



Implementing rules for the Decision of the Administrative Board on Records Management and Archives at EMSA

Version:1.0

Date: 24/03/2021

Document History (if needed)

Version	Date	Changes	Prepared	Approved
1.0		None	4.1	ED

Table of Contents

1. SCOPE	4
2 RECORDS MANAGEMENT	5
2.1 CAPTURE AND REGISTRATION	6
2.1.1 What to capture	6
2.1.2 Purpose of capture	6
2.1.3 A two-stage process	6
2.1.4 Minimum criteria to be fulfilled by all capture systems	6
2.1.4.1 Basic features	6
2.1.4.2 Assignment of a unique identifier	6
2.1.4.3 Audit trails	6
2.1.5 Registration	7
2.1.6 Where to register	7
2.1.7 Provisional registration procedure	7
2.2 FILING	8
2.2.1 Purpose and aims of filing	8
2.2.2 EMSA filing plan	8
2.2.3 Creating and managing files	9
2.2.3.1 Lead Unit or Chef de File	9
2.2.3.2 File: Open and close actions	9
2.2.3.3 File list	9
2.3 ELECTRONIC SIGNATURE	10
2.4 GUARANTEE OF INTEGRITY OF DOCUMENT CONTENT AND METADATA AND THEIR PRESERVATION	11
2.5 VALIDITY OF ELECTRONIC PROCEDURES	12
2.5.1 Protection of content and stages of the procedure against alteration	12
2.5.2 Priority use of workflow system for structured transmissions	12
2.6 VALIDITY AND ADMISSIBILITY OF DIGITISED CONTENT	12
2.6.1 General principles	12
2.6.2 Formats	13
2.6.3 Quality control	13
2.6.4 Retention of original content	13
2.6.5 Documentation of the digitisation procedure	13
2.7 DATA AND INFORMATION WITHIN EMSA	14
2.8 INFORMATION SECURITY	14
3. ARCHIVING RECORDS: PRESERVATION AND HISTORICAL ARCHIVES:	15
3.1 RETENTION	15
3.1.1 EMSA Retention List	15
3.1.2 Administrative elimination procedures for records	16
3.1.3 Administrative Retention Period (ARP)	17
3.2 APPRAISAL, TRANSFER AND ELIMINATION	17
3.2.1 Principles governing appraisal and transfer of files to the EMSA's historical archive	17
3.2.2 EMSA appraisal committee	18
3.2.3 Rules governing the appraisal of files	18
3.2.3.1 First review	18
3.2.3.2 Second review	18
3.2.4 Rules governing sampling and selection	19
3.2.5 Rules governing the elimination of files	19
3.2.6 Rules governing the transfer of files	20

3.2.7	Transfer and elimination of metadata	20
3.2.8	Responsibilities concerning files and records transferred to the EMSA's historical archives	21
3.2.9	Processing legacy files	21
3.3	ORGANISATION AND RESPONSIBILITIES	21
3.4	PRESERVATION AND STORAGE	22
3.4.1	Electronic repositories for EMSA official records and official files	22
3.4.1.1	Architecture	22
3.4.1.2	Functionalities	22
3.4.2	Physical storage areas	23
3.4.3	Preservation over time	23
3.4.4	Preservation of metadata	24
3.5	DEPOSIT OF THE EMSA'S HISTORICAL ARCHIVE AT THE EUROPEAN UNIVERSITY INSTITUTE (EUI) AND PUBLIC ACCESS	24
3.5.1	Deposit	24
3.5.2	Public access	24
4.	GOVERNANCE AND IMPLEMENTATION	24
4.1	COORDINATION AND MONITORING BY THE UNIT RESPONSIBLE FOR RECORDS MANAGEMENT AND ARCHIVING	24
4.1.1	Document Management Officer (DMO)	25
	List of Annexes	27
	Annex I EMSA registers and repositories	28
	Annex II EMSA filing plan	33
	Annex III EMSA retention list	45
	Annex IV Electronic signature: Use of ARES signature in EMSA	70
	Annex V Electronic signature: Use of PCM signature and PCM electronic workflows in EMSA	74
	Annex VI Procurement documents : Quick reference guide	75

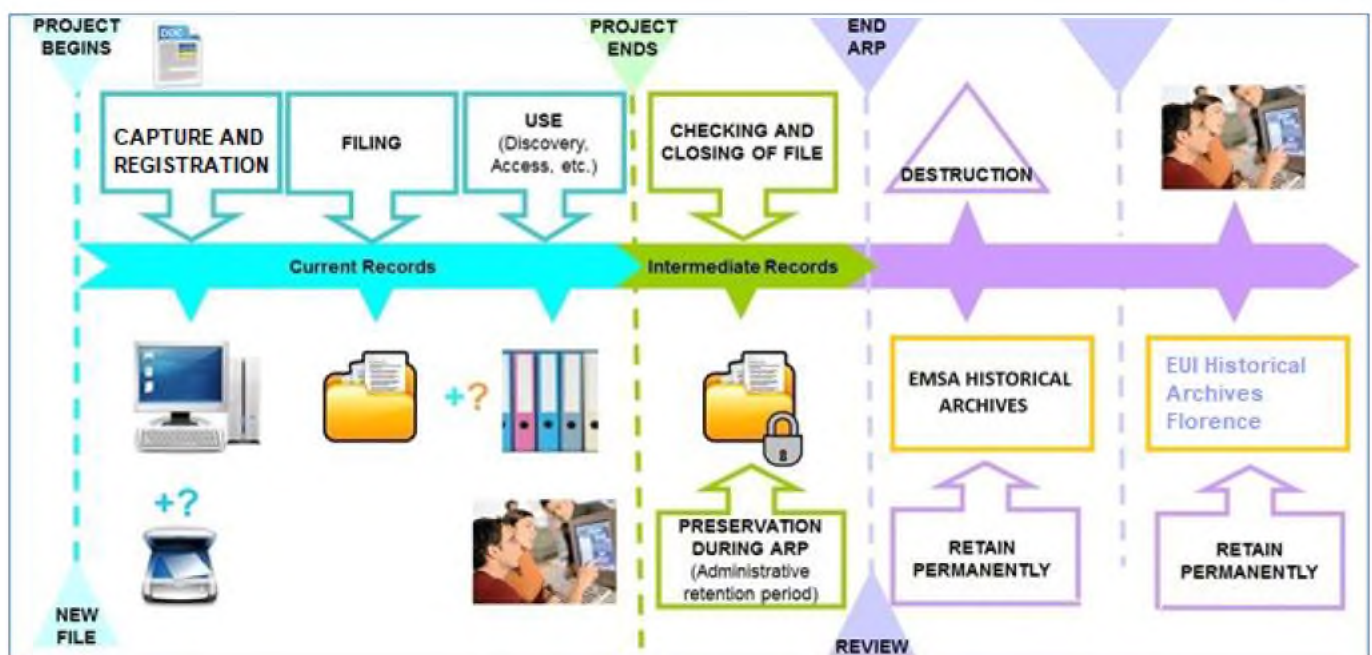
1. SCOPE

These Implementing Rules, adopted by ED Decision, lay down the general rules governing the implementation of the Administrative Board Decision on Records Management and Archiving at EMSA and concern:

- a) the digitisation of analogue information (Article 4 of the Decision);
- b) the capture of information (Articles 5);
- c) the registration of records (Article 6);
- d) the filing plan and filing (Article 7);
- e) the legal effects of electronic signatures, seals, time stamps and registered delivery services, and criteria for the validity and admissibility of documents and procedures (Articles 8 and 9);
- f) the provision of data and information within EMSA (Article 10);
- g) information security and protection (Article 11);
- h) the storage and preservation of records (Article 12);
- i) the retention, transfer and elimination (Article 13);
- k) the processing of personal data contained in the EMSA's historical archive (Article 14);
- l) the deposit of the EMSA's historical archive at the European University Institute (Article 15);
- m) governance at EMSA level (Article 16);

Records Lifecycle

All official records are managed throughout their lifecycle. These Implementing Rules set out the information management principles for the organisation at each stage of the record management lifecycle and archiving.



Official records must be filed in an official file. An official file is created when a new project (i.e. inspection, recruitment procedure, procurement procedure, annual exercise, etc) starts. All official records belonging to that project are then filed in the appropriate official file created for that purpose. At this stage of the record management lifecycle, files are signalled in the chart below as 'current records'.

An official file is considered closed when all actions related to the project have been dealt with. Once a project has come to an end, the corresponding official file needs to be formally closed in the official register. Once the file is closed, the Administrative Retention Period (ARP) starts running. The ARP is calculated according to the date of most recent document filed in the file: the file closure date. At this stage of the record management lifecycle, records are considered as 'intermediate records'.

During the ARP, an official file is preserved based on its administrative usefulness and the statutory and legal obligations linked to it. After the expiry of the ARP, one of the following actions must be taken (on a file), in accordance with the EMSA Retention List:

Elimination: the file is physically destroyed or electronically erased. This action is performed by a specific committee designated for this purpose on a periodic basis. Evidence of a destroyed record needs to be preserved permanently (i.e. a destruction form must be completed).

- **Sampling or Selection:** a group of files for similar serial projects is chosen for being permanent preserved. This action is performed by a specific committee designated for this purpose on a periodic basis. Evidence of a destroyed record needs to be preserved permanently (i.e. a corresponding form must be completed).
- **Permanent Preservation:** The official file is permanently preserved as part of the EMSA historical archive according to the EU Archives Regulation 354/83 amended by Regulation 2015/496 and transferred in due time to the Historical Archives at the European University Institute (Florence, Italy).

These Implementing Rules applies to all stages of records lifecycle and archiving. Records are:

- a) Created, registered and filed (section 2.1 "Capture and registration" and section 2.2. "Filing")
- b) Circulated and approved (section 2.3 "Electronic signature")
- c) Kept for valid legal, fiscal or administrative reason (section 3.1 "Retention")
- d) Selected for being destroyed (section 3.2 "Appraisal, transfer and elimination")
- e) Selected for being permanent preserved according to their historical value (section 3.4 "Preservation and Storage")
- f) Open to the public (section 3.5 "Deposit of the EMSA's Historical Archive at the European University Institute")

2. RECORDS MANAGEMENT

EMSA, as well as most of the other Institutions and some Agencies, uses the official repository of the Commission and operates under the same regulatory framework for records management¹

¹ C(2020) 4482 final and SEC(2020) 800

2.1 CAPTURE AND REGISTRATION

2.1.1 What to capture

Information that is considered useful for understanding a project or activity, (whether at the time of creation or later) will need to be captured

2.1.2 Purpose of capture

The purpose of capturing information as a record is to:

- a) consider it as official EMSA information;
- b) identify the record in question with certainty and in such a way that it cannot be altered at any point in its lifecycle;
- c) be able to make the information available to others², either now or in the future.

Information that does not fulfil the conditions for capture is not considered part of the EMSA's documentary resources.

2.1.3 A two-stage process

Capture comprises two operations to be performed at the same time:

- a) saving the metadata of the record in the records management system concerned, to ensure that the record is properly described for administrative, legal and archival purposes; and
- b) linking the record to its metadata in a permanent and non-modifiable manner, so that an individual, a department or a unit can identify the record beyond any doubt in the future.

2.1.4 Minimum criteria to be fulfilled by all capture systems

2.1.4.1 Basic features

The system must save the captured metadata and preserve the link between the original record and its metadata for as long as the record is retained.

The system must facilitate:

- a) assignment of the record to a given individual, department or IT system for action, follow-up, information or preservation; and
- b) the traceability of the record throughout its lifecycle.

2.1.4.2 Assignment of a unique identifier

Where a new record is created in or captured by a records management system, the system must associate it with a unique identifier that allows users and systems to retrieve, refer to and use the record

2.1.4.3 Audit trails

All capture systems must provide specific audit trails. These must be designed to preserve essential metadata relating to the actions performed on the record over time.

² In accordance with the relevant provisions related to data protection and access to documents.

2.1.5 Registration

Registration is the main type of capture. It is subject to more stringent rules. A document is subject for being registered if it:

- a) contains important information which is not short-live; or
- b) involves action or follow-up by EMSA; or
- c) needs to be kept providing evidence of decisions, situations, intentions or events linked with the activities of EMSA

The purpose of registering a record created or received by EMSA is to:

- a) certify that the record (provided that it fulfils the EMSA's established or generally recognised minimum requirements³) has been sent by an author to an addressee on a given date, as incoming or outgoing mail, or has been incorporated into one of the EMSA's official repositories; and
- b) facilitate the creation of registers containing references to records registered by EMSA and designed to meet the EMSA's needs and its legal obligations regarding public access to documents⁴.

Records should be registered within 48 hours of being received or finalised and, if applicable, signed in order to ensure sound administrative management.

A registered document as signed may not be changed, except to correct erroneous data in the document itself or in its metadata. Such corrections must be documented in a way that informs about who made the corrections; when they were made and what the data were before the correction. The information must be preserved as long as the document.

A registered record may be removed from the records management system only by the Document Management Officer (DMO) or other member of staff responsible for the register and only if it was registered in error.

2.1.6 Where to register

Records as described in Article 6 of the Decision must be registered in an official register, unless they are governed by rules or procedures with equivalent effect. More information in Annex I EMSA registers and repositories

The EMSA Official Register is ARES, Advanced Records System. An official register must fulfil the requirements described in section 2.1.4.

2.1.7 Provisional registration procedure

EMSA must adopt appropriate procedures for provisional registration, so that it can meet any obligation to transmit a record if, for technical reasons (e.g. prolonged power or computer failure), the registration system is unavailable, and registration of the record cannot be postponed.

³ All EMSA documents must be checked for compliance with established procedures and forms

⁴ Under Article 11 of Regulation (EC) No 1049/2001 of the European Parliament and of the Council of 30 May 2001 regarding public access to European Parliament, Council and Commission documents (OJ L 145, 31.5.2001, p. 43).

2.2 FILING

Captured records (whether registered or not) are organised in files. A single official file must be established for each matter falling within the remit of a given EMSA department or unit. Each official file must be completed with records created or received in connection with the matter; these must reflect departments and units' activities in the project/case in question.

EMSA departments and units must provide with file level metadata that are reliable and sustainable and can be used to carry out operations arising from legal obligations⁶.

2.2.1 Purpose and aims of filing

The purpose of filing is to:

- a) incorporate all records received or created into the EMSA' documentary resources; and
- b) organise records according to their original relationships with one another and with the activities that led to their existence, thereby reflecting the circumstances in which they were created and their significance in the development of a project.

The aims of filing are to:

- a) interpret and use records in the context in which they were created, so that they provide a full account of the administration's activities and serve as proof of the work it has carried out;
- b) facilitate targeted searching by making the file and constituent records more traceable throughout their lifecycle;
- c) improve the quality and continuity of administration, especially where another member of staff takes charge of the project and/or it is taken over by a different department or unit; and
- d) assign the record its retention period and disposal action (elimination or be part of the EMSA's historical archive), according to the retention category of the file (see point 3.1.1).

2.2.2 EMSA filing plan

The EMSA filing plan is one of the cornerstones of the EMSA records management system. The aim of the EMSA filing plan is to bring together records with common characteristics; to organise records consistently over time in a location that is easy to browse, find and search for information and finally to allow for applying retention schedule periods and disposition actions in an efficient manner

The EMSA filing plan organises all EMSA files of departments and units according to the principles of hierarchy and activity business basis. The filing plan is hierarchical, from general to specific. It is composed of headings, which are the reflection of the mandate of the Agency

The EMSA filing plan has:

- the flexibility needed to reflect how the functions and activities of the Agency evolve over the time; and
- the stability in terms of independence in relation to the organisation charts, that is essential to its operation

⁶ Under Regulation (EC) No 1049/2001 and Council Regulation (EEC, Euratom) No 354/83 of 1 February 1983 concerning the opening to the public of the historical archives of the European Economic Community and the European Atomic Energy Community (O.J. L 43, 15.2.1983, p. 1).

The reorganisation of the Agency will not affect the stability of the filing plan. However, the filing plan must be adapted if a new function is assigned to the Agency as well as the relevant headings must no longer be used if a mission, a function or an activity is abandoned. Therefore, the EMSA filing plan is a living document. When a new function has been given to the Agency, a new heading should be created. Changes in the filing plan can be done at any time by the authorised hierarchical level defined for each heading. The Executive Director's approval is required for any modification at first level headings, headings that represents the functions of the Agency.

The EMSA filing plan is structured in headings: Headings for functions; Sub-headings for activities and for micro activities. Therefore, the terminal heading is the heading to which files are linked. Each file must be linked to the EMSA filing plan, no files can be opened in the system without being attached to the EMSA filing plan. A file may be made up of several subfiles, all the subfiles together are then part of the same official file.

