



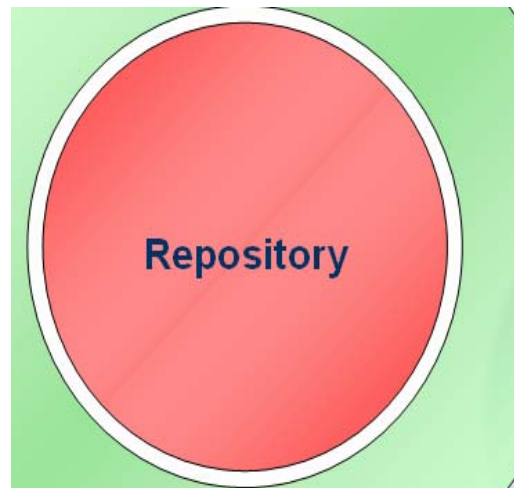
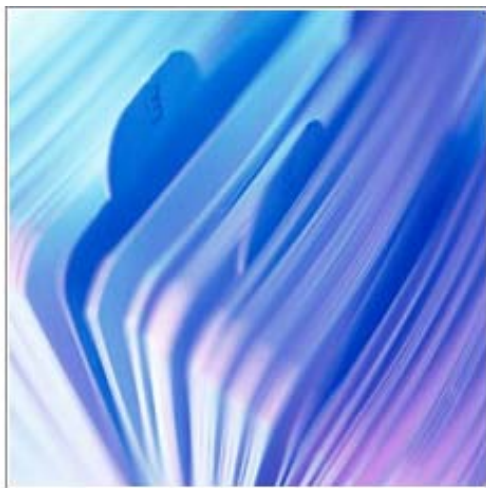
EUROPEAN COMMISSION
SECRETARIAT-GENERAL

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Preservation of files, their appraisal and transfer to the Historical Archives

Manual



Electronic Archiving and
Document Management in the Commission

With the cooperation of the
Historical Archives Service

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INTRODUCTION

Following the adoption of [Decision 2002/47/EC](#), ECSC, Euratom¹ and [Decision 2004/563/EC](#)², Euratom, the Commission now has a legal basis for the adoption and implementation of its document management policy.

Pursuant to those Decisions, the Secretary-General subsequently adopted implementing rules (IR) relating to the registration of documents, filing, preservation of files and their appraisal and transfer to the Historical Archives, on the one hand, and to the electronic and digitised documents, on the other³.

In order to ensure that all these rules are applied correctly, two manuals – one on registration⁴ and the other one on filing⁵ – have already been drawn up and are now supplemented by this manual on the preservation of files and their appraisal and transfer to the Historical Archives.

Reading this manual is not a substitute for reading the texts on which it is based, particularly if you require a legal or statutory interpretation.

¹ Commission Decision 2002/47/EC, ECSC, Euratom of 23 January 2002 annexing provisions on document management to the Commission's Rules of Procedure.

² Commission Decision 2004/563/EC, Euratom of 7 July 2004 annexing provisions on electronic and digitised documents to the Commission's Rules of Procedure.

³ Implementing rules for Decision 2002/47/EC, ECSC, Euratom on document management and Decision 2004/563/EC, Euratom on electronic and digitised documents [SEC(2009)1643 of 30 November 2009].

⁴ 'Document Registration Manual' of 16 September 2004, SG.B.3/D (2004) 7898.

⁵ 'Filing Manual: Filing and Files Management in the European Commission' of 9 August 2007, SG.B.3 D AGM/MS (2007) 7286.

1. THE PRESERVATION OF DOCUMENTS AND FILES THROUGHOUT THEIR LIFE CYCLE

Documents and files must be preserved over the course of their life cycle.

1.1. Open files or current records

Once they have been registered, documents are kept in the corresponding file. The file therefore charts how a matter develops from beginning to end. Responsibility for creating an integrated and complete file, as well as for its physical preservation, regardless of its medium (paper, electronic or hybrid), always lies with the lead department for the action in question (responsible unit).

1.2. Closed files or intermediate records

As soon as the matter has been dealt with and the file has therefore been closed, that file must be preserved and reviewed by the DG in accordance with its archive schedule (see Chapter 3).

The archive schedule therefore stipulates, *inter alia*, the period for which each closed file must be preserved and appraised within the DG – the administrative retention period (ARP) – as defined by the common Commission-level retention list (CRL) or, where applicable, the specific DG-level retention list (SRL)⁶.

With regard to non-e-Domec files⁷, in view of the fact that the DG is free to choose whether or not to apply the CRL/SRL to these files, the period will be determined by its archive schedule: if the DG decides to apply the CRL/SRL to these non-e-Domec files, it will keep them for the corresponding ARP; in the alternative, the archive schedule must provide for the transfer to the Historical Archives Service of files considered to have administrative, legal or historical value no later than 15 years after their closure.

In any case, the DG must guarantee the **physical protection** of files for as long as they are under its responsibility, which means, for instance, that paper files must be stored in areas that comply with the conditions laid down in the implementing rules on document management⁸ (section II.4.2.3.2) and that electronic files managed by DG-specific applications must be preserved in such a way as to guarantee their integrity and legibility over time.

Once the ARP has expired (for all e-Domec files and for non-e-Domec files for which a decision has been taken to apply the CRL/SRL) or the DG retention period has ended (in the case of non-e-Domec files to which the CRL/SRL does not apply), all files will be subject to a first review. The archive schedule specifies which of the following three actions applies to each of the DG's files: transfer to the Historical Archives, elimination or sampling/selection.

⁶ Only PMO has drawn up an SRL for the types of files it manages.

⁷ Closed files not created according to e-Domec rules.

⁸ SEC(2009) 1643 of 30 November 2009.

1.3. Definitive or historical archives

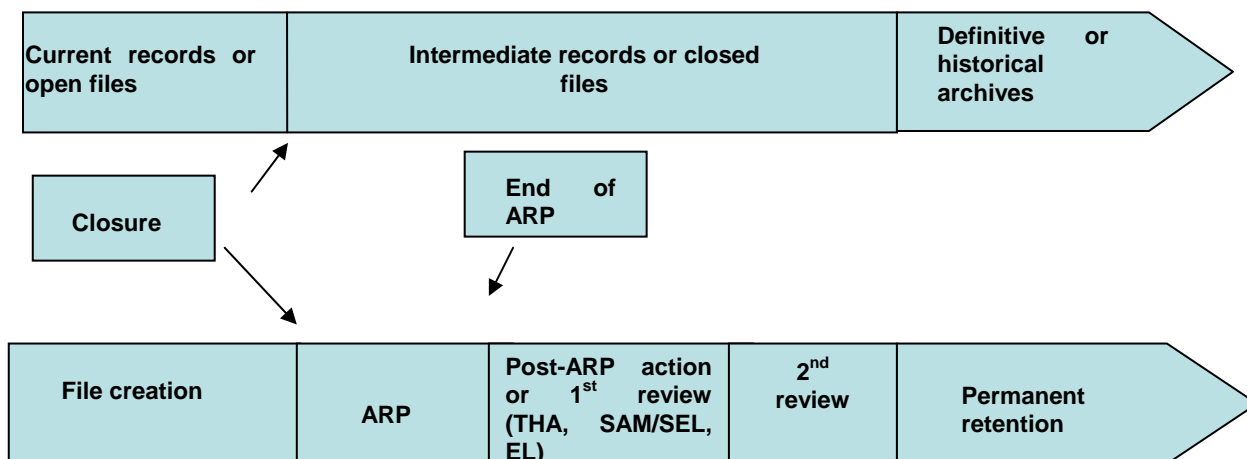
The transfer of files by the DG to the Historical Archives Service involves transferring the physical preservation of and responsibility for those files to that service.

On the basis of the CRL/SRL, the files which, at the end of the ARP, are to be transferred to the HAS for 'permanent retention' become 'definitive or historical archives' as soon as the files have been transferred.

By contrast, the files transferred to the HAS to which the DG has chosen not to apply a retention list (CRL or SRL) (which remain non-e-Domec files) and e-Domec and non-e-Domec files transferred in accordance with a retention list that specifies that a 'second review' must be carried out will be considered 'intermediate records' until they have undergone this second review.

It is only when this second review has taken place, no later than 25 years after the closure of the file, that files selected for permanent preservation become 'definitive or historical archives'.

Lastly, these historical archives will be opened to the public in accordance with the 30-year rule laid down in Council Regulation (EEC, Euratom) No 354/83 as amended by Council Regulation (EC, Euratom) No 1700/2003 of 22 September 2003⁹.



2. PEOPLE INVOLVED IN THE PRESERVATION OF FILES

Several stakeholders with clearly defined duties and responsibilities guarantee the physical protection of documents and files throughout their life cycle.

2.1. Originating department/file creator: lead department

As a rule, the lead department (file originator) is responsible for preserving official files from their creation/opening until their closure.

⁹ OJ L 243, 27.9.2003, p. 1.

When the lead department closes the file, it must:

- (1) purge:
 - a) the paper file, which means eliminating duplicates or photocopies, as well as information documents used only during the day-to-day handling of the matter (working documents);
 - b) the electronic file, which means eliminating documents that have merely been saved (i.e. not registered), have no legal value and do not contain any information which is key to understanding a matter once it has been concluded;
- (2) check that all the documents necessary for understanding the case which are registered or saved in ARES, Adonis or another register are correctly filed in the file;
- (3) specify (in the file metadata and/or by any other means) the medium on which the file is stored and its physical location:¹⁰
 - a) location, shelf, box, etc. for paper files;
 - b) IT application(s) for electronic files;
 - c) location of the paper section and electronic section in the case of hybrid files;
- (4) consolidate the file if necessary: this action applies in particular to file types where the case is subdivided into a technical section (also known as 'operational section') and a financial section (e.g. the management of grant agreements (7.1.3 CRL), contract management (7.1.5 CRL), etc.), which may constitute either two subfiles or two separate files.

