the last contract is signed under this procedure.
7.1.3	Management of operational grant agreements/decisions and contracts	Files which start with the signing of the grant agreement/notification of the grant decision or the contract and continue up to the last payment by the Commission. These files cover both technical and financial documentation, including audits where appropriate.	10 years L <sub>1</sub> and L <sub>3</sub> T <sub>9</sub>	SAM/SEL	2nd review	DG	
7.1.4	Management of profiles of participants to operational grant, prize and procurement procedures	Files concerning the management of profiles of participants to operational grant, prize and procurement procedures. These files include information and supporting records submitted in the context of registering, assessing, validating and managing the profiles concerned.	10 years T <sub>9</sub>	SAM/SEL	2nd review	BUDG, RTD	The information and supporting records used for the registration, assessment, validation and management of participants to grant, prize and procurement procedures are eliminated 10 years after the end of the year during which the latest of the following events happened: of the last financial transaction (e.g. payment, recovery) of the third party's last legal commitment (e.g. grant agreement, procurement contract, prize arrangement), or from the end of the year the third party last participated in a call for proposals/tender, or from the end of the year when the third party last interacted with the Commission – whichever is latest (see the Legal Notice section of the Funding and Tenders Portal for the detailed data protection notice).

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7.2	<b>Shared and indirect management of EU programmes, projects and grants</b>	Files concerning the implementation under shared management of Commission programmes where the main management is delegated to Member States that designate the bodies responsible for the management and control of the Union funds. Files on indirect management between the Commission and the pillar-assessed entity (e.g. European Investment Bank or any other international or national financial institution) or the partner country. These files can document both the technical and the financial parts of the programme or project and, where appropriate, they contain the relevant evaluations or audits.	10 years L <sub>1</sub> and L <sub>3</sub> T <sub>1</sub> and T <sub>9</sub>	SAM/SEL	2nd review	DG	In the case of shared management, the files contain technical and financial records, as well as records documenting the relations (correspondence, meetings, etc.) between the Commission and these Member State bodies.
7.3	<b>Evaluation of expenditure programmes</b>	Files documenting the Commission's ex-ante, interim and/or ex-post evaluations of all programmes, including pilot projects and preparatory actions which entail significant spending.	6 years T <sub>9</sub>	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. Evaluations need to be deposited as studies (see category 9.3.3).
<b>8</b>	<b>INTERNATIONAL ACTIVITIES AND ENLARGEMENT</b>						
8.1	<b>International agreements</b>						
8.1.1	Negotiation, conclusion, implementation and political follow-up of international agreements	Files covering the negotiation and conclusion of international agreements as well as the actions for their implementation and follow-up.	5 years	THA SAM/SEL	PP 2nd review	DG responsible for the agreement: coordination files DG: contribution files	
8.1.2	Negotiation of agreements for implementing the Protocol on the Privileges and Immunities of the European Union	Files on the Protocol and the arrangements for its application negotiated with the Member States.	5 years	THA	PP	BUDG: coordination files HR, TAXUD: contribution files	
8.2	<b>Relations with public and private international organisations</b>						
		Files concerning Commission relations and cooperation with international public organisations, international financial institutions or international private bodies. 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	
8.3	<b>Relations with third countries and regional associations</b>						
8.3.1	Diplomatic relations with third countries	Files regarding the establishment of diplomatic relations, headquarter agreements, approvals of ambassadors and credentials, etc.	5 years	THA	PP	HR, SG	
8.3.2	Cooperation with third countries	Files regarding the 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 records. Files on cooperation measures with third countries in specific fields.	5 years	THA	PP	DG	
8.3.3	Trade relations with third countries and trade defence	Files regarding the negotiations, agreements and specific trading policies between the EU and third countries/regional areas as well as those in the context of the World Trade Organisation on behalf of the Member States. Files on defensive instruments to ensure fair trade and defend the interests of European countries, designed in line with specific World Trade Organisation agreements. Files on the monitoring of Third Countries' trade defence measures.	5 years	THA	PP	DG	
8.4	<b>Enlargement of and withdrawal from the EU</b>						
8.4.1	Pre-accession preparations and accession negotiations	Files covering candidate countries' preparation for accession as well as relevant accession negotiations.	5 years	THA	PP 2nd review	NEAR: coordination files DG: contribution files	
8.4.2	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, as well as the monitoring of implementation of these Treaties.	5 years	THA	PP	DG	
8.4.3	Withdrawal negotiations, exit agreements and monitoring of their implementation	Files concerning the activities of the Commission service dealing with an Article 50 withdrawal process in its discussions with the Member State having requested withdrawal, other European institutions and Member States. These files cover the negotiations on the exit deal and the future relationship between the Member State having requested withdrawal and the EU. Files concerning the overall coordination of measures related to the preparedness, including contingency planning, that is needed across all policy areas for the consequences of the withdrawal.	5 years	THA SAM/SEL	PP 2nd review	Service coordinating the Article 50 withdrawal process: coordination files DG: contribution files	