The EMSA Filing Plan is presented in Annex II.

2.2.3 Creating and managing files

2.2.3.1 Lead Unit or Chef de File

The lead unit or the chef de file is an EMSA department or unit in charge of the project. The EMSA unit represented by its Head of Department or its Head of Unit is responsible for assigning every record to the appropriate file. The lead unit or chef de file must ensure that the logical coherence of the file is maintained.

2.2.3.2 File: Open and close actions

A file is open at the start of a project, which is when the file's metadata must be encoded. The request form for creation of electronic files is available for EMSA staff in the records management section of the intranet. The official files are created by the DMO in the official register upon demand of the EMSA staff.

A file is closed when all actions stemming from the project have been concluded and no further record must be created or modified. The closure date⁶ is the date of the most recent record added to the file. When a file is closed, it is no longer possible to add records. However, the metadata remain editable and filed records can still be consulted (depending on conditions of access). Once the lead unit or chef de file approves closing a file, the file is closed in the official register by the DMO.

Registration and filing are two required actions, no matter the order. Every registered record must be kept permanently in a file, unless the retention rules prescribe an administrative elimination procedure for records.

Other records may be included in the file to help clarify how a case was handled. If not removed before the file is closed⁷, these records become a permanent part of the file at the moment of closure and may then no longer be changed or removed from the file.

2.2.3.3 File list

The file list is a records management tool designed to:

- a) list the files created and held by EMSA;
- b) describe the files created under headings of the filing plan; and
- c) provide EMSA with a tool for retrieving and accessing the files.

The file list must contain the metadata for each file.

⁶ Not to be confused with the material closing date, i.e. the date on which the file is closed in the system.

⁷ In particular, captured records containing personal data should be considered for removal before the file is closed.

2.3 ELECTRONIC SIGNATURE

EMSA is gradually moving into a full digital environment and these implementing rules foresee that most of the most documents will be created, managed and stored electronically. There is a project ongoing for the implementation of the use in EMSA of the Qualified Electronic Signature (QES) in the near future.

The parties involved in exchanges of documents fall into the three following circles:

(a) circle 1: internal circle made up exclusively of EMSA and other ARES users (European Commission, Executive and some Decentralised Agencies), which exchange electronically among themselves drawn up or received documents (i.e. through ARES);

(b) circle 2: semi open circle made up, on the one hand, of partner administrations (other institutions that do not use ARES, Member States, national public administrations and duly identified bodies with which the EMSA has regular transactions) which electronically exchange documents via networks and procedures mutually agreed between the parties;

(c) circle 3: entirely open circle made up, on the one hand, of organisations, third countries, commercial businesses, corporate bodies, recipients of payments who are not members of its staff and the citizens, who exchange documents via networks such as Internet, Extranet or electronic mail.

The legal value of documents signed electronically and exchanged within these circles shall be assessed against the following legal provisions⁸:

- REGULATION (EU, EURATOM) 2018/1046 OF THE EUROPEAN PARLIAMENT AND OF THE COUNCIL of 18 July 2018 on the financial rules applicable to the general budget of the Union, amending Regulations (EU) No 1296/2013, (EU) No 1301/2013, (EU) No 1303/2013, (EU) No 1304/2013, (EU) No 1309/2013, (EU) No 1316/2013, (EU) No 223/2014, (EU) No 283/2014, and Decision No 541/2014/EU and repealing Regulation (EU, Euratom) No 966/2012;
- FINANCIAL REGULATION OF THE EUROPEAN MARITIME SAFETY AGENCY adopted by the Administrative Board on 25 July 2019 by written procedure no. 9/2019;
- DECISION OF THE ADMINISTRATIVE BOARD on Records Management and Archives at EMSA.
- REGULATION EU No 910/2014 OF THE EUROPEAN PARLIAMENT AND THE COUNCIL of 23 July 2014 on electronic identification and trust services for electronic transactions in the internal market and repealing Directive 1999/93/EC

Following the above provisions, electronically signed documents, the signature of which is accompanied by a certificate proving the requirements of: authenticity of origin (i.e. the person from whom it emanates is duly identified), integrity of content (i.e. the document is drawn up under such conditions as to guarantee the integrity of its contents and of the relevant metadata) and sufficient identification of the signatory are complied with, have the same legal value as handwritten signed paper documents, therefore, a signed original is, in these cases, not required

ARES signature is therefore reliable for circles 1 and 2, and for circle 3 only when ARES QES is used.

⁸ See Commission Secretariat-General Note to all Document Management Officers "ARES: legal value of electronically signed internal documents", Ref. Ares(2015)1641903 – 24/06/2015.

For circle 3, it is necessary to temper the level of risk with the degree of formalism required by the type of exchange of documents concerned. In this respect, the following Golden Rule shall apply in order to identify the legal value an electronically signed document requires, considering the addressees:

- if an EU or national provision explicitly requires that a document be signed as a substantial formality⁹, this means that the document is to be signed with a qualified electronic signature (QES)¹⁰ or a handwritten signature;
- in the other cases (the large majority), the electronic signature ensuring authenticity of origin and integrity of content (i.e. ARES signature for internal and circle 2 external documents and PCM signature for internal documents) is adequate to give legal value to electronically signed documents which are admissible documentary evidence in legal proceedings.

Therefore, the principle of three circles and the application of the Golden Rule may help to understand which documents at EMSA require a handwritten signature (or alternatively QES) and which documents may be signed electronically by advanced/simple electronic signature. In case of doubt, the Lead Unit or the Chef de File, after consulting the DMO and Legal Unit will be in a position to make a decision.

In order to have clear guidelines as to the use of ARES signature in EMSA, Annex IV to these Implementing Rules contains 2 lists, non-exhaustive lists, as follows:

LIST 1: List of documents that are to be signed solely electronically and circulated only electronically in ARES (Non-exhaustive list);

LIST 2: List of documents that require a handwritten signature (Non-exhaustive list);

In order to have clear guidelines as to the use of PCM signature in EMSA, Annex V to these implementing rules contains 2 lists, as follows:

LIST 1: List of documents that are to be signed solely electronically and circulated only electronically in PCM; At the latest, when procurement is finalised, all documents shall be registered in ARES except documents that require dispatch by email that should be registered before the dispatch (i.e. Invitation to tender).

LIST 2: List of documents that require a handwritten signature and need to be circulated only electronically in PCM. The documents shall be registered in Ares before dispatch (i.e. contracts).

A quick reference guide has been prepared in order to illustrate which documents digitally born and signed in PCM are to be registered in ARES, as ARES remains the official repository of EMSA. The quick guide can be found in Annex VI.

As the transition from handwritten signature to electronic signature is a procedure that cannot be accomplished from one day to the other, this section and the corresponding annexes will be updated regularly.

2.4 GUARANTEE OF INTEGRITY OF DOCUMENT CONTENT AND METADATA AND THEIR PRESERVATION

The required guarantee of integrity of the content of the document, its metadata and the method used to provide this guarantee are directly proportional to the degree of formality required by the type of exchange concerned.

⁹ A formality is said to be substantial when it is a condition of the validity of the document concerned.

¹⁰ Not yet available in EMSA. Section to be reviewed following the deployment and use of QES in EMSA.

Whatever the circle of parties involved, and the system used for the exchange of documents, the content received is assumed to be equivalent to the content sent unless proven otherwise.

Paper documents drawn up by EMSA are considered intact if no alterations are found. In the event of damage caused by difficulties with preservation, documents are considered valid if their essential parts are still readable by any means and by collating with the corresponding digitised version.

2.5 VALIDITY OF ELECTRONIC PROCEDURES

ARES, the official register at EMSA is fully compliant with the standard requirements for the validity of electronic procedures.

2.5.1 Protection of content and stages of the procedure against alteration

To enable checks that the content of records and the stages in the procedure have not been altered, IT systems managing EMSA procedures must:

- a) provide effective measures to control rights of access, to prevent any access, elimination, alteration or illegal, malicious and unauthorised moving of records, files, metadata and stages in the procedure;
- b) be equipped with systems of protection against threats such as virus attacks, hacking, theft, fire, excessive temperature and water damage;
- c) prevent any unauthorised change and incorporate integrity mechanisms to check that a record has not changed over time;
- d) keep an audit trail for each essential stage of the procedure;
- e) save stored data in a safe environment, possibly in multiple copies and at different locations;
- f) provide reliable format conversion and migration procedures to guarantee the readability and accessibility of records throughout their retention period; and
- g) provide sufficiently detailed functional and technical documentation on the operation and characteristics of the system, accessible always by the organisational entities responsible for the functional and technical specifications. This documentation must be kept up to date and, in the event of a change in the departments concerned, sent directly to the new lead departments responsible for the functional or technical aspects.

2.5.2 Priority use of workflow system for structured transmissions

EMSA must put in place workflow management systems where possible. These may take the following forms:

- a) information systems supporting automation of a process, in whole or part, during which electronic documents, information or tasks are passed from one participant to another for action, according to a set of procedural rules (e.g. controlled access to documents and records)¹¹; and
- b) electronic sequential validation chain¹² enabling any person with the necessary access rights to modify, validate, sign or send back the records to be signed.

¹¹ See ISO 12651-2:2014.

¹² Commonly called "e-signatory" or workflows.

2.6 VALIDITY AND ADMISSIBILITY OF DIGITISED CONTENT

2.6.1 General principles

EMSA systematically digitises all analogue documents to be added to its documentary resources

Electronic renditions resulting from digitisation procedures and added to the EMSA's documentary resources replace the initial content and form on which they are based (without prejudice to point 2.6.4)

2.6.2 Formats

Documents are digitised in a format that guarantees permanence, integrity and readability over time, and facilitates access to the information they contain

Where possible, the format chosen for EMSA documents is enriched by optical character recognition (OCR) that leaves the image intact but facilitates full text searches

2.6.3 Quality control

Quality control takes place at two levels:

- a) automatic quality control provided by the combined digitisation/OCR system – in the event of errors relating to metadata, duplications, etc., the system automatically sends an error message to the digitisation department, which duly corrects them; and
- b) manual quality control to verify that all content has been digitised correctly (all pages are included, the order of the pages has not been reversed, there are no errors, etc.).

The stringency of quality controls is directly proportional to the value of the electronic renditions or the length of time for which they are to be retained.

Notwithstanding the rules on the elimination of originals, all records are kept in their original medium for 6 months as a precaution. During this time, any errors reported are immediately corrected.

Where digitised content is corrupted due to preservation issues, it is considered valid if its essential parts are still readable by any means and by comparison with the corresponding original, if still available.

2.6.4 Retention of original content

If the original is a paper document for which one or more signatures are a substantial formality, it is preserved and subsequently transferred or eliminated in accordance with the retention rules¹³.

2.6.5 Documentation of the digitisation procedure

In all cases, the digitisation procedure must document:

- a) the scope;
- b) the procedural framework;
- c) the validation of results; and

¹³ See section 3.1.1.

- d) the elimination of the original medium.

All documentation relating to digitisation operations must be kept permanently.

2.7 DATA AND INFORMATION WITHIN EMSA

Data and information must be available and shared as widely as possible within EMSA, in order to:

- a) facilitate the use of collaborative working methods;
- b) facilitate search and reuse of data and information; and
- c) promote synergies and efficiencies in the use of resources.

However, EMSA departments and units may limit information sharing on certain files in the short, medium or long term, when they are internally considered as 'sensitive non classified' (recruitment, procurement, etc.).

The main reasons to limit access to data and information relate to information security, data protection and sectoral confidentiality, i.e. due to competition issues, investigations and commercial interests.

Effective systems and tools must be used to facilitate the search for data and information across official electronic repositories.

In the interest of information sharing, EMSA departments and units must ensure that their files are as visible and as widely accessible as is consistent with the sensitivity of their content.

2.8 INFORMATION SECURITY

Where confidentiality, integrity or availability of information is concerned, assessment of the degree of protection is required. The main reasons for information security at EMSA are protection of personal data, commercial interests of third parties and decision-making process.

Classified records are processed and protected in accordance with the "EMSA Security Rules for protecting EU classified information (EUCI): Security rules" available on the intranet. Classified records shall be archived in an area set apart from the other archiving spaces and controlled by security rules; the degree of protection shall correspond with the security criticality of the individual records to be protected.

Documents may be classified at the following levels:

- (a) **SECRET UE/EU SECRET**: information and material the unauthorised disclosure of which could seriously harm the essential interests of the European Union or of one or more of the Member States;
- (b) **CONFIDENTIEL UE/EU CONFIDENTIAL**: information and material the unauthorised disclosure of which could harm the essential interests of the European Union or of one or more of the Member States;
- (c) **RESTREINT UE/EU RESTRICTED**: information and material the unauthorised disclosure of which could be disadvantageous to the interests of the European Union or of one or more of the Member States.

EMSA currently does not handle documents classified, **SECRET UE/EU SECRET** or **CONFIDENTIEL UE/EU CONFIDENTIAL**

The **RESTREINT UE/EU RESTRICTED** documents shall not be uploaded in the EMSA official register but in a dedicated place. The metadata of these documents, albeit limited due to their restricted nature, will be registered in the EMSA official register and will include the location of the dedicated place where the documents are stored. The public shall not have access to classified documents. According to the Article 5 of the Archive regulation¹⁴, for the sake of compliance with the 30-year rule provided for in Article 1(1), EMSA shall in good time, and no later than the 25th year following the creation of a document, examine all documents classified in accordance with the EMSA Security rules in order to decide whether or not to declassify them. Documents not declassified at the first such examination shall be re-examined periodically and at least every five years. For the application of these articles, the document management officer will work closely with the EMSA Security Officer.

Sensitive non-classified information is also subject to specific drafting, marking, capturing and other processing provisions. This material must be protected because of legal obligations laid down in the Treaties or in acts adopted in implementation thereof, and/or because of its sensitivity.

Sensitive non-classified information includes, but is not limited to, information or material covered by the obligation of professional secrecy, as referred to in Article 339 TFEU, information covered by the interests protected in Article 4 of Regulation (EC) No 1049/2001 of the European Parliament and of the Council (12) read in conjunction with the relevant case law of the Court of Justice of the European Union or personal data within the scope of Regulation (EC) No 2018/1725. Sensitive non-classified information shall be subject to rules regarding its handling and storage. It shall only be released to those individuals who have a 'need-to-know'. The Executive Director can decide even on more restricted access on case by case basis.

3. ARCHIVING RECORDS: PRESERVATION AND HISTORICAL ARCHIVES:

To fulfil with its obligation regarding permanent preservation for historical purposes EMSA needs

To ensure that documents are retained for the applicable period defined by the EMSA Retention List (section 3.1 "Retention")

To identify the relevant procedures for the establishment of the EMSA historical archive (section 3.2 Appraisal, Transfer and Elimination)

To identify responsibilities at all stages of the preservation processes (section 3.3 "Organisation and responsibilities")

To provide the appropriate storage infrastructure to meet any preservation requirement (section 3.4 "Preservation and storage")

To guarantee the deposit of the EMSA's historical archive at the European University Institute (section 3.5 of these Implementing Rules)

¹⁴ Council Regulation (EEC, Euratom) No 354/83 concerning the opening to the public of the historical archives of the European Economic Community and the European Atomic Energy Community (O.J.L. 43, 15.2.1983, p. 1) as amended.

3.1 RETENTION

3.1.1 EMSA Retention List

The EMSA Retention List is a regulatory instrument that sets the retention period for the different types of EMSA file. Structured as a retention schedule, it provides preservation information for each type of file.

Unit 4.1, responsible for records management and archiving draws up and updates the EMSA Retention List in close cooperation with the Data Protection Officer and all EMSA departments and units.

The EMSA Retention List takes account of the organisational context and the EMSA's legal obligations. It aims to:

- a) identify the file types created and held by departments and units in the course of their activities, in order to ensure that the corresponding files are properly preserved;
- b) lay down the retention period for each type of file, taking into account its administrative usefulness, any statutory and legal obligations, and its potential historical value.

The retention period for each type of file is determined by:

its administrative retention period (ARP);

the action to be taken at the end of the ARP (post ARP action or first review); and

where applicable, the action to be taken after transfer to the historical archives.

The EMSA Retention List sets the following three parameters for each type of file;

- 1) establish the administrative elimination procedures that departments and units must apply to certain types of file;
- 2) set out the action to be taken by departments and units on the various types of file once the ARP has expired; and
- 3) determine what action should be taken on files that become part of the EMSA historical archive.

Three post ARP actions are possible: elimination, transfer to the historical archives and sampling or selection. For transferred files, two post transfer actions are possible: permanent preservation and second review.