In such cases, the two sections can be merged when the matter is concluded and prior to their closure¹¹ or when the first review of the files is carried out¹².

Where there are two separate files, the DG may decide not to merge them at all; however, if it submits these types of file for sampling/selection, it must avoid preserving the technical section of some and the financial section of others. It must be borne in mind that a DG might decide, during the selection process, to destroy all the financial files (which provide very little or no

¹⁰ It is advisable in this regard to draw up a storage plan specific to each unit.

¹¹ Current practice within DG RTD: the financial unit sends the financial section of the files to the relevant operational units so that the latter can consolidate them with their corresponding technical section.

¹² DG ECHO consolidates only the files which, following the first review, are to be transferred to the HAS.

added value in historical terms) or to keep only a few of them to serve as examples (selection of files) and to take a sample of the technical files¹³.

- (5) indicate whether the file contains classified documents or documents covered by one of the exceptions to the opening of historical archives to the public after 30 years (Article 1(2) of Regulation (EC, Euratom) No 1700/2003).

If intermediate records are not held centrally within the DG (see following section), the lead department is required to preserve closed files for the duration of their ARP or for the period specified by the DG (up to 15 years) in the case of non-e-Domec files not covered by a retention list.

Once this period has expired, the first review of files may be performed by the lead department, the Document Management Officer (DMO) or both parties working in close co-operation. The DG's archive schedule will indicate the responsibilities of the various people involved, the procedures applicable and the relevant deadlines.

2.2. The DG's Central Archives

The existence of a Central Archives Service within a DG enables the DG to organise its space more easily (departments do not need to keep closed files close to hand), better guarantees the long-term preservation of files (access control, integrity of files, etc.) and makes it simpler to carry out a first review of the files. Such a service also makes it easier to lend out files in the course of their ARP, especially if the Central Archives Service has established an effective system of loans which ensures that files are traceable.

The transfer of files from a unit to the DG's Central Archives Service should always be documented using a transmission form (see Annex 1) or an equivalent system (e.g. change of lead department and localisation using the file metadata contained in ARES or Adonis). The archive schedule must always show which department is responsible for the preservation of a file at any given moment.

In this case, the DG's Central Archives become the lead department for preservation:

- a) they will preserve files for the period stipulated in the DG's archive schedule; and
- b) they will carry out the first review of files (usually in conjunction with the lead department of the particular file).

The existence of a Central Archives Service within a DG greatly aids and renders more efficient the transfer of closed and complete files to the Historical Archives Service.

¹³ If a DG decides, on the basis of the selection procedure, to preserve only a few financial files and submits the technical files for sampling, it must ensure that the sample includes *inter alia* the technical files corresponding to the financial files preserved.

2.3. The Historical Archives Service (HAS)

The Historical Archives Service (HAS) becomes the lead department for preservation in respect of those files transferred to it by the DGs.

The HAS manages these files, insofar as possible in accordance with the CRL/SRL, taking account of the information provided by the DGs when the transfer takes place.

The use of a transmission form and a basic file list of the files transferred (forms provided by the HAS) allows, on the one hand, the originating DG to know which files it has previously transferred and to request their loan if necessary and, on the other, enables the HAS to manage the files received in the correct manner.

3. THE DG'S ARCHIVE SCHEDULE

3.1. Who draws up the archive schedule?

The archive schedule is an administrative document drawn up by the DMO and usually approved by the Director-General. It sets out the organisational structure established within the DG (persons in charge, premises, document management IT applications, etc.) to ensure the physical preservation of files for the period required.

As with the filing plan, the DMO draws up the schedule in close collaboration with the units. The DMO has the advantage of having a complete overview of the documentary resources within his or her DG, whereas the units are in possession of all the information pertaining to specific files.

3.2. Content of and tools for drafting the archive schedule

The main purpose of the archive schedule is to specify:

- (a) the organisational structure established by the DG to ensure the preservation of files from their creation until their destruction or transfer to the Historical Archives Service (HAS);
- (b) the relationship between each terminal heading in the Filing Plan and the relevant CRL/SRL type(s), so that each time a file is created under this particular heading it can be assigned a CRL/SRL type which will determine its retention period and disposal.

When drawing up the archive schedule, it is possible to:

- 1) either first establish the link between each heading of the DG's Filing Plan and one or more CRL/SRL types (top-down approach).

In this case, if the Filing Plan heading corresponds to a single CRL/SRL type, the heading is assigned all the attributes (ARP, post-ARP action, disposal, etc.) determined for the CRL/SRL type. When a new file is subsequently created and linked to the Filing Plan heading, the file is immediately assigned the CRL/SRL type to which it belongs, together with the ARP, post-ARP action and relevant disposal.

If the Filing Plan heading corresponds to more than one CRL/SRL type, a decision must be taken as to which CRL/SRL type applies when a new file is linked to that heading. As a result, the ARP, post-ARP action and relevant disposal are automatically assigned to the file.

- 2) or first establish the link between each file and the CRL/SRL type to which it belongs (bottom-up approach).

To enable DGs to link each file and CRL type easily, DIGIT-SG has made certain IT tools (loadings tools) available to them which can be accessed from the e-Domec website¹⁴.

Once Part I of the new electronic archiving module called Hermes Preservation Services (HPS)¹⁵ will be available in ARES/HERMES, this information will be migrated into the system, so that the terminal headings of the DG's Filing Plan and the CRL types will be linked automatically. From this point onwards, the DG will have to update the information in ARES/HERMES when new files are created in order for this part of the archive schedule to be kept up-to-date.

- (c) the number of years for which the DG will preserve non-e-Domec files to which the CRL/SRL has not been applied and the appraisal that will subsequently apply, i.e. which files will be destroyed and which files will be transferred to the Historical Archives Service, either immediately or following sampling/selection.
- (d) the lead department for the preservation of each file and the individual/department responsible for carrying out the first review (the DMO, the lead department or both working together).
- (e) how the first review of files is to be carried out by the DG (procedures, collaboration or approval of the DMO, etc.).

3.3. Some points to be considered

3.3.1. Physical medium of the files

The preservation policy for official files implemented by the DG must take account of the physical medium of the files to be kept.

Electronic files therefore require a migration policy and planning capable of guaranteeing the preservation of such files (integrity, accessibility and legibility) until their destruction or transfer to the Historical Archives repository. This is guaranteed by DIGIT in relation to the electronic document management systems housed at the Data Centre and for local or corporate IT systems declared to be fully e-Domec-compliant and connected to HERMES via the Hermes Repository

¹⁴ <http://www.cc.cec/home/dgserv/sg/edomec/>

¹⁵ To be developed in accordance with the final document 'ARES/HERMES/NOMCOM - European Commission Specifications - Hermes Preservation Services - Part I: Retention List & Archiving Workflow (Ref.: Ares(2009)328531 - 17/11/2009)'

Services (HRS)¹⁶. In the case of other systems, the owner DG must guarantee such preservation.

As far as electronic files are concerned, they are not physically relocated once they have been closed. The operation is fully transparent to users. Nevertheless, the responsible department must take care to amend the file's status in ARES or Adonis in order to trigger the start of the retention period for the closed file (specifically its ARP) and to remove it from the list of the units' active files.

3.3.2. Change of lead department for preservation

Any change of the lead department for preservation must be documented and indicated in the archive schedule. The best way to achieve this is to make sure that this change is reflected in the file metadata contained in ARES or Adonis.

This is particularly important for DGs which have set up Central Archives Services responsible for the preservation of intermediate records.

4. THE FIRST REVIEW OF FILES

The first review of files should ensure that the Historical Archives Service (HAS) receives from DGs only those files which have a genuine administrative, legal or historical value (files transferred on the basis of a retention list (CRL or SRL)) or the potential for such value (files transferred following a first review not based on a retention list).

4.1. General principles governing the first review of files

All official files (e-Domec and non-e-Domec) must be subjected to a first review in accordance with the DG's archive schedule. This review of files is based on the metadata available in the departments' file lists.

In the course of the first review, some files will be transferred to the HAS and the remainder eliminated, either immediately or after selection/sampling (see below for a detailed description of these actions).

The HAS has always the right to refuse a transfer if it considers that the DG has not performed the first review of files correctly.