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8.5	Official visits - Third countries and international organisations	Files on the 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 T <sub>9</sub>	THA SAM/SEL	PP 2nd review	SG: coordination and protocol files DG: core files	
<b>9 INFORMATION, COMMUNICATION AND RELATIONS WITH CITIZENS</b>							
9.1	DG's communication strategy and tools	Files covering the actions 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 audiences.	2 years	SAM/SEL	PP	DG	
9.2	Events and visits	Files covering the organisation of conferences, information and communication campaigns, visits, etc. Files on the organisation of internal events and art expositions are covered by category 12.6.6.					
9.2.1	Organisation of events	Files on the organisation by Commission departments of (online) conferences, seminars, workshops, campaigns, exhibitions, fairs, etc. to publicise EU policies and actions.	5 years T <sub>9</sub>	THA	PP	DG	
9.2.2	Participation in external events	Files on the participation of Commission staff in (online) seminars, conferences and meetings organised by public or private external bodies.	5 years T <sub>9</sub>	SAM/SEL	2nd review	DG	
9.2.3	Visits to the Commission	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 <sub>3</sub> T <sub>9</sub>	EL		DG Files related to Member State, third country and international organisation visits are covered by categories 2.7.5 and 8.5.	
9.3	Publications/collections, websites and studies	Files covering studies produced internally or externally by the Commission. Files on publishing publications and creating webpages for internal use and for the general public.					
9.3.1	Publications/collections of the Official Journal (OJ)	Files on the drafting and publishing of Commission and DG publications, including paper, multimedia, electronic and audio-visual publications (e.g. photos, posters, videos, animated multimedia productions, e-books, etc.) and OJ collections.					
	A	Drafting of publications/OJ	Files corresponding to the drafting/production phase of publications and the OJ. 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 publications/OJ	Files on the publishing of publications and the OJ.	2 years	THA	PP OP: OJ and other publications for which OP provides production services DG: publications other than those produced by OP	A copy of audio-visual productions and contractual elements is to be sent by the authoring DG to the audiovisual library of DG COMM for preservation and publication on the audiovisual portal in the framework of the central deposit of audio-visual materials. A copy of all final publications falling under the scope of the EU legal deposit scheme and listed as an eligible publication should be identified and deposited with the OP for long-term preservation and availability on the OP portal. In accordance with the EU legal deposit scheme, OP is responsible for the long-term preservation of these publications.
9.3.2	Internal and public websites	Files on the creation, use, structure and design of websites for internal and public use under the Europa domain. For websites for internal use (like local intranets, My Intracomm, wikis, blogs and other forms of collaborative spaces) this category includes the archiving of the websites/webpages themselves in order to capture editorial content.	2 years	SAM/SEL	2nd review	COMM, HR, DIGIT: coordination files OP: archiving of public websites DG COMM has a coordinating role for public websites, DG HR for internal websites and DG DIGIT for corporate collaborative platforms. OP ensures the archiving of all public websites on the europa.eu domain, as defined in the EU legal deposit scheme. A website (or sections like webpages or integrated records) is to be archived or taken recurrent snapshots of in case of major	



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				2 years	SAM/SEL	2nd review	DG: core files	recurrent snapshots or in 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 records that are registered elsewhere does not need to be preserved. Day-to-day changes to a site section or webpage are not preserved.
	9.3.3	Studies	Files with studies, including evaluations and Eurobarometers, produced internally or externally by the Commission.	2 years	THA	PP	OP, DG	All studies are to be declared in the Interinstitutional Database of Studies from their moment of conception and final products are to follow the standard path for the deposit of publications with the OP. In accordance with the EU legal deposit scheme, all final studies need to be identified and deposited with the OP for long-term preservation and availability on the OP portal. The DG responsible for the study has to preserve the file on each study that is declared, especially the contract, in view of correct intellectual property rights management.
9.4	<b>Management of intellectual property rights</b>		Files covering the management of the intellectual property rights belonging to the Commission as a result of its policies, such as patents, copyright, trademark rights and image rights.	10 years L <sub>3</sub>	THA	PP	OP, COMM, OIB and JRC: coordination files	The OP and DG COMM are most concerned by the files on management of Commission copyright on publications (paper, video, digital content, etc.). OIB is responsible for the acquisition of art work. JRC is responsible for giving legal advice. The division of competences between the DGs and JRC in the field of intellectual property rights (application for protection, licensing of rights, etc.) is determined by SEC(2001)1397 and SEC(2012)103. All files relating to contracts and agreements that contain clauses on intellectual property rights need to be transferred to the historical archives for preservation.
						2nd review	DG: core files	
9.5	<b>Relations with citizens</b>							
	9.5.1	Applications for access to documents	Files on the initial and confirmatory applications for access to documents.	5 years	THA	PP	DG: initial applications	For initial applications, a file is considered closed when the Commission sends the reply to the initial request or a closing letter to the applicant, unless the applicant has submitted a confirmatory application. For confirmatory applications, a file is considered closed when the Commission sends the reply to the confirmatory request or a closing letter to the applicant. If the applicant brings an action for annulment before the Court of Justice of the European Union or submits a complaint with the European Ombudsman, the file is reopened. In that case, the confirmatory file is definitely closed when a) the Court of