The EMSA Retention List will apply to all official files created in accordance with these implementing rules. This list is not a static document and any modification may be the result of the adoption or amendment of legal bases, European Data Protection Supervisor (EDPS) opinions or legal service opinions imposing retention periods for certain files.

The EMSA Retention List is presented in Annex III.

3.1.2 Administrative elimination procedures for records

Administrative elimination procedures for records require departments to eliminate certain records or information from files for well-defined reasons before the end of the ARP.

The EMSA's retention lists must refer to administrative elimination procedures applicable to certain types of file¹⁵

¹⁵ Non awarded bids of procurement files.

The elimination of records entails their physical destruction

The elimination processes must be documented. This documentation must be preserved permanently.

3.1.3 Administrative Retention Period (ARP)

EMSA preserves their records and their files during the Administration Retention Period (ARP) laid down by the applicable retention list

Where all or part of a closed file is needed in the event of litigation, an investigation or a complaint to the Ombudsman, any post-ARP action is suspended until the case has been dealt with. Once this suspension ('legal hold') is lifted, the post-ARP action can be carried out

3.2 APPRAISAL, TRANSFER AND ELIMINATION

The purpose of the rules on the appraisal and transfer of files to the EMSA's historical archive is to:

- a) guarantee the long term preservation of archives that have historical value;
- b) facilitate access to such archives for anyone entitled to have access; and
- c) guarantee that the EMSA historical archives can be opened to the public after 30 years¹⁶

The aims of the implementing rules are to:

- a) establish procedures for the appraisal of the EMSA's files in accordance with the applicable retention list;
- b) establish procedures for the elimination of files; and
- c) set out the responsibilities of the EMSA departments and units and the EMSA Appraisal Committee with a view to guaranteeing the medium and long-term accessibility and preservation of the archives

3.2.1 Principles governing appraisal and transfer of files to the EMSA's historical archive.

- a) Retention periods must take account of the obligation to transfer records no later than 15 years after the date on which they were created¹⁷
- b) EMSA files need to be reviewed in the light of the applicable retention list with a view to eliminating them or transferring them to the historical archives. At the end of their ARPs, all official files that need to be permanently preserved must be transferred to the EMSA historical archives
- c) In cooperation with EMSA departments and units, the DMO is responsible, under the authority of the Appraisal Committee, for the first review of files¹⁸ and for their transfer to the EMSA historical archives

¹⁶ In accordance with Article 1 of Regulation (EEC, Euratom) No 354/83.

¹⁷ See Article 7 of Regulation (EEC, Euratom) No 354/83. According to the EMSA retention list, files assigned to category of the retention list "EMSA 4.2 on Visit or Inspection" are an exception to this rule. Files on visit and inspections are only submitted for sample or selection after 20 years of being closed. After 20 years, the files on visits and inspection will be sampled or selected to be transferred to the EMSA historical archive. According to the regulation, files on visits and inspection with historical value will be opened to the public no later than 30 years after their creation.

- d) At the time of first review, EMSA departments and units in cooperation with DMO must check for external circumstances that could justify exemption from an elimination prescribed by the retention list¹⁹. They must document any such exemption and submit it to the Executive Director for agreement.
- e) Compelling reasons must be provided to justify any exemption from the obligation to transfer files. The DMO must submit these reasons to the Executive Director for agreement. Such exemptions will not affect the opening of the historical archives to the public after 30 years.
- f) To guarantee processing in compliance with the obligation to open the historical archives to the public, records and files containing sensitive information²⁰ must be clearly identified when they are transferred to the EMSA historical archives. Transferring departments and units must cooperate with the DMO to review such sensitive information no later than 25 years after the closure of the files concerned, with a view to determining whether the files concerned can be opened to the public.
- g) Records and files not identified as containing classified or sensitive information will be opened to the public no later than 30 years after their creation.

3.2.2 EMSA appraisal committee

The role of the EMSA appraisal committee²¹ is:

- a) Making appraisal decisions in the light of the applicable EMSA retention list and the applicable legislation especially, the compliance with the rules on the protection of personal data;
- b) Documenting the appraisal decisions by submitting the appropriate report for the approval of the corresponding Head of Department or Head of Unit;
- c) Nominating and coordinating other colleagues as relevant;
- d) Ensuring the implementation of the EMSA Retention List as well as these implementing rules.

The DMO and the Data Protection Officer (DPO) are permanent members of the appraisal committee which meet upon request the Chairperson, the Head of Unit responsible of Records Management. Upon request of the Chairperson, the relevant chef de File and other EMSA colleagues if deemed necessary will be requested to attend to the appraisal committee meetings in order to provide input to the appraisal decisions.

3.2.3 Rules governing the appraisal of files

The appraisal of files consists of a first and a second review. A first review is applicable to all files at the end of their administrative retention period (ARP). If the retention list provides for a second review, it must take place no later than 25 years after the files are closed.

3.2.3.1 First review

On the basis of the applicable retention list, a first review of files that have reached the end of the Administrative Retention Period (ARP) must be undertaken at least once a year.

In accordance with the applicable retention list, the first review results in either the elimination of the files or transfer to the historical archives, where applicable after sampling or selection.

¹⁹ This includes post-ARP actions such as sampling/selection and elimination. In many cases, operational units must be involved in reviewing files. The role of the DMO, the Appraisal Committee and the operational units is to ensure that the first review of files complies with these provisions.

²⁰ Such circumstances could include the uncovering of past maladministration, an extraordinary public interest in the information or in the records concerned, or other factors that could make it necessary to preserve the files, at least temporarily.

²¹ Within the meaning of Article 2(1), (2) and (3) of Regulation (EEC, Euratom) No 354/83

²² See Ref. Ares(2018)1501853

3.2.3.2 Second review

Files transferred to the EMSA historical archives after first review are:

- permanently preserved; or
- reviewed for a second time.

The second review is performed no later than 25 years after the closure of the files and results (depending on their historical value) in:

- their elimination; or
- their permanent preservation, where applicable after sampling or selection.

3.2.4 Rules governing sampling and selection

Sampling and selection are procedures that involve choosing a number of files for preservation from among a larger body of files. The files that are not preserved are eliminated.

The rules on sampling and selection apply to both the first and the second review.

In the case of sampling, files are chosen for preservation on the basis of an automated or random procedure with a view to keeping a proportion that is representative of the whole.

In the case of selection, files are chosen for preservation on the basis of subjective criteria. The files are not necessarily representative of the larger body from which they were selected.

Each sampling/selecting procedure must be fully documented. The documentation must include at least the following:

- a) the justification and purpose of sampling/selection;
- b) a list of files undergoing sampling/selection, including an indication of:
 - the relevant retention list category;
 - the files chosen for preservation; and
 - the files chosen for elimination; and
- (c) the criteria applied and the reasons for them.

Where files are sampled/selected at first review, the DMO produces a list of files selected for permanent preservation and a list of files to be eliminated. These lists are submitted for the approval of the corresponding leads units or chefs de file and for the appraisal committee. Files selected for elimination are eliminated in accordance with point 3.2.5. The list of eliminated files is registered by the DMO and permanently preserved. Files selected for preservation will become part of the EMSA historical archive in accordance with point 3.2.6.

Where files are sampled/selected at second review, the DMO produces a list of files selected for permanent preservation and a list of files to be eliminated. These lists are submitted for the approval of the corresponding leads units or chefs de file and for the appraisal committee. Files selected for elimination are eliminated in accordance with point 3.2.5. The list of eliminated files is registered by the DMO and permanently preserved. Files selected for preservation will become part of the EMSA historical archive in accordance with point 3.2.6.

3.2.5 Rules governing the elimination of files

Elimination entails the physical destruction of files in accordance with the applicable retention list at first review or where elimination is the result of second review or of sampling/selection.

Files must be eliminated in accordance with the applicable security provisions.

Elimination includes the physical destruction of storage media²² and the erasure and overwriting of all known instances of the material to be eliminated, to ensure that the information is permanently and irrevocably eliminated.

Where the elimination of files involves the physical destruction of paper or other material support, the recycling and destruction standards in force at EMSA at the time of destruction need to be applied.

Elimination must be properly documented. Such documentation must include:

- a) the justification for elimination;
- b) the list of eliminated files, including their relevant metadata;
- c) the staff responsible for the decision to eliminate the files;
- d) where physical destruction of storage media occurs:
 - the department and staff responsible; and
 - the conditions under which elimination took place, including the date and method of destruction.

Where files are eliminated after first review, the DMO produces the list of the files to be eliminated after first review. The list is submitted for the approval of the appraisal committee and the corresponding leads units or chefs de file. The list of files to be eliminated after first review is registered by the DMO and permanently preserved.

Elimination of information classified is done in accordance with the information security provisions. See point 2.8.

Where files are eliminated after second review, the DMO produces the list of the files to be eliminated after second review. The list is submitted for the approval of the appraisal committee and the corresponding leads units or chefs de file. The list of files to be eliminated after second review is registered by the DMO and permanently preserved.

3.2.6 Rules governing the transfer of files

EMSA departments and units must cooperate with the DMO when preparing transfers. All files with historical value must be transferred to the EMSA historical archive, analogue files will be stored in the EMSA archiving rooms and electronic files will be permanently preserved in an official repository that is yet to be determined²³.

All transferred files must be accompanied by a transfer form and include the metadata required for the appropriate reception and processing of the files by the DMO. EMSA departments and units should transfer records containing classified information only after declassification. However, they must transfer the metadata of records containing RESTREINT UE/EU RESTRICTED information at the end of the ARP of the files in which they are kept.

Files for which the metadata are not fully available must nevertheless be reviewed and transferred.

3.2.7 Transfer and elimination of metadata

Following the first review, in addition to the acquired metadata²⁴, transfer metadata must be added to all transferred archives.

Where records and files are eliminated in the original official electronic repository, their metadata are sent to the official electronic file repository for definitive or historical archives as evidence of their elimination.

²² Storage media include paper, tapes, hard drives and any other physical material with recorded data.

²³ EMSA will have to evaluate between using EC infrastructure (application and definitive electronic repository) or EU Historical Archives infrastructure for permanently preserved the EMSA official electronic records and files with historical value as well as metadata of official files eliminated after the Administrative Retention Period.

²⁴ This concerns capture, registration, filing and preservation metadata, and metadata for electronic and digitised records.

Following the first or second review, elimination metadata must be preserved permanently in the references of eliminated files.

3.2.8 Responsibilities concerning files and records transferred to the EMSA's historical archives

As lead departments, units or chef de files, EMSA units must:

- a) if requested, help the DMO to assess the historical value of transferred files during second review;
- b) regularly review classified RESTREINT UE/EU RESTRICTED information and cooperate with the DMO to review sensitive non-classified information²⁵, with a view to declassification or ascertaining whether the exceptions for sensitive records continue to apply;
- c) continue to process all access requests from other EU institutions, agencies and other bodies until the archives have been opened to the public; and
- d) continue to process public access requests in accordance with Regulation (EC) No 1049/2001 until the archives have been opened to the public

3.2.9 Processing legacy files

These implementing rules apply to records and files created before the deployment of the official register at EMSA in April 2017. The files created before the migration to ARES are referred to as "legacy files".

3.3 ORGANISATION AND RESPONSIBILITIES

Throughout their lifecycle, records and files fall under the responsibility of a clearly identified lead department or chef de file (Head of Department or Head of Unit) until the end of their Administrative Retention period in accordance with the EMSA Retention List.

Once his period has elapsed the Unit in charge of the records management function will undertake the next steps in the life of a document in close cooperation with the former chef de file and the desk officer (appraisal of the file in view of: deletion, sample, selection or transfer for permanent preservation)

Any change in lead department or chef de file must be documented.

Each department and unit must ensure the protection of the records and files for which it is responsible and their short and medium-term accessibility²⁶, until the closure of the file.

The Unit 4.1 in charge of records management and archiving, is responsible for implementing the preservation rules. These rules must ensure that, whatever the medium;

- a) current official records and official files are available to the staff dealing with the project;
- b) the lead department or chef de file for the official records and official files is known and is aware of its responsibilities;

²⁵ Within the meaning of Article 2(1), (2) and (3) of Regulation (EEC, Euratom) No 354/83

²⁶ i.e. accessibility throughout the administrative retention period as set out in the common retention list or, where applicable, retention list.

- c) current and intermediate official records and official files are kept in the appropriate storage infrastructure and are inventoried; and
- d) the nature and location of intermediate official records and official files as well as definitive or historical official records and official files are known.

Any creation, modification or migration of the systems, means and location of the archives is documented and carried out in agreement with the document management officer concerned and in compliance with the rules in force.

3.4 PRESERVATION AND STORAGE

Appropriate storage infrastructure must be provided to meet any preservation requirements. It must be suitable in the light of the types of record and file it needs to accommodate and the length of time these need to be preserved.

3.4.1 Electronic repositories for EMSA official records and official files

The EMSA's electronic and digitised official records and official files must be preserved in ARES throughout their lifecycle unless otherwise established by the Executive Director.

If records are signed electronically, the electronic signatures and the digital certificates which were used to produce them must also be integrated into the related electronic repository.

3.4.1.1 Architecture

EMSA official records and official files throughout their lifecycle are to be kept and preserved in electronic repositories. The architecture of the selected electronic repositories must take account of the fact that there are different requirements for short- and medium-term readability, accessibility and preservation (current and intermediate records and files) and long-term readability, accessibility and preservation (definitive or historical archives).

Therefore, EMSA official records and official files throughout their lifecycle must be kept and preserved in:

- a) an electronic repository for current and intermediate records and files capturing electronic and digitised documents, together with all relevant metadata. Hermes is the official electronic repository for current and intermediate official records and official files managed by ARES, official register at EMSA and
- b) an electronic repository for definitive or historical archives²⁷

3.4.1.2 Functionalities

The electronic repositories that store EMSA official records and official files throughout their lifecycle must feature the following minimum functionalities:

- a) capture and filing of records in accordance with the applicable rules;
- b) preservation of records and files, all relevant metadata and the stages of the procedure in accordance with the rules on preservation and their implementing rules;

²⁷ EMSA official files that need to be permanently preserved must be migrated from Hermes to an official electronic repository for definitive or historical archives. EMSA is evaluating to use the electronic repository for definitive or historical archives of the European Commission or the infrastructure and services offered by the EU Historical Archives Services. Long-term digital preservation needs to take account of the impact of changing technologies and changing audiences. Arrangements for this repository must therefore provide for monitored and documented preservation actions, such as adding technical metadata, using checksums and executing format conversion, to ensure that the digital records remain readable.

- c) migration of format(s) and/or computer environment(s) at sufficiently frequent intervals to guarantee the readability, accessibility and preservation of records and files throughout their retention period;
- d) management of linguistic and historical versions of the same record;
- e) a time stamp certifying the deposit of the record and its metadata on a given date, and the renewal of this time stamp at suitable intervals depending on security risks;
- f) disablement of the possibility of altering records bearing an electronic signature;
- g) access management and control based on the predefined rights of users that own records and files and on the degree of accessibility to the records and files themselves;
- h) elimination of files, records and their metadata that are to be eliminated once their retention period expires and preservation of an audit trail of such eliminations;
- i) efficient search tools enabling files, records and metadata to be easily retrieved;
- j) a reporting function making it possible to produce reports on the basis of predefined criteria, with facilities for sorting and the possibility of saving, exporting or printing these reports;
- k) material protection of the electronic repository against any risk of damage, loss or alteration of its integrity (measures to protect against virus and cyber attacks and any other non-authorised access); and
- l) regular backups and the availability of a site mirroring the entire structure and content of the official electronic repository that is ready to take over if an emergency plan must be activated.

3.4.2 Physical storage areas

Analogue official records and official files must be kept in physical storage areas that guarantee adequate physical protection and meet the following minimum requirements:

- a) a suitable location that is well designed, constructed and maintained;
- b) the possibility to control environmental conditions and protection against excessive light, dust, dirt, damp, heat, pests and mould;
- c) suitable storage facilities for records with different requirements, including shelving for boxes and cabinets or drawers for maps and plans;
- d) protection from unauthorised access; and
- e) protection from damage and disaster, including incompatible or hazardous activities and circumstances.

The Agency has specific dedicated storage areas secured by an electronic lock and managed by the unit responsible for records management and archives, one dedicated room for HR archives and the remaining for EMSA intermediary files and official files with historical value.

Regarding the physical protection in storage areas, EMSA applies the principle of proportionality according to which the level of the preservation requirements is directly proportional to the length of time the archives will be preserved. This principle is considering in the general storage conditions applicable for all types of archives in EMSA

3.4.3 Preservation over time

Once captured, official records are preserved in their original and/or a permanent format

As soon as an official record becomes part of an official electronic repository, any change is identified by means of an audit trail.

