

Owner Document Management Specialist No. WOI/DMS/50		Version 1.0 DATE 23/07/2019
Working Instructions on Document Classification and Retention		

Working Instructions Document Classification and Retention

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Document Sign-Off¹

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¹ Delegations may apply.

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Working Instructions on Document Classification and Retention

1. Purpose and Scope

1.1 These Working Instructions explain the detailed rules for the:

- **classification** of EIOPA documents according to a hierarchy of business functions, to facilitate their identification and management over time;
- **retention** of EIOPA documents for the appropriate time, depending on their operational, legal and/or historical value; and
- **filing** of EIOPA documents to facilitate both of the above.

1.2 These working instructions relate solely to classification and retention, and not to related document management processes, which are covered by other internal governance documents:-

[Overview of Document Management Policies, Procedures & Working Instructions](#)

1.3 The provisions contained in this document supersede and replace Points 5, 6 and 8 of the Working Instructions on Files & Communication (WOI/DMO/30).

1.4 The rules contained in this document are applicable to all temporary and contract agents, seconded national experts, (sub)contractors and trainees who create or receive documents in EIOPA's document management system(s).

2. Definitions

For the purposes of this document, the following definitions shall apply:

Archives	Documents and records, regardless of form or medium, that are selected for long-term or permanent preservation due to their continuing historical or administrative value.
Archiving	Group of operations and processes needed to store and preserve documents with historical or research value for a long period of time, ensuring their integrity, authenticity, reliability and accessibility.
Authoritative document	The master version of a document which bears the characteristics of integrity and authenticity, and is preserved for its evidential or historical value. As distinct from copies or facsimiles. For electronic documents, the authoritative version is the one captured in the organisation's official filing system (in EIOPA's case, ERIS).
Business Classification Scheme (BCS)	Hierarchical and logical structure made up of a given number of interlinked headings at several levels, which allows for the intellectual organisation of EIOPA's files on the basis of its activities. Sometimes referred to as a <i>Filing Plan</i> .
Capture	Refers to the entry and integration of a document into an agreed document management system which will appropriately manage documents and support their use over time.
Classification	Operation involving identifying documents and ordering them in categories following the logical organisation, principles, methods and rules of a filing system. Not to be confused with

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	the term "classification" in the sense of assigning a security level.
Disposal	Action taken on expiry of a document's retention period; either destruction, review, or further preservation, as defined by a retention schedule.
Document	Recorded information, in whatever medium, which can be treated as a unit and is received by or created within EIOPA's systems.
Document Management System	An electronic or physical information system which captures, stores, protects, preserves and provides access to documents through time according to corporate policies and requirements. EIOPA's primary document management system is ERIS.
File	A logical accumulation of documents related to the same time-limited case, event, project or other activity. Not to be confused with the term "file" that is used in IT systems to describe an individual document.
Personal Data	Any information relating to an identified or identifiable person ('data subject') who can be identified, directly or indirectly, by reference to one or more specific factors (physical, physiological, mental, economic, cultural, social).
Record	A finalised document, which is maintained as evidence in pursuance of legal obligations or in the transaction of business. A record should be authentic, reliable and trustworthy. Once a document has been finalised as a record, it cannot be modified.
Retention period	The period of time for which a document needs to be kept based on its administrative usefulness and the statutory and legal obligations linked to it. When the retention period expires a document needs to be disposed of. (see also <i>disposal, retention schedule</i>)
Retention Schedule	A tool that identifies and describes EIOPA's documents, and provides instructions for their maintenance and disposal. The schedule ensures that documents are retained for as long as necessary based on their administrative, fiscal, legal and historical value.

3. Description

Introduction and background

3.1 Classification and retention are two vital records management concepts that allow an organisation to demonstrate intellectual control over its information assets. Specifically, this involves:

- organising and grouping documents in a consistent and logical manner, according to the business context; and
- keeping documents for the appropriate period of time, according to their operational, legal and/or historical value.

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- 3.2 These Working Instructions describe the application of classification and retention in EIOPA’s Document Management System(s), through the use of two tools: the Business Classification Scheme (hereafter “BCS”) and Retention Schedule. The instructions also explain the importance of good filing practices to support the implementation of these tools.
- 3.3 The structure of the BCS and Retention Schedule is explained in [Annex 2](#). The BCS and Retention Schedule itself can be found in [Annex 3](#).

Business Classification Scheme: purpose and scope

- 3.4 The BCS is the cornerstone of EIOPA’s document management framework. It provides a comprehensive, standardised and stable structure for intellectually organising and managing EIOPA documents over time.
- 3.5 The concept of classification infers a logical rather than physical grouping. Therefore, although documents may “belong” in the same category, it does not necessarily mean that they must be stored together. This is also relevant in the case of “hybrid files” (files which consist of both a digital and paper element).
- 3.6 The BCS applies to all authoritative business-related documents, in whatever format or medium on which they are stored. Notably, business-related emails are also included in the scope and – if containing important information or official correspondence – should be classified according to the activity they relate to, alongside other related documents.
- 3.7 Although the BCS has been principally designed for implementation in EIOPA’s primary document management system (ERIS), it should also inform the organisation of EIOPA documents held in other systems.
- 3.8 In accordance with best practice, the BCS is based on a hierarchical structure of EIOPA’s functions and activities (hence “business classification”). This ensures the highest possible level of stability, as functions are less likely to change over time than the organisational structure. It also avoids the inconsistency associated with subject-based classifications.
- 3.9 As is usual for a Business Classification Scheme, the sections relating to facilitative (supporting) functions are significantly larger than those relating to core business. This reflects the horizontal and administrative nature of supporting functions, as well as the existence of specific retention requirements (e.g. financial regulations).

Retention Schedule: purpose and scope

- 3.10 The Retention Schedule defines the period of time for which EIOPA documents and files must be kept to meet administrative, operational and legal requirements. It also defines the action that should be applied to the files on expiry of this period (known as “disposal”).
- 3.11 The Retention Schedule supports EIOPA’s accountability, by demonstrating that retention periods are assigned rationally and consistently.
- 3.12 It also serves as evidence of EIOPA’s compliance with specific legislation, including, but not limited to:

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- Personal Data Protection² (documents containing personal data are retained for no longer than required, in accordance with EDPS guidelines and the retention periods specified in the recordings of personal data processing);
- the Archives Regulation³ (documents with potential archival value are identified and preserved, forming EIOPA’s institutional memory); and
- the Financial Regulation⁴ (supporting financial documents are retained for the statutory term).

3.13 Additionally, the Retention Schedule supports the administrative efficiency of EIOPA, by facilitating the prompt disposal of files as soon as their administrative usefulness has expired. The risks associated with retaining information – as well as data storage costs – are reduced by ensuring that documents are not kept longer than necessary.

Retention periods

3.14 The BCS and Retention Schedule consists of a hierarchical structure of three levels. Retention periods are only defined at the *third* level. It is not possible to classify documents or assign retention periods at the first or second levels. For example:

- Level 1 02 STRATEGY AND INTERNAL COORDINATION
- Level 2 02.01 Strategic planning and programming
- > Level 3 02.01.01 Strategy development**

3.15 The calculation of retention periods has taken a number of factors into consideration, including:

- Legal and regulatory requirements for retaining certain categories of document;
- The potential inclusion of personal data in the documents. The option of redacting, anonymising or pseudonymising personal data may be considered when they are included in documents that are not deemed to have archival value, and where the personal data is no longer required for operational purposes;
- Recommended retention periods defined in the Commission’s Common Retention List;
- Guidelines issued to the Agencies by the Historical Archives of the European Union, defining the categories of file that should be preserved permanently as archives (and made available to the public after 30 years).


The retention period for each category of file is defined in the Retention Schedule ([Annex 3](#)). The high-level selection criteria for archival preservation is defined in [Annex 1](#).

3.16 Retention periods should be applied, as far as technically possible, to all EIOPA information and documents, in whichever system(s) they may be stored. It is however

² OJ L 8, 12.1.2001, p.1.

³ OJ L 43, 15.2.1983, p.1; OJ L 243, 27.09.2003, p.1; OJ L 79, 25.3.2015, p.1.

⁴ OJ L 298, 26.10.2012, p.1.

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assumed that the authoritative version of electronic documents are stored in ERIS, where the appropriate retention period is automatically assigned within the system (see 3.35).

- 3.17 Authoritative documents must be retained for the entire duration of the specified retention period, and must not be destroyed sooner unless there is a clear business justification (see 3.21).
- 3.18 *Copies* (e.g. “convenience copies” kept by individual staff members) may be destroyed before the end of the assigned retention period, and in any case should not be retained any longer than the authoritative version of the document.
- 3.19 The Retention Schedule does not cover back-ups; nevertheless, to avoid non-compliance with retention periods, it is essential that back-ups are not retained longer than the periods specified in the Retention Schedule. Moreover, as back-ups exist for immediate recovery purposes (restoring data to the latest version), and not for long-term retention of business information, the retention period for back-ups should be a matter of months rather than years.
- 3.20 In the case of an ongoing audit or legal action, files may be retained for longer than the specified retention period, e.g. until two years after completion of all relevant proceedings. In such cases, a *hold* shall be placed on the file which shall ‘pause’ the retention schedule. When the file is no longer required, the hold shall be released, and the disposal action may be executed as normal.

Administrative deletions

- 3.21 In certain circumstances, it may be necessary to delete a document in ERIS *before* the end of its retention period has been reached. The circumstances in which this may be considered are:
- the document is a duplicate, with the authoritative version stored elsewhere in ERIS;
 - the document was uploaded in error, or to the wrong location; or
 - the document has no business or contextual value;
 - the document includes personal data of which erasure has been requested by the data subject⁵.
- 3.22 In such circumstances, a staff member can request a deletion using the normal support ticket process in ERIS. If no objections are foreseen, the Document Management Specialist will action the request in the system. Eiopa’s Data Protection Officer (hereafter “DPO”) will be involved in case the deletion involves personal data.
- 3.23 The reason for the deletion and the staff member requesting it will be recorded in the system. These details – together with a subset of the document’s metadata – will continue to be retained in the system indefinitely, for accountability purposes (see 3.31).

