



# File Closure and Transfer to Intermediate Archives

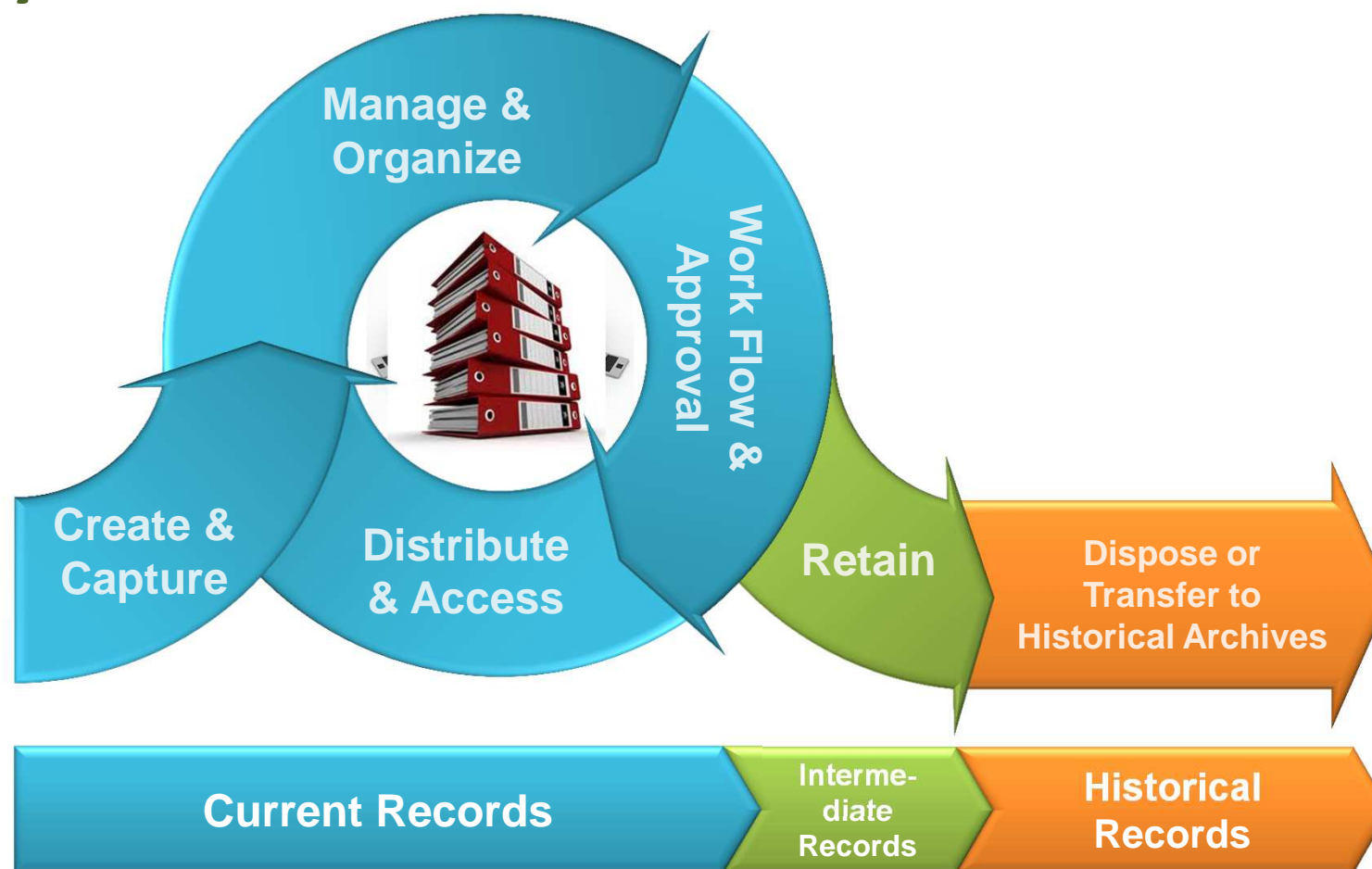


# File Closure and Transfer to Intermediate Archives

- Why
- Who
- When
- How
- Consequences
- Access to intermediate records
- Questions and answers



# Why



# Who

The file is opened and closed by the Lead Department.



## When

A file is closed when the case has been dealt with, i.e. when no more documents need to be added to the file.

Punctually



Yearly



# How



# 1. Identification of files candidate for closure

Lead Department  
draws the list of  
finished cases.

(Ares -> My service  
-> Export)



CAD generates  
the list of  
dormant files.