Depending on the period for which official records and official files are to be retained and without compromising their authenticity or integrity, their medium or format may be changed to guarantee that they must remain accessible and legible over time.

3.4.4 Preservation of metadata

All metadata accompanying an official record or official file throughout its lifecycle must be preserved

These are supplemented by preservation metadata, which are added by the lead department or chef de file or by the official electronic repository

3.5 DEPOSIT OF THE EMSA'S HISTORICAL ARCHIVE AT THE EUROPEAN UNIVERSITY INSTITUTE (EUI) AND PUBLIC ACCESS

3.5.1 Deposit

- a) The historical archive that has been opened to the public is to be deposited at the Historical Archives of the European Union at the EUI in accordance with the annex to Regulation (EEC, Euratom) No 354/83
- b) EMSA must provide descriptions of the deposited collections. These descriptions must be in line with recognised archival standards and accompanied by an overview, i.e., transfer lists, of the deposited material
- c) EMSA must provide for the transport of the non-digital collections to the EUI and bear any associated insurance costs

3.5.2 Public access

- a) EMSA must cooperate with the EUI as the primary point of public access to its historical archive. In addition, it may, where necessary, also provide direct access to its own historical archive.
- b) EMSA must cooperate with the EUI where possible to promote access to its own historical archive and to the related guides and inventories via the Archives Portal Europe.

4. GOVERNANCE AND IMPLEMENTATION

4.1 COORDINATION AND MONITORING BY THE UNIT RESPONSIBLE FOR RECORDS MANAGEMENT AND ARCHIVING

Unit 4.1 is responsible for coordinating records and archives management and EMSA departments and units' compliance with the common standards on:

- a) the capture of information, including the registration of records;
- b) the filing and management of files;
- c) the preservation of files; and

- d) the appraisal and transfer of files to the EMSA historical archive.

Unit 4.1 works in closely with the Secretariat-General and DG DIGIT of the European Commission under the terms of the Service Level Agreement for the use of HAN²⁸:

Hermes: the official repository for all official documents.

Advanced Records System (ARES): A web application that provides records management functionalities. Official register at EMSA.

Nomenclature Commune (NomCom): A web application that enables the management of the filing plan.

Hermes Preservation Services (HPS): A preservation layer that provides support for the retention schedule management.

Unit 4.1 provides EMSA staff with trainings on records management and archiving to help to ensure compliance with applicable regulation, implementing rules and common standards²⁹. An awareness training on records management for all EMSA newcomers is incorporated in the induction programme and in the EMSA training catalogue.

Unit 4.1 shall monitor the implementation of the DECISION OF THE ADMINISTRATIVE BOARD on records management and archives at EMSA.

In close cooperation with the relevant key actors of the Agency, Unit 4.1 shall update these implementing rules and its annexes if required and shall submit the updates to the approval of the EMSA Executive Director.

4.1.1 Document Management Officer (DMO)

The Document Management Officer (DMO) is responsible for:

- a) identifying the types of record and file specific to the areas of activity of the Agency;
- b) drafting internal rules for the application of the Archive Regulation in force or any future regulation on records management and archives;
- b) establishing and updating the inventory of specific databases and IT systems managing information to be captured in the official repository (Annex I of these Implementing Rules);
- c) maintaining and updating the filing plan and ensuring compliance with the rules on filing (Annex II of these Implementing Rules);
- d) maintaining and updating the retention list (Annex III of these Implementing Rules) ;
- e) working for connecting registers in closed cooperation with other EMSA units (Annex IV and VI of these Implementing Rules)
- e) opening and closing official files and keeping up to date the list of all open and closed files with information on their media, storage, location, retention period, post ARP action and internal procedures and actions to implement the preservation rules, including reference to the stakeholders involved and their responsibilities;
- f) monitoring the registration and filing of official records to ensure the ongoing smooth operation of the procedures for access to records, transfers to the historical archives and opening archives to the public;

²⁸ This agreement does not cover the use of long-term preservation repositories or services provided by the Commission's Historical Archives Services

²⁹ Article 18 of the DECISION OF THE ADMINISTRATIVE BOARD on records management and archives sets out the Unit 4.1's commitment with the continuous training on records management and archives.

- g) monitoring and ensuring the retention, appraisal, transfer of official files with historical value for the EMSA historical archive,
- h) monitoring and ensuring the elimination of files in application of the retention list,
- i) Organising and delivering trainings on records management and archiving. Ensuring that all staff in the Agency are aware of their responsibilities as regards records and archives management, as set out in the Decision and these Implementing Rules, and ensuring that they follow training that enables them to fulfil these responsibilities;
- j) maintaining relations with the Secretariat General, DG DIGIT of the European Commission, the European Union Historical Archives and any other EMSA departments or units that may be involved in the performance of their duties;
- k) helping to uphold the 'need to know' principle and to conduct security risk assessments for records and files;
- l) reporting security and information security incidents to the EMSA security officer; and
- m) reporting any cases of (potential) personal data breaches in accordance with the provisions of [EMSA Personal Data Breach Manual](#) to EMSA DPO.

List of Annexes

Annex I	EMSA registers and repositories
Annex II	EMSA filing plan
Annex III	EMSA retention list
Annex IV	Electronic signature: Use of ARES signature in EMSA
Annex V	Electronic signature: Use of PCM signature and PCM electronic workflows in EMSA
Annex VI	Procurement documents: Quick reference guide

Annex I EMSA registers and repositories

A register is an administrative instrument and repository that contains registered documents (records) and their essential metadata. An IT application establishing the receipt and dispatch of documents that are complete and properly constituted from an administrative and/or legal standpoint, as well as the regularity of their transmission is a register. Documents shall be registered if they contain important information which is not short-lived or if they may involve action or follow-up by EMSA or if the document needs to be kept as evidence.

Registers shall be set up to generate unique identifiers for the registered records. Each register shall be connected to one or more electronic repositories. Point 2.1.4 of these Implementing Rules provides with the minimum criteria to be fulfilled by all registers.

EMSA registers are classified in official, specific and equivalent registers.

Official register

ARES (Advanced Record System): Approved by the ED on 06/02/2017 (See Ref.: [Ares\(2017\)2062379](#)), ARES is the official register at EMSA from 3 April 2017. The predecessor was EMRAM.

As the official register at EMSA, ARES is the register used throughout the Agency to register incoming and outgoing official documents. Outgoing electronic official documents are dispatched by ARES (by ARES external transmission feature) or Areslook as far as possible.

ARES is a web application that provides document and records management functionalities:

- a. document management capabilities (document creation and versioning);
- b. records management capabilities (document registration and filing);
- c. advanced search features;
- d. management of validation workflows;
- e. management of assignments;
- f. user profile and group management.

ARES is jointly managed with NomCom, a web application that enables the centralised management of the filing plan.

ARES and NomCom are connected to Hermes, the official repository for official documents. It serves as official repository for official files until the end of Administrative Retention Period. These services are used by EMSA in accordance with the terms of the SLA agreement between the services of the EC and EMSA on HAN (Hermes-ARES-NomCom) services³⁰ (See Ref.: [Ares\(2020\)215132](#)).

Specific registers

Applications used to register documents subject to specific processes without having to re-encode them in the official register. Without possessing all the qualities in point 2.4.1 some of their features are similar to the official register:

³⁰ This agreement does not cover the use of long-term preservation repositories or services provided by the Commission's Historical Archives services. These services shall be the subject of a separate agreement.

1 ABAC

Type of data contained	Budgetary Commitments, Invoices, Credit Notes, Payment Orders/ Payment Requests, Recovery Orders, Validation workflows, Implementation of Budget, Budget Transfers, Authorisation of Expenditure, AO Delegations
Data format	Electronic records
Comments	Hybrid files: supporting documents are stored in paper format with the operational units
EMSA owner unit	4.2
Other impacted units	EMSA staff
Access right	EMSA Financial actors
EMSA Retention List	Linked to financial regulation
Administrative Retention Period	See category EMSA 8.11.5

2.- EMSA Contract Library

Type of data contained	Contracts, administrative arrangements, amendments	
Data format	Paper records	
Comments	<p>All original contracts (including all annexes), administrative arrangements (including all annexes) and their amendments (including any annexes) are on paper in the EMSA premises within the space allocated to Unit A.2</p> <p>From August 2016 onwards, a working copy in electronic format of contracts (including all annexes), administrative arrangements (including all annexes), all amendments (including any annexes) to contracts and award decisions are uploaded into SHAPE</p>	
EMSA owner unit	4.2.	
Other impacted units	EMSA staff	
Access right	Any staff member on the basis 'need to know'	
EMSA Retention List	EMSA 5.3; EMSA.8.6.3	
Administrative Retention Period	10 years	
Disposal actions	✓ SAM/SEL	✓ 2ndR

3. E Personal file

Type of data contained	Personal, administrative and career records	
Data format	Electronic records	
Comments	<ul style="list-style-type: none"> Hybrid files as some of the documents of a personal file are kept on paper (contract of employment, etc.) The tool allows for the processing of electronic requests which are stored there in 	
EMSA owner unit	4.1.	
Other impacted units	4.1 and all staff for their own file	
Access right	<p>Restricted to HR and the job holder who owns data.</p> <p>Career, training, work-patterns and ethics sections are available to reporting and countersigning officers</p>	
EMSA Retention List	EMSA 8.2.6	
Administrative Retention Period	10 years following the termination of employment or the last pension payment	
Disposal actions	✓ EL	

Equivalent registers

Applications with equivalent effect to a specific register correspond to applications that do not have all the characteristics of a register but that are sufficiently reliable to be used as such for the purpose of identification and filing

1 HR Central database

Type of data contained	Administrative + personal + career data of all EMSA staff
Data format	Electronic records
Comments	Anonymous specific + periodical reports and anonymous statistics are generated and filed under the corresponding headings of the filing plan in ARES
EMSA owner unit	4 1
Other impacted units	EMSA staff
Access right	Restricted to HR
EMSA Specific Retention List	EMSA.8.2.6
Administrative Retention Period	10 years following the termination of employment or the last pension payment
Disposal actions	✓ EL

2.- LeaMa and TiMa

Type of data contained	Leaves and absences register Managing requests and approvals
Data format	Electronic records and paper records
Comments	<ul style="list-style-type: none"> Hybrid files: supporting documents are stored in paper format in the office of LeaMa's manager. Retention and preservation strategy to be implemented in the specific register: To Be Defined in the coming months.
EMSA owner unit	4.1.
Other impacted units	EMSA staff
Access right	Restricted to HR and the job holder who owns data
EMSA Specific Retention	EMSA.8.2.9. See notification to the DPO: Ares(2020)942301
Administrative Retention Period	30 years after the end of service of the staff member
Disposal actions:	✓ EL

3.- MiMa

Type of data contained	Mission information management. Data about mission requests; orders; claims; reimbursements; approval workflows supporting documents and brief missions reports
Data format	Electronic records and paper records
Comments	<ul style="list-style-type: none"> Hybrid files: supporting documents for claims and reimbursement are stored in paper format in Mission and Events' office Long mission reports are filed in the corresponding project files in ARES Short mission reports for the purpose of reimbursement are stored in MiMa
EMSA owner unit	4 1
Other impacted units	EMSA staff
Access right	EMSA staff
EMSA Specific Retention List	EMSA.8.2.8.C (category for mission reimbursement)
Administrative Retention Period	7 years
Disposal actions	✓ EL

4. DPO: Register of Processing Operations

Type of data contained	Art 31 (5) of Regulation 2018/1725 and Article 7 of the Implementing rules concerning the protection of personal data at EMSA establishes that the DPO shall keep a register of the processing operations notified pursuant to Article 6 of the aforementioned rules
Data format	Electronic records
Comments	<ul style="list-style-type: none"> Hybrid files Supporting Documents for the processing operations Opinions of EDPS for Article 27 A copy is stored in ARES
EMSA owner unit	DPO
Other units impact	All EMSA Units dealing with data falling under the scope of the Regulation
Access right	EMSA staff and public, as they are uploaded in the intranet and Internet of the Agency.
EMSA Specific Retention List	EMSA 1 4
Administrative Retention Period	5 years
Disposal actions	✓ THA/PP

5.- e-Recruitment tool

Type of data contained	Candidates applications
Data format	Electronic records
EMSA owner unit	4.1.
Other impacted units	N/A
Access right	Restricted to HR
EMSA Specific Retention List	EMSA 8 2 4 D and EMSA 8 2.4 E
Administrative Retention Period	5 years (If applicable following the expiry date of the, extended, reserve list) and 2 years respectively
Disposal actions	✓ EL

6.- EMSA Procurement and Contract Management - PCM

Type of data contained	Procurement documents and Contracts
Data format	Electronic records
Comments	Internal IT system enabling users to create all necessary procurement documentation. By means of electronic workflow the system provides for electronic approval of relevant procurement documentation.
EMSA owner unit	4 2
Other impacted units	EMSA staff
Access right	EMSA Legal actors, Financial actors and Project Officers
EMSA Specific Retention List	EMSA 5.2 and EMSA 8.6.2: procurement procedures, EMSA 5.3. and EMSA 8.6.3: legal commitments (following award of contracts)
Administrative Retention Period	10 years for procurements; contracts and amendments Elimination of all unsuccessful bids after 5 years

Disposal actions	✓ SAM/SEL	✓ 2ndR
------------------	-----------	--------

ICT BASED SERVICES AT EMSA³¹

External Services and Back-end for the external service:

The [EMSA Service Catalogue](#), external version, managed by 3.1 provides a central source of information of the ICT-based services delivered by EMSA to external users as well as the back-end services supporting them or serving specific projects, their features and present status.

Internal Services:

The EMSA Service Catalogue, internal version, managed by 3.1, which includes the ICT-based services delivered by EMSA to internal users. EMSA registers are internal services according to the type of service of the EMSA Service Catalogue.

³¹List of TPMs & BPMs approved by ICT SG to contact with Technical Project Managers and Business Project managers of external and internal services.

Annex II EMSA filing plan

11.02.001 Governance

- 11.02.001.001 Administrative Board
 - 11.02.001.001.001 Administrative Board Meeting
 - 11 02 001 001 002 Administrative Board Written Procedures
 - 11.02.001.001.003 Administrative Board Working Groups
 - 11.02.001.001.004 Correspondence Management
- 11.02.001.002 Executive Director Activities
 - 11.02.001.002.001 Executive Director Decisions
 - 11.02.001.002.002 Executive Director Senior Management Meetings
 - 11 02 001 002 003 Executive Director Activities
- 11.02.001.003 Legal Framework
 - 11.02.001.003.001 Mission statement
 - 11 02 001 003 002 Founding Regulation
 - 11.02.001.003.003 Security
 - 11.02.001.003.004 Delegation of Authority
 - 11.02.001.003.005 Internal Legal Framework
- 11 02 001 004 Business Continuity
 - 11.02.001.004.001 Business Continuity Planning and Management
 - 11.02.001.004.002 Handover files
- 11.02.001.005 Internal Control System
 - 11 02 001 005 001 Internal Control System management
 - 11 02 001 005 002 Internal Control Coordination (ICC)
- 11.02.001.006 Audit and Evaluation
 - 11.02.001.006.001 Development of indicators
 - 11 02 001 006 002 Internal Audit Service (IAS)
 - 11.02.001.006.003 European Parliament
 - 11.02.001.006.004 European Court of Auditors (ECA)
 - 11.02.001.006.005 European Ombudsman (EO)
 - 11 02 001 006 006 European Anti Fraud Office (OLAF)
- 11.02.001.007 Quality assurance
 - 11.02.001.007.001 Quality Management System (QMS)
 - 11.02.001.007.002 ISO Certification
 - 11 02 001 007 003 Quality Management Reviews
- 11 02 001 008 Programming, implementation and reporting
 - 11.02.001.008.001 Programming
 - 11.02.001.008.002 Implementation
 - 11 02 001 008 003 Reporting
- 11 02 001 009 ICT Steering Committee ICT SG
- 11.02.001.010 Interinstitutional Relations
 - 11.02.001.010.001 Inter-Agency Networks
 - 11 02 001 010 002 Relations with Coordinating Agencies
 - 11.02.001.010.003 EU Institutions
 - 11.02.001.010.004 EU Agencies
 - 11.02.001.010.005 Non-EU Bodies
 - 11 02 001 010 006 EU Countries
 - 11 02 001 010 007 Enlargement
 - 11.02.001.010.008 Non EU Countries
 - 11.02.001.010.009 Industry Stakeholders