⁵ Deletion of the entire document may be considered in case a) the personal data is no longer necessary in relation to the purposes for which they were collected; and b) redaction, anonymisation or pseudonymisation of the personal data is not feasible. This shall be assessed on a case-by-case basis.

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Disposal actions

3.24 Disposal actions shall be applied on 1st January following the expiry of the retention period. This shall be a yearly exercise.

3.25 Possible disposal actions are:

Destruction	The files are destroyed
Review	The files are reviewed to determine if they should be destroyed or preserved as archives
Permanent Preservation	The files are retained permanently within EIOPA
Transfer to Historical Archives	The files are transferred to the Historical Archives of the European Union (HAEU) once they are 30 years old, and made available to the public ⁶
Selection	A sample or selection of files is chosen for archival preservation, while the remainder are destroyed

The disposal action for each file category is defined in the Retention Schedule ([Annex 3](#)). The Retention Schedule shall always be referred to before implementing any disposal actions.

3.26 The implementation of disposal actions shall be initiated by the Document Management Specialist, using the RecordPoint disposal workflow in ERIS. The workflow involves a request for approval from the relevant Head of Unit and/or Head of Department (hereafter "Approver"), prior to implementing any disposal actions.

3.27 Each Approver shall be emailed a link to a list of files that are due for disposal. Details about each file⁷ can be viewed and accessed from the list.

3.28 Each Approver must respond to the workflow by Approving or Rejecting each file in the list. If Approved, the relevant disposal action will be applied according to the Retention Schedule. If Rejected, a reason must be provided.

3.29 Any Rejected items will be reviewed for further action. This could involve **reclassifying** or **resentencing** the items (if a particular file should be retained for a longer period). The DPO may be consulted in such cases. Details of the decision will be recorded in the file metadata, in all cases.

3.30 The decision to consult other staff members in the disposal review process is at the discretion of the Approver; depending on whether additional contextual knowledge about the files is needed to make a final decision.

3.31 Following the destruction of an electronic document, the system will retain a subset of its metadata, as well as details of the disposal action itself. Such details shall include:

⁶ In the case of digital archives, EIOPA shall provide the HAEU with permanent access to the documents in such a way as to allow the HAEU to fulfil its obligation to make the historical archives accessible to the public.

⁷ Details shall include: file title, Record Number, name of ERIS site and document library, the disposal action and due date, and a URL to the file location in ERIS.

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- The classification applied to the document;
- The type and date of the disposal action applied;
- The name of the user that approved the disposal action;
- The name of the user that implemented the disposal action;
- Any additional notes or comments relating to the disposal.

These details can be used to support EIOPA’s accountability. They prove that a specific document did exist and was disposed of on a certain date according to a standard, auditable procedure.

- 3.32 Once an electronic document has been destroyed via the disposal process, it can no longer be opened or accessed from anywhere in ERIS. Only a subset of its metadata shall remain. This is by design; if the Retention Schedule specifies that a document should be destroyed at the end of its retention period, then it should not be possible to consult that document beyond the specified period.
- 3.33 For non-electronic files, the disposal process shall follow the same approval workflow as described above. However, the actual implementation of disposal actions must obviously take place outside of ERIS. The destruction of non-electronic files must comply with the methods described in the Rules on Handling EIOPA Information and Documents⁸.

Application of classification and retention in ERIS

- 3.34 The BCS and Retention Schedule are already implemented in the back engine of ERIS (RecordPoint). Whenever a document is created or uploaded in ERIS, it is automatically assigned the appropriate classification and retention period according to rules configured in RecordPoint. In other words, the structure of ERIS is “mapped” to the BCS, and the retention period assigned to a document depends on where it is captured in the system; and in some cases, the metadata applied to it.
- 3.35 It is therefore not necessary for staff members to manually classify documents against the Business Classification Scheme; only to capture and file documents appropriately in ERIS, according to the function, project or activity they relate to.
- 3.36 Nevertheless, if a document is found to be unclassified or incorrectly classified, the Document Management Specialist should be made aware, so that corrective action can be taken.
- 3.37 The Document Management Specialist may also conduct regular or ad-hoc monitoring of classifications and retention periods, to ensure they are correctly applied in the system.
- 3.38 Documents can be manually reclassified (individually or in bulk) to correct any errors, or in cases any changes are made to the Retention Schedule (see 3.57-3.61).

Filing: purpose and benefits

- 3.39 To facilitate the application of classifications and retention periods, EIOPA documents must be kept in *files*.

⁸ WOI/LSO/36, p.15.

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3.40 A file is a time-limited aggregation of documents, relating to a specific project, case or activity. A file is not a collection of unrelated documents.

3.41 There are two main types of file:

Action Files	A file created for a unique, specific case which is inherently time-limited in nature (i.e. has a clearly identifiable beginning and end). Examples: projects, audits, meetings, events, incidents
Serial Files	A file created for recurring activities, generally with an annual or multi-annual duration, e.g.: <div style="text-align: center;"> Budget Planning 2018 Budget Planning 2019 Budget Planning 2020 </div> This facilitates a regular and efficient application of disposal actions for repetitive activities.

3.42 In ERIS, "file" generally refers to the **top-level folder** within a document library⁹. A file may be identified by its Record Number, in the format ERIS.FXXXXXXXXXX¹⁰.

3.43 Before creating a new file, it should be ensured that there is no pre-existing file for the case, project or activity in question. Files should not be created unnecessarily.

3.44 Efforts should be made to ensure that there is only one file created for each case, project or activity. For cross-functional activities, an authoritative filing location must be agreed among the relevant staff members, into which all relevant documents must be filed. The Document Management Specialist may be consulted for advice in this regard.

3.45 The scope of a file should not be generic or open ended. Instead, a file should be finite, reflecting a specific case, activity or project from beginning to end, and allowing the progress of the action to be traced. The timespan of a file should not exceed five years.

3.46 A file may be made up of several sub-files (sub-folders), to further organise documents relating to the same case. All the sub-files together make up a single file.

3.47 There is no limit to the number of sub-files that may be contained within a file. A file should not, however, contain sub-sub-files (sub-sub-folders) if it can be avoided.

3.48 A file is considered "closed" when all actions relating to the project/initiative/case have been completed, and no further document has to be created or modified within the file. Retention periods start to be calculated from the moment of file closure. In most cases, this calculation is done automatically in the system, using the *latest* "Created" or "Modified" date field for the documents contained within the file.

⁹ The only exception to this are Project Sites in the Projects site collection (<https://intranet/eris/projects>), whereby each subsite is treated as a "File".

¹⁰ Original file numbers were in the format ERIS-FXXXXXXXXXX; changed for technical reasons.

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- 3.49 Disposal actions shall – in most cases – be applied at the file-level, rather than on a document-by-document basis¹¹. This approach is not only more efficient; but also ensures that contextual links between related documents are maintained for the entire duration of the applicable retention period.
- 3.50 As well as facilitating the disposal process, good filing practices improve targeted searching and the overall quality and continuity of administration. Regular monitoring of filing practices shall be undertaken by the Document Management Specialist, as part of the governance framework of ERIS. Feedback and recommendations to improve filing practices will be fed back to each department, unit and team.

File titles

- 3.51 File titles should be clear, meaningful and unique. Although titles should be concise, they must also be sufficiently informative to reflect the action in question, and give an indication of the time period involved, for example:

Document Management Strategy 2017-2020 – not just “DM Strategy”
Financial Stability Report 2018 – not just “FSR 2018”
Relations with European Commission 2015-2018 – not just “COM Docs”
Budget Planning 2018 – not just “2018”
Never “Miscellaneous”, “Old” or “General”

- 3.52 Files relating to similar activities (particularly serial files) should be named consistently.
- 3.53 Abbreviations, acronyms and jargon should be avoided in file titles as much as possible; in accordance with the Working Instructions on Naming Conventions for EIOPA Documents (WOI/DMS/45).
- 3.54 Good file naming practices will assist the disposal process; as Approvers can make decisions more easily and efficiently made if the scope of each file is clear from its title.

Application and review of Working Instructions

- 3.55 These Working Instructions shall enter into force on 19 August 2019.
- 3.56 The BCS and Retention Schedule shall be reviewed on an annual basis by the Document Management Specialist, in consultation with all EIOPA units and teams – as well as the DPO – to establish whether any alterations are needed.

Change management and approval process

- 3.57 The BCS is dependent on the mission of EIOPA in general. Therefore, although it is intended to remain stable over time, the BCS may be adapted if fundamental changes or reorganisations define a new mission or the attribution of new functions to EIOPA.

¹¹ Notable exceptions to this rule include documents relating to non-selected candidates (recruitment campaigns) or non-selected tenders (procurement procedures), which must be destroyed sooner than the file itself. In these cases, disposal will be applied at the document-level for those documents that are assigned a shorter retention period.

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- 3.58 The BCS and Retention Schedule are important governance tools, and any changes could have significant implications for EIOPA's accountability. Therefore, any alterations must be recorded and trackable over time.
- 3.59 Proposed changes to BCS categories or retention periods may be requested by staff members on an ad-hoc basis, when a need is identified. Such requests must be submitted in writing to the Document Management Specialist by the relevant Head of Department, explaining the business justification for the change. The corporate impact shall be assessed by the Document Management Specialist, in consultation with potentially-affected units/teams – and the DPO, if relevant – before any changes are approved and implemented.
- 3.60 In case of a lack of consensus between affected units/teams, the decision on whether to implement the change shall be escalated to Senior Management.
- 3.61 A log of all requested and approved changes to the BCS and Retention Schedule shall be maintained by the Document Management Specialist and shall itself be retained permanently¹².