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							is definitively closed when a) the Court of Justice of the European Union upholds the confirmatory decision, or b) the European Ombudsman closed the inquiry in relation to the complaint without any need for further action on the side of the Commission, or c) the Commission completes the follow-up requested by the Court of Justice of the European Union in its judgment or by the European Ombudsman. For the treatment of personal data in this process, see record of processing DPR-EC-00793 in the DPO's public register.
	9.5.2	Requests for information	Files containing Commission departments' answers to requests for information by members of the public, businesses or civil society under the Code of Good Administrative Behaviour. These files include departments' reply to requests and complaints that do not fall within the Commission's competence.	2 years	EL	DG	
	9.5.3	Requests for patronage and/or to use the European emblem	Files related to requests by individuals and organisations for moral support (patronage) and for authorisation to use the European emblem.	5 years	THA	PP	SG
	9.5.4	Complaints to the Commission about maladministration - Infringements of the Code of Good Administrative Behaviour	Files documenting the handling of complaints received by the Commission from persons who consider that Commission departments/services 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 T <sub>9</sub>	THA SAM/SEL	2nd review	SG: coordination files DG: contribution files
	9.5.5	Applications for the exercise of data subject rights	Files related to applications by individuals on the exercise of their rights under data protection rules.	10 years T <sub>9</sub>	EL	DG	
	9.5.6	Complaints to the Commission about maladministration - Infringements of data protection rules	Files documenting the handling of complaints received by the Commission (in particular the Data Protection Officer) from persons who consider that Commission departments/services have not acted in accordance with the data protection rules.				
	A	Admissible complaints	Files containing records related to complaints handling.	10 years T <sub>9</sub>	EL		SG
	B	Inadmissible complaints	Files containing records in view of which the decision has been taken not to admit a complaint.	5 years	EL		SG
	9.6	Relations with the media	Files regarding relations with the media (press, radio, TV, social media, etc.), cooperation with the spokespersons, relations of the DGs with the specialist press, etc.	5 years	THA EL	PP	COMM: coordination files DG: contribution files DG COMM has a coordinating role and is responsible for the files of the spokespersons and representations.
<b>10</b>	<b>MONITORING THE APPLICATION OF EU LAW</b>						
	10.1	Competition-related investigations and cases	Files on investigations and procedures related to competition policy instruments ensuring that there is no distortion of the internal market.	2 years	THA EL	PP	COMP: coordination files DG: contribution files
	10.2	Economic and fiscal surveillance	Files on the Commission's monitoring of the budget situation and public debt in the Member States and, when necessary, initiating the excessive deficit procedure.	10 years	THA	PP	ECFIN, ESTAT
	10.3	Complaints on and infringements of EU law					

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	10.3.1	Complaints on grounds of breach of EU law application and pre-infringement dialogue	Files concerning the handling of complaints from members of the public, businesses and civil society on potential infringements of EU law by Member States or potential infringements of competition law by businesses. Files that reflect the informal dialogue held with the Member States concerned on potential non-compliance with EU law.	10 years	EL	DG	CHAP is the computer application that manages the complaints. Personal data/information allowing a complainant to be identified will be erased 10 years after the closure of the file in CHAP, if there is no follow-up given by the Commission to the complaint (this includes the situation when the case is transferred to SOLVIT). Complaints that are considered infringements are preserved (see chapters 10.4 and 11). Themis/EU pilot is the computer application supporting the informal dialogue. When the complaint led to an informal dialogue between the Commission and the concerned Member States, which is not followed by a formal infringement procedure, personal data/information allowing a complainant to be identified will be erased 10 years after the closure of the informal dialogue.	
	10.3.2	Infringements - Pre-litigation stage	Files that document the infringement procedure by the Commission against a Member State.	5 years	THA	PP	DG	
	10.4	Transposition of directives	Files that concern the Member States' introduction of the provisions necessary to comply with a directive within the deadline specified and informing the Commission of their action. These files also concern the communication to the Commission of the texts of the main provisions of national law which they adopted in the field covered by the directive in question.	5 years	THA EL	PP	SG: coordination files DG: core files	
<b>11 LEGAL PROCEEDINGS</b>								
	11.1	Legal proceedings	Files for cases where the Commission appears before national, European or international courts as well as other jurisdictions or arbitral tribunals as the applicant, defendant or intervening party, depending on the case.	5 years T <sub>9</sub>	THA EL	PP	SJ: coordination files DG: contribution files	
<b>12 ADMINISTRATION</b>								
	12.1	Staff Regulations and administrative reforms	Files regarding the adoption and coordination of the implementation of the measures necessary to apply the Staff Regulations and administrative reforms decided by the College.	5 years	THA	PP	HR, SG	
	12.2	Social dialogue	Files on social dialogue at Commission level.					
	12.2.1	Negotiations and relations with trade unions and staff associations, Staff Committees and Joint Committees	Files on negotiations with the staff associations, including minutes of meetings, interim texts and final adopted texts as well as the relations with these organisations. Files covering exchanges with the Staff Committees on elections, the consultation of the Central Staff Committee, etc. Files covering the relations with the Joint Committees, including their composition, Rules of Procedure and minutes of meetings.	10 years	THA EL	PP	HR DG	
	12.2.2	Operation of social dialogue and funds allocated as well as interinstitutional conciliation	Files reflecting the framework agreement, the agreement on resources, the annual protocol on resources, etc. Files on interinstitutional conciliation, including minutes, preparatory records, interim records and final records adopted, etc.	10 years	THA	PP	HR	
	12.3	Management of Human Resources (HR)	Files on HR policies and day-to-day staff management at Commission and DG level.					
	12.3.1	Adoption of HR policies and coordination of their implementation	Files concerning the adoption of HR rules, including rules on the Staff Regulations and Conditions of Employment of Other Servants, training, equal opportunities, harassment, teleworking, social dialogue, the evaluation and promotion system, mobility, recruitment, pay, pensions, sickness, accidents, leave, missions, the termination of service, external activities, contract staff, etc.	10 years	THA	PP	HR, SCIC	The policies and rules regarding conference interpreting agents are defined by DG SCIC.
	12.3.2	Implementation of HR policies	Files on the centralised (DG HR and PMO) and decentralised (DGs and equivalent departments) implementation of applicable HR policies, including files concerning the management of vacancy notices.	10 years	EL		DG	DG HR and PMO are responsible for the files on policies implemented centrally. The Appointing Authority rules determine what is implemented centrally (DG HR, PMO) and what on a decentralised basis (DGs).