11.02.001.010.010 Brexit

11.02.001.011 Data Protection

11.02.001.012 Social Dialogue

11.02.001.013 Accounting

11.02.002 Visits and Inspections to monitor the implementation of EU legislation

11.02.002.001 Visits and Inspection Policy

11.02.002.001.001 Procedural aspects

11.02.002.001.002 Horizontal analysis

11.02.002.002 Union law

11.02.002.003 Classification Societies

11.02.002.003.001 General/horizontal issues

11.02.002.003.002 Revision of Union law

11.02.002.003.003 American Bureau of Shipping (ABS)

11.02.002.003.004 Bureau Veritas SA (BV)

11.02.002.003.005 China Classification Society (CCS)

11.02.002.003.006 Nippon Kaiji Kyokai General Incorporated Foundation (ClassNK)

11.02.002.003.007 Croatian Register of Shipping (CRS)

11.02.002.003.008 DNV GL AS (DNV GL)

11.02.002.003.009 Korean Register (KR)

11.02.002.003.010 Lloyd's Register Group Ltd (LR)

11.02.002.003.011 Polish Register of Shipping (PRS)

11.02.002.003.012 RINA Services S.p.A. (RINA)

11.02.002.003.013 Russian Maritime Register of Shipping (RS)

11.02.002.003.014 Indian Register of Shipping (IRS)

11.02.002.003.015 Türk Loydu (TL)

11.02.002.003.016 International Association of Classification Societies (IACS)

11.02.002.003.017 Quality Assessment and Certification Entity (QACE)

11.02.002.004 Standards of Training, Certification and Watchkeeping (STCW)

11.02.002.005 Port State Control (PSC)

11.02.002.006 Maritime Security (MarSec) (N.B. for unclassified documents)

11.02.002.006.001 Technical assistance - Generic

11.02.002.006.002 Technical assistance - Inspections

11.02.002.007 Port reception facilities (PRF)

11.02.002.008 Marine equipment (MED)

11.02.002.009 Passenger ship safety

11.02.002.010 Accident investigation (AI)

11.02.002.011 Vessel traffic monitoring and information systems (VTMIS)

11.02.002.012 Sulphur

11.02.002.013 Fishing vessel safety

11.02.002.014 International Maritime Organisation Member State Audit Scheme (IMSAS)

11.02.002.014.001 States

11.02.002.014.002 General issues - IMO

11.02.002.014.003 General issues - European Commission

11.02.002.015 Bulk carriers (BULK)

11.02.003 Technical Assistance and Capacity Building

11.02.003.001 Research

11.02.003.002 Standards of Training, Certification and Watchkeeping (STCW)

11.02.003.002.001 STCW-IS

11.02.003.002.002 Review/Revision of Union law

11.02.003.002.003 Training

11.02.003.003 Port State Control

- 11.02.003.003.001 Paris Memorandum of Understanding (MOU)
- 11.02.003.003.002 Review/Revision of Union law
- 11.02.003.003.003 Maritime Labour Activities
- 11.02.003.003.004 Animal welfare
- 11.02.003.004 Accident investigation
 - 11.02.003.004.001 Permanent Cooperation Framework (PCF)
 - 11.02.003.004.002 European Marine Casualty Information Platform (EMCIP)
 - 11.02.003.004.003 Analysis of safety issues (Article 15 2 of Dir. 2009/18/EC)
 - 11.02.003.004.004 Analysis of investigation reports (Article 14 3 of Directive 2009/18/EC)
 - 11.02.003.004.005 Early alerts - Notes of warning on Accident investigation
 - 11.02.003.004.006 Publication of accident data
 - 11.02.003.004.007 Operational support for Member State investigations
 - 11.02.003.004.008 Implementation of Directive 2009/18/EC – Support to Member States
 - 11.02.003.004.009 Implementation of Directive 2009/18/EC – Support to the Commission
 - 11.02.003.004.010 Review - Revision of Union Law
 - 11.02.003.004.011 Cooperation with EU Agencies and other entities
- 11.02.003.005 Provision of Training
 - 11.02.003.005.001 Port State Control (PSC) training
 - 11.02.003.005.002 Other training for Member States
- 11.02.003.006 Marine equipment
 - 11.02.003.006.001 Review/Revision of Union law
 - 11.02.003.006.002 Research projects
 - 11.02.003.006.003 Implementation of Directive 2014/90/EU
 - 11.02.003.006.004 Implementation of Directive 96/98/EC
 - 11.02.003.006.005 Market Surveillance
 - 11.02.003.006.006 Safeguard Clause
 - 11.02.003.006.007 MarED Database
 - 11.02.003.006.008 MarED Group
 - 11.02.003.006.009 Standardisation Process
 - 11.02.003.006.010 Mutual Recognition Agreement EU-USA
- 11.02.003.007 International Safety Management (ISM) Code
 - 11.02.003.007.001 Review/Revision of Union law
 - 11.02.003.007.002 Implementation of Regulation (EC) 336/2006
 - 11.02.003.007.003 International Safety Management (ISM) group
- 11.02.003.008 Domestic Passenger Ships Safety
 - 11.02.003.008.001 Review – Revision of Union law
 - 11.02.003.008.002 Exemptions
 - 11.02.003.008.003 Technical advice
 - 11.02.003.008.004 Group of experts
- 11.02.003.009 Ship inspection support
 - 11.02.003.009.001 EQUASIS
 - 11.02.003.009.002 THETIS
 - 11.02.003.009.003 RuleCheck
 - 11.02.003.009.004 Maritime Knowledge Centres (MaKCs)
 - 11.02.003.009.005 MARINFO
 - 11.02.003.009.006 Emission inventories
 - 11.02.003.009.007 Virtual Reality
 - Environment for Ship Inspections
 - 11.02.003.009.008 Dynamic Overview of

National Authorities
DONA

- 11.02.003.010 International Labour Organisation (ILO) - related issues
 - 11.02.003.010.001 Maritime Labour Convention
- 11.02.003.011 Flag State
 - 11.02.003.011.001 Review/Revision of Union Law
- 11.02.003.012 Environmental Protection
 - 11.02.003.012.001 Greenhouse Gases (GHG)
 - 11.02.003.012.002 Air pollution
 - 11.02.003.012.003 Ship recycling
 - 11.02.003.012.004 Anti-Fouling Systems (AFS)
 - 11.02.003.012.005 Port Reception Facilities (PRF)
 - 11.02.003.012.006 European Sustainable Shipping Forum (ESSF)
 - 11.02.003.012.007 Studies
 - 11.02.003.012.008 Events
 - 11.02.003.012.009 Ballast Water Management Convention
 - 11.02.003.012.010 European Maritime Environmental Report
 - 11.02.003.012.011 European Ports Forum
 - 11.02.003.012.012 Environmental monitoring and modelling
 - 11.02.003.012.013 Marine litter
 - 11.02.003.012.014 Underwater noise
- 11.02.003.013 DG NEAR financed Projects for technical assistance to IPA and ENP countries
 - 11.02.003.013.001 SAFEMED III
 - 11.02.003.013.002 TRACECA II
 - 11.02.003.013.003 EC funds for enlargement countries
 - 11.02.003.013.004 SAFEMED IV
 - 11.02.003.013.005 Black and Caspian Sea Regions Project
 - 11.02.003.013.006 European Neighbouring Policy (ENP) SOUTH
 - 11.02.003.013.007 European Neighbouring Policy (ENP) EAST
- 11.02.003.014 International Maritime Organisation (IMO) coordination
 - 11.02.003.014.001 Maritime Safety Committee (MSC)
 - 11.02.003.014.002 Marine Environment Protection Committee (MEPC)
 - 11.02.003.014.003 Human Element, Training and Watchkeeping (HTW)
 - 11.02.003.014.004 Implementation of IMO Instruments (III)
 - 11.02.003.014.005 Navigation, Communications and Search and Rescue (NCSR)
 - 11.02.003.014.006 Pollution Prevention and Response (PPR)
 - 11.02.003.014.007 Ship Design and Construction (SDC)
 - 11.02.003.014.008 Ship Systems and Equipment (SSE)
 - 11.02.003.014.009 Carriage of Cargoes and Containers (CCC)
 - 11.02.003.014.010 Formal Safety Assessment (FSA)
 - 11.02.003.014.011 IMO horizontal issues
- 11.02.003.015 Places of Refuge
- 11.02.003.016 Counting and Registration of passengers (Directive 98/41/EC)
 - 11.02.003.016.001 Review/Revision of Union law
 - 11.02.003.016.002 Exemptions
 - 11.02.003.016.003 Technical advice
 - 11.02.003.016.004 Group of experts
 - 11.02.003.016.005 Training
- 11.02.003.017 Ship Safety
 - 11.02.003.017.001 Implementation of Directive 2003/25/EC on Damage Stability
 - 11.02.003.017.002 International Safety Management - ISM

- 11.02.003.017.003 Technical advice
- 11.02.003.017.004 REFIT exercises
- 11.02.003.017.005 Ropax Deck Fires
- 11.02.003.017.006 Implementation of Directive 2011/96/EC
- 11.02.003.018 Fishing vessels safety (Directive 2003/25/EC)
 - 11.02.003.018.001 Review/ Revision of Union law
 - 11.02.003.018.002 Exemptions
 - 11.02.003.018.003 Technical advice
 - 11.02.003.018.004 Group of experts
- 11.02.003.019 Cargo vessels safety
 - 11.02.003.019.001 Implementation of Directive 2011/96/EC
- 11.02.003.020 COSS Committee on Safe Seas
- 11.02.003.021 Inspection on ro-ro pax ships (Directive 2017/2110/EU)
- 11.02.003.022 Maritime cybersecurity
- 11.02.004 Maritime Traffic and Surveillance**
 - 11.02.004.001 The Union Maritime Information and Exchange System
 - 11.02.004.001.001 High Level Steering Group for Governance of the Digital Maritime
 - 11.02.004.001.002 SafeSeaNet /LRIT Group
 - 11.02.004.001.003 Integrated Maritime Services - IMS Group
 - 11.02.004.001.003.001 IMS Group
 - 11.02.004.001.003.002 IMS MS Cooperation
 - 11.02.004.001.003.003 IMS Service Evolution
 - 11.02.004.001.004 Single Windows Group
 - 11.02.004.001.005 eManifest Group
 - 11.02.004.001.006 European Maritime Single Window Prototype and Grant
 - 11.02.004.001.006.001 Operational support
 - 11.02.004.001.006.002 Procurement management
 - 11.02.004.001.006.003 Contract management
 - 11.02.004.001.007 SafeSeaNet - European Index Server (EIS)
 - 11.02.004.001.007.001 Operational support
 - 11.02.004.001.007.002 Procurement management
 - 11.02.004.001.007.003 Contracts management
 - 11.02.004.001.008 STAR IMDATE (integrated Maritime Data Environment)
 - 11.02.004.001.008.001 Operational support
 - 11.02.004.001.008.002 Procurement management
 - 11.02.004.001.008.003 Contracts management
 - 11.02.004.001.009 Integrated Maritime Services Horizontal Applications
 - 11.02.004.001.009.001 Operational support
 - 11.02.004.001.009.002 Procurement management
 - 11.02.004.001.009.003 Contracts management
 - 11.02.004.001.010 Administrative arrangements
 - 11.02.004.001.011 Implementation of Directive 2010/65/EU
 - 11.02.004.001.011.001 Operational support
 - 11.02.004.001.011.002 Procurement management
 - 11.02.004.001.011.003 Contracts management
 - 11.02.004.001.012 Trainings for Maritime Applications
 - 11.02.004.002 Long Range Identification and Tracking (LRIT) Services
 - 11.02.004.002.001 EU Cooperative Data Centre (EU CDC)
 - 11.02.004.002.001.001 Operational support
 - 11.02.004.002.001.002 Testing

- 11.02.004.002.002 International Data Exchange (IDE)
 - 11.02.004.002.002.001 Operational support
 - 11.02.004.002.002.002 Testing
- 11.02.004.002.003 EU LRIT Ship Database
 - 11.02.004.002.003.001 Operational support
 - 11.02.004.002.003.002 Testing
- 11.02.004.002.004 Procurement management
- 11.02.004.002.005 Contracts management
- 11.02.004.002.006 Events management
- 11.02.004.002.007 LRIT Consumption Tool (LCT)
 - 11.02.004.002.007.001 Operational support
 - 11.02.004.002.007.002 Testing
- 11.02.004.003 Managing Maritime Support Services
 - 11.02.004.003.001 Managing Data Quality Reports and SSN documents
 - 11.02.004.003.002 Monitoring and incident management reports
 - 11.02.004.003.003 Managing Maritime Support Services Procedures
 - 11.02.004.003.004 Rota and staff related documentation
 - 11.02.004.003.005 Procurement management for MSS equipment services
 - 11.02.004.003.006 Contracts management for MSS equipment services
 - 11.02.004.003.007 Traffic reports and statistics
 - 11.02.004.003.008 Service Performance Review
- 11.02.004.004 Earth Observation Services
 - 11.02.004.004.001 Procurement management
 - 11.02.004.004.002 Contracts management
 - 11.02.004.004.003 Strategy and evolution
 - 11.02.004.004.004 Internal and External Communication
- 11.02.004.005 Copernicus Maritime Surveillance
 - 11.02.004.005.001 Administrative arrangements
 - 11.02.004.005.002 Planning and reporting
 - 11.02.004.005.003 Internal and External Communication
- 11.02.004.006 Remote Piloted Aircraft Systems (RPAS) based services
 - 11.02.004.006.001 Support to users
 - 11.02.004.006.002 Administrative arrangements
 - 11.02.004.006.003 Procurement management
 - 11.02.004.006.004 Contracts management
 - 11.02.004.006.005 Service operations
 - 11.02.004.006.006 General Communication
- 11.02.004.007 Satellite SAT AIS data services
 - 11.02.004.007.001 Operational support
 - 11.02.004.007.002 Administrative arrangements
 - 11.02.004.007.003 Procurement management
 - 11.02.004.007.004 Contract managements
 - 11.02.004.007.005 Collaboration activities
- 11.02.004.008 European Border and Coastguard Agency-Frontex support
 - 11.02.004.008.001 Operational support
 - 11.02.004.008.002 Administrative arrangements
 - 11.02.004.008.003 Procurement management
 - 11.02.004.008.004 Contracts management
 - 11.02.004.008.005 Service evolution and strategy
- 11.02.004.009 European Fisheries Control Agency (EFCA) support
 - 11.02.004.009.001 Operational support

- 11.02.004.009.002 Administrative arrangements
- 11.02.004.009.003 Procurement management
- 11.02.004.009.004 Contracts management
- 11.02.004.010 Support to law enforcement institutions
 - 11.02.004.010.001 Maritime Analysis and Operation Centre Narcotics (MAOC N)
 - 11.02.004.010.001.001 Operational support
 - 11.02.004.010.001.002 Administrative arrangements
 - 11.02.004.010.001.003 Procurement management
 - 11.02.004.010.001.004 Contracts management
 - 11.02.004.010.002 Support to Europol
 - 11.02.004.010.002.001 Operational support
 - 11.02.004.010.002.002 Administrative arrangements
 - 11.02.004.010.002.003 Procurement management
 - 11.02.004.010.002.004 Contracts management
 - 11.02.004.010.003 European Anti-Fraud Office (OLAF)
 - 11.02.004.010.003.001 Operational support
 - 11.02.004.010.003.002 Administrative arrangements
 - 11.02.004.010.003.003 Procurement management
 - 11.02.004.010.003.004 Contracts management
- 11.02.004.011 Anti-piracy support
 - 11.02.004.011.001 European Union Naval Force ATALANTA EU NAVFOR ATALANTA
 - 11.02.004.011.001.001 Operational support
 - 11.02.004.011.001.002 Administrative arrangements
 - 11.02.004.011.001.003 Procurement management
 - 11.02.004.011.001.004 Contracts management
 - 11.02.004.011.002 EU NAVFOR MED/SOPHIA
 - 11.02.004.011.002.001 Operational support
 - 11.02.004.011.002.002 Administrative arrangements
 - 11.02.004.011.002.003 Procurement management
 - 11.02.004.011.002.004 Contracts management
 - 11.02.004.011.003 Cooperation with European Commission
- 11.02.004.012 Common Sharing Information Environment
 - 11.02.004.012.001 Agreement, planning and reporting
 - 11.02.004.012.002 Procurements and contracts management
 - 11.02.004.012.003 Internal and external communication

11.02.005 Pollution Preparedness Detection and Response

- 11.02.005.001 Oil response actions
 - 11.02.005.001.001 Strategies, risk assessments, audits, action plans, tool and guidelines
 - 11.02.005.001.002 Oil general response
 - 11.02.005.001.002.001 Procurement management
 - 11.02.005.001.002.002 Contracts management
 - 11.02.005.001.003 Public sales, donations and declassification documentation
 - 11.02.005.001.004 Vessel arrangements
 - 11.02.005.001.004.001 Procurement management
 - 11.02.005.001.004.002 Contracts management
 - 11.02.005.001.005 Equipment Assistance Service
 - 11.02.005.001.005.001 Procurement management