4. Roles and Responsibilities

- 4.1 It is the responsibility of **all staff members** (temporary and contract agents, seconded national experts, trainees and - where relevant - contractors) to capture and file documents appropriately in ERIS), to support effective classification and retention as described in these Working Instructions.
- 4.2 The **Document Management Specialist** is the owner of the present document, having the responsibility of monitoring compliance with the provisions contained therein. The Document Management Specialist is also responsible for maintaining the BCS and Retention Schedule, initiating and implementing disposal actions, and offering advice and support on document filing and retention to all EIOPA staff members.
- 4.3 **Heads of Department** and **Heads of Unit** are responsible for the timely review and approval of disposal actions during the annual disposal exercise, in line with the deadlines communicated. HoDs and HoUs are also responsible for ensuring that the provisions of these Working Instructions are properly applied and used by the staff under their coordination.
- 4.4 The **Data Protection Officer (DPO)** is responsible for providing advice and recommendations on personal data retention issues.

5. Personal data protection

Any processing of personal data necessary in the process of document classification and disposal shall be performed in accordance with Regulation (EU) 2018/1725 of the European Parliament and of the Council of 23 October 2018.

¹² The log shall include: name and business unit of the requestor, details of proposed change, business justification reason, whether the change was accepted, and date of implementation.

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6. References

Legal and Regulatory Framework and International Standards

- Council Regulation (EC, Euratom) No 354/83 on the opening to the public of the historical archives of the European Economic Community and the European Atomic Energy Community, as amended by Council Regulation 1700/2003 and Council Regulation (EU) 2015/496 of 17 March 2015
- Regulation (EU) 2018/1725 of the European Parliament and of the Council of 23 October 2018 on the protection of natural persons with regard to the processing of personal data by the Union institutions, bodies, offices and agencies and on the free movement of such data, and repealing Regulation (EC) No 45/2001 and Decision No 1247/2002/EC
- 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
- European Ombudsman, The European Code of Good Administrative Behaviour, Publications Office of the European Union, 2015
- Collected Decisions and Implementing Rules – Document Management in the European Commission
- SEC(2012)713 - Common Commission-Level Retention List (CRL) for European Commission Files – First Revision
- ISO 15489-1:2016, Information and Documentation-Records Management

Related EIOPA Decisions, Policies and Internal Procedures

- EIOPA Document Management Policy (POL/DMO/40)
- Working Instructions on Naming Conventions for EIOPA Documents (WOI/DMS/45)
- EIOPA-MB-11/050 Decision of the Management Board on implementing rules relating to Regulation (EC) No 45/2001 of the European Parliament and of the Council on the protection of individuals with regard to the processing of personal data by the community institutions and bodies and on the free movement of such data (as amended)
- Decision of the Management Board on EIOPA Code of Good Administrative Behaviour (EIOPA-MB-11/043)
- EIOPA Financial Regulation and Financial Implementing Rules (EIOPA-14/469)

Annex 1 – High-level selection criteria for archival preservation

The archives of EIOPA shall consist of authoritative documents which provide evidence of the decision-making processes, functions, development and history of the Authority. Files may be selected for permanent archival preservation if they:

- a. Relate to the **foundation, organisation and functioning** of EIOPA or its predecessors;
- b. Fully document the activities and decisions of EIOPA's **decision-making bodies**;
- c. Fully document the **core functions and projects** of EIOPA;
- d. Contribute significantly to the knowledge and understanding of the **environment** in which EIOPA operates; or
- e. Contribute significantly to the understanding of the **corporate culture** of EIOPA.

In line with the guidelines issued by the Historical Archives of the European Union, the following records should be kept as archives:

- Records documenting the origins of EIOPA, its legal status, rights and entitlements
- Records providing evidence of the organisation and structure of EIOPA
- Regulations and procedures governing EIOPA together with policies, decisions and actions
- Meetings of the decision-making bodies (Board of Supervisors and Management Board) as well as working groups and committees
- Steering Committee terms of reference and final reports/outcomes
- Records documenting the work of EIOPA Senior Management, including significant speeches, official visits and reception of official visitors
- Evidence of the work programme of EIOPA, as well as strategic aims and objectives (including changes and amendments over time)
- Project records including representative project plans, progress reports and other evidence of significant project outcomes, as well as key background documentation such as minutes and research
- Significant correspondence series, particularly those managed by the Office of Senior Management (including copy of correspondence sent and originals of correspondence received from other parties)
- Records documenting relationships with other Agencies and EU institutions (Commission, Parliament, Council etc.)
- Records documenting agreements/interactions with non-EU and international organisations
- Records of predecessor bodies (i.e. CEIOPS)
- Significant publications of EIOPA, including the website (according to agreed snapshot procedures)

Annex 2 – Structure of the Business Classification Scheme / Retention Schedule

The Business Classification Scheme (BCS) and Retention Schedule consists of six columns, which contain the following information:

Classification Code	Code designated to each category of file for identification and classification purposes. Note that retention periods are only assigned at the third level (e.g. 01.01.01).
Category/ Description	Indicates the title of each category and a description of its scope.
Closure Criteria	Defines the event or time which triggers the closure of the file, and the start of the retention period. As event-based triggers require a manual input, time-based triggers have been used as much as possible in ERIS. Time-based triggers are applied automatically using the existing "Created" or "Modified" properties of the documents to determine when the file can be considered closed.
Retention Period	Defines the period of time for which files in each category must be retained, to meet administrative/business requirements or legal obligations. Files must not be destroyed before the end of the retention period.
Disposal Action	<p>Defines the action to be taken at the end of the retention period. Options include:</p> <p>D = destruction, the files are destroyed</p> <p>REV = the files are reviewed to decide whether to destroy them or preserve as archives</p> <p>PP = permanent preservation within EIOPA</p> <p>THAEU = the files are transferred to the Historical Archives of the European Union (HAEU) in Florence, 30 years after the date of creation, and made available to the public.</p> <p>SEL + THAEU/PP = a sample or selection of files is chosen for permanent preservation as archives, the remainder is destroyed</p>
Comments	Defines any justifications for the retention period (such as legal requirements) and any additional instructions (such as selection criteria). Where relevant, the corresponding series of the Commission's Common Retention List (CRL) is also specified.

Annex 3 – EIOPA Business Classification Scheme (BCS) and Retention Schedule

Classification Code	Category/Description	Closure Criteria	Retention Period (Years)	Disposal Action	Comments
01	CORPORATE GOVERNANCE				
01.01	Governance framework				
01.01.01	EIOPA legal framework and working structure Definition of the tasks and powers of EIOPA as laid down in the Founding Regulation, including its decision-making bodies (Board of Supervisors and Management Board). Includes the high-level coordination of working groups, steering committees etc.	Calendar year	5	THAEU	CRL 1.4
01.01.02	Agreements, memoranda of understanding and protocol Non-financial agreements and Memoranda of Understanding (MOUs) between EIOPA and other bodies. Excludes IT Service Level Agreements.	Calendar year	5	THAEU	CRL 2.4.1/12.12.3
01.02	Internal governance				
01.02.01	Organisational chart Maintenance of organisational charts (organigram) and records related to internal reorganisations.	Calendar year	10	THAEU	CRL 12.3.6
01.02.02	Internal decisions Decisions approved by the Executive Director affecting the internal organisation, such as appointment of posts and decisions on working hours.	Calendar year	5	THAEU	
01.02.03	Policies and procedures Development and update of internal policies, implementing rules, procedures and working instructions. Includes the monitoring of existing internal governance documents in force.	Calendar year	5	SEL + THAEU	CRL 12.12.2 Select final, approved policies for transfer to HAEU
01.02.04	Business process management Identification and mapping of internal business processes, including detailed process flowcharts and gap analysis.	Calendar year	5	D*	*Destroy if superseded/obsolete
01.03	Board of Supervisors				
01.03.01	Organisational issues General coordination and organisation of the Board of Supervisors, including maintenance of member lists and voting authorities.	Calendar year	5	D	Personal data in contact lists to be kept up-to-date
01.03.02	Meetings Preparation, conduct and follow-up of meetings, including agendas and minutes, deliberations and conclusions.	Calendar year	5	THAEU	
01.03.03	Written procedures Proposals submitted in writing to the Board of Supervisors, which are deemed to be approved if no Member makes any comments or expresses any reservations within the time limit.	Calendar year	2	THAEU	CRL 3.2.2

01.03.04	Decisions Decisions approved by the Board of Supervisors.	Calendar year	5	THAEU	
01.03.05	Correspondence General correspondence between EIOPA and members and observers of the Board of Supervisors, including calls for interest.	Calendar year	10	D	
01.04	Management Board				
01.04.01	Organisational issues General coordination and organisation of the Management Board, including maintenance of member lists and alternates.	Calendar year	5	D	Personal data in contact lists to be kept up-to-date
01.04.02	Meetings Preparation, conduct and follow-up of meetings, including agendas and minutes, conclusions and action points.	Calendar year	5	THAEU	
01.04.03	Written procedures Proposals submitted in writing to the Management Board, which are deemed to be approved if no Member makes any comments or expresses any reservations within the time limit.	Calendar year	2	THAEU	CRL 3.2.2
01.04.04	Decisions Decisions approved by the Management Board.	Calendar year	5	THAEU	
01.04.05	Correspondence General correspondence between EIOPA and members and observers of the Management Board, including calls for interest.	Calendar year	10	D	
01.05	Working Groups				
01.05.01	Organisational issues Administrative files regarding the coordination of Working Groups, including correspondence with members, planning and preparatory work.	Calendar year	5	D	
01.05.02	Establishment and mandate Records relating to the establishment of Working Groups, including mandates and appointment of members.	Calendar year	5	THAEU	CRL 2.7.2
01.05.03	Meetings Preparation, conduct and follow-up of Working Group meetings, including agendas and registration forms, minutes, conclusions and action points.	Calendar year	5	THAEU	CRL 2.7.2
01.05.04	Subgroups Files relating to Working Groups subgroups, including meeting files.	Calendar year	5	SEL + THAEU	Select for archival value
01.06	Steering Committees				
01.06.01	Organisational issues Administrative files regarding the coordination of Steering Committees, including correspondence with members, planning and preparatory work.	Calendar year	5	D	