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12.3.3	Procedures concerning the career of middle and senior managers and advisers	Files concerning the career of heads of unit, advisers and senior officials: vacancy notices, Appointing Authority decisions appointing the selection panel, minutes of preselection and selection committees, individual completed evaluation sheets, letters of thanks to members of the panel, notes to the Consultative Committee on Appointments, acts of appointment, mobility, etc.	10 years T <sub>9</sub>	EL		HR: core files	The selection files are destroyed 10 years after the end of the selection procedure. In case of legal action against the appointment decision, the file is put on legal hold and the 10 years retention period is extended until one year after the final decision. The outcome of this decision is kept according to the retention rules for personnel files. The recruiting DG may keep information regarding the selection procedure for a period of 1 year after the end of the selection procedure, so as to be able to answer questions from candidates and to contribute to replies to complaints under Article 90(2) of the Staff Regulations.
			1 year			DG	
12.3.4	Competitions, selection of staff and candidate files	Files covering test and exam procedures for staff recruitment and files of competition candidates.					
	A Competitions	Files documenting the organisation of competitions for officials: notices of competition, compositions of the board, letters appointing board members, declarations of confidentiality of board members, invitations to meetings, minutes, lists of exam centres, compositions 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 <sub>4</sub> T <sub>9</sub>	SAM/SEL	2nd review	EPSO, HR, 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.
	B Procedures for the selection of contract staff, temporary staff (including temporary interpreters and translators) and Accredited Conference Interpreting agents	Files documenting the organisation of selection procedures for contract staff, temporary staff and Accredited Conference Interpreting agents.	5 years L <sub>5</sub> T <sub>9</sub>	SAM/SEL	2nd review	EPSO, HR, DGT, SCIC	
	C Files on candidates for posts as official, contract or temporary staff (including temporary interpreters and translators) as well as seconded national expert - Eliminated	File on each candidate (application letter, exams, etc.) eliminated during the procedure.	2 years L <sub>4</sub> , L <sub>5</sub> and L <sub>6</sub>	EL		EPSO, HR, DGT, JRC, SCIC	
	D Files on candidates for posts as official, contract or temporary staff (including temporary interpreters and translators) - Reserve list	File on each candidate (application letter, exams, etc.) entered on the reserve list.	2 years L <sub>4</sub> , L <sub>5</sub> and L <sub>6</sub>	EL		EPSO, HR, DGT, JRC, SCIC	A distinction needs to be made between recruited and non-recruited applicants on the reserve list. The information related to recruited applicants is stored in their personnel file. The file of non-recruited applicants is closed once the reserve list has expired.
	E Files on candidates for posts as Accredited Conference Interpreting agent	File on each candidate for an Accredited Conference Interpreting agent post.	20 years L <sub>7</sub>	EL		SCIC	Applicants' files are kept for 20 years from the date of the last test (for candidates who took part in an accreditation test) or from the date of the last correspondence with the Inter-institutional Test Office (for all other candidates). For the treatment of personal data in this process, see record of processing DPR-EC-00430 in the DPO's public register.
12.3.5	Unsolicited applications	Annual files on unsolicited applications received by a department.	2 years	EL		DG	The registered reply to the spontaneous applications is kept; the CV should not be included in the registered correspondence.
12.3.6	Organisational charts	Files regarding the (re)organisation of all or part of a DG.	10 years 5 years	THA	PP	HR DG	

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12.3.7	Personnel files	File for each staff member (official, temporary agent, contract agent 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 records relating to the staff member's career, VAT exempted purchase and identity cards as well as personal information and a sample of the signature transferred to the Belgian Ministry of Foreign Affairs with the authorisation granted by the Belgian authorities.	8 years after the extinction of all rights of the person concerned and of any dependants, and for at least 100 years after the recruitment of the person T <sub>9</sub>	EL		HR, COMM, ECHO, ENER, JRC, SANTE, SCIC	DG COMM, DG ECHO and JRC are responsible for the files on local staff in the delegations, representations, ECHO offices and JRC sites. DG ENER is responsible for the files containing the conclusions regarding occupational exposure of Euratom safeguard inspectors. DG SANTE is responsible for VAT exemption records of Grange staff. DG SCIC is responsible for the Accredited Conference Interpreting agent 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). For Accredited Conference Interpreting agent files however, the ARP should start as from the date of placement on the Joint Management List. The ARP for personnel files applies by analogy to the personnel files of local staff. In the context of professional conduct and disciplinary activities and in line with relevant European Data Protection Supervisor guidance, the following minimum retention periods apply to documents reflecting disciplinary penalty decisions: written warnings or reprimands: 3 years after the decision was adopted; other penalties: 6 years after the decision was adopted, except for decisions concerning the removal from post. After these periods, the person(s) concerned may submit a request to delete relevant references. Such requests are assessed by the Appointing Authority. Decisions to close a disciplinary proceeding without imposing a disciplinary penalty are only reflected in the personnel file upon explicit request of the person(s) concerned.
12.3.8	Seconded national expert files	File for each seconded national expert selected.	7 years	EL		HR	Files are closed after the end of the secondment. The ARP for these files is justified by the cooling-off period of 6 years before a new secondment is possible for those experts who had been previously seconded to the Commission. See record of processing DPR-EC-01028 in the DPO's public register.
12.3.9	Traineeships, grants and short- or long-term visits	Files covering the official programme of Commission traineeships ("Blue Book"), other traineeship programmes (e.g. for citizens of acceding countries), grants and short- or long-term visits such as those managed by JRC for visiting scientists.					
	A	Traineeships, grants and short- or long-term visits policy	5 years	THA	PP	DG	The ARP for JRC grant holders with national contracts is subject to national legislation.
	B	Organisation of traineeships, grants and short- or long-term visits	5 years T <sub>9</sub>	SAM/SEL	2nd review	DG	
	C	Files on trainees, grant holders and short- or long-term visitors	50 years T <sub>2</sub>	EL		DG	
	D	Files on candidates not taken on	2 years	EL		DG	
12.3.10	Files on recipients of benefits and wage packages	PMO files on salaries, refunds of medical costs, pensions, etc.	See the PMO's specific retention list.			PMO	