4.1.1. Reviewing files based on the CRL/SRL

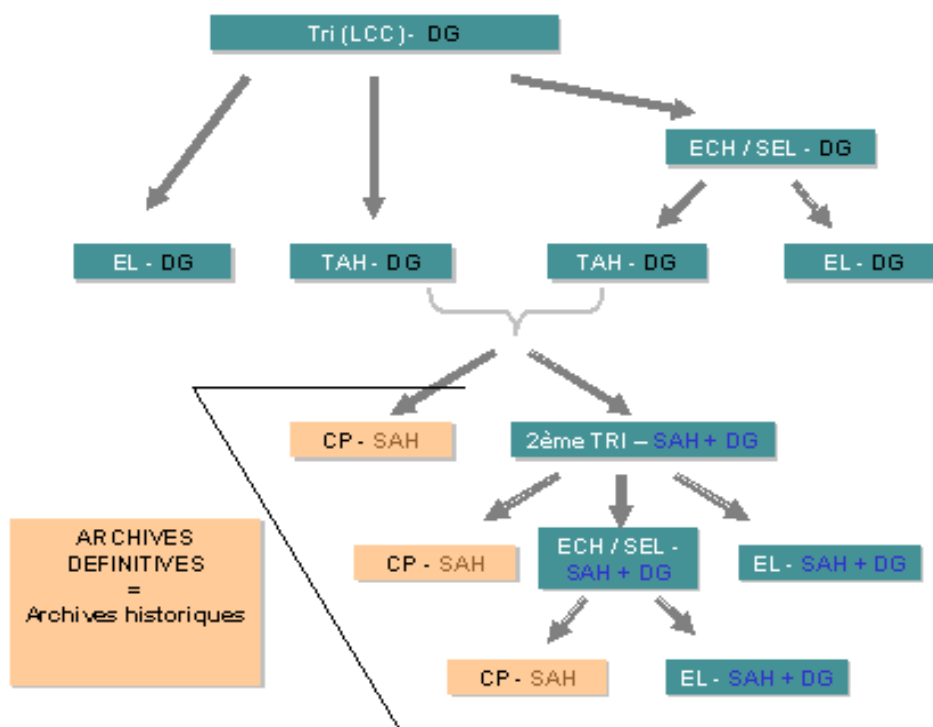
On the basis of the DG's archive schedule, all files managed in accordance with a retention list (CRL or SRL) [all e-Domec files as a mandatory requirement and certain non-e-Domec files on an optional basis] will undergo a first review once their ARP has expired.

This review involves performing one of three possible post-ARP actions: a) transfer to the historical archives; b) elimination; or c) sampling and/or selection.

¹⁶ To ensure the necessary guarantees, it is essential that HERMES, and not a local repository, acts as the central repository for these documents and files.

Only those files scheduled for transfer from the outset and those which, following selection/sampling, have been selected for preservation will be transferred to the Historical Archives Service.

The review operations, their outcome and the responsibilities of the various departments are shown in the following diagram.



4.1.2. Reviewing files not covered by the CRL/SRL

Old files to which the DG has not applied the CRL/SRL must also undergo a first review before they are transferred to the Historical Archives.

The archive schedule will lay down when (no later than 15 years after the closure of a file) and how this review will be carried out. Although the DGs have far more freedom when reviewing these files, they must take care not to destroy files which could have true legal, administrative or historical value.

DGs may be guided by a number of principles when reviewing these files:

- Transfer to the Historical Archives applies to ‘official’ files¹⁷, regardless of their internal structure (composition).
- A file’s ‘value’ is largely dependent on its content, the role of the originating department (whether or not it was lead department for the file in question) and its internal composition (originals or non-originals, registered or non-registered documents). As a rule, all files which chart

¹⁷ If a department has no official files, the HAS may agree to waive this rule if there are good reasons for doing so. This applies, for instance, to a department which has never had any official files and in which working files and officials’ files are the only records of the work carried out.

the activities and measures carried out by the department in the course of fulfilling its mission statement must be preserved (and therefore transferred).

- Use should be made of the CRL/SRL wherever possible.

If it has any doubts, the DG can always contact the HAS for advice as to which files to destroy and which to transfer for longer-term preservation.

4.2. Transferring files to the Historical Archives

Files covered by the CRL/SRL which are scheduled for transfer to the Historical Archives and files chosen in a sampling/selection exercise in accordance with the CRL/SRL must be transferred by DGs to the HAS. Files not covered by a retention list but which the DG has selected for longer-term preservation will also be sent to the HAS.

The process of transferring files to the HAS involves the transfer of responsibility and of the file preservation as follows:

- In the case of **paper files**, this involves transferring the physical preservation of documents and files previously held by the DGs and equivalent departments to the Historical Archives Service.

Files are physically relocated from the department which created them and stored them for the purpose of performing its duties to the Historical Archives repository, where they will be dealt with appropriately.

- In the case of **electronic and digitised files**, the DGs will have to await the introduction of IT tools which will enable documents/files and their metadata to be transferred to the Historical Archives' electronic repository. In the meantime, these files will have to remain as closed files in the IT system in which they were managed until they can be transferred¹⁸.
- In the case of **hybrid files** (part paper, part electronic), a distinction must be made between the following two situations:
 - where the electronic section is stored on a physical medium (floppy disk, CD, CD-ROM, DVD, tape, video tape, etc.): the HAS guarantees the physical preservation of the file but not the long-term legibility of these electronic formats,
 - where the electronic section is stored in ARES, Adonis or in any other local or corporate IT system connected to the HERMES Repository Central via HRS: it is strongly recommended that DGs await the availability of electronic archiving tools (HPS – Part I) which will enable electronic documents to be transferred to the Historical Archives repository in order for those files to be transferred fully (with regard to both the paper and electronic sections). However, if the DG needs to transfer the paper section of such files, the transfer will be accepted by the

¹⁸ The same applies to the electronic section of hybrid files.

HAS provided that it is clear from the documents accompanying the transfer (transmission form or basic file list) that it is a transfer of the paper section of a hybrid file and that the DMO undertakes to ensure that the electronic and paper sections of the file bear the same code and title, to make it easier subsequently to reassemble the complete file.

When transferring hybrid files to the HAS, the DG must indicate clearly on both the transmission form and the basic file list whether the electronic section of the file is stored in an IT system (to be transferred at a later date) or on a physical medium attached to the paper section of the file (DVD, CD, CD-ROM, video, etc).

The 'Guidelines on transferring documents to the Historical Archives' drawn up by the HAS explain all the stages of and practical arrangements for the transfer of records (with the exception of those stored in an IT system).

As soon as the Historical Archives' electronic repository has been set up¹⁹, a new version of the guidelines will be added to and/or replace the current version.

4.3. The sampling and/or selection of files

Sampling and selection are two appraisal procedures whereby some files in their entirety are chosen for preservation on the basis of objective criteria – sampling – or the selector's assessment – selection. The remaining files are eliminated accordingly.

Sampling is most suited to serial or standard composition files with differing content, the historical value of which can be ensured by the preservation of a representative sample of the total number of files (e.g. projects financed by a Community programme).

By contrast, selection is more appropriate for files belonging to file types with no real continuity or for files of varying composition (e.g. the relations of a DG - other than the SG - with the Council, European Parliament, Economic and Social Committee, etc.). Selection is not, therefore, necessarily representative.

Sampling/selection may be carried out both by the DG in the course of the first review of files or the HAS during the second review.

For all types of files in respect of which either of these operations is stipulated by the CRL, Annex 2 of this manual specifies which action(s) is/are the most appropriate.

4.3.1. The selection of files

The selection of the files to be kept is based on the selector's assessment.

¹⁹ By way of a reminder, Part 1 of the Hermes Preservation Services should go into production some time in 2011.

Using certain criteria (media impact, relevance for research purposes, etc.), the department assigns a particular value to some files which are then kept whilst the remainder are destroyed.

Annex 3 sets out some, but not all, of the criteria a DG may take into account when selecting files (non-exhaustive list).

When a selection is made, there is no minimum or maximum number of files to be kept. In most cases, those which are kept are not representative of the whole.

Selection could therefore be applied to the DGs' contribution files to actions for which other DGs are the lead department (the lead department will have the comprehensive file), which are found primarily in the CRL types covering 'Institutional issues' (1.1 CRL), 'Governance' (1.2 CRL), 'Strategic programming and planning' (2.1.1 to 2.1.4 CRL), 'Response to CIS' (2.3.1B CRL), 'Interinstitutional relations' (2.4 CRL), etc.

Files relating to the 'Implementation of logistics' (12.5.2 CRL) and 'General administration and management of units/directorates' (12.12 CRL) could also be subjected to the selection procedure. For these types of files, selection is the most appropriate option, as it is difficult in that case to have any real continuity in the content of files.

As stated in section 2.1(4) in relation to the reassembly of files consisting of a technical and a financial section, the DG may also decide during selection to destroy all financial files and to keep only the technical files (e.g. 'Management of grant agreements and decisions' (7.1.3 and 12.6.1.E CRL) or 'Contract management' (7.1.5 and 12.6.1.C CRL)).

4.3.2. *The sampling of files*

During sampling, the selection of the files to be preserved is made on the basis of objective criteria. The sample to be kept is therefore representative of the whole.

There are two possible types of sampling:

- **Systematic sampling:** selecting every n^{th} file following their sorting by geographical area and by alphabetical, numerical and chronological order, etc.;

For example, if the starting criterion is chronological and the next relates to geographical area, then for the year in question files covering the same area, i.e. country or region, should be chosen (=A), and the size of the sample multiplied by the percentage (A) represented by the total set of files for the year (covering all geographical areas) should be applied to the subset. Annex 4 provides a specific example of this type of sampling.

- **Random sampling:** a statistical method whereby each unit in a series has an equal chance of representing the series through the use of a table of randomly selected numbers. This method is the most objective.

For successful (systematic or random) sampling, the following principles should be borne in mind:

1. Define the set of files (a population or area) for which sampling is to be carried out and describe its internal structure. This set of files may cover one or more of the headings in a DG's filing plan. The set may be fully existent or may include files scheduled to be created in the near future on the same subject (e.g. in April 2010, a sampling exercise is carried out of projects financed by Community programme X between 2007 and 2013).

The size of the set of files will affect the sample size (see the table below).