01.06.02	Establishment and mandate Records relating to the establishment of Steering Committees, including mandates and appointment of members.	Calendar year	5	THAEU	CRL 2.7.2
01.06.03	Meetings Preparation, conduct and follow-up of meetings, including agendas and registration forms, minutes, conclusions and action points.	Calendar year	5	THAEU	CRL 2.7.2
01.06.04	Project Groups Project Group coordination, meeting files and project progress reports.	Calendar year	5	SEL + THAEU	Select for archival value
01.07	Expert Networks				
01.07.01	Meetings and coordination Files relating to expert networks, including organisational issues, meeting files and correspondence between participants.	Calendar year	5	REV	CRL 2.8.1
02	STRATEGY AND INTERNAL COORDINATION				
02.01	Strategic planning and programming				
02.01.01	Strategy development Definition of annual and multi-annual strategies at both corporate- and function-level.	Calendar year	5	THAEU	CRL 2.1.1
02.01.02	Single Programming Document (SPD) development Development of annual and multi-annual activity and establishment plans at corporate level, including submissions from units and teams and any relevant meeting records.	Calendar year	5	THAEU	CRL 2.1.5
02.02	Corporate change and knowledge management				
02.02.01	Corporate change and project management framework Coordination of all major change initiatives on a corporate level. Also covers the development of a project management framework for EIOPA project managers.	Calendar year	5	D*	*Destroy if superseded/obsolete
02.02.02	Operational project management Core business project files, including all documentation associated with the preparatory and implementation phases. For system implementation projects see IT project management.	Calendar year	10	SEL + THAEU	CRL 7.3 Select for archival value
02.02.03	Administrative project management Administrative project files, including all documentation associated with the preparatory and implementation phases. For system implementation projects see IT project management.	Calendar year	10	D	
02.02.04	Internal knowledge sharing Records of essential organisational and operational knowledge, including presentations, lessons learned and knowledge transfer interviews.	Calendar year	5	PP	Retain permanently as internal knowledge base

02.03	Performance measurement and reporting				
02.03.01	Annual Activity Report (AAR) development Preparation of annual reports on the Authority's performance and achievements against objectives.	Calendar year	5	THAEU	CRL 2.1.6
02.03.02	Other corporate monitoring and reporting Other regular or ad-hoc reporting exercises conducted at corporate level.	Calendar year	5	SEL + THAEU	Select for archival value
02.04	Internal coordination				
02.04.01	Management meetings Preparation, conduct and follow-up of meetings, including agendas and minutes. Includes Senior Management Meetings (SMM).	Calendar year	10	D	CRL 2.3.3A/12.12.1
02.04.02	Operational and team meetings Preparation, conduct and follow-up of meetings at department, unit and team level, including agendas and minutes. Also covers internal cross-functional meetings.	Calendar year	5	D	CRL 12.12.5
02.04.03	Internal committees and inter-departmental groups Files relating to internal committees and inter-departmental groups, set up to coordinate EIOPA activities on a specific topic.	Calendar year	5	SEL + THAEU	CRL 2.3.4 Select for archival value
02.04.04	Internal briefings and coordination Preparation of management briefings, meeting submissions and any other internal coordination activities not otherwise accounted for.	Calendar year	5	D	CRL 12.12.1B
02.05	Ethics and organisational values				
02.05.01	Anti-fraud and ethics framework Development, review and update of the Authority's key ethical values. Also covers the anti-fraud strategy.	Calendar year	5	THAEU	
02.05.02	Whistleblowing and anti-fraud cases Records relating to the receipt of whistleblowing reports, and subsequent investigation of anti-fraud cases.	Calendar year	1	REV*	CRL 9.6.4/9.6.5/9.6.6 *Files which do not lead to the opening of an inquiry will be kept for 1 year. Files relating to cases brought before the EU/national courts will be kept for up to 2 years following conclusion of proceedings
02.05.03	Staff declarations of interests Records of declarations of actual or potential conflicts of interests made by EIOPA staff members, as well as EIOPA's Chairperson and Executive Director. Includes any related correspondence.	End of employment/ termination of mandate	7	D	Retain for 5 years following discharge of the budget for the last financial year of employment with EIOPA
02.05.04	Non-staff declarations of interests Records of declarations (e.g. confidentiality undertakings) made by Board members, trainees, contractors and their representatives, and other parties involved in EIOPA activities. Includes any related correspondence.	End of involvement in EIOPA activities	7	D	Retain for 5 years following discharge of the budget for the last financial year of involvement in EIOPA activities

02.06	Security and operational risk management				
02.06.01	Corporate risk management Identification and assessments of potential risks and issues which could adversely affect EIOPA activities.	Calendar year	7	D	
02.06.02	Security policy implementation Activities to support the implementation of security policies and standards throughout EIOPA, including implementation plans and the provision of security-related advice to staff.	Calendar year	7	D	CRL 12.4.2
02.06.03	Security incidents Records of security incidents involving EIOPA's premises, staff, information or systems.	Calendar year	10	D	CRL 12.4bis.4
02.06.04	Business continuity planning Formulation of strategy to ensure the continued functioning of EIOPA in the case of a major disaster or disturbance. Includes identification of business critical processes.	Calendar year	5	PP	CRL 2.3.2
02.07	Quality management				
02.07.01	Quality Control Committee (QCC) meetings and coordination Files relating to the QCC, including organisational issues, planning, meeting files, correspondence and the definition of yearly mandates and objectives.	Calendar year	6	SEL + THAEU	Select for archival value. Retain meeting files and significant reports; destroy routine administrative files
02.07.02	Quality reviews and assessments Conduction of internal reviews on the quality of EIOPA's internal processes.	Calendar year	6	D	
02.08	Internal control system				
02.08.01	Definition and implementation of Internal Control Standards Records relating to the standards for EIOPA's administrative procedures and their application.	Calendar year	7	D*	CRL 12.10.1 *Destroy if superseded/obsolete
02.08.02	Management of exceptions and non-compliance events Approval and registration of exceptions and non-compliance events, including notification forms.	Calendar year	7	D	
02.09	Audit and evaluation				
02.09.01	Internal Audit Service (IAS) Results of on-site audits conducted by the Internal Audit Service (IAS) of the Commission, including draft and final reports and recommendations, EIOPA's comments, and exchanges of related correspondence.	Calendar year	7	D	CRL 12.9.2
02.09.02	European Court of Auditors (ECA) Audits conducted by the European Court of Auditors (ECA), including audit reports and recommendations, EIOPA's comments, and exchanges of related correspondence.	Calendar year	7	D	CRL 2.4.10

02.09.03	External auditors Audits conducted by external auditors relating to EIOPA's annual accounts, including audit reports and recommendations, and exchanges of related correspondence.	Calendar year	7	D	
02.09.04	European Parliament discharge Audits conducted by the European Parliament relating to the discharge of accounts, including audit reports and recommendations, and exchanges of related correspondence.	Calendar year	7	D	
02.09.05	Ex-post verification of financial transactions Annual ex-post verification of EIOPA's financial transactions, including exchanges of related correspondence.	Calendar year	7	D	CRL 4.9
02.09.06	Audit follow-up status and reporting Overview of the implementation of audit recommendations, including action plans and status reports.	Calendar year	10	D	
03	LEGAL SERVICES AND COMPLIANCE				
03.01	Legal advice and services				
03.01.01	Advice on legal and ethical matters Preparation of written explanations outlining the legal principles and rationale affecting EIOPA activities. May include advice on potential conflicts of interest, whistleblowing and other ethical concerns.	Calendar year	10	D	
03.02	Litigation, complaints and mediation				
03.02.01	Litigation Initiation or response to legal actions presented at European Union Courts and national (German) courts. Documents may include legal memos, correspondence, affidavits, court orders, and decisions.	Calendar year	5	PP	CRL 11.1/11.3
03.02.02	Mediation Settlement of disagreements between NCAs in cross-border situations, by binding or non-binding mediation, and monitoring compliance of the NCAs. Includes Mediation Panel meeting documents and correspondence files.	Calendar year	5	THAEU	
03.02.03	Breach of Union Law (BUL) Handling of requests to investigate potential breaches committed by NCAs or non-application of Union Law.	Calendar year	5	PP	CRL 10.5
03.02.04	External complaints Documents and correspondence relating to complaints, including those received by the European Ombudsman and the EDPS. Complaints may relate to EIOPA or to NCAs.	Calendar year	10	D	CRL 9.6.4/9.6.8/10.5.1
03.02.05	Staff complaints Documents and correspondence relating to complaints made by staff. Includes complaints made under art. 90(2) of the Staff Regulations.	Calendar year	5	PP	CRL 12.3.11

03.03	Data protection				
03.03.01	Monitoring of personal data processing operations Identification of EIOPA activities involving the processing of personal data. Includes notifications and registers of processing operations.	Calendar year	5	PP	CRL 12.8.5
03.03.02	Advice and communication on data protection Preparation of formal or informal advice on data protection issues. Also includes the written liaison with the European Data Protection Supervisor (EDPS).	Calendar year	10	D	CRL 2.4.15
03.03.03	Data privacy incidents Investigation of incidents that involve the breach of personal data privacy.	Calendar year	5	D	
03.04	Intellectual property rights (IPR)				
03.04.01	Management of EIOPA's intellectual property rights Management of all intellectual property rights belonging to EIOPA such as patents, copyright, trademark rights, image rights. Includes acquisition of copyright, as well as authorisations granted to third parties to reproduce, translate and re-publish EIOPA publications.	Calendar year	10	PP	CRL 9.5.2
03.05	Public access to documents				
03.05.01	Initial applications Individual requests for access to documents held or received by EIOPA. Includes supporting documentation and team contributions.	Calendar year	5	D	CRL 9.6.1A
03.05.02	Confirmatory applications Appeals for administrative reviews following refusals for access to documents, and the final decisions taken by the Executive Director.	Calendar year	5	THAEU	CRL 9.6.1B
04	FINANCIAL RESOURCE MANAGEMENT				
04.01	Financial management framework				
04.01.01	Financial governance, reporting and statistics Definition and implementation of financial guidelines and legislation, including the EIOPA Financial Regulation. Also includes the coordination of financial circuits within EIOPA.	Calendar year	10	SEL + THAEU	CRL 4.4 Select for archival value
04.01.02	Policy implementation and supporting activities Activities to support the implementation of finance-related policies, procedures and regulations that are not otherwise accounted for.	Calendar year	7	D	
04.02	Budget implementation and management				
04.02.01	Budget planning, monitoring and execution Involves the budget forecast (draft estimate of revenues and expenditures), as well as approval of the detailed budget. Also covers budget transfers, and regular reporting on budget execution.	Calendar year	7	D	Retain for 5 years following discharge of the budget for the financial year concerned