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12.3.11	Medical files	Medical files containing all the medical reports and examinations of the staff member concerned, as well as administrative records on procedures relating to Articles 33, 53, 59, 60 and 78 of the Staff Regulations and Chapters 1 and 3 of Annex VIII to the Staff Regulations. This category also covers childcare medical files.	For staff medical files: 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 <sub>8</sub> For childcare medical files: 30 years after the last consultation or medical visit of the child T <sub>9</sub>	EL		HR, COMM, ECHO, ENER, JRC, OIB, SANTE	DG COMM, DG ECHO, JRC and DG SANTE are responsible for the files on local staff in the representations, ECHO offices and JRC and SANTE sites in Ispra, Seville and Grange. DG ENER is responsible for the files containing the results of Euratom safeguard inspectors' occupational radiation exposure. OIB is responsible for the files on children in Commission childcare.
12.3.12	Mediation Service recommendations	Mediation Service files: cases, recommendations. Files give a brief record of a case, the solution and its outcome.	5 years	EL		Mediation Service	
12.3.13	Complaints under Article 90(2), requests under Article 24 and Article 90(1), as well as complaints or requests under Article 22c	Files covering complaints to the administration under Article 90 and requests under Article 24, as well as complaints or requests under Article 22c of the Staff Regulations.	10 years T <sub>9</sub> 2 years	THA EL	PP	HR, EPSO, PMO: coordination files DG: contribution files	
12.3.14	Financial, psychosocial and practical assistance	Individual files on recipients of financial, practical or psychosocial assistance.					
	A Legal adviser	Files containing legal advice to staff members consulting on subjects such as leases, problems with neighbours, etc.	2 years	EL		HR, OIL	
	B Financial and psychosocial assistance	Individual files of recipients of financial assistance by the budget adviser under Articles 76 and 76a of the Staff regulations. These files contain personal, medical, financial and social data on the beneficiary and his/her family. Files on cases of psychosocial assistance created by the social worker and psychologist, both for staff in active service and for pensioners. They contain all types of personal information and information on the person's family circumstances.	3 years after the death of the person eligible to receive financial aid T <sub>9</sub>	EL		HR	
	C Practical assistance	Files on cases of practical assistance, both to disabled and/or retired officials and officials with disabled dependants. They contain all types of personal information and information on the person's family circumstances.	1 year L <sub>9</sub>	EL		HR	
	D Special leave	Files on special leave for family reasons.	5 years L <sub>9</sub>	EL		HR	
12.3.15	Recognition events - Award of medals and leaving presents	Files containing the names of those awarded medals and of persons retiring/leaving on invalidity in the current and previous year.	2 years	EL		HR	
12.3.16	Day-to-day HR performance management	Files of departments on staff performance management: probationary periods (management of problematic probations, dismissals following probationary periods, etc.) and performance management (files related to the application of Article 51 of the Staff Regulations).	5 years	EL		DG, HR	Records that are important for a staff member's career must be placed in the relevant personnel file (see category 12.3.7).
12.3.17	Day-to-day HR management	Files of departments on staff management, the allocation of vacant posts, leave, etc., created for the purpose of sound HR management in the department concerned.	4 years	EL		DG	
12.4	Professional conduct and discipline	Files on the activities and investigations by OLAF and IDOC concerning Commission personnel (complementing chapter 4.5).					