(NomCom  
-> Dasu list)



## 2. Verification of file content

- eliminate working copies, remove not relevant documents
- add relevant documents that have not been registered or filed
- check the classified documents and declassify them if possible



## 3. Completion of metadata

### Identification

### Preservation

### Transparency

| FILE CODE | SPECIFIC CODE | FILE TITLE EN | To close?<br>YES/NO | Financial?<br>YES/NO | Other digital<br>repositories?<br>YES(specify)/NO | Other storage<br>types?<br>YES/NO | Quantity?<br>Archive box/<br>Binder large/<br>Binder small | Location?<br>office/<br>cupboard/<br>shelf | Transparency? |
|-----------|---------------|---------------|---------------------|----------------------|---|-----------------------------------|--|--|---------------|
|           |               |               |                     |                      |   |                                   |  |  |               |



[link to File closure form](#)

Details Modify Add Subfile Close File Place on clipboard Print label(s)

Identification Preservation **Transparency**

**Use and access restrictions information**

a) The file contains documents with

**Classification(s):** ☐ (Hermes content only - system check)

**Marking(s):** ☐ (Hermes content only - system check)

**Sensitive personal data:** Unknown

b) 1049/2001 - Access to documents in relation to this file

**Status of public access to the file:** Unknown

c) 1700/2003 - Opening to the public of the historical archives

**The file cannot be opened to the public since it falls under exception(s):**









or is it?



JRC application  
MiPS Commission application  
Jipsy Shared drive Sysper  
JRC Recommendations Follow-up



## 4. Preparation of physical items for transfer

|  |  |
|--|--|
| <br>2014-AC0526<br><b>jrc.b.1</b><br>Specific code:<br>JRC.2014/DOMA.TRAI.IPR.19_032014 | <br>2014-AC0526<br><b>jrc.b.1</b><br>Specific code:<br>JRC.2014/DOMA.TRAI.IPR.19_032014 |
| CAT.: 12.12.4<br>ARP 7 years<br>EL -<br>End ARP : 2022   | CAT.: 12.12.4<br>ARP 7 years<br>EL -<br>End ARP : 2022   |
| First use: 19/03/2014<br>Closure date: 22/04/2014<br>Status: <b>Closed</b>   | First use: 19/03/2014<br>Closure date: 22/04/2014<br>Status: <b>Closed</b>   |
| File title<br><b>My ARES training file -<br/>                 Ispra 19/03/2014</b>   | File title<br><b>My ARES training file -<br/>                 Ispra 19/03/2014</b>   |
| Heading<br><b>10.02.05.53.010.030</b><br>JRC DRMP - Training &<br>Workshops  | Heading<br><b>10.02.05.53.010.030</b><br>JRC DRMP - Training &<br>Workshops  |
| Binder (large) 1<br><b>67194</b><br>  | Binder (large) 2<br><b>67195</b><br>  |

- label the physical items
- centralise them in a single location
- request transfer



## 5. Transfer to intermediate archives and storage



## Consequences - documents saved and filed

- Saved documents: "frozen" (impossible to modify the metadata or the attached documents)
- Launched e-signatories: "frozen" and the open tasks closed automatically
- Attached documents: conversion to PDF and stamping with the save number




## Consequences - system checks

- Media: if the file is empty, check of indication of other electronic repositories or other types of storage
- Sub-files: automatic closure of sub-files when the parent file is closed



## Consequences - metadata which cannot be modified

- Limited file
  - Specific code
  - **Title** 
  - Name of the desk officer
  - CRL/SRL category
  - Comments on the identification of the file
  - Date of closure
  - End date of ARP (if calculated by the system)
  - Manual follow-up
  - Administrative elimination of documents
  - End date of PAED (administrative elimination of documents)
- A fundamental element that allows the file to be identified during its life cycle, even after transfer to Historical Archives Service
  - Essential search criteria



## Consequences - metadata which can still be modified

- Lead department: new unit/service responsible for the intellectual follow-up
- Custodian: new unit/service responsible for the physical preservation of the file
- Financial documents
- Status of public access to the file: request for access to document(s) or complete file and decision
- Media: number and type of physical items (paper, DVD, videos, ..) and location
- Information on transparency: classification, marking, personal data
- Security of the file: editor , user , reader of the file
- End date for ARP (if manual)



## Closure forbidden



- **Investigations:** for files with financial implications for which an irregularity is suspected or proven, closure is possible only when it has been established that there was no irregularity or all irregularities have been corrected
- **Litigations:** closure possible only when all means of appeal have been exhausted or when the sentence was executed



# Access to electronic intermediate records

 current records

- no changes to files possible



## Access to physical intermediate records

- Request for access with Lead Department in copy
- Borrowing form
- Register of access
- Return

link to [IMS-JRC-M4.1-PRO-0006](#)