04.02.02	Day-to-day budget management Planning and monitoring budgetary expenditure at department, unit and team level.	Calendar year	5	D	
04.03	Expenses and payments				
04.03.01	Expense reimbursements Requests and supportive evidence for the reimbursement of expenses: staff small expenses, mission expenses, interview candidate expenses, and external expert and stakeholder expenses.	Calendar year	7	D	Retain for 5 years following discharge of the budget for the financial year concerned
04.03.02	Invoices and other payments Records relating to invoices and other payments requested and paid by EIOPA.	Calendar year	10	D	Retain for 10 years following payment of the invoice
04.04	Accounting and treasury				
04.04.01	Accounting framework Development and update of guidelines, rules and manuals relating to internal accounting processes.	Calendar year	7	SEL + PP	Retain essential accounting procedure files
04.04.02	Revenue management Processing of recovery orders, debit notes regarding funding from Member States and the EC and other recovery operations. Includes recovery order validation and authorisation, reminders and receipts.	Calendar year	7	D	Retain for 5 years following discharge of the budget for the financial year concerned
04.04.03	Bank accounts Records related to opening and maintaining national and international bank accounts in EIOPA's name.	Calendar year	7	D	Retain for 5 years following discharge of the budget for the financial year concerned
04.04.04	Bank statements Bank account statements (including records of bank transfers) for accounts held by EIOPA.	Calendar year	12	D	Retain for 10 years following discharge of the budget for the financial year concerned
04.04.05	Taxation issues Correspondence with German authorities and other records relating to VAT exemptions and reimbursements, including VAT exemption certificates.	Calendar year	12	D	Retain for 10 years following discharge of the budget for the financial year concerned
04.04.06	Year-end closure Consolidation and closure of EIOPA's annual accounts at the end of each financial year. Includes the preparation of the provisional and final annual accounts.	Calendar year	7	D	Retain for 5 years following discharge of the budget for the financial year concerned
04.05	Payroll				
04.05.01	Staff and SNEs monthly payroll Calculation of salary payments, including reports, supporting documentation and relevant liaison with the PMO office.	Calendar year	10	D	
04.06	Missions				
04.06.01	Missions process management and support Coordination of logistical arrangements for missions, including travel orders and any supporting documentation. Also covers relations with travel agencies, insurers and other suppliers.	Calendar year	7	D	

04.06.02	Senior Management travel bookings Records relating to travel bookings of the EIOPA Chairperson and Executive Director.	End of Chair/ED term	7	D	
04.07	Procurement				
04.07.01	Procurement planning Identification of annual procurement needs and approval of plans from Senior Management.	Calendar year	5	D	
04.07.02	Procurement procedure and contract award Includes the approval for launch of the procurement procedure, and all tender documents (including evaluation) up until the award decision.	End of procedure	10	D	CRL 12.6.1B Procurement procedure file to be closed immediately after the contract is signed
04.07.03	Unsuccessful bids Documents related to unsuccessful or rejected bids for tendering procedures.	End of procedure	5	D	CRL 12.6.1B
04.08	Contract management				
04.08.01	EIOPA contract management File starts with the signed contract and continues up to the last payment by EIOPA. Includes all documentation related to the day-to-day implementation and administration of a contract.	End of contract and final payment by EIOPA	10	D	CRL 12.6.1C
04.08.02	Participation in Inter-Institutional Framework Contracts File starts with the call for interest and signed MOU, followed by a copy of the signed contract (when EIOPA is not the leading institution), any amendments to the contract and supporting documentation.	End of contract and final payment by EIOPA	10	D	
04.08.03	Insurance policy management Records related to the maintenance of insurance policies in EIOPA's name.	Expiry of policy	10	D	
04.08.04	Procurement and contract monitoring Overview of current and past tenders and contracts, including consumption monitoring. Includes Contract Database records.	Calendar year	10	D	
05	HUMAN RESOURCE MANAGEMENT				
05.01	Human resources framework				
05.01.01	HR governance, reporting and statistics Definition of HR legal framework and implementing rules, development of staff values, regular reporting activities, and collection of statistics relating to personnel.	Calendar year	10	SEL + THAEU	CRL 12.3.1 Select for archival value
05.01.02	Policy implementation and supporting activities Activities to support the implementation of HR policies not otherwise accounted for, including control of allowances, processing contract renewals etc.	Calendar year	10	D	CRL 12.3.2

05.02	Staff recruitment				
05.02.01	Vacancy notices Preparation and posting of vacancy notices.	Calendar year	10	D	
05.02.02	Interview scripts and tests Interview scripts and questions for written exercises and tests, used as precedents for future recruitment campaigns.	Calendar year	2	D*	*Destroy if superseded/obsolete
05.02.03	Selection procedure Files on the on the appointment of a candidate to a post. Includes shortlisting and invitations to interview, selection panel composition and meetings, candidates' applications, tests and reports, recruitment decisions, and confirmation of reserve list.	Closure of campaign / Decision by ED	10	D	CRL 12.3.4B
05.02.04	Shortlisted applications Applications and correspondence relating to candidates that were shortlisted (not selected but added to the reserve list).	Closure of campaign / Decision by ED	5	D	In case of a legal challenge, the deadline will be extended until two (2) years after completion of all relevant proceedings.
05.02.05	Unsuccessful applications Applications and correspondence relating to candidates that were not shortlisted or withdrew their applications.	Closure of campaign / Decision by ED	2	D	In case of a legal challenge, the deadline will be extended until two (2) years after completion of all relevant proceedings.
05.02.06	Unsolicited applications Unsolicited CVs received from external applicants.	Calendar year	2	D	CRL 12.3.5
05.03	Staff file administration				
05.03.01	Personal files File for each staff member containing all documents relating to their career at EIOPA, including the employment contract and any amendments. Includes files relating to SNEs.	Start of employment / End of employment	100 / 10	D	CRL 12.3.7 I. For staff members entitled to a pension or other benefits on leaving the service: 1. Documents related to their pension rights/other benefits to be kept for 100 years from start of employment; 2. Other documents to be kept for 10 years after termination of employment. II. For staff members not entitled to a pension or other benefits on leaving the service, files to be kept for 10 years after termination of employment.

05.03.02	Medical files Records relating to a staff member's medical history, including pre-recruitment medical examination and annual check-up, ergonomic assessments, work-related accidents and all related correspondence.	End of employment	30	D	CRL 12.3.10 Files to be kept until the person concerned reaches the age of 75.
05.03.03	Trainee files Files relating to the performance of duties by a trainee at EIOPA. File is opened when Trainee is recruited and kept open until the end of the traineeship. Contains application, pre-selection evaluation, correspondence, offer of traineeship, letter of acceptance, legal entity, description of tasks, certificate of traineeship (if relevant).	End of traineeship	10	D	CRL 12.3.8C
05.03.04	Leave administration Documents providing evidence of sick, annual, special or any other type of leave. Stored in the Personal File of the individual concerned.	Calendar year	3	D	
05.04	Staff training and development				
05.04.01	Staff onboarding and offboarding Guidance and activities to assist and orientate new staff members, including start-up guides, temporary accommodation and relocation services. Also covers the process for staff members leaving EIOPA (guidance and checklists).	Calendar year	5	D*	*Destroy if superseded/obsolete
05.04.02	Training Records of internal and external training sessions, including induction presentations for newcomers, and any other in-house training and awareness sessions developed by EIOPA staff. Also covers team building events. Training certificates to be filed in the Personal File.	Calendar year	5	D	
05.05	Staff performance management				
05.05.01	Job descriptions Development of generic job descriptions for roles within EIOPA. Job descriptions relating to a specific individual to be filed in the relevant Personal File.	Calendar year	5	SEL + THAEU	Select sample for archival value
05.05.02	Appraisal procedure Appraisal of the performance of a staff member on an annual basis. Final report to be filed in the Personal File of the individual concerned.	Calendar year	10	D	In case of a legal challenge, the deadline will be extended until two (2) years after completion of all relevant proceedings.
05.05.03	Reclassification procedure Final decision and supporting documents for the annual reclassification of staff, including reports by the Joint Reclassification Committee (JRC). The individual reclassification and amendment to the contract should be filed in the Personal File of the individual concerned.	Calendar year	10	D	In case of a legal challenge, the deadline will be extended until two (2) years after completion of all relevant proceedings.
05.05.04	Investigations Investigations of potential breaches of professional conduct by staff members which have not led to an inquiry.	Calendar year	2	D	CRL 12.4.1

05.05.05	Administrative inquiries Administrative inquiries regarding potential breaches of professional conduct by staff members, but not leading to any disciplinary actions (e.g. due to case not being pursued or the issuance of a written warning or reprimand).	Calendar year	5	D	CRL 12.4.2 In case of a legal challenge, the deadline will be extended until two (2) years after completion of all relevant proceedings.
05.05.06	Disciplinary procedure Investigation of potential breaches of professional conduct by staff members, leading to disciplinary actions. Final decisions shall be filed in the Personal File of the individual concerned.	Calendar year	20	D	CRL 12.4.3 In case of a legal challenge, the deadline will be extended until two (2) years after completion of all relevant proceedings.
05.06	Staff representation and dialogue				
05.06.01	Staff Committee elections and organisation Management and organisation of the Staff Committee, including elections, composition and planning/coordination.	Calendar year	5	D	
05.06.02	Staff Committee meetings and dialogue Meetings of the Staff Committee, as well as meetings/dialogue between the Staff Committee and Management/HR.	Calendar year	10	D	CRL 12.2.3
05.06.03	Staff Committee initiatives Planning and implementation of initiatives to represent the interests of staff, including staff surveys.	Calendar year	5	SEL + THAEU	Select for archival value; evidence of corporate culture
05.06.04	Selection of Confidential Counsellors Files relating to the selection process for the position of Confidential Counsellor.	Calendar year	1	REV*	*Data relating to non-selected candidates to be destroyed after 1 year. Data relating to selected candidates to be retained until the end of their respective mandate(s)
05.06.05	Informal procedure for harassment cases Records of cases of alleged harassment within the workplace, as reported to the Confidential Counsellor and dealt with as an informal procedure.	Calendar year	5	D*	*If the harassment case is brought before the European Ombudsman and/or the EU Courts, files will be kept up until their respective decision has been issued
05.07	Social dialogue				
05.07.01	Social, sports and cultural events Planning and administration of social, sports and cultural events organised by and for EIOPA staff.	Calendar year	7	D	