2. Define an order of magnitude for the sample which is large enough to ensure that the sample kept will be representative of the original set of files. As sampling will only be cost-effective when carried out on a large number of files, it is recommended that it is used for sets of more than 200 files only.
3. The greater the degree of homogeneity of files (files that are very similar as regards their content and subject matter), the smaller the sample can be (see the 'minimum size' choice shown in the table below). On the other hand, in the case of a set of files with a high degree of variation, the sample size must be greater (see the 'maximum size' choice shown in the table below).
4. Prior analysis of the set of files will help you decide whether to opt for systematic or random sampling.

E.g. a sampling exercise on projects financed by a Community programme, such as Life, Public Health, Socrates, Structural Funds, Research, etc. (7.1.3, 7.2.1, 7.2.2, 7.3 and 7.4 CRL), should cover a certain number of files by beneficiary country and by year: a systematic sampling operation is therefore carried out.

E.g. a sampling exercise for the 'organisation of traineeships' (12.3.8.B CRL) could be random.

Total number of files	Sample size	
	Minimum	Maximum
200-280	32	50
281-500	50	80
501-1 200	80	125
1 201-3 200	125	200
3 201-10 000	200	315
10 001-35 000	315	500
35 001-150 000	500	800

4.3.3. Selection + sampling of files

During this dual operation, the Department decides to keep some files owing to their intrinsic value and submit the rest for sampling.

When combining both actions, the department may proceed as follows:

- Selection + sampling: certain files are selected for preservation from the outset. A sample is taken of the rest.
- Sampling + selection: a sampling exercise is performed and if, subsequently, (some or all of) the files the department wishes to preserve do not form part of the sample chosen for preservation, any such files are added to that sample.

All files not selected for preservation, whether on the basis of sampling or selection, will be destroyed and those which are kept will not be entirely representative of the whole.

DGs may find it beneficial to carry out this dual operation in the case of certain series of files belonging to the types 'Management of grant agreements' (7.1.3 CRL) and 'Contract management' (7.1.5 CRL), in respect of which they are aware, from the very beginning, that certain files will have to be preserved for various reasons (e.g. media impact, the volume of funding awarded), while the rest may undergo sampling.

As stated in section 2.1(4), some DGs could also perform this dual operation for file types where the financial and operational sections constitute separate files. The DG could then decide in the course of selection to destroy all the financial files or to preserve only some of them and to submit for sampling all the technical or operational files²⁰.

4.3.4. *Documentation (report) confirming sampling and/or selection*

The sampling and/or selection operation(s) carried out on a set of files must be documented in a report (see Annex 5). This report must be preserved on a permanent basis and will therefore have to be sent to the HAS together with the files which the DG transfers to it following these review procedures.

This documentation must include the following details as a minimum requirement:

- The justification and purpose of sampling and/or selection;
- A clear description of the criteria applied and the reasons behind these criteria;
- The list of files chosen for elimination;
- The list of files chosen for preservation²¹.

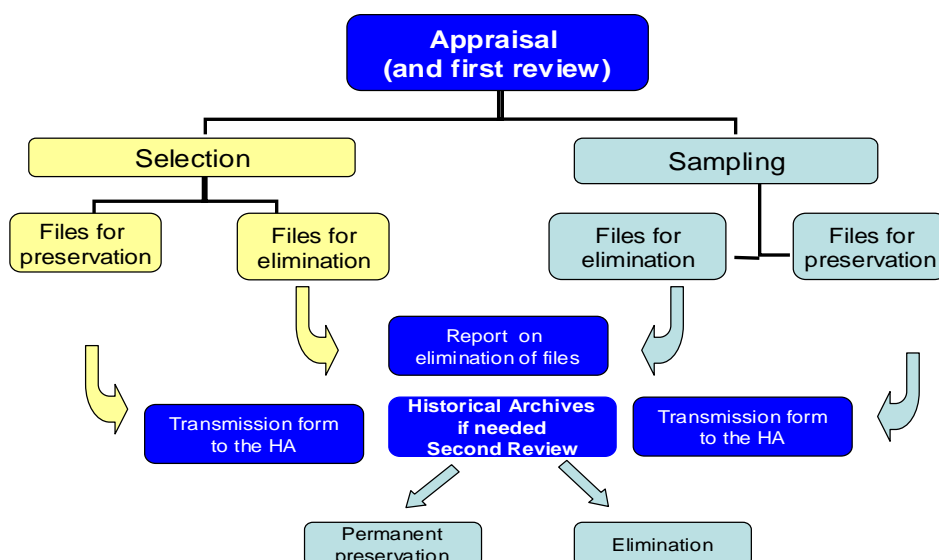
This information is important not only for the Historical Archives Service but also for researchers, as it will explain how they can use the files. When a

²⁰ See footnote 13.

²¹ The lists of files contained in the documentation will be drawn up on the basis of the list of files in ARES, Adonis or any other local or corporate IT system which is fully e-Domec-compliant and connected to HERMES via HRS.

sample is not representative, any statistical analysis thereof will be unreliable.

Selection or sampling of files



4.4. Elimination

The elimination of records in accordance with e-Domec rules involves completely destroying files or certain documents contained within (paper and/or electronic) files²² in line with regulated procedures of which a permanent record is kept.

It should be stressed that elimination leaves file metadata intact, meaning that a record remains of all official Commission files destroyed at any point in accordance with the procedures²³. Similarly, the registration metadata of documents are not destroyed as such either, since this would result in changes being made to the Commission's official registers.

With regard to ARES, Adonis and any other local or corporate IT systems connected to the HERMES Central Repository via HRS, when files are destroyed, the document metadata remain intact and only the electronic or digitised file(s) attached to the sheet²⁴ is/are destroyed automatically. If the same document is kept in parallel in the paper file (e.g. in the case of contracts, because the paper signed original had to be preserved), this document must also be destroyed.

The elimination of documents and/or files can be carried out by:

²² Where 'administrative procedures for the elimination of documents' apply, as specified in the CRL/SRL.

²³ In other words, when files are eliminated, regardless of their format (paper, electronic or hybrid), the elimination metadata listed in Annex 1 to the Implementing rules on document management (section IV.1.6) must be preserved permanently in the references of the eliminated files.

²⁴ If document X, registered in ARES, Adonis or any other local or corporate IT system connected to the HERMES Repository Central via HRS, is filed in files A and B and file A is eliminated, it is the link between document X and file A that will be destroyed. Document X will be destroyed only if a decision is also taken to destroy file B at some point in the future.

- a Directorate-General or equivalent department during the first review of files or in the course of ‘administrative procedures for the elimination of documents’ (see section 4.4.1.c);
- the Commission’s Historical Archives Service, usually during the second review of files, which it performs no later than 25 years after the closure of the files.

Depending on the medium on which the documents and/or files to be eliminated are stored, one of two destruction procedures may apply:

- If the documents and/or files are stored in ARES, Adonis or any other local or corporate IT system, their destruction will be carried out by authorised staff members in the system in question. The destruction must result in the complete erasure of all known instances of the material to be eliminated in order to ensure that the information is permanently and irrevocably eliminated.

The module ‘Hermes Preservation Services – Part I’ will establish a destruction procedure for documents and files stored in ARES or any other local or corporate IT system which is fully e-Domec-compliant and connected to HERMES via HRS.

- If the documents and/or files are held on a physical storage medium²⁵, the department itself will destroy them or submit an appropriate request to the relevant department of the Office for Infrastructure in Brussels (OIB) or Office for Infrastructure in Luxembourg (OIL) (see section 4.4.4).

The physical destruction of documents and/or files must always guarantee the required level of confidentiality of those documents/files (normal files, files containing documents bearing markings or files containing ‘EU restricted’ documents).

4.4.1. Elimination of documents and/or files in the DGs

Ultimately, responsibility for document management within a DG always lies with the Director-General and extends to the destruction of any documents and/or files which might be decided upon.

Nevertheless, the DMO and his or her team organise or supervise all destruction operations in the DG and are responsible for carrying them out. There are three different kinds of operation:

- a. The destruction of files on the basis of the CRL/SRL: these files are eliminated as soon as their ARP has expired and only if the relevant post-ARP action stipulated in the CRL/SRL is either elimination or sampling/selection.

Where it is sampling/selection, files are eliminated only if they have not been chosen for longer-term preservation. In such cases, documentation of the elimination of files (in the form of a report) must be accompanied by

²⁵ Paper, cassette tapes, hard drives and any other physical medium containing archived data are understood to be storage media. It should be remembered that metadata are not affected by physical destruction.

documentation which describes the sampling/selection method used (see section 4.3).

- b. The destruction of files not covered by a retention list: in accordance with Article 7 of Decision 47/2002²⁶, DGs carry out regular appraisals of files which could be sent to the Historical Archives. During these appraisals, files that are not chosen for longer-term preservation and will not, therefore, be transferred to the Historical Archives are destroyed.
- c. 'Administrative procedures for the elimination of documents': these procedures, which are explicitly laid down in the CRL/SRL for certain, well-defined file types²⁷, require DGs/departments to eliminate certain documents or information for very specific reasons (e.g. the protection of personal data).

These operations are carried out following the closure of the files but before the end of the ARP. The procedures are mandatory for the e-Domec files in question and optional for non-e-Domec files of the same type.

Once again, this type of operation does not result in the elimination of the metadata of the documents to be destroyed.

4.4.2. *Elimination of files at the Historical Archives Service*

The Commission's Historical Archives Service (HAS) is responsible for managing the files transferred to it by the DGs. Insofar as possible, it manages them in line with the CRL/SRL, whilst taking account of the information provided by the DGs when they are transferred.