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12.4.1	Files that have not given rise to administrative investigations	Files containing records in view of which a decision has been taken not to launch an administrative investigation.	5 years	EL		HR, OLAF	Files are closed following the adoption of the decision not to launch an administrative investigation.
12.4.2	Administrative investigations without disciplinary consequences	Administrative investigation files containing the mandate for an investigation, the instruments of the investigation procedure, the investigation report with annexes (records of hearings, records supporting the report's conclusions, etc.) that document why the decision was taken not to open a disciplinary action.	15 years T <sub>9</sub>	EL		HR, OLAF	Files are closed following the adoption of the decision not to open a disciplinary proceeding.
12.4.3	Disciplinary procedures	Files containing the records in view of which the decision was taken to open a disciplinary procedure, to waive the immunity from legal proceedings, to lift the inviolability of Commission's premises and archives, including the instruments of the disciplinary procedure, correspondence with the person(s) concerned, the decision imposing disciplinary measures and any follow-up (appeals).	20 years L <sub>10</sub> T <sub>9</sub>	EL		HR	
12.4.4	Cooperation in investigations and disciplinary procedures	Files created by the SG and the DGs cooperating with HR, OLAF and the European Public Prosecutor's Office during these investigations and disciplinary procedures.	15 years T <sub>7</sub> and T <sub>9</sub> 5 years	EL		SG: coordination files DG: contribution files	
<b>12.5</b>	<b>Security</b>	Files concerning the adoption and implementation of the Commission's policy in the area of security. Files on building security are covered by category 12.6.2.C.					
12.5.1	Adoption of the security policy	Files on the adoption of the Commission's security policy and on the coordination of horizontal security questions.	7 years	THA	PP	HR	
12.5.2	Implementation of the security policy	Files documenting the coordination of the implementation of the security policy defined by the Commission, the policy's implementation by the DGs, as well as information exchanges and outreach activities relating to security.	7 years	THA SAM/SEL	2nd review	HR: coordination files DG: core files	For files containing EU classified information clearances and security verifications for external contractors, the ARP should be prolonged when required by national legislation.
12.5.3	Protection and crisis management	Files concerning protection and crisis management.	7 years	EL		HR	
12.5.4	<b>Security inquiries and analyses in the field of counter-intelligence and counter-terrorism</b>						
A	Security inquiries with follow-up, as well as analyses in the field of counter-intelligence and counter-terrorism	Files concerning inquiries related to security incidents on the Commission's premises and concerning incidents related to the security of Commission staff, premises, assets and information with follow-up at EU or national level. Files related to threats against the interests of the Commission.	15 years T <sub>9</sub>	THA	PP	HR	Files related to analyses in the field of counter-intelligence and counter-terrorism are kept open for as long as the threat exists and the ARP only applies from the date when the file is closed. Before closure, these files are managed in accordance with the internal rules as defined by HR.DS. After transfer, all files belonging to this category in electronic format continue to be managed in the HR.DS system.
B	Security inquiries without follow-up	Files concerning inquiries related to security incidents on the Commission's premises and concerning incidents related to the security of Commission staff, premises, assets and information without further follow-up.	15 years T <sub>9</sub>	EL		HR	
<b>12.6</b>	<b>Logistics</b>	Files concerning logistics policies and their implementation. IT issues are covered by chapter 12.8.					
12.6.1	Adoption of logistics policies	Files on the adoption of policies on buildings, environmental protection (EMAS), health and safety, transport and mobility, etc. applicable at the Commission.	5 years	THA	2nd review	BUDG, COMM, HR, ECHO, SANTE, JRC	DG BUDG and DG HR (with OIB and OIL) are responsible for the files concerning the Brussels and Luxembourg sites. DG COMM, DG ECHO, DG SANTE and JRC for the files concerning their sites outside Brussels and Luxembourg.
12.6.2	Implementation of logistics policies						
A	Management of building contracts	Files on the negotiation, signing and implementation of contracts on the basis of which the Commission owns or occupies buildings (rental and other tenancies, leasehold, etc.), including relevant technical documentation (drawings, building permits, environmental attestations, etc.). Files related to the decommissioning of immovable property.	10 years	THA	2nd review	OIB, OIL, COMM, ECHO, SANTE, JRC	The files are kept open until the buildings are demolished (ownership) or for as long as the contract is in force (occupancy).

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	B	Building/renovation and fitting out of buildings, including general and technical maintenance, as well as the implementation of health, safety and hygiene protection and environmental standards at work	Files on the authorisation and operational monitoring of both external and internal building/renovation and fitting out of buildings, administrative coordination on the proper running of buildings (in-house service and building superintendents), authorisation and monitoring of daily upkeep of the internal spaces of the buildings (cleaning, waste removal, elimination of harmful substances) and of the operation of electrical and mechanical installations. Files on the application of health, safety, hygiene and environmental rules and standards in Commission buildings.	5 years	EL	OIB, OIL, HR, COMM, ECHO, SANTE, JRC	DG HR is responsible for building security files in Brussels.	
	C	Management of building security, office moves and provisions as well as catering services, social infrastructure facilities and mobility infrastructure and actions	Files regarding admission control and surveillance in buildings occupied by the Commission. Files documenting office moves and the provision and distribution of equipment needed for work, including technical and audio-visual equipment, as well as stock-taking and, where appropriate, decommissioning. Files on catering in Commission buildings, including on self-service canteens, cafeterias, the European Foyer and the à la carte restaurant. Files on nurseries, child-minding facilities (organisation, activities, services provided, children's records, etc.), the European Interinstitutional Centre at Overijse as well as other infrastructures and activities. Files on the management of the car pool, car parks, bicycles and mobility actions organised at the Commission.	10 years T <sub>9</sub>	EL	OIB, OIL, HR, COMM, ECHO, SANTE, JRC		
12.6.3		Infrastructure and resources for conferences and meetings	Files on the programming and planning of meetings and the organisation of conferences ((interpreting, technical facilities, etc.) for Commission departments. Files related to the task force and steering board meetings on conference organisation and corporate meeting room management.	5 years	SAM/SEL	2nd review	SCIC	
12.6.4		Management and logistics of translations	Files documenting the implementation of the translation policy, the management of translations, linguistic and quality advice, terminology, translation/management tools.	5 years	SAM/SEL	2nd review	DGT	
12.6.5		Central mail service and reproduction	Files related to the collection and distribution of Commission departments' mail. Files on the service of producing and distributing documents/brochures to all Commission departments.	5 years	SAM/SEL	2nd review	OIB, OIL, JRC	
12.6.6		Day-to-day management of logistical issues	Files on the day-to-day management of logistical issues in the DGs and departments, including on the organisation of internal events and art expositions.	5 years	EL		DG	
<b>12.7</b>	<b>Financial management</b>		Files on DGs' and services' day-to-day financial management of decentralised administrative appropriations and accounts.					
12.7.1	Management of decentralised administrative appropriations		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	Files regarding the initial planning of the DG's administrative appropriations, follow-up (including on commitments and payments) and implementation and reporting instruments.	5 years	THA	PP	DG	
	B	Administrative grant and procurement procedures	Files covering the preparation and launch of calls for proposals and procurement procedures, the evaluation of applications for grants and tenders as well as the selection of projects for financing or the award of contracts. These files also cover the management of preparatory files for grants for which, as an exception, no call for proposals has been launched.	10 years L <sub>3</sub> T <sub>1</sub> and T <sub>9</sub>	SAM/SEL	2nd review	DG	Procurement procedure files are closed immediately after the contract is signed. If a procurement procedure allows for several contracts to be signed over a period of time, the relevant file is closed immediately after the last contract is signed under this procedure.
	C	Management of administrative grant agreements/decisions and contracts	Files which start with the signing of the grant agreement/notification of the grant decision or the contract and continue up to the last payment by the Commission. These files cover both technical and financial documentation, including audits where appropriate.	10 years L <sub>3</sub> T <sub>9</sub>	SAM/SEL	2nd review	DG	