06	LOGISTICS AND ADMINISTRATION				
06.01	Meeting and event support				
06.01.01	Meeting and event planning and coordination Maintenance of the EIOPA calendar and updating meeting room availability. Includes communication with meeting participants and the provision of practical information.	Calendar year	2	D	CRL 12.5.3B
06.01.02	Reporting and statistics on meetings Collection and analysis of statistics relating to meetings held in EIOPA premises.	Calendar year	5	D	
06.02	Administrative support				
06.02.01	General administrative support Files on the day-to-day application of administrative provisions, including Assistants meetings.	Calendar year	5	D	
06.02.02	Office supplies management Includes stock taking for stationery and other office supplies, and the coordination of business card orders.	Calendar year	1	D	
06.02.03	Gift registration and management Registration and management of gifts received by EIOPA.	Calendar year	5	D*	*Destroy if superseded/obsolete
06.02.04	Mail registration and management Records related to the tracking of incoming and outgoing correspondence, including maintenance of logs, receipts, and records of incoming registered mail etc.	Calendar year	10	D	
06.02.05	Formal correspondence of Senior Management Formal correspondence addressed to EIOPA's Chairperson or Executive Director, together with EIOPA's official replies. Any other correspondence to be filed according to the business context.	Calendar year	10	SEL + THAEU	Select for archival value; selection must comply with Data Protection Regulation
06.03	Document management				
06.03.01	Policy implementation and supporting activities Activities to support the implementation of document management policies and standards throughout EIOPA. Includes awareness initiatives and coordination of internal document management networks.	Calendar year	10	D	
06.03.02	Document classification and retention Development and maintenance of EIOPA's business classification scheme, retention schedules and archival finding aids, including logs of approved changes.	Calendar year	5	SEL + PP	Logs and approved schedules to be preserved permanently
06.03.03	Document selection and disposal Records of the routine appraisal and disposal of documents (both physical and digital), including approvals for destruction and transfers to the EU Historical Archives (HAEU).	Calendar year	5	PP	

06.03.04	Physical document storage management Maintenance of location indexes for documents stored within EIOPA premises. Also covers monitoring and reporting on environmental conditions in document storage areas.	Calendar year	5	D*	*Destroy if superseded/obsolete
06.04	Library management				
06.04.01	Library services management Coordination of library reference material for EIOPA staff, including the physical books library as well as digital collections. Includes the maintenance of catalogues and handling of requests from staff.	Calendar year	10	D	CRL 12.8.4
06.04.02	Media subscriptions management Management of subscriptions to newspapers, magazines, journals and periodicals on a corporate EIOPA account.	Calendar year	7	D	
06.05	Physical asset management				
06.05.01	Physical asset inventory and disposal Tracking, inventorying and decommissioning of movable assets, including furniture and IT equipment. Includes lists of declassified assets. Does not include document and record disposals.	Calendar year	7	D	CRL 12.5.2G
06.06	Facilities management				
06.06.01	Office allocation and coordination Coordination of ad-hoc staff and furniture moves within EIOPA premises. Includes regularly-updated seating plans as well as floor layout plans and signage.	Calendar year	2	D*	CRL 12.5.2 *Destroy if superseded/obsolete
06.06.02	Rent, utilities and other services Coordination of all facilities services within EIOPA premises (maintenance requests, cleaning, laundry, waste management, confidential waste disposal). Also includes utility consumption monitoring.	Calendar year	7	D	
06.06.03	Environmental management Activities to support EIOPA's responsibility for the environment, including energy efficiency and reduction of carbon footprint.	Calendar year	5	SEL + THAEU	CRL 12.5.1D Select for archival value; evidence of Corporate Social Responsibility
06.07	Building safety and access				
06.07.01	Premises access management Coordination of requests for out-of-hours office access, registration of visitors and issuance of access badges to EIOPA staff and visitors.	Calendar year	1 month	D	
06.07.02	Key and combination control Maintenance of lists of key holders for all rooms and safes in EIOPA premises, and application of related rules and procedures.	Calendar year	5	D*	*Destroy if superseded/obsolete
06.07.03	Fire safety and emergency preparation Development and implementation of emergency evacuation plans, fire prevention and fire drill exercises. Also includes the allocation of Fire Picket roles and emergency contacts.	Calendar year	5	PP	

07	INFORMATION TECHNOLOGY MANAGEMENT				
07.01	IT governance				
07.01.01	IT strategy definition and management Records relating to the formulation of objectives, principles and overall vision for the use of IT resources within EIOPA. Includes IT governance records not otherwise accounted for.	Calendar year	10	SEL + THAEU	Select for archival value
07.01.02	IT process and service management Management of processes relating to IT service operations according to ITIL standards, including incident management, problem management, change management and demand management. Also covers service level management, monitoring the quality of services as defined in Service Level Agreements (SLAs).	Calendar year	5	D*	*Destroy if superseded/obsolete. Retain SLAs until system is no longer operational.
07.01.03	IT portfolio management Coordination of all current and planned projects with a major IT component, together with time and budget estimations.	Calendar year	3	D	
07.01.04	Enterprise architecture Definition of the structure, evolution, dependencies and relationships between IT systems, including architecture design documentation.	Calendar year	5	D*	CRL 12.7.3A *Destroy if superseded/obsolete
07.01.05	Identity and access management Records documenting control mechanisms (passwords, encryption keys, permissions, telephone directories, internal and external email address lists, metadata in electronic systems).	Calendar year	3	D	Personal data
07.01.06	Event and system security logs System, application and network security logs.	Calendar year	3	D	
07.02	IT project management				
07.02.01	IT projects IT project documentation, especially the development and implementation of information systems, including requirements analysis, feasibility studies, meeting records and system testing.	Calendar year	10	D	For system implementation projects, retain documentation until system is no longer operational
07.03	Workplace services				
07.03.01	Service desk and first-line support Handling, prioritisation and follow-up of first-line support requests. Also covers coordination of tasks of the service desk team.	Calendar year	2	D	
07.03.02	Hardware and software documentation Documentation regarding installation, updates, maintenance and support for hardware and software.	Calendar year	5	D*	*Destroy if superseded/obsolete
07.03.03	Software license management Coordination and management of software license agreements. Files to include copy of license agreement and any related correspondence.	Calendar year	10	D	

07.03.04	User manuals and instructions Step-by-step guidance for end users on operating IT equipment (including hardware and software).	Calendar year	5	D*	*Destroy if superseded/obsolete
07.04	IT infrastructure				
07.04.01	Infrastructure and network management Management of servers, databases, networks and telephony services. Includes regular backup and restore processes.	Calendar year	5	D	CRL 12.7.3B
07.04.02	Incidents Records of incidents occurring within EIOPA's infrastructure, including data centre incidents, network incidents, or database incidents.	Calendar year	10	D	
07.04.03	System recovery Records relating to a system recovery following a disaster.	Calendar year	10	PP	
07.05	Business systems				
07.05.01	Core business systems maintenance and support Maintenance and support for all operational core business systems, including technical documentation, test documentation, records of upgrades and routine maintenance files.	Calendar year	3	D	CRL 12.7.2 Retain documentation until system is no longer operational
07.05.02	Administrative systems maintenance and support Maintenance and support for all operational administrative systems, including technical documentation, test documentation, records of upgrades and routine maintenance files.	Calendar year	3	D	CRL 12.7.2 Retain documentation until system is no longer operational
08	COMMUNICATIONS				
08.01	Communications framework				
08.01.01	Communications strategy, reporting and governance Activities surrounding the implementation of EIOPA's Communications strategy and policies that are not otherwise accounted for, including the provision of advice regarding internal and external communications.	Calendar year	10	SEL + THAEU	Select for archival value
08.02	Corporate branding				
08.02.01	Development of corporate visual identity Documents reflecting the evolution of EIOPA corporate visual identity, including logo design.	Calendar year	5	THAEU	
08.02.02	Corporate forms and templates Includes templates for both published and internal EIOPA documents and forms, as well as the layout for corporate business cards and email signatures.	Calendar year	2	D*	*Destroy if superseded/obsolete
08.02.03	Promotional items EIOPA-branded items used as gifts or giveaways at events/conferences, or internally.	Calendar year	5	THAEU	