Physical access to archives rooms





**Question: What happens next?**

**Answer: Common Retention List**

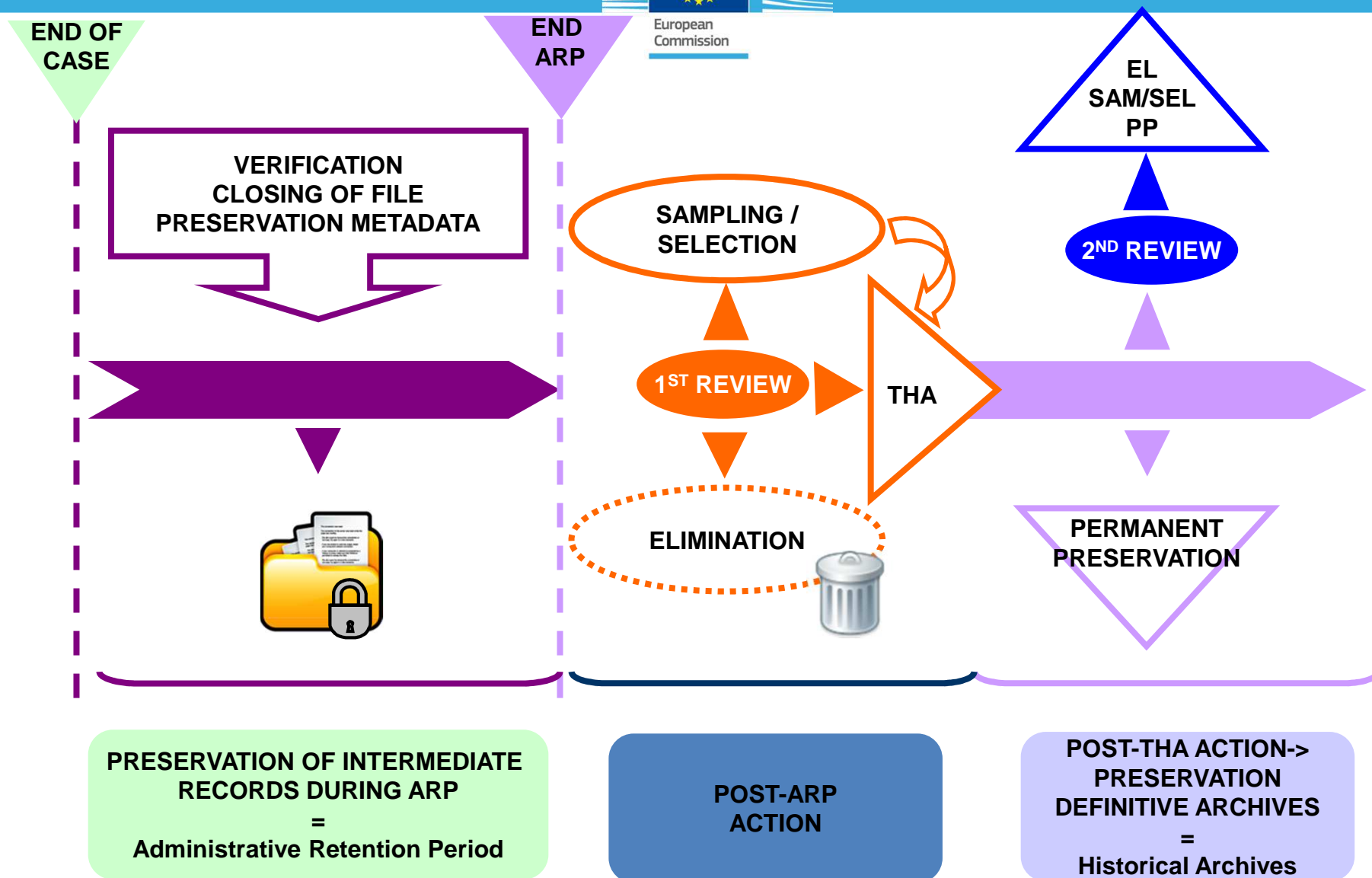


# The Common Retention List

| FILE TYPES |  | DESCRIPTION   | ARP (Administrative retention period ) | DISPOSAL  |   | LEAD DEPARTMENT        |
|------------|--|---|--|---|---|------------------------|
|            |  |   |  | POST-ARP ACTION OR FIRST REVIEW: THA: transfer to the Historical Archives. EL: elimination SAM/SEL: sampling and/or selection | ACTION FOLLOWING TRANSFER TO HISTORICAL ARCHIVES<br>PP: Permanent preservation, 2nd REVIEW: Second review |                        |
| 12.4bis    | Security   | Files concerning the adoption and implementation of the Commission's policy in the area of security (protection from premeditated events): information, persons, buildings  |  |   |   |                        |
|            | 12.4bis.1 Security policy  | Adoption of the Commission's policy in the area of security and coordination with regards to horizontal questions on security   | 7 years                                | THA   | PP  | HR                     |
|            | 12.4bis.2 Implementation of the policy in the area of security (buildings security and surveillance are dealt with under 12.5.2.F) | Coordination of the implementation of the security policy defined by the Commission, implementation by the DGs (elaboration and application of the DGs' specific security plans), information management, information exchange and outreach activities on security. | 7 years                                | THA   | 2nd review  | HR: coordination files |
|            |  |   |  | SAM/SEL   | 2nd review  | DG: core files         |
|            | 12.4bis.3 Protection and crisis management   | Files concerning protection and crisis management   | 7 years                                | EL  |   | HR                     |

Link to [CRL](#)









# Questions and Answers

...more questions and more answers...

....to your local CAD or to [JRC-DMO@ec.europa.eu](mailto:JRC-DMO@ec.europa.eu)



## References

[File closure form](#)

[E-Domec website](#)

[e-Domec Toolkit](#)

[Access to JRC Intermediate Records procedure](#)

[Common Retention List of the European Commission](#)

[Internal Control Standard on Document Management](#)