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	D	Management of profiles of participants to administrative grant, prize and procurement procedures	Files concerning the management of profiles of participants to administrative grant and procurement procedures. These files include information and supporting records submitted in the context of registering, assessing, validating and managing the profiles concerned.	10 years T <sub>9</sub>	SAM/SEL	2nd review	BUDG, RTD	The information and supporting records used for the registration, assessment, validation and management of participants to grant and procurement procedures are eliminated 10 years after the end of the year during which the latest of the following events happened: of the last financial transaction (e.g. payment, recovery) of the third party's last legal commitment (e.g. grant agreement, procurement contract), or from the end of the year the third party last participated in a call for proposals/tender, or from the end of the year when the third party last interacted with the Commission – whichever is latest (see the Legal Notice section of the Funding and Tenders Portal for the detailed data protection notice).
	E	Financial management of decentralised administrative expenditure	Files kept by the DGs on routine administrative expenditure related to low value contracts (points 14.3-14.5 of Annex 1 of the Financial Regulation).	10 years T <sub>9</sub>	EL		DG	
12.7.2	Accounting	Files relating to the validation of accounts and the function of the Accounting Correspondent.	Files concerning the management of IT infrastructure and services.	10 years T <sub>9</sub>	EL		DG	
<b>12.8</b>	<b>Information Technology (IT)</b>		Files concerning the management of IT infrastructure and services.					
12.8.1	IT governance	Files documenting the policies and broad guidelines implemented by DG DIGIT (e.g. the Commission digital strategy and associated substrategies), including for issues related to IT security and protection such as viruses, spam, secure email, etc.	Files on information systems' creation, maintenance, development and use.	5 years	THA SAM/SEL	PP 2nd review	DIGIT: coordination files DG: own files	
12.8.2	Information systems	Files on information systems' creation, maintenance, development and use.	Files on information systems' creation, maintenance, development and use.					
	A	Corporate systems	Files regarding the development and use of corporate systems such as Decide, Hermes-Ares-NomCom, Sysper, Themis, etc.	5 years	THA EL	2nd review	Project owner DG, DIGIT User DGs	
	B	DG-specific systems	Files regarding IT systems developed and used by a DG.	3 years	THA	2nd review	DG	
12.8.3	Informatics solutions and services	Files on development services, infrastructure services and computer engineering services, corporate infrastructure solutions, consulting management, data centre and IT logistics processes.	Files on development services, infrastructure services and computer engineering services, corporate infrastructure solutions, consulting management, data centre and IT logistics processes.					
	A	Strategy	Files on the vision and strategy for the infrastructure services of the data centres and the hosting of information systems. Identification of key objectives and their impact on the tasks of the units concerned and on the organisation of departments and human and budgetary resources.	5 years	THA EL	2nd review	DIGIT: coordination files DG: own files	
	B	Infrastructure and maintenance	Files on operational follow-up and the administrative coordination of the proper operation of the services: reference configuration, office technology solutions, data centres, access rights management, the central helpdesk, IT logistical processes, consulting management, etc.	5 years	EL		DG	
12.8.4	Networks and telecommunications	Files on the supply of Corporate User Proximity Services and network infrastructure services.	Files on the supply of Corporate User Proximity Services and network infrastructure services.					
	A	Strategy	Files on the vision and strategy for networks and telecommunications. Identification of key objectives and their impact on the tasks of the units concerned and on the organisation of departments and human and budgetary resources.	5 years	THA SAM/SEL	2nd review	DIGIT: coordination files DG: own files	
	B	Management of networks and telecommunications services	Files documenting their selection, set-up and management. Files on operational follow-up and the administrative coordination of the proper operation of the services.	5 years	EL		DG	
12.8.5	Day-to-day management of IT issues and follow-up of the life cycle of IT equipment	Files by the DGs on the day-to-day management of issues linked to IT and follow-up of the life cycle of IT equipment such as PCs, laptops, printers, photocopiers, telephones (from acquisition to decommissioning).	Files by the DGs on the day-to-day management of issues linked to IT and follow-up of the life cycle of IT equipment such as PCs, laptops, printers, photocopiers, telephones (from acquisition to decommissioning).	5 years	EL		DG	
<b>12.9</b>	<b>Management of data, information and knowledge</b>		Files covering the Commission policy on data, information and knowledge management, including records and historical archives.					
12.9.1	Data, information and knowledge management policy, including the records management and archives policy	Files documenting the adoption and development of these policies.	Files documenting the adoption and development of these policies.	5 years	THA SAM/SEL	PP 2nd review	SG: coordination files DG: contribution files	
12.9.2	Implementation of rules on data, information and knowledge management, including records management and historical archives	Files regarding the implementation of records management rules, the archives policy and the data, information and knowledge management policy, both centrally and at DG level. These files also cover the	Files regarding the implementation of records management rules, the archives policy and the data, information and knowledge management policy, both centrally and at DG level. These files also cover the	5 years	THA	PP	SG and OIB: coordination files	