08.03	Multimedia and publications				
08.03.01	<p>Web and social media content</p> <p>Development of content for publication on the EIOPA public website and social media networks (Twitter, Facebook etc.). Includes editorial content, site structure and design.</p>	Calendar year	5	SEL + THAEU	CRL 9.4.2 A website is to be archived in the case of major migrations (complete overhaul/ replacement/ removal) if it contains substantial, not short-lived information. Day-to-day changes to a web page or site section are not preserved.
08.03.02	<p>EIOPA publications management</p> <p>Master versions of all external publications (including annual reports, published data etc.). Filed by year of publication (for translated documents, one master version in each language should be filed).</p>	Calendar year	5	SEL + THAEU	CRL 9.4.1 Final products to be archived
08.03.03	<p>Multimedia collections management</p> <p>Management of official photographs and audio-visual material (sound and video recordings) relating to EIOPA events and business-related activities.</p>	Calendar year	2	THAEU	CRL 9.4.1B
08.04	Visits and meetings				
08.04.01	<p>Coordination of visits and meetings</p> <p>Coordination of official visits to EIOPA. Documents may include an agenda, briefings to Senior Management and a report of the visit. Includes recording and maintaining entries in the visits database.</p>	Calendar year	10	SEL + THAEU	CRL 9.3.3 Select for archival value
08.04.02	<p>Visitors services</p> <p>Presentations about EIOPA history, role and functions for academics and citizens. Also includes the development of information products including brochures and the handbook for visitors.</p>	Calendar year	5	THAEU	
08.05	Speaking engagements				
08.05.01	<p>Coordination of speaking engagements</p> <p>Processing and evaluating invitations for EIOPA Senior Management and Experts to participate in conferences, forums, round tables and other public events. Includes recording and maintaining entries in the database of speaking engagements.</p>	Calendar year	5	SEL + THAEU	CRL 9.3.2 Select for archival value
08.05.02	<p>Speeches</p> <p>Development of speeches for EIOPA staff members, including Senior Managers. Includes contributions from units and teams.</p>	Calendar year	5	THAEU	CRL 2.2.2D
08.05.03	<p>Bios and CVs</p> <p>Bios and published CVs relating to members of EIOPA Senior Management or Experts, to support speaking engagement activities.</p>	Calendar year	5	THAEU	

08.06	Media relations				
08.06.01	Contact with the media Development and maintenance of relations with media contacts, including cooperation with EIOPA's spokesperson. Includes the handling of queries via the media hotline, and maintenance of press contact lists.	Calendar year	5	D	CRL 9.7 Contact lists = personal data
08.06.02	Press releases Development of press releases and articles for the media.	Calendar year	5	THAEU	CRL 2.2.2D
08.06.03	Interviews, background talks and contributions Transcripts of interviews with the Chair, Executive Director and other Senior Managers of EIOPA.	Calendar year	5	THAEU	CRL 2.2.2D
08.06.04	Media monitoring Production of email alerts and media analysis reports on topics related to EIOPA activities.	Calendar year	5	THAEU	
08.06.05	Press events Organisation of events, conferences and briefings for the media, including invitations.	Calendar year	5	D	
08.07	Internal communications				
08.07.01	Intranet content and other internal communications Content for publication on the intranet, including news stories, surveys and communications to all staff. Also covers preparation of quarterly newsletters for staff, including updates on business and social activities.	Calendar year	5	SEL + THAEU	CRL 9.4.2 Select for archival value; evidence of internal corporate culture
08.07.02	Unofficial staff photos Photographs of staff from work or social events, kept for the purpose of internal communication messages and presentations.	Calendar year	2*	REV	*Or immediate deletion on request of staff member
08.08	Dialogue with civil society, social partners, interest representatives				
08.08.01	Public enquiries Handling of public enquiries and requests for information from EIOPA. Does not include requests for access to documents.	Calendar year	2	D	CRL 9.6.2
08.08.02	Q&A process management Handling of enquiries regarding Union law and EIOPA guidelines via the Question and Answer (Q&A) process. Includes centralised coordination and reporting activities.	Calendar year	5	SEL + PP	Select for potential value as internal knowledge base
08.08.03	Public consultations This category may be used to classify consultation files that are not accounted for elsewhere. Covers the creation of the consultation paper, the version approved by the BoS, analysis of consultation comments, the resolution templates, as well as the final report on the public consultation.	Calendar year	5	SEL + THAEU	CRL 2.8.2B Select for archival value

08.08.04	Relations with local institutions and City of Frankfurt Records relating to EIOPA's relations with local institutions (including European School and German universities) as well as the local authorities of the City of Frankfurt.	Calendar year	5	REV	CRL 2.7.4
09	INTERNATIONAL AND INTER-INSTITUTIONAL RELATIONS				
09.01	European framework of coordination and collaboration				
09.01.01	European Commission Files relating to EIOPA's relations with the European Commission. Includes the preparation, conduct and follow-up of meetings.	Calendar year	5	SEL + THAEU	Select for archival value
09.01.02	European Parliament Files relating to EIOPA's relations with the European Parliament. Includes the preparation, conduct and follow-up of meetings, and attendance of hearings.	Calendar year	5	SEL + THAEU	CRL 2.4.6 Select for archival value
09.01.03	Council of the European Union Files relating to EIOPA's relations with the Council of the European Union. Includes the preparation, conduct and follow-up of meetings.	Calendar year	5	SEL + THAEU	CRL 2.4.5 Select for archival value
09.01.04	European Systemic Risk Board (ESRB) Files relating to EIOPA's relations with the ESRB. Includes the preparation, conduct and follow-up of meetings.	Calendar year	5	SEL + THAEU	Select for archival value
09.01.05	European Central Bank (ECB) and SSM Files relating to EIOPA's relations with the ECB and SMM. Includes the preparation, conduct and follow-up of meetings.	Calendar year	5	SEL + THAEU	CRL 2.4.12 Select for archival value
09.01.06	Relations with other European bodies Files relating to EIOPA's relations with EU agencies and institutions not otherwise listed. Includes the preparation, conduct and follow-up of meetings.	Calendar year	5	SEL + THAEU	Select for archival value
09.01.07	Inter-agency networks Files relating to EIOPA's participation in inter-agency networks. Includes the preparation, conduct and follow-up of meetings.	Calendar year	5	SEL + THAEU	Select for archival value; retain only EIOPA contributions
09.02	Coordination with European Supervisory Authorities (ESAs)				
09.02.01	Joint Committee (JC) organisational issues General coordination and organisation of the Joint Committee, including planning and programming, correspondence with members and reporting on activities.	Calendar year	5	SEL + THAEU	Review for archival value: Keep records of significant reports and plans; destroy routine administrative files
09.02.02	Joint Committee (JC) meetings Files relating to meetings of the Joint Committee, including agendas and minutes.	Calendar year	5	THAEU	
09.02.03	Joint Committee (JC) substructures Files relating to subcommittees and workstreams operating under the Joint Committee. Includes meeting files and any related correspondence.	Calendar year	5	SEL + THAEU	Select for archival value

09.02.04	European Supervisory Authorities (ESAs) meetings and coordination Files relating to EIOPA's relations and cooperation with ESMA and EBA, includes EIOPA participation in ESMA and EBA Board of Supervisors meetings. Also includes meetings of the ESA Chairs and Executive Directors.	Calendar year	5	SEL + THAEU	Select for archival value
09.02.05	Board of Appeal (BoA) meetings and coordination Files relating to EIOPA's participation in the Board of Appeal, including organisational issues, meeting files, correspondence and specific procedure files.	Calendar year	5	SEL + THAEU	Select for archival value
09.03	International framework of coordination and collaboration				
09.03.01	International supervisory dialogues Development of formal or informal cooperation frameworks with supervisors outside the European Union. Includes meeting files, working documents, events, correspondence etc.	Calendar year	5	SEL + THAEU	CRL 8.3.2 Select for archival value
09.03.02	International Relations Network (IRN) Files relating to EIOPA's collaboration with National Competent Authority representatives on non-EU third country issues.	Calendar year	7	D	
09.03.03	International projects Files relating to EIOPA's contributions to international projects, such as the EU-US Project.	Calendar year	10	SEL + THAEU	Select for archival value
09.03.04	Equivalence assessments Handling of requests to assess the equivalence of third country legislation. Includes preparation for assessments, the analysis for equivalence, working drafts, on-site visit documents etc. May include final decisions from the Commission.	Calendar year	5	THAEU	
09.04	Coordination with international organisations				
09.04.01	International Association for Insurance Supervisors (IAIS) Files relating to EIOPA's relations and cooperation with the IAIS. Includes the preparation, conduct and follow-up of meetings.	Calendar year	5	SEL + THAEU	Select for archival value; retain only EIOPA contributions
09.04.02	International Organisation of Pensions Supervisors (IOPS) Files relating to EIOPA's relations and cooperation with IOPS. Includes the preparation, conduct and follow-up of meetings.	Calendar year	5	SEL + THAEU	Select for archival value
09.04.03	Financial Stability Board (FSB) Files relating to EIOPA's relations and cooperation with the FSB. Includes the preparation, conduct and follow-up of meetings.	Calendar year	5	SEL + THAEU	Select for archival value
09.04.04	Relations with other international organisations and fora Files relating to EIOPA's relations and cooperation with other international organisations not otherwise listed. Includes the preparation, conduct and follow-up of meetings.	Calendar year	5	SEL + THAEU	CRL 8.2 Select for archival value

09.05	Stakeholder Group management				
09.05.01	Stakeholder Group members selection process Selection process for Stakeholder Group members, including calls for expression of interest, applications received and appointments.	Calendar year	2	REV*	*Refer to Privacy Statement
09.05.02	Organisation and coordination of Stakeholder Groups General coordination and organisation of Stakeholder Groups, including planning and programming, correspondence with members and reporting on activities. Also covers joint meetings.	Calendar year	5	SEL + THAEU	Select for archival value: Keep records of joint meetings, significant reports and plans; destroy routine administrative files
09.05.03	Insurance and Reinsurance Stakeholder Group (IRSG) Files relating to the IRSG, including agendas, minutes, written procedures, annual activity reports, declarations of interest on specific agenda items, and any other supporting documentation. Also includes EIOPA's response to IRSG opinions and advice.	Calendar year	5	SEL + THAEU	Select for archival value
09.05.04	Occupational Pensions Stakeholder Group (OPSG) Files relating to the OPSG, including agendas, minutes, written procedures, annual activity reports, declarations of interest on specific agenda items, and any other supporting documentation. Also includes EIOPA's response to OPSG opinions and advice.	Calendar year	5	SEL + THAEU	Select for archival value
10	PRUDENTIAL REGULATORY FRAMEWORK				
10.01	Prudential policy framework				
10.01.01	Regulatory framework monitoring Monitoring and review of the prudential regulatory framework governing the insurance and pensions sectors, to establish the need for development of new instruments, or update of existing instruments.	Calendar year	5	SEL + THAEU	Select for archival value
10.01.02	Preparation of instruments and supporting activities Preparation of (regulatory and implementing) technical standards, guidelines, opinions and recommendations. Covers all preparatory work, impact assessments, initial and revised draft proposals, approval of the draft, as well as correspondence and endorsement by the Commission (where relevant).	Calendar year	5	THAEU	CRL 5.3.1
10.01.03	Preparation of technical and own initiative advice EIOPA's contributions to European legislative acts through the preparation and delivery of technical advice to the Commission.	Calendar year	5	THAEU	
10.02	Implementation of prudential policy				
10.02.01	Methodology for Solvency II technical inputs Development of methodology for calculating key information for the application of regulations. Includes regular monitoring and testing of the practicalities of the process.	Calendar year	5	SEL + THAEU	Select for archival value