- 11.02.005.001.005.002 Contracts management
- 11.02.005.001.006 Equipment and Dispersant supply
 - 11.02.005.001.006.001 Procurement management
 - 11.02.005.001.006.002 Contracts management
- 11.02.005.001.007 Response to Marine Pollution from Oil and Gas installations
- 11.02.005.001.008 Equipment management
 - 11.02.005.001.008.001 Procurement management
 - 11.02.005.001.008.002 Contract management
- 11.02.005.001.009 Exercises
- 11.02.005.001.010 Support for oil spill incidents and operations
- 11.02.005.001.011 Modelling
- 11.02.005.002 Hazardous and Noxious Substance actions
 - 11.02.005.002.001 Strategies, risk assessments, audits, action plans
 - 11.02.005.002.002 Public sales, donations and declassification documentation
 - 11.02.005.002.003 Reference documents and studies
 - 11.02.005.002.004 Marine Intervention Chemical Emergencies Network (MAR ICE)
 - 11.02.005.002.005 Marine Chemical Information Sheets (MAR CIS)
 - 11.02.005.002.006 Modelling
- 11.02.005.003 Cooperation, Coordination and Information
 - 11.02.005.003.001 Strategies, risk assessments, audits, action plans
 - 11.02.005.003.002 Workshops, Seminars, training courses
 - 11.02.005.003.003 Publishing Reports
 - 11.02.005.003.004 Ship-source pollution and Enforcement
 - 11.02.005.003.005 Claims and Compensation
 - 11.02.005.003.006 Pollution Response Experts Networks
 - 11.02.005.003.007 Programmes
 - 11.02.005.003.008 Conferences and exhibitions
 - 11.02.005.003.009 Cooperation with Regional Agreements; Countries; Institutions
 - 11.02.005.003.010 Procurement management
 - 11.02.005.003.011 Contracts management
 - 11.02.005.003.012 User groups
- 11.02.005.004 CleanSeaNet Service
 - 11.02.005.004.001 Internal and External Communication
 - 11.02.005.004.002 Administrative arrangements
 - 11.02.005.004.003 Planning and reporting
- 11.02.005.005 Maritime Emergency Contingency Plan
- 11.02.006 Budget and Financial Affairs**
 - 11.02.006.001 Budget Procedure
 - 11.02.006.001.001 Initial Budget
 - 11.02.006.001.002 Amending Budget
 - 11.02.006.001.003 Multiannual Financial Framework
 - 11.02.006.002 Budgetary implementation and execution
 - 11.02.006.002.001 Normal Budget Transfer
 - 11.02.006.002.002 Monitoring of the Budget
 - 11.02.006.003 Financial Affairs
 - 11.02.006.003.001 Financial Governance
 Public procurement procedures and
 - 11.02.006.004 contracts³²

³² ARES is integrated with e-submission tool, the application for the open competitions. Electronic files created in e-submission are automatically created in ARES under the heading 11.02.006.004 Procurement procedures and contracts. See Ref. [Ares\(2020\)452328](#)

- 11.02.006.004.001 Request for public procurement procedures
- 11.02.006.004.002 Public procurement procedures
- 11.02.006.004.003 Contract management (following award of contracts)

11.02.007 Legal Affairs

- 11.02.007.001 Legal Governance
- 11.02.007.002 Litigations-Arbitrage

11.02.008 Human Resources Management

- 11.02.008.001 Planning, monitoring and reporting
 - 11.02.008.001.001 Organisation Chart and missions statements
 - 11.02.008.001.002 HR Scoreboards and Reports
 - 11.02.008.001.002.001 Plans and figures
 - 11.02.008.001.002.002 HR Statistics
 - 11.02.008.001.003 Budget Implementation of the Title I
- 11.02.008.002 Legal aspects of human resources management
 - 11.02.008.002.001 Implementing rules and financial decisions
 - 11.02.008.002.002 Complaints and requests for decision
 - 11.02.008.002.003 Professional conduct and disciplinary procedure
- 11.02.008.003 Recruitment-Selection (Selection of personnel)
 - 11.02.008.003.001 Temporary Agents
 - 11.02.008.003.002 Contract staff
 - 11.02.008.003.003 Seconded National Experts (SNEs)
 - 11.02.008.003.004 Officials
 - 11.02.008.003.005 Trainees
 - 11.02.008.003.006 National Experts in Professional Trainings (NEPTs)
 - 11.02.008.003.007 Internal procedures, guidelines related to recruitment
 - 11.02.008.003.008 Interim staff
- 11.02.008.004 Internal and external communication
- 11.02.008.005 Career
 - 11.02.008.005.001 Job families, descriptions and titles
 - 11.02.008.005.002 CDR-Performance Appraisal
 - 11.02.008.005.003 Promotion exercise
 - 11.02.008.005.004 Staff Grading, Contract and Amendments
 - 11.02.008.005.005 Termination of service
 - 11.02.008.005.006 Internal mobility
 - 11.02.008.005.007 SNE extension and end of secondment
- 11.02.008.006 Health and Wellbeing
 - 11.02.008.006.001 Medical providers management
 - 11.02.008.006.002 Staff engagement
 - 11.02.008.006.003 Working conditions
- 11.02.008.007 Allowances and Entitlements
 - 11.02.008.007.001 Rights on arrival/departure
 - 11.02.008.007.002 Family allowances
 - 11.02.008.007.003 Pensions
 - 11.02.008.007.004 Social Measure
- 11.02.008.008 Payroll
- 11.02.008.009 Staff Development and Training
 - 11.02.008.009.001 Contracts management
 - 11.02.008.009.002 Administrative arrangements

- 11.02.008.009.003 Procurement management
- 11.02.008.009.004 Budget and financial management
- 11.02.008.009.005 Training Actions

11.02.008.010 Protocol

- 11.02.008.010.001 Diplomatic lds
- 11.02.008.010.002 Vehicle Registration
- 11.02.008.010.003 VAT Exemptions
- 11.02.008.010.004 Fuel Tax Exemptions
- 11.02.008.010.005 Duty Free

11.02.008.011 HR Applications Management

- 11.02.008.011.001 External Contractors
- 11.02.008.011.002 Annual maintenance

11.02.008.012 External services

11.02.008.013 Ethics and Conduct

- 11.02.008.013.001 Declaration of conflict of interest

11.02.009 Operations support

11.02.009.001 Information and Communication Technology Management ICT

- 11.02.009.001.001 ICT Planning, reporting, policies and governance
- 11.02.009.001.002 End-user infrastructure support
- 11.02.009.001.003 Network Management and Telecommunications
- 11.02.009.001.004 Data Centre Operations
- 11.02.009.001.005 ICT Operations and Services
- 11.02.009.001.006 Business Applications
- 11.02.009.001.007 Procurement management
- 11.02.009.001.008 Contracts Management

11.02.009.002 Facilities and Logistics

- 11.02.009.002.001 Facilities and Logistic Governance
- 11.02.009.002.002 Facilities Management
- 11.02.009.002.003 Occupational Health and Safety Committee (OHSC)
- 11.02.009.002.004 Safety
- 11.02.009.002.005 Procurement Management
- 11.02.009.002.006 Contract Management
- 11.02.009.002.007 Services management

11.02.009.003 Records Management, Archives and Library

- 11.02.009.003.001 Records management policy, procedures and tools
- 11.02.009.003.002 Records management training actions
- 11.02.009.003.003 Archiving operations
- 11.02.009.003.004 Library services
- 11.02.009.003.005 Mail services

11.02.009.004 Events Management

- 11.02.009.004.001 Events planning, reporting, policies and governance
- 11.02.009.004.002 Catering
- 11.02.009.004.003 Interpretation
- 11.02.009.004.004 Meeting rooms, venues for meetings
- 11.02.009.004.005 Invitations and related communication (non-operational)

11.02.009.005 Missions Management

- 11.02.009.005.001 Missions planning, reporting, policies and governance
- 11.02.009.005.002 Services management

11.02.010 Press, Communication, Publications and Public Relations

11.02.010.001 Policy and Programming

- 11.02.010.001.001 Communication Strategy

- 11.02.010.002 Corporate Visual Identity
 - 11.02.010.002.001 Corporate Editorial and Web Guidelines
 - 11.02.010.002.002 Branded material

- 11.02.010.003 Press Relations
 - 11.02.010.003.001 Press Releases
 - 11.02.010.003.002 Press Correspondence

- 11.02.010.004 Publishing Services and Production
 - 11.02.010.004.001 Publications
 - 11.02.010.004.002 Newsletters

- 11.02.010.005 Online Communication Services
 - 11.02.010.005.001 Web services and statistics
 - 11.02.010.005.002 Social media
 - 11.02.010.005.003 Communication Surveys

- 11.02.010.006 Public Relations
 - 11.02.010.006.001 Visits and Events
 - 11.02.010.006.002 Access to documents
 - 11.02.010.006.003 Contact services and correspondence

- 11.02.010.007 Procurement and contract management
 - 11.02.010.007.001 Procurement management
 - 11.02.010.007.002 Contracts management
 - 11.02.010.007.003 Budget and financial management

11.02.011 European Cooperation on Coast Guard Functions

- 11.02.011.001 Administrative arrangements and governance
 - 11.02.011.001.001 Coordination by the Commission
 - 11.02.011.001.002 Tripartite Steering Committee
 - 11.02.011.001.003 Technical Sub-committees
 - 11.02.011.001.004 Tripartite Working Arrangement
 - 11.02.011.001.005 Annual Plans and reporting
 - 11.02.011.001.005.001 Strategic Annual Plan
 - 11.02.011.001.005.002 Annual Action Plan
 - 11.02.011.001.005.003 Reporting (SPD or CAAR related)
 - 11.02.011.001.006 Service Level Agreements
 - 11.02.011.001.007 Budgetary issues
 - 11.02.011.001.008 Correspondence management
- 11.02.011.002 Implementation of cooperation
 - 11.02.011.002.001 Information sharing, fusing and analysing
 - 11.02.011.002.001.001 Frontex
 - 11.02.011.002.001.002 EFCA
 - 11.02.011.002.001.003 Member States Competent Authorities
 - 11.02.011.002.002 Surveillance and communication services
 - 11.02.011.002.003 Capacity building
 - 11.02.011.002.004 Cooperation in risk assessment
 - 11.02.011.002.005 Multipurpose operations
- 11.02.011.003 Studies and projects related to EU CG Cooperation
 - 11.02.011.003.001 Pilot project creation of a European Coast Guard Function
 - 11.02.011.003.002 COWI risk analysis study
 - 11.02.011.003.003 Handbook on EU CGF Cooperation
- 11.02.011.004 European Coast Guard Functions Forum
 - 11.02.011.004.001 Secretariat meetings
 - 11.02.011.004.002 Exercises
 - 11.02.011.004.003 Conferences

11.02.011.004.004 Workshops

11.02.011.004.005 Projects

Annex III EMSA retention list

EMSA CODE	CHAPTER TITLE AND/OR FILE TYPE	DESCRIPTION	ARP IN YEARS	ACTI ON AFT ER ARP	ACTIO N IN THE HISTO RICAL ARCHI VES	LEAD DEPAR TMENT	OBSERVATIONS
EMSA.1	GOVERNANCE, STRATEGY, COORDINATION AND RELATIONS WITH STAKEHOLDERS						
EMSA.1.1	Legal framework and decisions	Files regarding the Administrative Board meetings, the activities organised and the decisions taken during the Senior Management meetings, as well as the Executive Director's activities and decisions. This category equally covers the legal framework files. For files on top and middle management meetings, see category 8.11.1.A.	10	THA	PP	EMSA	
EMSA.1.2	Planning and reporting	Files related to the annual and multi-annual strategic objectives on the basis of which EMSA adopts its yearly work programme and the preliminary draft budget.	5	THA	PP	EMSA	
EMSA.1.3	Business Continuity Plan (BCP)	Files related to plans and procedures to guarantee the continuation of EMSA's activities.	5	THA	PP	EMSA	

EMSA.1.4	Interinstitutional relations and relations with Member States	Files related to the signing and implementation of agreements between EMSA and EU/Member State organisations to establish cooperation in a specific area. These include EU institutions (except the European Court of Auditors, see category 1.5), national parliaments, central/federal, regional and local authorities (except the host country, see category 1.6), industry organisations and standardisation bodies. Files related to official visits.	5	THA	PP	EMSA	
EMSA.1.5	Relations with the European Court of Auditors	Files related to the audits carried out by the European Court of Auditors.	7	THA	PP	EMSA	
EMSA.1.6	Relations with the authorities of the host country	Files related to the relation with the local authorities regarding diplomatic issues, diplomatic IDs and vehicle registration. For VAT reimbursements, see category 2.2.3.	20	SAM/ SEL	2ndR	EMSA	-

EMSA.1.7	Relations with non-Member States	Files on relations between EMSA and non-Member States. This category includes files concerning official visits from non-Member States and files on the cooperation measures and activities with non-Member States in specific areas.	5	THA	PP	EMSA	
EMSA.1.8	Relations with groups of experts	Files concerning the creation, work and follow-up of groups of experts.	5	THA	2ndR	EMSA	
EMSA.2	BUDGET, FINANCE AND ACCOUNT MANAGEMENT						
EMSA.2.1	Budget procedure						
EMSA.2.1.1	Establishment of the Preliminary Draft Budget (PDB)	Files including the PDB, working papers and annexes.	5	THA	PP	EMSA	
EMSA.2.1.2	Procedures for budget approval	Files concerning the follow-up on budget approval by the budgetary authorities, including letters of amendment and the amending budget.	5	THA	2ndR	EMSA	
EMSA.2.2	Implementation of the budget and accounting						
EMSA.2.2.1	Budget implementation framework and reports	Files relating to budget implementation and reporting.	5	THA	PP	EMSA	

EMSA.2.2.2	Own resources, other revenue and expenditures	Files relating to budget forecasts of own resources, the preparation of reports on allocated expenditures (budget balances) and the management of own resources. Files about the management of other revenue (Equasis financial files) and on the release of appropriations, transfers, etc.	10	THA	2ndR	EMSA	It includes files about the hierarchical delegation of financial authorisation.
EMSA.2.2.3	VAT reimbursements	Files concerning the management of VAT reimbursements from the host country.	10	EL		EMSA	
EMSA.2.2.3.A	VAT reimbursements (EMSA staff)	Files containing EMSA's staff VAT claims	5	EL		EMSA	
EMSA.2.2.4	Third party files (Legal Entities File (LEF) and Bank Account File (BAF)) and the Early Detection and Exclusion System (EDES)	Files on all third parties with which EMSA conducts revenue and expenditure transactions. Files containing bank data on all companies, organisations and persons with which EMSA has financial relations. Files including information on fund beneficiaries who have committed or are suspected of committing administrative errors or fraud.	5	THA	2ndR	EMSA	

EMSA.2.2.5	Budget discharge: obtaining discharge and follow-up	Files relating to the discharge given by the European Parliament.	5	THA	2ndR	EMSA	The files can only be closed once EMSA has received the final decision of the European Parliament.
EMSA.2.2.6	Accounting	Files relating to the validation of accounts and the function of the Accounting Correspondent. Files related to budget accounts, bank accounts and payments, annual accounts, management of imprest accounts, debts, the accounting framework and its rules, cash management, the validation of accounting systems and discharge.	5	THA	2ndR	EMSA	
EMSA.2.3	Setting up and running the financial circuit	Files related to the setting up and implementation of the financial circuit; appointment of authorising officers by delegation and sub-delegation, financial initiators and verifiers, evaluation of financial circuits, etc.	5	THA	2ndR	EMSA	
EMSA.2.4	Ex-post checks	Files related to ex-post checks, i.e. verification of operations related to budget implementation.	5	THA	PP	EMSA	
EMSA.3	DEVELOPMENT OF OPERATIONAL POLICY						

EMSA.3.1	Policy development and contributions	Files related to analyses and information, and the first steps towards developing a policy, which goes from acquiring in-depth information to drafting preliminary reports. Files regarding contributions for legal acts adopted by the European Commission, the European Parliament and the Council of the European Union.	5	THA	PP	EMSA	
EMSA.4	IMPLEMENTATION OF OPERATIONAL POLICIES AND LEGISLATION						
EMSA.4.1	Guidelines and support for the implementation of legislation in the Member States						
EMSA.4.1.1	Guidelines	Files on actions taken by EMSA to ensure the implementation of EU legislation in the Member States.	5	THA	2ndR	EMSA	
EMSA.4.1.2	Information from the Member States	Files on information sent to EMSA, especially when pursuant to obligations under EU legislation: statistical data and metadata, test results, reports and national action plans and programmes.	5	SAM/ SEL	2ndR	EMSA	