The destruction procedures followed by the HAS will depend on whether it is dealing with:

- Files transferred by DGs in accordance with a retention list (CRL/SRL): the HAS takes the view that the DG has already duly carried out a first review and, during the second review, will merely proceed with destroying the files that have no value as archives, either immediately or following sampling/selection. It will carry out a second review only for those file types for which the CRL/SRL formally requires such a review (all other files are designated for 'permanent preservation' straight away).

As soon as the destruction procedure begins (including, where applicable, the prior sampling/selection operations), the HAS will notify the DG

²⁶ Article 7 of Decision 47/2002/EC, CECA, Euratom: 'Without prejudice to the minimum storage periods referred to in Article 6, the document management centre(s) referred to in Article 9 shall carry out, at regular intervals, in cooperation with the departments responsible for the files, an appraisal of the documents and files which could be transferred to the Commission's Historical Archives.'

²⁷ At present, the CRL lays down three administrative procedures for the elimination of documents: 1) unsuccessful bids under 'procedures for award of grants' are eliminated three years after the closure of the file (whereas the ARP for this file type is 10 years); 2) unsuccessful bids under 'procurement procedures' are eliminated five years after the closure of the file (whereas the ARP for this file type is 10 years); 3) all documents except application forms and offers and certification of traineeships will be eliminated from 'files on trainees' five years after closure of the file (whereas the ARP for this file type is 50 years).

which transferred the files (or its successor). The DG may give an opinion of its own accord or at the express request of the HAS.

- Files transferred by a DG to which no retention list applies: in the case of such files which are still of a non-e-Domec type, the HAS may decide to apply the CRL/SRL itself and, therefore, to eliminate all files and/or documents which would be scheduled for destruction on the basis of the relevant retention list.

In addition, given that the HAS will not be acquainted with the criteria on which the DG based its first review of these files prior to their transfer, it will carry out a second, more thorough, review. Its two objectives in this regard are:

- not to destroy files which could have significant value as archives;
- but at the same time not to preserve permanently files with no administrative, legal or historical value.

It should be pointed out that there now remains only one case in which the HAS still asks for the approval (where appropriate, tacit approval) of the DG which transferred the files and of the Legal Service. This case is where no retention list may be applied where files are to be destroyed.

4.4.3. Documentation (report) of the entire destruction procedure

All procedures for the destruction of files must be correctly documented, in both the IT system which manages the files in question and in a 'file elimination note' (see Annex 6 for an example) accompanying the list of eliminated files.

As soon as files have been destroyed, the DG must send the elimination note and its annexes to the HAS, which will preserve permanently and sorted by originating department all elimination documentation concerning a DG/department. The DG must also keep this information for the purposes of replying to any requests for access to eliminated files.

The 'administrative procedures for the elimination of documents' must also be correctly documented, either via the IT (metadata 'eliminated') or in a document destruction note (see Annex 7 for an example). These data, which are directly connected to the file from which documents have been eliminated, must be preserved either on a permanent basis or, where appropriate, until the destruction of the file in question. In the case of such destruction of files, the DG does not send the corresponding documentation to the HAS.

4.4.4. Procedure for the destruction of documents and files on physical media, in particular paper

Any destruction of official Commission documents or files must be carried out following the appropriate procedure since such destruction is a sensitive operation which must be taken seriously.

The DG's DMO centralises within that DG all the procedures for the physical destruction of official Commission documents and files, either by performing the operation himself/herself or by requesting that it be carried out by the Office for Infrastructure in Brussels (OIB) or DG HR.DS in Luxembourg.

The OIB in Brussels and DG HR.DS.1.003 in Luxembourg therefore arrange centrally, for those departments that require it, the destruction, in accordance with the rules, of all documents and files stored on a physical medium (paper, cassette, CD and CD-ROM, computer hardware, films, offset plates, etc.).

The destruction procedure for DGs in Brussels is as follows:

- The DG wishing to destroy official documents or files sends its request via its DMO to 'OIB RE2 GLI' (Local Building Management) with all the information required to carry out the destruction operation. For all DGs using ARES, this request should be made electronically via that IT system.
- OIB RE2 GLI informs the DMO of the practical arrangements for destroying the documents. Depending on the number to be destroyed, their location, their relative sensitivity (documents bearing markings, documents containing a lot of personal data, etc.) and their physical medium, etc., the OIB will decide on the most appropriate method: sending a shredding truck to destroy paper documents on site, use of one of the shredders kept on Commission premises, central collection in the OIB building of the files to be destroyed for subsequent mass destruction (particularly in the case of documents stored on media other than paper) etc.
- The requesting department will attach special labels to the bags containing all the documents and files for elimination; those labels will also indicate the medium on which the documents are stored (paper, CD, video tape, etc.).
- The OIB's Local Building Management Unit will arrange for the bags to be collected.
- When the bags have been collected and the destruction operation carried out at the facilities designated for this purpose, the OIB will complete the destruction form and return it to the DMO.

See Annex 8 for the form to be used.

The destruction procedure for DGs in Luxembourg is as follows:

- The DG wishing to destroy official documents or files sends its request via its DMO to DG HR.DS.1.003 (Security Directorate in Luxembourg), copying in the OIL's removals department (OIL.03.002) using the 'OIL DEMENAGEMENT' mailbox. All the information required to carry out the operation will be provided when the request is made. For all DGs using ARES, this request should be made electronically via that IT system.

- The requesting department will attach labels to the bags containing all the documents and files for elimination; those labels will also indicate the medium on which the documents are stored (paper, CD, video tape, etc.).
- The OIL's removals department will collect from the DG the files scheduled for destruction and will store them in the location designated by RH.DS.003 until they have been duly disposed of (usually using a shredding truck).
- Once the files/documents have been destroyed, RH.DS.003 will complete the destruction form and return it to the DMO.

See Annex 9 for the form to be used.

5. THE SECOND REVIEW OF FILES

The files transferred to the Historical Archives Service (HAS) by the DGs and departments are preserved by the HAS in its repository in the state in which they were on the transfer date: they are not appraised, purged or amended. It is therefore in the departments' interest to transfer their files properly.

The HAS carries out the second review at the latest 25 years after the files were closed. This operation entails analysing files with a view to identifying those of sufficient value to be preserved as historical archives on a permanent basis; the remainder are eliminated.

A second review is performed:

- when this action is required by the CRL/SRL for the file type in question, where the DG has chosen to apply a retention list to the files;
- for all files to which the DG has chosen not to apply a retention list.

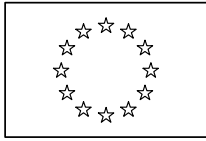
When carrying out a second review of a set of files, the HAS may decide to keep all of them, destroy all of them or submit them all for sampling/selection.

In the course of this second review, the HAS may request the cooperation of the originating DG of the files by contacting its DMO. This will be particularly important where the HAS will be subjecting old files not covered by a retention list to a second review.

In such cases, it is highly likely that:

- the information accompanying the transferred files will be insufficient to make a firm decision as to the disposal of the files; and
- the HAS will ask the originating DG for assistance and advice as regards the legal or administrative value of files with a view to determining their historical value.

**ANNEX 1: TEMPLATE FORM FOR THE TRANSMISSION OF FILES TO THE DG'S
CENTRAL ARCHIVES**



EUROPEAN COMMISSION
DG
Unit

FORM FOR THE TRANSMISSION OF FILES TO THE DG'S CENTRAL ARCHIVES

No

DATE

Directorate:

Unit:

Subject:

Number of files:

File medium:

Paper

Electronic (in IT system) Please specify.....

Physical medium (DVD, CD-Rom, etc.)

Period of the files:

Exceptions to Regulation 1700/2003: NO YES Please specify.....

To certify transmission

To certify receipt

Name Date

Name Date

.....

.....

Annex: List of files to be transferred

Comments:.....

ANNEX 2: SELECTION AND/OR SAMPLING OPERATIONS DURING THE FIRST REVIEW OF CRL FILES

	FILE TYPES	POST-ARP ACTION/ FIRST REVIEW:	LEAD DEPARTMENT FOR PRESERVATION	OBSERVATIONS	
1	INSTITUTIONAL AND GOVERNANCE ISSUES				
	1.1	Horizontal institutional issues and revision of the Treaties	SELECTION	DG (except SG – coordination file): contribution files	
	1.2	European governance	SELECTION	DG (except SG, BUDG, ENTR – coordination files): contribution files	
2	STRATEGY AND COORDINATION				
	2.1 Strategic programming and planning (SPP)				
	2.1.1	Policy programme of the Commission (multiannual)	SELECTION	All DGs (except SG –coordination file): contribution files	
	2.1.2	ABM (Activity-Based Management)/ABB (Activity-Based Budgeting)			
	2.1.3	Annual Policy Strategy (APS)			
	2.1.4	Commission's Legislative and Work Programme (CLWP)			
	2.3 Inter-DG coordination				
	2.3.1	Interdepartmental consultation (CIS), including the fast-track Procedure		SELECTION	All DGs
		B	Response to CIS		
	2.3.2	Business Continuity Planning	SELECTION	DG (except SG – coordination file): contribution files	
	2.4 Interinstitutional relations				
	2.4.3	Parliamentary questions	SAMPLING + SELECTION (optional)	DG (except SG – coordination file): contribution files on answers to the EP	BASIL: files on parliamentary questions
	2.4.4	Petitions			
	2.4.5	Relations with the Council (other than codecision, see 2.4.7)	SELECTION	DG (except SG – coordination file): core files	Every DG has an official responsible for relations with the other institutions
	2.4.6	Relations with the EP (other than codecision, see 2.4.7)			
	2.4.7	Codecision: Relations with the EP and the Council			
	2.4.8	Relations with the Committee of the Regions			
	2.4.9	Relations with the EESC	SELECTION	DG (except BUDG - coordination file): core files	
	2.4.10	Relations with the Court of Auditors			
	2.4.12	Relations with the European Central Bank			
	2.4.13	Relations with the EIB (European Investment Bank))	SELECTION	DG (except ECFIN - coordination file): core files	
	2.4.14	Relations with the European Ombudsman	SELECTION	DG (except SG –coordination file): core files	
	2.5	Relations with executive agencies (other than coordination of the agency's implementation of programmes by the parent DG - see 7.1.1)	SAM/SEL	DG (except SG, BUDG, HR - coordination files): core files	
	2.6	Relations with European Agencies	SELECTION	DG (except SG and BUDG - coordination files): core files	