10.02.02	Operational aspects of Solvency II technical inputs Files relating to the production and submission of monthly technical information, including the identification and management of any issues during the process.	Calendar year	10	D	
10.02.03	Impact Assessment (IA) methodology and tools Development of methodology for the comparison and assessment of policy options, the cost-benefit analysis and potential regulatory impact. Includes guidelines on the public consultation process, and benchmarking studies.	Calendar year	5	SEL + THAEU	Select for archival value
11	CONDUCT OF BUSINESS				
11.01	Conduct of business policy				
11.01.01	Regulatory framework monitoring Monitoring and review of the market conduct regulatory framework, to establish the need for development of new instruments, or update of existing instruments.	Calendar year	5	SEL + THAEU	CRL 6.3 Select for archival value
11.01.02	Preparation of instruments and supporting activities Preparation of (regulatory and implementing) technical standards, guidelines, opinions and recommendations. Covers all preparatory work, impact assessments, initial and revised draft proposals, the approval of the draft, as well as correspondence and endorsement by the Commission (where relevant).	Calendar year	5	THAEU	CRL 5.3.1
11.01.03	Preparation of technical and own initiative advice EIOPA's contributions to European legislative acts through the preparation and delivery of technical advice to the Commission.	Calendar year	5	THAEU	
11.02	Conduct of business oversight				
11.02.01	Country visits and assessments Preparation and conduct of assessments of NCA practices on consumer protection topics. Files contain all relevant documents starting with nomination of inspectors, preparatory work, correspondence with NCAs, results of the inspection, and follow-up.	Calendar year	10	SEL + PP	CRL 6.5 May be sensitive. Keep reports/opinions permanently
11.02.02	Retail Risk Indicators Development of qualitative and quantitative retail risk indicators to assess the effects on consumers of insurance products characteristics and distribution processes.	Calendar year	5	SEL + THAEU	Select for archival value
11.02.03	Warnings, temporary restrictions and prohibitions Exercise of powers to temporarily restrict or prohibit insurance-based investment products.	Calendar year	5	THAEU	CRL 10.5
11.02.04	Analysis and reporting on consumer trends Development of reports on existing and emerging cases of consumer detriment in the insurance and pensions markets.	Calendar year	5	SEL + THAEU	Select for archival value

11.02.05	Thematic reviews and other analyses Thematic reviews and other analyses of specific financial activities causing consumer detriment or barriers to the effective retail market.	Calendar year	5	SEL + THAEU	Select for archival value
12	OVERSIGHT AND SUPERVISORY CONVERGENCE				
12.01	Oversight framework				
12.01.01	Methodology and planning for assessments Methodology for the conduction of oversight assessments (including peer reviews), such as manuals and handbooks. Also covers the development of annual or multi-annual plans for Colleges and other oversight activities.	Calendar year	5	SEL + THAEU	Select for archival value
12.01.02	Reporting on supervisory convergence Reporting on findings of oversight assessments to EIOPA Senior Management or others. Includes reporting on the functioning and achievements of Colleges of Supervisors (interim and year-end reports).	Calendar year	5	THAEU/PP	CRL 6.2 Select only non-sensitive reports for transfer; otherwise keep permanently
12.02	Country visits and assessments				
12.02.01	National Competent Authorities (NCAs) and Colleges Preparation and conduct of visits to NCAs. Files contain all relevant documents starting with nomination of inspectors, preparatory work, correspondence with NCAs, results of the inspection, and follow-up.	Calendar year	10	SEL + PP	CRL 6.5 May be sensitive. Keep reports/opinions permanently
12.02.02	Peer reviews and other thematic assessments Other oversight assessments, including peer reviews, with a thematic rather than country-specific focus. May include benchmarking studies and surveys, follow-up to stress tests etc.	Calendar year	10	SEL + PP	May be sensitive. Keep reports/opinions permanently
12.03	Internal models				
12.03.01	Development of internal model assessment tools Development of quantitative and qualitative tools for the assessment of internal models.	Calendar year	5	SEL + THAEU	Select for archival value
12.04	Common supervisory culture				
12.04.01	Development of supervisory principles, guidance and good practice Development of core principles for consistent, high-quality and effective supervision, as well as practical solutions and examples, guidelines and good practice papers.	Calendar year	5	SEL + THAEU	Select for archival value
12.04.02	Supervisory Review Process (SRP) Guidelines and Handbook Development of guidelines and handbook on the Supervisory Review Process (SRP), in accordance with Article 36 of the Solvency II Directive.	Calendar year	5	SEL + THAEU	Select for archival value
12.05	Promotion of supervisory convergence				
12.05.01	Training programme development Planning and development of the annual training programme for sectoral and cross-sectoral training.	Calendar year	5	SEL + THAEU	Select for archival value

12.05.02	Sectoral and cross-sectoral training and events Preparation and delivery of seminars, conferences and events for NCAs on selected topics.	Calendar year	5	SEL + THAEU	CRL 9.3.1 Select for archival value
13	FINANCIAL STABILITY AND CRISIS MANAGEMENT				
13.01	Financial stability methodological framework				
13.01.01	Methodology and risk assessment framework Development and update of methodology for the identification and analysis of potential systemic risks.	Calendar year	5	SEL + THAEU	Select for archival value
13.02	Risk identification and analysis				
13.02.01	Regular risk assessments and reports Preparation of regular analyses of the European (re)insurance and occupational pensions markets, from a systemic risk perspective. Includes the Financial Stability Report, Risk Report and Risk Dashboard.	Calendar year	5	THAEU/PP	Transfer only non-sensitive/published assessments; otherwise keep permanently
13.02.02	Thematic and ad-hoc analysis, studies and reports Preparation and execution of thematic or sector-specific reviews, studies and articles regarding economic developments and associated risks to financial stability.	Calendar year	5	THAEU/PP	Transfer only non-sensitive/published assessments; otherwise keep permanently
13.02.03	Stress test exercises Preparation and conduction of European-wide stress tests, include the questionnaires received, collection and aggregation of data.	Calendar year	5	THAEU/PP	Transfer only non-sensitive/published assessments; otherwise keep permanently
13.02.04	Econometrical modelling and statistics Includes the statistical analysis of qualitative and quantitative data, including QRT data, to identify trends and vulnerabilities.	Calendar year	5	REV	Review for long-term statistical value
13.03	Crisis prevention and preparedness				
13.03.01	Crisis management handbook and related guidance Development and update of guidance on responding to crises, including procedures in emergency situations and preventative measures. Includes crisis communication strategies.	Calendar year	5	SEL + PP	Select vital records for permanent preservation
13.03.02	Development of crisis exercises Development and execution of crisis exercises, including communication tests and walkthrough exercises.	Calendar year	5	SEL + PP	Select vital records for permanent preservation
13.03.03	Development of macroprudential policy Development of a macroprudential policy framework to address systemic risks affecting the insurance sector.	Calendar year	5	SEL + THAEU	Select for archival value
13.04	Crisis management and resolution				
13.04.01	Insurance failures and near misses Maintenance, update and performance of quality checks on the insurance failures and near misses database, including analysis and reporting on the information.	Calendar year	5	PP	

13.04.02	EIOPA stance and dialogue on recovery and resolution Development of material on recovery and resolution related topics. Includes organisation and hosting of meetings of the Work Stream on Recovery and Resolution.	Calendar year	5	SEL + PP	May be sensitive. Keep reports/opinions permanently
13.04.03	Promotion of consistency for G-SIIs Organisation and hosting G-SII Forum and participation in Crisis Management Groups (CMGs). Development of an EIOPA stance on G-SII related topics.	Calendar year	5	SEL + PP	May be sensitive. Keep reports/opinions permanently
14	DATA COLLECTION AND MANAGEMENT				
14.01	Data management framework				
14.01.01	Data governance, reporting and statistics Records relating to the formulation of objectives, principles and overall vision for the management and use of structured data within EIOPA.	Calendar year	10	SEL + THAEU	Select for archival value
14.02	Data collection				
14.02.01	Collection of supervisory reporting data Collection and management of reporting data from NCAs. Includes the identification of potential sources of data.	Calendar year	10	D	
14.02.02	Collection of supervisory reference data Collection and management of reference data from NCAs, including registers, as well as the list of insurance groups, the Helsinki Plus list, and financial conglomerates list. Includes the identification of potential sources of data.	Calendar year	10	D	
14.02.03	Collection of financial market data Collection and management of data from financial market data providers, including the ECB's Central Securities Database (CSDB), Bloomberg and Reuters. Includes the identification of potential sources of data.	Calendar year	10	D	
14.02.04	Collection of EIOPA internal data Collection and management of corporate data provided internally by EIOPA, including financial, procurement and budgetary data. Includes the identification of potential sources of data.	Calendar year	10	D	
14.03	Data standardisation				
14.03.01	Data standardisation framework and tools Development of methods, tools and standards for the standardisation of data, including taxonomies, filing rules, data dictionaries and test instance documents.	Calendar year	10	D	
14.04	Data analysis and business intelligence				
14.04.01	Business intelligence framework and tools Development of methods, tools and standards for the analysis of raw data according to stakeholder requirements.	Calendar year	10	D	

14.05	Data quality				
14.05.01	Data quality framework and tools Development of methods, tools and standards for ensuring data quality, including completeness reports.	Calendar year	10	D	
14.06	Data dissemination				
14.06.01	Data dissemination framework and tools Development of methods, tools and standards for the dissemination of data to stakeholders. Includes monitoring and research on international standards on data formats and exchange.	Calendar year	10	D	