EMSA.4.1.3	Management of EU tools and mechanisms	Files concerning actions relating to the construction, development and management of databases (including statistics), online registers and other instruments set up and/or used by EMSA to implement EU legislation, as well as, where applicable, files concerning the information they manage. Files concerning the management and coordination of networks and other EU-level mechanisms for implementing legislation.	5	SAM/ SEL	2ndR	EMSA	
EMSA.4.2	Visits and inspections	Files related to visits and inspections carried out by EMSA.	20 years	SAM/ SEL	2ndR	EMSA	
EMSA.5	OPERATIONAL PROJECT AND CONTRACT MANAGEMENT						
EMSA.5.1	Project planning and reporting	Files on projects.	5	THA	PP	EMSA	
EMSA.5.2	Procurement procedures	Files concerning the preparation and launch of procurement procedures, the opening and evaluation of tenders and the award of contracts by EMSA operational departments.	10 T ₂	SAM/ SEL	2ndR	EMSA	

EMSA.5.3	Legal commitments (contract management and administrative arrangements management)	Files managed by the EMSA operational departments which start as from the signing of the legal commitment and continue up to the last payment by EMSA or end of the commitment (if there is no payment involved). These files cover both technical and financial documentation, including audits where appropriate.	10	SAM/ SEL	2ndR	EMSA	
EMSA.5.4	Evaluation of expenditures	Files on the evaluation of expenditure projects.	6	THA	PP	EMSA	
EMSA.6	TRANSPARENCY, INFORMATION, COMMUNICATION AND RELATIONS WITH CITIZENS						
EMSA.6.1	Transparency	Files related to the adoption and coordination of the implementation by EMSA of measures to promote transparency: public register, document access policy, re-use of information.	2	THA	PP	EMSA	
EMSA.6.2	Communication strategy and tools	Files related to actions based on a communication plan to promote the EMSA policies and activities among internal and external groups.	2	THA	PP	EMSA	
EMSA.6.3	Events and visits						
EMSA.6.3.1	Organisation of events	Files on the organisation of events in EMSA. If the event file relates to the reimbursement of experts, see category 8.2.8.B.	5	THA	PP	EMSA	

EMSA.6.3.2	Participation in external events	Files related to the participation of EMSA staff in seminars, conferences and external meetings organised by public or private external bodies.	5	SAM/SEL	2ndR	EMSA	
EMSA.6.3.3	Visits to EMSA (other than those covered by category 1.4)	Files that contain administrative information on the organisation of visits to EMSA. For files on the reimbursement of experts, see category 8.2.8.B.	10	SAM/SEL	2ndR	EMSA	
EMSA.6.4	Publications and websites						
EMSA.6.4.1	Publications						
EMSA.6.4.1.A	Drafts	Files corresponding to the drafting and production phase of publications.	5	EL		EMSA	
EMSA.6.4.1.B	Final products	Files including the final publications.	2	THA	PP	EMSA	
EMSA.6.4.2	Websites	Files on the creation and management of websites for internal and public use.	5	SAM/SEL	PP	EMSA	
EMSA.6.5	Intellectual property rights	Files concerning authorisations granted to third parties to reproduce or translate EMSA publications and files concerning the acquisition of copyright belonging to a third party. Files on patents, trademark rights, image rights, etc.	10	THA	PP	EMSA	
EMSA.6.6	Relations with citizens						
EMSA.6.6.1	Requests for access to documents	Files covering requests for access to	5	THA	PP	EMSA	See: Request for access to documents by EDPS

		documents.					
EMSA.6.6.2	Requests for information and to use the EMSA logo	Files covering requests for information under the Code of Good Administrative Behaviour (except requests for access to documents, see category 6.6.1) and files covering requests to use the EMSA logo.	2	EL		EMSA	
EMSA.6.7	Relations with the media	Files on relations with the media (press, radio, TV, etc.).	5	SAM/ SEL	2ndR	EMSA	
EMSA.7	LEGAL PROCEEDINGS						
EMSA.7.1	National and European court cases	Files on cases before the national and European courts, including the European Free Trade Association (EFTA) court.	5	THA	PP	EMSA	
EMSA.8	ADMINISTRATION						
EMSA.8.1	Social dialogue						
EMSA.8.1.1	Relations with the Staff Committee and Joint Committee	Files on elections to the Staff Committee, consultations, etc. Files including the Joint Committee's composition, rules of procedure and minutes of meetings.	5	THA	PP	EMSA	
EMSA.8.1.2	Relations with the Staff Committees of other EU agencies	Files concerning relations with the Staff Committees of other EU agencies.	10	THA	PP	EMSA	
EMSA.8.2	Management of Human Resources (HR)						
EMSA.8.2.1	Adoption of HR policies and coordination of their implementation	Files concerning the adoption of the Staff Regulations and the Conditions of	10	THA	PP	EMSA	

		Employment of Other Servants of the European Communities.					
EMSA.8.2.2	Implementation of HR policies	Files concerning the implementation of the Staff Regulations and the Conditions of Employment of Other Servants of the European Communities, including EMSA's implementing provisions.	10	EL		EMSA	
EMSA.8.2.3	Organisational charts	Files on the reorganisation of all or part of the agency.	10	THA	PP	EMSA	
EMSA.8.2.4	Selection of staff						
EMSA.8.2.4.A	Recruitment procedures for a position with a contract of indefinite duration	Files on the organisation of selection procedures for officials, temporary staff and contract staff, including recruitment requests, nominations of the selection committees, calls for applications, lists of applicants, minutes of the selection committee meetings, applicants' screening grids, evaluation grids/written tests of candidates, notes from the selection committee to the appointing authority (AIPN), decisions of the AIPN, correspondence with candidates, etc.	10	SAM/ SEL	2nd review	EMSA	

EMSA.8.2.4.B	Recruitment procedures for a position of short-term contract duration	Files on the organisation of selection procedures for temporary staff, contract staff and seconded national experts, including recruitment requests, nominations of the selection committees, calls for applications, lists of applicants, minutes of the selection committee meetings, applicants' screening grids, evaluation grids/written tests of candidates, notes from the selection committee to the appointing authority (AIPN), decisions of the AIPN, correspondence with candidates & permanent representations, etc.	5	SAM/ SEL	2nd review	EMSA	
EMSA.8.2.4.C	Files on candidates for a position with a contract of indefinite duration, invited for a selection interview	Files including the job applications (CV, motivation letter and other relevant documents) of candidates eliminated during the procedure and entered on a reserve list.	10	EL		EMSA	If applicable: ARP of 10 years following the expiry date of the (extended) reserve list.
EMSA.8.2.4.D	Files on candidates for a position of short-term contract duration, invited for a selection interview	Files including the job applications (CV, motivation letter and other relevant documents) of candidates eliminated during the procedure and entered on a reserve list.	5	EL		EMSA	If applicable: ARP of 5 years following the expiry date of the (extended) reserve list.

EMSA.8.2.4.E	Files on candidates not invited for a selection interview	Files including the job applications (CV and motivation letter).	2	EL		EMSA	
EMSA.8.2.5	Unsolicited applications	Annual files on unsolicited applications received.	2	EL		EMSA	
EMSA.8.2.6	Personnel files	File for each official, temporary agent and contract agent, containing all documents concerning the staff member's administrative status and all reports relating to its ability, efficiency and conduct.	10 years following the termination of employment or the last pension payment	EL		EMSA	The ARP for personnel files under this point and within Article 26 of the Staff Regulations applies by analogy to the personnel files of seconded national experts. See Notification to the DPO: Ares(2020)1033962
EMSA.8.2.7	Traineeships						
EMSA.8.2.7.A	Procedures for the selection of trainees and National Experts on Professional Training (NEPTs)	Files relating to the selection procedure of trainees and NEPTs.	5	SAM/SEL	2nd review	EMSA	See Notification to the DPO: Ares(2020)2150654
EMSA.8.2.7.B	Files on candidate trainees and National Experts on Professional Training (NEPTs) not selected	Files on candidates who were rejected, not selected or who withdrew their application.	2	EL		EMSA	See Notification to the DPO: Ares(2020)2150654
EMSA.8.2.7.C	Files on trainees and National Experts on Professional Training (NEPTs)	File for each trainee and NEPT containing the data necessary for providing a copy of the trainee certificate (i.e. information on the duration of the traineeship, the department to which the trainee was assigned, the name of the supervisor and the nature of work performed).	50 T ₃	EL		EMSA	See Notification to the DPO: Ares(2020)2150654
EMSA.8.2.8	HR finances						

EMSA.8.2.8.A	Candidate reimbursements	Files related to reimbursements of candidates invited to take part in a human resources procedure.	7	EL		EMSA	
EMSA.8.2.8.B	Expert reimbursements	Annual files. Reimbursement files contain registered and signed reimbursement forms and supporting documents such as the signed attendance lists, the Excel sheet calculations, the flight costs, the Project Officer confirmations of who can be reimbursed, as well as the invitation letters and agendas.	7	EL		EMSA	See Notification to the DPO: Ares(2020)695398
EMSA.8.2.8.C	Mission reimbursements	Annual reimbursement files.	7	EL		EMSA	A scan of the supporting documents is registered in MIMA. Originals are kept by the staff.
EMSA.8.2.8.D	Rights, allowances, entitlements and other allocations	Annual files related to the establishment of rights when taking up duties. Files related to family allowances and other entitlements. Files related to pension rights.	7	EL		EMSA	Signed decisions by the Executive Director are filed in the personal file. See Notification to the DPO: Ares(2020)434461
EMSA.8.2.8.E	Salary payments	Files on salary payments.	10 years following the termination of employment or the last pension payment	EL		EMSA	See notification to the DPO: Ares(2020)2528095

EMSA.8.2.8.F	Payroll	Files relating to modification requests to the European Commission's Office for the Administration and Payment of Individual Entitlements, file notes for payments.	20	EL		EMSA	See notification to the DPO: Ares(2020)2528095 and Ares(2020)1162106
EMSA.8.2.9	Medical certificates	Files that contain medical certificates to support sick leave and special leave.	30 years after the end of service of the staff member	EL		EMSA	
EMSA.8.2.10	Article 90 (2) complaints (preliminary procedures), Article 90 (1) and Article 24 requests	Complaints and requests to the administration under Article 90 and Article 24 of the Staff Regulations.	5	THA	PP	EMSA	
EMSA.8.2.11	Legal advice	Files related to legal advice to staff on different subjects.	5	EL		EMSA	
EMSA.8.2.12	Recognition events: award of medals and leave presents	Files containing the names of those awarded medals and persons retiring/leaving on invalidity.	2	EL		EMSA	
EMSA.8.2.13	Day-to-day management of human resources	Files created for the purpose of sound management of human resources.	4	EL		EMSA	
EMSA.8.3	Disciplinary proceedings and investigations						
EMSA.8.3.1	Administrative inquiries and disciplinary proceedings						
EMSA.8.3.1.A	Files that have not given rise to administrative investigations	Files that are the result of a preliminary assessment of the information collected, followed by the dismissal of the case.	2	EL		EMSA	EDPS case 2018-0162. The files can only be closed once the decision that no inquiry will be launched has been adopted. Notification to the DPO: Ares(2020)3121241

EMSA.8.3.1.B	Investigations without disciplinary consequences	Files including the report and/or the evidence collected and interviews of individuals. The inquiry or investigation is closed without follow-up or a caution is issued.	5	EL		EMSA	EDPS case 2018-0162. The files can only be closed once the investigation has been closed. Notification to the DPO: Ares(2020)3121241
EMSA.8.3.1.C	Disciplinary procedures following an administrative inquiry	Files on disciplinary proceedings.	20	EL		EMSA	EDPS case 2018-0162. The files can only be closed once the final decision has been adopted. Notification to the DPO: Ares(2020)3121241
EMSA.8.3.2	Investigations to protect the financial interests of the EU	Files on the activities by OLAF to protect the financial interests of the EU and to fight fraud, corruption and any other illegal activity, including within the European institutions.					
EMSA.8.3.2.A	Files that have not given rise to an investigation	These files contain the documents in view of which a decision has been taken not to launch an investigation.	5	EL		EMSA	
EMSA.8.3.2.B	Investigations without recommendations	These files end with the investigation report, as there are no follow-up actions.	10	EL		EMSA	
EMSA.8.3.2.C	Investigations with recommendations	The file which contains the investigation report also contains all follow-up actions under the form of imposed sanctions, possible legal proceedings, etc.	20	EL		EMSA	

EMSA.8.3.3	Cooperation with the European Anti-Fraud Office (OLAF)	Files related to the cooperation in OLAF investigations.	15	EL		EMSA	
EMSA.8.4	Security						
EMSA.8.4.1	Adoption of the security policy	Files related to the adoption of the security policy. For files on IT security, see category 8.7.1.	7	THA	PP	EMSA	
EMSA.8.4.2	Implementation of the security policy	Files related to the implementation of the security policy. For files on IT security, see category 8.7.1.	7	THA	2ndR	EMSA	
EMSA.8.4.3	Protection and crisis management	Files concerning protection and crisis management.	7	EL		EMSA	
EMSA.8.5	Logistics						
EMSA.8.5.1	Adoption of logistics policies	Files concerning the adoption of the buildings policy, the transport and mobility policy, the health and safety policy, the environmental policy and the social infrastructure policy.	5	THA	2ndR	EMSA	
EMSA.8.5.2	Implementation of logistics						

EMSA.8.5.2.A	Management of building contracts	Files on the negotiation, signing and implementation of building contracts (rental or other tenancies).	10	THA	2ndR	EMSA	
EMSA.8.5.2.B	Administration and upgrading of buildings, management of logistics	Files on the authorisation and operational monitoring of both external and internal building renovations and the fitting out of premises, including the files regarding the management of the EMSA conference centre. This category also covers the files on removals, the provision, distribution and decommissioning of office furniture and equipment, the application of health, safety and hygiene rules in EMSA buildings, the compliance with the environmental legislation, the admission control and surveillance in buildings occupied by EMSA, the management of catering in EMSA buildings, the organisation of social and cultural activities for EMSA staff, and the car pool and associated costs.	5	SAM/ SEL	2ndR	EMSA	

EMSA.8.5.3	Management and logistics of translations	Files concerning the management and logistics of translations.	5	SAM/ SEL	2ndR	EMSA	
EMSA.8.5.4	Central mail service and print services	Files on the collection and distribution of EMSA's mail and files on the print services.	5	SAM/ SEL	2ndR	EMSA	
EMSA.8.5.5	Day-to-day management of logistical issues	Files on the day-to-day management of logistical issues.	5	EL		EMSA	
EMSA.8.6	Financial management of administrative appropriations						
EMSA.8.6.1	Planning and reporting	Files concerning the initial planning and implementation of EMSA's administrative appropriations and reporting instruments, including follow-up on commitments and payments.	5	THA	PP	EMSA	

EMSA.8.6.2	Procurement procedures	Files concerning the preparation and launch of procurement procedures, the opening and evaluation of tenders and the award of contracts by the EMSA administration.	10 T ₂	SAM/ SEL	2ndR	EMSA	
EMSA.8.6.3	Legal commitments (contract management and administrative arrangements management)	Files managed by the EMSA operational departments which start as from the signing of the legal commitment and continue up to the last payment by EMSA or end of the commitment (if there is no payment involved). These files cover both technical and financial documentation, including audits where appropriate.	10	SAM/ SEL	2ndR	EMSA	
EMSA.8.7	Information Technology (IT)						
EMSA.8.7.1	IT architecture	Files on policies and guidelines related to IT, including issues related to IT security and protection.	5	THA	PP	EMSA	
EMSA.8.7.2	Information systems	Files on the management of corporate and specific systems.	3	THA	2ndR	EMSA	
EMSA.8.7.3	Data Centre						

EMSA.8.7.3.A	Strategy	Files on the vision and strategy for the infrastructure services of the Data Centre and the hosting of information systems.	5	THA	2ndR	EMSA	
EMSA.8.7.3.B	Infrastructure and maintenance	Files on the operational follow-up and administrative coordination of the proper operation of the services, the Data Centre's access rights management, etc.	5	EL		EMSA	
EMSA.8.7.4	Networks and telecommunications						
EMSA.8.7.4.A	Strategy	Files on the vision and strategy for networks and telecommunications. Identification of key objectives and their impact on the tasks of the units concerned and the organisation of the departments, human and budgetary resources.	5	THA	2ndR	EMSA	
EMSA.8.7.4.B	Management of networks and telecommunication services	Files related to the selection, set-up and management of these networks and services. Files on the operational follow-up and administrative coordination of the proper operation of the services.	5	EL		EMSA	