2.7	Relations with the authorities of the Member States						
	2.7.4	Relations with regional and local authorities		SAMPLING + SELECTION (optional)	DG (except SG –coordination file): core files		
	2.7.5	Official visits		SELECTION	DG (except SG –coordination and protocol file): core files		
2.8	Relations with groups of experts, civil society and other interlocutors						
	2.8.2	Dialogue with civil society, social partners , interest representatives, etc.					
	A	Structuring dialogue		SELECTION	DG (except SG –coordination file)		
4	EU FINANCIAL SYSTEM AND THE BUDGET						
	4.1	Financial perspective					
		4.1.1	Financial framework				
		A	Establishment of the financial framework		SELECTION	DG (except SG and BUDG: coordination files): core files	
	4.2	Annual budget of the EU					
		4.2.2	Implementation of the budget and accounting				
			B	Reports on budget implementation		SELECTION	All DGs (except BUDG - coordination file): contribution files
			D	Management of other revenue		SELECTION	DG (except BUDG - coordination file): core files
		4.2.4	Budget discharge: obtaining discharge and follow-up		SELECTION	DG (except BUDG - coordination file): contribution files and files on discharge follow-up DG: budget implementation files	
	4.8	Setting up and running the financial circuit in a DG			SELECTION	All DGs (except BUDG: coordination file): core files	
6	IMPLEMENTATION OF POLICIES AND LEGISLATION						
	6.1	Guidelines and support for implementation of legislation in Member States					
		6.1.2	Information from the Member States		SAMPLING + SELECTION (optional)	DG	
	6.1.5	Management of Community tools and mechanisms					
		A	Databases, registers and other		SAMPLING + SELECTION (optional)	DG	
B	Networks						
7	PROGRAMMES, PROJECTS AND GRANTS						
	7.1	Direct management of Community programmes, pilot and preparatory actions, grants and macrofinancial aid					
		7.1.2	Procedures for award of grants			SAMPLING + SELECTION (optional)	DG
		7.1.3	Management of grant agreements and decisions (projects financed)				
		7.1.4	Procurement procedures				
		7.1.5	Contract management (following award of contracts)				
	7.2	Shared management of programmes, projects and grants					
		7.2.1	Implementation of agricultural aid (intervention, programmes and direct payments)		SAMPLING + SELECTION (optional)	DG	
7.2.2	Implementation of aid programmes under the Structural Funds (ERDF, ESF, FIFG), the EAFRD and the Cohesion Fund,						

		including Community initiatives			
	7.3	Decentralised management of programmes, projects and grants		SAMPLING + SELECTION (optional)	ELARG, AIDCO
	7.4	Indirect centralised management (European Investment Fund) of programmes, financial instruments and pilot projects		SAMPLING + SELECTION (optional)	ENTR
8	INTERNATIONAL ACTIVITIES AND ENLARGEMENT				
	8.1	International agreements			
	8.1.1	Negotiation and conclusion of agreements		SELECTION	DG (except DG responsible for agreement): contribution files
	8.1.2	Implementation and political follow-up on agreements (for follow-up on aid and grants under the agreements, see Chapter 7):			
	8.4	Enlargement			
	8.4.3	Accession negotiations		SELECTION	DG (except ELARG: coordination file): contribution files
		A	Screening		
		B	Negotiating position		
		C	Monitoring and reporting		
9	TRANSPARENCY, INFORMATION, COMMUNICATION AND RELATIONS WITH CITIZENS				
	9.3	Events, visits and information campaigns			
	9.3.2	Participation in external events		SELECTION	DG
	9.4	Publications/collections and websites			
	9.4.2	Websites		SELECTION	COMM: coordination file DG: own files
	9.6	Relations with citizens			
	9.6.4	Complaints to the Commission about maladministration (infringements of the Code of Good Administrative Behaviour)		SELECTION	DG (except SG –coordination file): contribution files
	9.6.5	Complaints on grounds other than maladministration		SELECTION	DG
	9.7	Relations with the media		SELECTION	COMM: files of the spokesperson and representations DG: own files
12	ADMINISTRATION				
	12.3.4	Competitions, selection of staff and candidates' files			
		A	Competitions	SELECTION	EPSO
		B	Procedures for the selection of contract staff, temporary staff (including temporary interpreters) and ACIs	SELECTION	EPSO, SCIC
	12.3.6	Organisational charts		SELECTION	DG (except HR)
	12.3.8	Traineeships			
		B	Organisation of traineeships	SAMPLING	EAC
	12.5	Logistics			
	12.5.2	Implementation of logistics			
		B	Administration and upgrading of buildings, including general and technical maintenance	SELECTION	OIB, OIL: files on DGs and/or buildings in BXL and LUX HR: building
		C	Office moves		

	D	Health and safety at work		security files in Brussels	
	E	Management of environmental constraints			
	F	Buildings security			
	G	Purchase, stock-taking and decommissioning of movable property		COMM, ECHO, JRC, RELEX: files on the logistics for their sites outside Brussels and Luxembourg	
	H	Purchase 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				
	A	Logistical and technical support for multilingual events	SELECTION	SCIC	
	B	Organisation and planning of meetings and conferences			
12.5.4	Management and logistics of translations		SAMPLING	DGT	
12.5.5	Central mail service and reproduction				
	A	Commission central mail service		OIB, OIL: files concerning BXL and LUX	
	B	Design and reproduction	SELECTION	JRC: files concerning sites outside BXL	
12.6	Financial management				
12.6.1	Management of decentralised administrative appropriations (supplements Chapter 7: Operating appropriations)				
	B	Procurement procedures			
	C	Contract management (following award of contracts)			
	D	Procedures for award of grants	SAMPLING + SELECTION (optional)	All DGs	
	E	Management of grant agreements and decisions			
12.7	IT and technology				
12.7.1	IT architecture		SELECTION	DG (except DIGIT: coordination file): own files	
12.7.2	Information system (IS)				
	A	Corporate systems	SELECTION	User DGs (non-project owners)	
12.8	Management of documents and archives				
12.8.1	Document management policy and archive policy		SELECTION	DG (except SG –coordination file): contribution files	
12.8.3	Documentation Centre		SELECTION	DG	
12.8.4	Libraries (paper and digital)		SELECTION	EAC	
12.9	Internal auditing				
12.9.3	Opinions/consultancy		SELECTION	DG	
12.11	Relation with the Offices		SELECTION	ADMIN, BUDG: coordination files DG: own files	
12.12	General administration and management of units/directorates				
12.12.1	Activities of the Director-General				
	A	Management meetings			
	B	Briefings for the Director-General	SELECTION	All DGs	
12.12.5	Unit meetings, directorate meetings, etc.				
12.12.6	Internal working parties		SELECTION	All DGs	

ANNEX 3: CRITERIA TO BE TAKEN INTO ACCOUNT WHEN SELECTING FILES

When, in the course of the first review of files, a DG makes its selection from a set of files, several criteria may be taken into account with a view to deciding which files to keep and which to destroy. By way of illustration, these criteria include the following:

- File creator:
 - importance within the institution of the originating unit, its status and role
 - importance of the individuals and stakeholders involved (e.g. files created by Jacques Delors or in which he played an active role)
- Historical value of the information:
 - importance of the case (e.g. GMOs, BSE etc.)
 - intrinsic importance of the file (e.g. ITER project)
 - importance of the file to the performance of departmental or institutional duties (e.g. a file forming the basis of a legislative proposal)
- Content analysis
 - account taken of the period covered by the file (e.g. LIFE projects relating to climate change in the 1980s)
 - complete, credible and contested information (e.g. research projects into the impact of certain gases on the greenhouse effect)
- Complementarity with existing files
 - volume: number of files <> rarity of existing files
 - original or copy
 - file format
- Use of information
 - its use for research (internal, external, historical, economic, sociological etc.)
 - current re-use (e.g. internally, for reference, when drafting a legislative proposal, revising a policy, justifying a position) and potential re-use in the future
 - connection with developments in society account being taken of the period covered by the file (e.g. LIFE projects concerning climate change in the 1980s)
- Media impact (e.g. files on fraud)
- Symbolic importance: *ad hoc* actions in response to an event (e.g. the Commission's organisation of or involvement in certain events)
- Diplomatic value of files (e.g. specific visits to Member States or third countries prior to a major European or international summit)

The table below provides a simpler overview of certain guidance criteria (to be chosen by the DG or department making the selection):

Selection criteria	Yes	No	Disposal²⁸
Importance of the originating unit			
Is the unit which created the file particularly important (hierarchical position, roles/duties) within the Commission?	X		R
		X	E
Importance of the file for the DG			
Is the file's subject matter particularly important for the DG?	X		R
		X	E
Is the file complete?	X		R
		X	E
Importance of the file for users			
Could the file be re-used internally by Commission departments?	X		R
		X	E
Could the file be useful for research purposes?	X		R
		X	E
Does the file reflect (on a representative basis) broad social trends in the context of the history of the Commission and the EU?	X		R
		X	E
Complementarity with existing files			
Are there many other files created by the same originator or dealing with the same topic?	X		E
		X	R
Media impact			
Did the file have a media impact?	X		R
		X	E

²⁸ R = retention; E = elimination.