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		policy, both centrally and at DG level. These files also cover the management of Document Management Centres (DGs) and the historical archives (OIB).	5 years	THA	2nd review	DG: core files	
	12.9.3	Documentation centres and libraries	10 years	SAM/SEL	2nd review	DG, OP	OP is responsible for the files concerning the Commission library.
	12.9.4	Implementation of rules on data protection	5 years	THA	PP 2nd review	SG: coordination files DG: core files	
	12.9.5	Management of personal data breaches	10 years T <sub>9</sub>	EL		SG: coordination files DG: core files	
<b>12.10</b>	<b>Internal auditing</b>						
	12.10.1	Annual audit work plan	6 years	THA	PP	DG	
	12.10.2	Internal audit reports	10 years	THA	2nd review	IAS: own files	As a minimum, these files must contain the audit report and the audit recommendations.
	12.10.3	Opinions/consultancy	6 years	SAM/SEL	2nd review	DG	
	12.10.4	Permanent audit files	6 years	EL		DG	
<b>12.11</b>	<b>Evaluation, internal control and other monitoring and risk management actions</b>						
		Files on the evaluation of services' functioning and on the EU delegations' and Commission representations' activities. Files on internal control and other monitoring actions as well as risk management.	7 years	THA	PP	DG	
<b>12.12</b>	<b>Relations between the DGs and the Offices</b>						
		Files on the Management Committee, interdepartmental meetings, working parties and other administrative actions concerning the Offices (OP, OIB, OIL, EPSO, etc.).	5 years	SAM/SEL	2nd review	BUDG, HR, SG, DG	DG BUDG, DG HR and the SG have the coordination files, whilst DGs keep their own core files.
<b>12.13</b>	<b>General administration and management of units/directorates</b>						
	12.13.1	Activities of senior management	4 years	THA	2nd review	DG	
	12.13.2	DG procedures and internal guidelines	5 years	THA	PP	DG	
	12.13.3	Service Level Agreements (SLAs) and other administrative agreements	10 years	THA	2nd review	DG	The service provider is obliged to create a specific file in accordance with the instructions in Ares(2017)4402444.
	12.13.4	General administrative support management	4 years	EL		DG	
	12.13.5	Internal functioning of a DG	5 years	SAM/SEL	2nd review	DG	

L <sub>1</sub>	Commission Delegated Regulation (EU) No 907/2014 of 11 March 2014 supplementing Regulation (EU) No 1306/2013 of the European Parliament and of the Council with regard to paying agencies and other bodies, financial management, clearance of accounts, securities and use of euro
L <sub>2</sub>	Opinion of the EDPS of 23 June 2006 on a notification for prior checking on OLAF internal investigations (Case 2005-418) and EDPS formal comments on review of OLAF Regulation of 24 July 2018
L <sub>3</sub>	Regulation (EU, Euratom) 2018/1046 of the European Parliament and of the Council of 18 July 2018 on the financial rules applicable to the general budget of the Union, amending Regulations (EU) No 1296/2013, (EU) No 1301/2013, (EU) No 1303/2013, (EU) No 1304/2013, (EU) No 1309/2013, (EU) No 1316/2013, (EU) No 223/2014, (EU) No 283/2014, and Decision No 541/2014/EU and repealing Regulation (EU, Euratom) No 966/2012, (OJ L 193, 30.7.2018) (Article 58)
L <sub>4</sub>	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 <sub>5</sub>	Opinion of the EDPS of 2 May 2006 on a 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)

T <sub>1</sub>	Elimination after five years of all non-selected proposals and unsuccessful tenders.
T <sub>2</sub>	Elimination after five years of all records except the sheet for the reconstruction of one's career.
T <sub>3</sub>	Elimination after three years of all records related to unsuccessful Commission expert group candidates.
T <sub>4</sub>	Elimination of all files related to unsuccessful experts five years after the end of the particular procedure to allow for all possible appeals.
T <sub>5</sub>	Elimination after five years of all supporting records with non published personal data and of all personal data related to non-registered initiatives.

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L <sub>6</sub>	Opinion of the EDPS of 9 September 2011 on a notification for prior checking on processing of data in connection with 'Seconded National Experts' (SNEs) (Case 2011-0557)		T <sub>6</sub>	The supporting records used for the registration and management of legal entities files and bank account files are kept for ten years after validation and then eliminated.		
L <sub>7</sub>	Preliminary opinion of the EDPS of 16 May 2007 on the management of the files of candidates for Accredited Conference Interpreting agents (Case 2006-364)		T <sub>7</sub>	Elimination after five years of all files that have not given rise to administrative investigations.		
L <sub>8</sub>	Council Directive 2013/59/Euratom of 5 December 2013 laying down basic safety standards for the protection against the dangers arising from exposure to ionising radiation, and repealing Directives 89/618/Euratom, 90/641/Euratom, 96/29/Euratom, 97/43/Euratom and 2003/122/Euratom (Article 48) 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) and the Belgian Code of Medical Deontology (article 24), the Belgian law of 22 April 2019 on the quality of health care practices (article 35) and the royal decree of 3 May 1999 establishing the minimal general conditions for a medical file (article 1er) set the retention period of the file at 30 years.		T <sub>8</sub>	Elimination of records in line with national legislation.		
L <sub>9</sub>	Opinion of the EDPS of 13 March 2006 on a notification for prior checking regarding social and financial assistance (Case 2004-223)		T <sub>9</sub>	Elimination of records containing sensitive personal data in line with the period mentioned in the relevant record of processing.		
L <sub>10</sub>	Opinion of the EDPS of 20 April 2005 on a notification for prior checking relating to internal administrative inquiries and disciplinary procedures within the European Commission - IDOC (Case 2004-187) and EDPS Guidelines of 18 November 2016 on processing personal information in administrative inquiries and disciplinary proceedings					