EMSA.8.7.5	Life cycle of IT equipment	Files on the day-to-day management of IT issues and follow-up of the life cycle of IT equipment.	5	EL		EMSA	
EMSA.8.8	Management of data, information and knowledge						
EMSA.8.8.1	Data, information and knowledge management policy	Files related to the adoption and implementation of the rules on the data, information and knowledge management policy.	5	THA	PP	EMSA	
EMSA.8.8.2	Library	Files related to the setting up and running of the library: rules of procedure, purchasing and subscription policy.	10	SAM/ SEL	2ndR	EMSA	
EMSA.8.9	Internal auditing						
EMSA.8.9.1	Annual audit work plan	Files concerning the yearly audit programme, based on risk analyses.	6	THA	PP	EMSA	
EMSA.8.9.2	Internal audit reports	Files containing auditors' comments recorded during their audit work, internal auditors' opinions and recommendations.	6	THA	2ndR	EMSA	
EMSA.8.9.3	Opinions/consultancy	Files including opinions given by EMSA departments.	6	SAM/ SEL	PP	EMSA	

EMSA.8.9.4	Permanent audit files	Files containing general information on the systems and the environment of the files to be audited by the European Commission's Internal Audit Service (IAS).	6	EL		EMSA	
EMSA.8.10	Adoption and implementation of policies related to evaluation, internal control and other monitoring and risk management actions	Files on the adoption and implementation of policies and/or actions regarding the evaluation of services and activities, internal control (the Internal Control Principles) and other monitoring and risk management actions, including the risk management exercise.	7	THA	PP	EMSA	
EMSA.8.11	General administration and management of departments/units						
EMSA.8.11.11	Activities of the head of departments/units						
EMSA.8.11.1.A	Management meetings	Files concerning top and middle management meetings. For files on Senior Management meetings, see category 1.1.	4	SAM/SEL	2ndR	EMSA	

EMSA.8.11.1. B	Briefings for the Executive Director	Files including notes and briefings for the Executive Director, drafted by the departments.	4	SAM/ SEL	2ndR	EMSA	
EMSA.8.11.2	Department procedures and working methods	Files related to the adoption and implementation of internal procedures and guidelines.	5	THA	PP	EMSA	
EMSA.8.11.3	Unit meetings and directorate meetings	Files including the agendas and minutes of unit and directorate meetings.	5	SAM/ SEL	2ndR	EMSA	
EMSA.8.11.4	Internal working parties	Files on collaboration actions between departments and units, working methods, meetings of internal working parties, etc.	5	SAM/ SEL	2ndR	EMSA	
EMSA.8.11.5	General administrative support management	Files on the day-to-day application of administrative provisions. Files relating to financial operations not related to the implementation of a contract (see categories 5.3 and 8.6.3), mission reimbursements (see category 8.2.8.C), expert reimbursements (see category 8.2.8.B) and candidate reimbursements (see category 8.2.8.A).	7	EL		EMSA	

ADMINISTRATIVE ELIMINATION PROCEDURES	
T ₂	Elimination of all unsuccessful bids after five years.
T ₃	Elimination after five years of all documents except the sheet for the reconstruction of one's career.

Annex IV Electronic signature: Use of ARES signature in EMSA

LIST 1: List of documents that are to be signed solely electronically (Non-exhaustive list) and circulated only electronically (e-signatory in ARES)

- Administrative Notices
- Administrative Arrangement to be signed within Circle 1 as per section 2.3, should it be accepted by the internal rules of the other party
- Assets: ABAC Assets Goods Receipt by Stock Take/Donation (ABAC Assets visa required)
- Assets: ABAC Assets Impairment/Retirement (ABAC assets visa required)
- Assets: ABAC Assets Retirement & Good receipt by stock take (e.g. partial declassification) (ABAC Assets visa required)
- Assets: Intangible internally developed assets
- Authorisations for Personal Security Clearances
- Carry Forward
- Clearing of Pre-financing - (ABAC visa required)
- Commitments: Decommitment (ABAC visa required)
- Commitments: EN commitment w/o blue signature on contract (ABAC visa required)
- Commitments: Global commitment (ABAC visa required)
- Commitments: PP commitment Missions (ABAC visa required)
- Commitments: PP commitment w/o legal verification (ABAC visa required)
- Commitments: PP commitment with legal verification (ABAC visa required)
- Correspondence and reports on visits and inspections being sent exclusively to the European Commission
- Correspondence EC or other EU Institutions or bodies using ARES (except documents included in the List 2)
- Correspondence to other EU bodies not using ARES (except documents included in the List 2)
- Correspondence with third countries, including cover letters for inspection reports, in respect of STCW inspections
- Cover note to an External: Administration, International Organisation, Member States (i.e. transmission note or invitations to seminars, workshops, meetings, etc.)
- Cover note to the European Commission, Executive Agencies (i.e. other internal entity in ARES)
- Cover notes and letter of an inspection report addressed to a Recognised Organisation
- Cover notes and letters for draft reports of visits to Member States
- Cover notes and letters for visits and inspection reports (where correspondence is being sent to external entities (EFTA Surveillance Authority and Member States) as well as the Commission)
- Data Protection Notifications to the DPO or to the EDPS
- Declassification Committee related documents
- EMSA Guidelines for internal policies and/or procedures
- EMSA Newsletters validation
- EMSA Policies with an internal scope
- EMSA Rules in XXX
- EMSA Quality Management System Manual
- Executive Director Decisions for which the destination/ies are internal
- Executive Director Decisions for external destination/ies (i.e. for visit and inspections)
- Final draft Administrative Board Decisions
- HR Acknowledgment of resignation
- HR Administrative enquires
- HR AIPN Decision - Change of place of origin taking up duties/during the service/end of service
- HR AIPN Decision - Removal on taking up duties/end of service
- HR AIPN Decision on individual rights
- HR Approval Note - Training on Initiative of the staff member

- HR Article 90, other Appeals and complaints
- HR Calculation of Traineeship grant
- HR Certificates
- HR Contract amendments related to promotions/reclassifications
- HR Correspondence of Applicants request of info after selection process
- HR Decision of the AIPN Reserve List
- HR Declaration of Confidentiality of the Selection Board
- HR Declaration of conflict of interests of a candidate
- HR Extension of Deadline of a Vacancy publication
- HR Grading
- HR Implementing Rules
- HR Internal Mobility Exercise Minutes of the meeting
- HR Job screening exercise
- HR Letter to candidates placed in the Reserve List
- HR Letter to the staff member Result of the Call for Expression of Interest for Internal Mobility
- HR Letters after interview
- HR Minutes of the Coordination meeting and Annexes (List of Applicants, CV evaluation grid)
- HR Minutes of the Preparation meeting and Annexes (Evaluation Grids and Written test)
- HR NEPT Placement Offer
- HR NEPT Professional Training Certificate
- HR Nomination of the Selection Board
- HR Note to AIPN Selection Board Conclusion and Annexes (Candidate Evaluation Grids, Written test)
- HR Note to Staff
- HR Offer Letter
- HR Pension Decision
- HR pension in/outward transfer
- HR Performance Indicators
- HR Permanent Representation offer letter
- HR Policy documents
- HR Probationary period
- HR Procedures and Guides
- HR Recruitment request (Officials, TAs Cas and SNEs),
- HR Report on shifts and stand by duties for the payroll
- HR Request for a NEPT
- HR Request for a trainee
- HR Request of internal transfer of staff
- HR SNE evaluation report
- HR SNE extension of secondment letter
- HR SNE Invitation Letter for an Interview
- HR SNE letters to candidates not invited for the interview
- HR SNE Offer letter for the Permanent Representation
- HR Social measure authorizations
- HR Statistics
- HR Trainee Placement Offer
- HR Traineeship Certificate
- HR Vacancy publication
- Intangible assets quality control
- Internal Notes to the files
- Invitations to Experts (MS, Industry, etc) to a workshop; seminars; technical meetings
- IT SMS documents
- Minutes of the management meeting
- Mission reports
- Non Standard stationery requests
- Notification letters to external entities for visits to Member States

- Original documents signed to transmit to the Court of Justice
- Other correspondence concerning visits and inspections to external entities
- Payment – return of R0 funds (ABAC visa required)
- Payment- Reimbursement of candidates and experts (ABAC visa required)
- Payment w/o VAT – Assets and/or Inventory (ABAC and ABAC Assets visa required)
- Payment w/o VAT – non Assets (ABAC visa required)
- Payment with VAT (When contractor is Portuguese and invoice amount > or = €100) - Non-Assets (ABAC visa required)
- Payment with VAT (When contractor is Portuguese and invoice amount > or = €100) – Assets and/or Inventory (ABAC and ABAC Assets visa required)
- Payment with VAT Recovery (E delivery) (ABAC visa required)
- Recovery order – when debit note is not sent to third party (ABAC visa required)
- Registration of exceptions non- compliance events.
- Reports on MSSO 24/7 shifts and stand by duty
- Request for a publication to the Communications cell
- Request for file transmission to EMSA archive
- Stationary approval
- Training certifications
- Translation requests
- Validation of Bank Guarantee (BG) (ABAC visa required)
- V&I QMS documents

LIST 2: List of documents that require a handwritten signature (Non-exhaustive list)

- Amendments of the administrative arrangements
- Contracts and their amendments and any other correspondence related to contract management that can trigger legal action e.g. suspension, termination, etc
 - Service contract
 - Supply contract
 - Framework Service contract
 - Framework Supply contract
 - Multiple Framework contract with reopening of competition
 - Multiple Framework contract in cascade
 - ICT Framework contract
 - Purchase order
 - Order Form
 - Specific Contract
- Declaration of assurance
- Delegation of powers of the AO
- Documents related to investigations, administrative enquiries, disciplinary procedures
- Financial statements
- HR Employment contract and renewals
- Notas Verbales
- Notifications letters to tenderers
- Notifications letters to contractors
- Validation of Bank guarantees (ABAC visa required)
- Release of Bank guarantees (ABAC visa required)
- Recovery order to debit note

Requests and signed Documents handled electronically through the e-Personal files application (Non exhaustive list)

- Annual Review of Individual Rights.
- Annual Travel Allowance (transfer of child's entitlements).
- Change of bank account or salary transfer
- Change of nationality
- Change of Place of Origin (during the service)
- Change of Place of Origin (end of service)
- Change of Place of Origin (take up duties).
- Change of Private Address and person to contact in case of emergency.
- Daily Allowance.
- Declaration of Confidentiality.
- Declaration of gainful employment of spouse (Article 13 of the Staff Regulations).
- Declaration of Gifts.
- Education Allowance
- Election or appointment to a public office
- Family Allowances
- Family Allowances from other sources
- Family Leave.
- Household Allowance based on spouse's income.
- Installation Allowance.
- Leave on Personal Grounds.
- Leaving Form.
- Military and Civil Service Leaving.
- MSSO leave request
- Outside Activity
- Parental leave
- Parental leave isolated parent
- Part-time less more 80%.
- Part-time less than 80%.
- Publishing a publication or speech.
- Receive a decoration or honour.
- Removal (end of service) Prior authorisation.
- Removal (take up duties) Prior authorisation
- Removal (take up duties)- Reimbursement
- Special part time (time credits)
- Spouse's Income Declaration
- Standing for public office
- Tax abatement.
- Teleworking agreement.
- Training requests.
- Training language for spouse.
- Training languages.
- Training on the initiative of the staff member
- Travel (take up duties)
- SNE Travel (take up duties)

Annex V Electronic signature: Use of PCM signature and PCM electronic workflows in EMSA

- **LIST 1: List of documents that are to be signed solely electronically and circulated only electronically in PCM** The latest, when procurement is finalised, all documents shall be registered in in ARES except document that require dispatch by email that should be registered before dispatch. Invitation to tender
- Question & Answers
- Appointments of Opening / Evaluation Committees by AO (and related documents)
- Record of the Opening Committee
- Evaluation Grids & Report
- Clarifications during Evaluation
- Award / Non-award decision

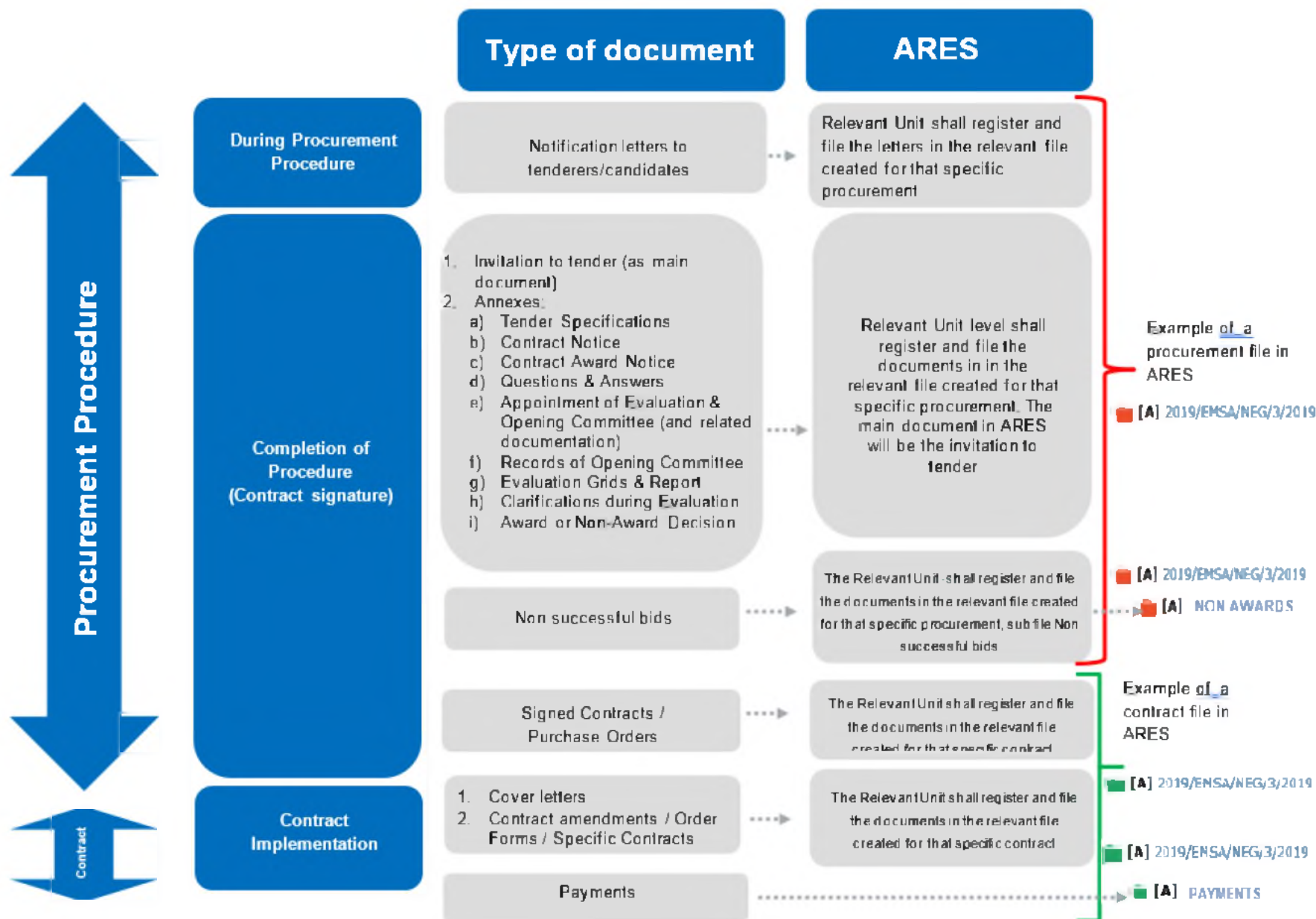
LIST 2: List of documents that require a handwritten signature and need to be circulated only electronically in PCM The documents shall be registered in Ares before dispatch

- Contracts³³ and their amendments and any other correspondence related to contract management that can trigger legal action e.g. suspension, termination, etc.³⁴
- Notifications letters to tenderers / contractors.

³³ Service contract; Supply contract; Framework Service contract; Framework Supply contract; Multiply Framework contract with reopening of competition; Multiply Framework contract in cascade; ICT Framework contract; Purchase order; Order Form; Specific Contract

³⁴ For contracts awarded following Procurement procedures launched before 2018 (outside PCM) paper circulation only – transition period.

Annex VI Procurement documents : Quick reference guide





European Maritime Safety Agency
Praça Europa 4
1249-206 Lisbon, Portugal
Tel +351 21 1209 200
Fax +351 21 1209 210
emsa.europa.eu