ANNEX 4: A PRACTICAL EXAMPLE OF SYSTEMATIC SAMPLING

In 2009, DG EAC carried out a sampling exercise on Erasmus project files covering the period 1987-1993. In order to determine the total number of files to be kept, it divided the files into different groups: 1) firstly by year; 2) then by file type; and 3) finally by country.

With the aim of obtaining a fairly comprehensive sample, DG EAC applied the maximum sample size, as shown in the table under 4.3.(b) of this manual.

Total number of files	Sample size	
	Minimum	Maximum
200-280	32	50
281-500	50	80
501-1 200	80	125
1 201-3 200	125	200
3 201-10 000	200	315
10 001-35 000	315	500
35 001-150 000	500	800

In order to select the total number of files to be kept, DG EAC decided to multiply the total for each country by the sample size to be kept. The result was then divided by the total number of files for the year. This gave the total number of files to be kept for each country, type and year.

Example for 1987

Total number of files for 1987: 1563 [between 1 201 and 3 200 =>see table]

Sample size: 200

Number of files for Germany for ICP contracts: 53

Which gives us the calculation:

$$\frac{53 \times 200}{1563} = 6.78, \text{ which is rounded up to } 7$$

This means that, for ICP contracts concerning Germany in 1987, seven files are to be kept.

The same approach is taken for all countries, contract types and years. This makes it possible ultimately to obtain a rather broad sample, despite the fact that almost 90 % of the original files will be destroyed.

1987			
COUNTRY	CONTRACT TYPE	NO. OF FILES	NO. OF FILES FOR PRESERVATION
All countries	SVS-ARC	9	1
Germany	ICP	53	7
Denmark	ICP	12	2
Spain	ICP	31	4
France	ICP	86	11
Greece	ICP	13	2
Italy	ICP	44	6
Netherlands	ICP	27	4
Portugal	ICP	13	2
United Kingdom	ICP	163	21
	TOTAL	442	59
Germany	STV	37	5
Denmark	STV	10	1
France	STV	24	3
Netherlands	STV	34	4
Portugal	STV	5	1
	TOTAL	110	14
Belgium	SVP	57	7
Germany	SVP	59	8
Denmark	SVP	28	4
Spain	SVP	86	11
France	SVP	73	9
Greece	SVP	42	5
Italy	SVP	85	11
Ireland	SVP	21	3
Netherlands	SVP	26	3
Portugal	SVP	28	4
United Kingdom	SVP	120	15
	TOTAL	625	80
Belgium	SVS	26	3
Germany	SVS	17	2
Denmark	SVS	19	3
Spain	SVS	70	9
France	SVS	23	3
Greece	SVS	36	5
Italy	SVS	60	8
Ireland	SVS	16	2
Netherlands	SVS	14	2
Portugal	SVS	45	6
Luxembourg	SVS	1	1
United Kingdom	SVS	50	6
	TOTAL	377	50
TOTAL FOR 1987		1563	204

1988			
COUNTRY	CONTRACT TYPE	NO. OF FILES	NO. OF FILES FOR PRESERVATION
All countries	CMA and	26	2
Belgium	ICP	78	7
Germany	ICP	153	13
Denmark	ICP	23	2
Spain	ICP	98	8
France	ICP	201	17
Greece	ICP	21	2
Italy	ICP	115	10
Ireland	ICP	25	2
Netherlands	ICP	105	9
Portugal	ICP	32	3
United Kingdom	ICP	229	19
	TOTAL	1080	92
Belgium	STV	87	7
Germany	STV	124	10
Denmark	STV	34	3
Spain	STV	197	16
France	STV	121	10
Greece	STV	131	11
Italy	STV	197	16
Ireland	STV	52	4
Netherlands	STV	70	6
Portugal	STV	121	10
United Kingdom	STV	185	15
Luxembourg	STV	2	1
	TOTAL	1321	109
TOTAL FOR 1988		2427	203

1989			
COUNTRY	CONTRACT TYPE	NO. OF FILES	NO. OF FILES FOR PRESERVATION
All countries	CMA CTS	134	12
Belgium	ICP	129	12
Germany	ICP	171	16
Denmark	ICP	45	4
Spain	ICP	126	12
France	ICP	327	30
Greece	ICP	31	3
Italy	ICP	144	13
Ireland	ICP	35	3
Netherlands	ICP	147	13
Portugal	ICP	41	4
United Kingdom	ICP	278	25
	TOTAL	1474	135
Belgium	STV	120	11
Germany	STV	171	16
Denmark	STV	69	6
Spain	STV	298	27
France	STV	160	15
Greece	STV	173	16
Italy	STV	280	26
Ireland	STV	81	7
Netherlands	STV	111	10
Portugal	STV	74	7
United Kingdom	STV	289	27
	TOTAL	1826	168
TOTAL FOR 1989		3434	315

1990			
COUNTRY	CONTRACT TYPE	NO. OF FILES	NO. OF FILES FOR PRESERVATION
All countries	CMA and	129	10
Belgium	ICP	181	14
Germany	ICP	174	13
Denmark	ICP	51	4
Spain	ICP	159	12
France	ICP	306	23
Greece	ICP	49	4
Italy	ICP	155	12
Ireland	ICP	30	2
Netherlands	ICP	161	12
Portugal	ICP	48	4
United Kingdom	ICP	368	28
Luxembourg	ICP	1	1
	TOTAL	1683	129
Belgium	STV	64	5
Germany	STV	106	8
Denmark	STV	28	2
Spain	STV	142	11
France	STV	115	9
Greece	STV	123	9
Italy	STV	103	8
Ireland	STV	25	2
Netherlands	STV	50	4
Portugal	STV	43	3
United Kingdom	STV	17	1
Luxembourg	STV	3	1
	TOTAL	819	63
TOTAL FOR 1990		2631	202

1991

COUNTRY	CONTRACT TYPE	NO. OF FILES	NO. OF FILES FOR PRESERVATION
All countries	CTS	43	3
Belgium	ICP	168	13
Germany	ICP	242	19
Denmark	ICP	46	4
Spain	ICP	192	15
France	ICP	253	20
Greece	ICP	55	4
Italy	ICP	181	14
Ireland	ICP	42	3
Netherlands	ICP	94	7
Portugal	ICP	61	5
United Kingdom	ICP	356	28
Mixed	ICP	26	2
	TOTAL	1716	134
Belgium	STV	85	7
Germany	STV	73	6
Denmark	STV	27	2
Spain	STV	88	7
France	STV	91	7
Greece	STV	104	8
Italy	STV	51	4
Ireland	STV	36	3
Netherlands	STV	53	4
Portugal	STV	35	3
United Kingdom	STV	139	11
Luxembourg	STV	1	1
	TOTAL	783	63
	TOTAL FOR 1991	2542	200

1992

COUNTRY	CONTRACT TYPE	NO. OF FILES	NO. OF FILES FOR PRESERVATION
All countries	CST and CTS	146	14
Austria	ICP	36	3
Belgium	ICP	189	18
Germany	ICP	257	24
Denmark	ICP	62	6
Spain	ICP	195	18
France	ICP	348	32
Greece	ICP	70	7
Italy	ICP	175	16
Ireland	ICP	44	4
Netherlands	ICP	168	16
Portugal	ICP	36	3
United Kingdom	ICP	436	41
Mixed	ICP	71	7
Luxembourg	ICP	1	1
EFTA	ICP	77	7
	TOTAL	2165	203
Austria	STV	57	5
Belgium	STV	67	6
Germany	STV	130	12
Denmark	STV	28	3
Spain	STV	119	11
France	STV	105	10
Greece	STV	158	15
Italy	STV	54	5
Ireland	STV	8	1
Netherlands	STV	73	7
Portugal	STV	18	2
United Kingdom	STV	174	16
EFTA	STV	80	7
	TOTAL	1071	100
	TOTAL FOR 1992	3382	317

TOTAL NO. OF ALL FILES 18354
TOTAL NO. OF FILES FOR PRESERVATION 1642

1993

COUNTRY	CONTRACT TYPE	NO. OF FILES	NO. OF FILES FOR PRESERVATION
Austria	ICP	27	2
Belgium	ICP	140	12
Germany	ICP	196	16
Denmark	ICP	33	3
Spain	ICP	125	11
France	ICP	253	21
Greece	ICP	58	5
Italy	ICP	142	12
Ireland	ICP	27	2
Netherlands	ICP	114	10
Portugal	ICP	5	1
United Kingdom	ICP	355	30
Mixed	ICP	56	5
Luxembourg	ICP	0	0
EFTA	ICP	45	4
	TOTAL	1576	134
Austria	STV	24	2
Belgium	STV	37	3
Germany	STV	49	4
Denmark	STV	14	1
Spain	STV	64	5
France	STV	74	6
Greece	STV	122	10
Italy	STV	61	5
Ireland	STV	29	2
Netherlands	STV	45	4
Portugal	STV	29	3
United Kingdom	STV	139	12
Luxembourg	STV	10	1
EFTA	STV	102	9
	TOTAL	799	67
	TOTAL FOR 1993	2375	201

ANNEX 5: SELECTION AND/OR SAMPLING REPORT TEMPLATE



EUROPEAN COMMISSION

DG

Unit

Place, date
Registration No

SELECTION AND/OR SAMPLING REPORT

1. Description of files

Number of files submitted for selection and/or sampling:.....

Medium: Paper
Electronic (in IT system) Please specify.....
Other physical medium (DVD, CD-ROM etc.)

Subject/topic:.....

Period:.....

Lead department:.....

2. Action(s) to be performed:

Sampling and/or selection

Reasons for choice (CRL or SRL type):.....

Person responsible:.....

3. Criteria used:

4. Final outcome:

Number of files for transfer:.....

Medium: Paper
Electronic (in IT system) Please specify.....
On physical medium (DVD, CD-Rom etc.)

Number of files for elimination:.....

Medium: Paper
Electronic (in IT system) Please specify.....
On physical medium (DVD, CD-Rom etc.)

<i>Approval</i>	<i>Name</i>	<i>Date</i>
DMO

Annexes: Full list of files for elimination – Full list of files for transfer
Comments:.....

ANNEX 6: SAMPLE FILE ELIMINATION NOTE



EUROPEAN COMMISSION
DG
Unit

Place, date
Registration No

FILE NOTE²⁹: ELIMINATION OF FILES

1. Elimination decision:

Department responsible:

Person responsible:

2. Files eliminated (full list attached)

Subject/topic:.....

Period:.....

Number of files eliminated:.....

e-Domec files: Non e-Domec files:

Elimination on the basis of the CRL/SRL: Yes: No:

Reason for elimination³⁰:.....

3. Physical destruction of files – Medium(s) and method(s) used³¹

Medium/media: Paper

Electronic (in IT system) Please specify

On other physical media (DVD, CD-Rom etc.)

Method used for destruction³²:.....

4. Approval of destruction - DMO

Name *Date*
.....

5. Destruction performed by:

Department *Person* *Date*
responsible *responsible*
.....

Annexes³³: full list of eliminated files

Comments:.....

²⁹ Note + annex(es) to be sent to the HAS via ARES

³⁰ For example, application by analogy of CRL type ‘X’, no administrative or historical value etc.

³¹ If, for the destruction of files on physical media (paper, CDs, DVDs etc.), the DG requests the cooperation of OIB.RE.2 (in Brussels) or HR.DS.1.003 (in Luxembourg), please attach the relevant form, which can be found in Annexes 8 and 9 respectively, to this note.

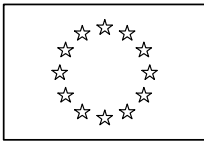
³² For instance, use of the Commission’s paper shredder, on-site destruction by OIB.RE.2 using a truck, erasure from IT system etc.

³³ See footnote 27.

Annex to the file elimination note: full list of eliminated files

File code	File title	Filing Plan heading	Lead department	Date of opening	Date of closure	File medium(s)			CRL/SRL type	ARP: administrative retention period	Post-ARP action	Classified or sensitive documents	Date of destruction	Observations
						P	E	O						
<p>For e-Domec files, this is the file code in ARES or Adonis ----- For non-e-Domec files, this may be the file code in Adonis or an entirely different one</p>	<p>Indicate the title of the file ----- -- For e-Domec files, this is the name in ARES or Adonis--- ----- For non-e-Domec files, it is the name by which the file was known</p>	<p>For e-Domec files, enter the heading under the NOMCOM Filing Plan stating its two key elements: heading code and title ----- For non-e-Domec files, this column will remain empty</p>	<p>Indicate the lead department for the file (usually the originating unit)</p>	<p>Enter the date on which the file was created</p>	<p>Enter the date on which the file was closed</p>	<p>Indicate whether the file is in paper, electronic or other (DVD, CD-Rom) format</p>	<p>Laid down in the CRL/SRL: identifies files relating to the same type of actions, issues or procedures ----- This is a compulsory metadata for e-Domec files ----- DGs may also assign non-e-Domec files a CRL/SRL type to indicate how they are to be disposed of</p>	<p>Laid down in the CRL/SRL for each file type: the period for which the DG/department is required to preserve a file ----- A compulsory metadata for e-Domec files For non-e-Domec files to which the DG has assigned a CRL file type, this will be the relevant ARP for that type</p>	<p>Laid down in the CRL/SRL for each type of file: the action to be performed by the DG after the ARP This can be only elimination or sampling/selection ----- A compulsory metadata for e-Domec files ----- For non-e-Domec files to which the DG has assigned a CRL file type, this will be the relevant post-ARP action for that type</p>	<p>Mark this column if the file contains classified or sensitive documents (with or without markings)</p>	<p>Enter the date on which the file was fully destroyed (care must be taken in the case of hybrid files)</p>	<p>Any relevant comments may be added in this column</p>		

ANNEX 7: SAMPLE ELIMINATION NOTE FOR DOCUMENTS WITHIN FILES



EUROPEAN COMMISSION
DG
Unit

Place, date
Registration No

FILE NOTE: APPLICATION OF ADMINISTRATIVE PROCEDURES FOR THE ELIMINATION OF DOCUMENTS³⁴

1. Elimination decision:

Department responsible:.....

Person responsible:

2. Documents eliminated (full list attached)

Subject/topic:.....

Period:.....

Number of documents eliminated:

Number of files concerned:

e-Domec files:

Non e-Domec files:

CRL/SRL file types (code and title):

Administrative procedures for the elimination of documents (APED) applied:

3. Physical destruction of files

Medium/media: Paper

Electronic (in IT system) Please specify.....

On physical medium (DVD, CD-Rom etc.)

Method(s) used for destruction³⁵:.....

4. Approval of destruction - DMO

<i>Name</i>	<i>Date</i>
.....

5. Destruction performed by:

<i>Department responsible</i>	<i>Person responsible</i>	<i>Date</i>
.....

Annex³⁶: List of documents eliminated or files within which documents have been eliminated
Comments:.....

³⁴ A DG may decide to provide a note for each administrative procedure for the elimination of documents (APED) applied to each file or include several files on one note.

³⁵ For instance, use of the Commission's paper shredder, on-site destruction by OIB.RE.2 using a truck, erasure from IT etc.

³⁶ If, for the destruction of files on physical media (paper, CDs, DVDs etc.), the DG requests the cooperation of OIB.RE.2 (in Brussels) or HR.DS.1.003 (in Luxembourg), please attach the relevant form, which can be found in Annexes 8 and 9 respectively, to this note.

ANNEX 8: REPORT ON THE DESTRUCTION OF DOCUMENTS AND FILES IN BRUSSELS



EUROPEAN COMMISSION
OFFICE FOR INFRASTRUCTURE AND LOGISTICS – BRUSSELS
OIB.RE.2 Technical services, buildings management
Local Building Management Unit



REPORT ON THE DESTRUCTION OF DOCUMENTS AND FILES

I – Collection and removal:

(There is a minimum wait time of one week between receipt of the request and the destruction of the documents in question.)

Issued on

Number of bags of documents designated for destruction

Physical medium of documents (paper, CDs, DVDs etc.) placed in the bags³⁷

Requesting DG or department

Name and position of responsible staff member

Who declares that he or she has not placed in the bags:

documents which are classified within the meaning of Commission Decision 3031 of 29 November 2001,

or household waste or miscellaneous waste, organic waste, food packaging, glass waste, plastic packaging or external packaging, ink cartridges, spent batteries, cooking oils and fats, medical waste, or any other waste requiring a specific form of disposal.

II – Destruction

I, the undersigned, declare that on.....I ordered the destruction of the documents contained in the..... bag(s) referred to in paragraph I.

METHOD OF DESTRUCTION:

On-site truck:

Shredder:

Other:

(Signature)³⁸

³⁷ Documents on different physical media (paper, video tapes, CDs etc.) must not be placed in the same bag.

³⁸ Approval may be given via a workflow in ARES in place of a handwritten signature.

ANNEX 9: REPORT ON THE DESTRUCTION OF DOCUMENTS AND FILES IN LUXEMBOURG



EUROPEAN COMMISSION
DG HR – Unit DS1

REPORT ON THE DESTRUCTION OF DOCUMENTS AND FILES

I - Collection and removal:

(There is a minimum wait time of one week between receipt of the request and the destruction of the documents in question.)

Issued on

Number of containers (bags, boxes etc.) of documents designated for destruction

Physical medium of documents (paper, CDs, DVDs etc.)³⁹

Requesting DG or department

Name and position of responsible official/staff member

Declares that he or she has not placed in the bags:

documents which are classified within the meaning of Commission Decision 3031 of 29 November 2001,

binders containing metal parts,

or household waste or miscellaneous waste, organic waste, food packaging, glass waste, plastic packaging or external, ink cartridges, spent batteries, cooking oils and fats, medical waste, or any other waste requiring a specific form of disposal

II – Destruction

I, the undersigned, declare that on.....I ordered the destruction of the documents contained in the..... bag(s) referred to in paragraph I.

METHOD OF DESTRUCTION:

On-site truck:

Shredder located :

Other:

(Signature)⁴⁰

³⁹ Documents on different physical media (paper, video tapes, CDs etc.) must not be placed in the same bag.

⁴⁰ Approval may be given via a workflow in ARES in place of a handwritten signature.