

Strasbourg, 1 December 2022

DS/DIO(2022)01

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# Retention/Disposal schedule

## Directorate of Internal Oversight

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### 1. Activities

The objective of the Directorate of Internal Oversight (DIO) is to provide independent oversight, objective assurance and consulting services designed to add value to and improve the Organisation's operations. To this end, the DIO assists management in the effective discharge of its responsibilities by assessing its internal control and governance processes as well as the medium term effects of its activities, and their worth or significance in terms of the changes created.

The Internal Audit Division carries out audits and provides management with assessments and recommendations concerning the operations reviewed. This encompasses the examination and evaluation of the internal control system and management performance. The Internal Audit Division also coordinates the work between the External Auditors, the Oversight Advisory Committee and the Council of Europe. The Investigation Division helps the Council of Europe to ensure the proper use of its funds and resources, prevent and investigate fraud and corruption, and protect its reputation and interests, by carrying out *inter alia* preliminary assessments and investigations in line with the Organisation's legal framework and international investigative standards. The Evaluation Division carries out thematic evaluations, regional or country level evaluations, organisational evaluations as well as evaluations of programmes/sub-programmes in the Programme and Budget. It thereby supports organisation-wide reform initiatives, results-based management, political and strategic decision-making, and instills an organisational culture of critical thinking and continuous improvement through lessons learnt.

### 2. Explanatory notes

#### Access

The confidential access in this schedule refers to access limited to authorised staff in the DIO. The secret access in this schedule refers to access limited to a few staff members in the DIO as indicated.

Public, restricted and internal access follow the general rules of Resolution(2001)6 and Archival Policy 2009: the public access applies to documents for public dissemination, the restricted access applies to documents made available to member governments and the Secretariat of the Council of Europe and the internal access applies to documents accessible to staff members of the Council of Europe.

Documents of the DIO are not declassified. The Director of the DIO will decide on access to classified documents by a non-authorised person.

*Records medium*

Unless explicitly stated as master in this schedule, paper versions are convenience copies established for work needs and destroyed when no longer needed.

Abbreviations used in this schedule:

- CoE: Council of Europe
- CM: Committee of Ministers
- DGA-TPA: Directorate of General Services – Treasury, Payments and Accounting Department
- DGS-SPDP: Directorate of General Services – Documents and Publications Production
- DIO: Directorate of Internal Oversight
- DMS: Document Management System
- DPB: Directorate of Program and Budget
- DHR: Directorate of Human Ressources
- GDD: Gestion des déplacements
- MAE: Major Administrative Entity
- MAM: Media Asset Management system
- RBB: Result based budgeting
- RECOS: Recommendations
- RMS: Records Management System
- SG: Secretary General

### 3. Signatures

	Name	Signature	Date
Head of Division/Department	Colin Wall		
Records and Archives Correspondent	Insook Kim-Viller		
Head of Information Life Cycle Section	Philippe Reilhac		

Series: title, description	Master / Copy	Medium, format & storage	Retention period	Disposition & Storage	Access classification level	Notes / Rationale	Folder structure
<b>➤ Internal Audit Division</b>							
<b>B.80.010.010 Internal audit methodology and criteria development</b>							
<b>Audit manual</b> The manual provides DIO staff members with guidelines and standards that can be applied throughout the audit assignment. Includes DIO documents and links to internal and external resources.	Master	Word, PDF (DMS)	Keep current	n/a	Confidential		n/a
<b>B.80.010.020 Conducting internal audit engagements</b>							
<b>Audit map</b> Overview of auditable activities and concerned entities which serves as a map for audits carried out and to be done; called "Audit universe".	Master	Excel (Teammate <sup>1</sup> )	Keep current	n/a	Confidential		n/a
Annual situations of audit map. To be created during the first month of each year.			5 years	Destruction			Chronological
<b>RS010- Internal audit working documents</b>	Master	Word, Excel and Visio	10 years after finalisation of report	Destruction	Confidential		By year, then internal audit engagement

<sup>1</sup> Audit Tool used for the follow-up of recommendations

Series: title, description	Master / Copy	Medium, format & storage	Retention period	Disposition & Storage	Access classification level	Notes / Rationale	Folder structure
Working documents supporting the findings of the audit/consultancy/review. Include: - Draft report for entity with action plan - Received information - Minutes of interviews - Analysis and tests - Reference table - Official correspondence - Questionnaires		(Teammate <sup>2</sup> , DMS)					
- Risk analysis - Planning - Check-lists		Word, Excel, Visio (RMS)	15 years	Review for useful information			
<b>RS020- Internal audit engagement reports</b> Final reports prepared in the context of audits, consultancy, reviews. Reports include executive summary, action plan and comments of the audited entity.	Master	Word, Excel (RMS)	Permanent	Preservation	Confidential		Chronological
<b>Transitory records relating to conducting internal audit engagements</b> (audits, consultancy, reviews) Exchange with entities.	Master	Word, E-mail (Mailbox of the auditor)	Keep until final report is adopted	Destruction	Confidential		By internal audit engagement (audit, consultancy, review)

<sup>2</sup> Audit Tool used for the follow-up of recommendations

Series: title, description	Master / Copy	Medium, format & storage	Retention period	Disposition & Storage	Access classification level	Notes / Rationale	Folder structure
<b>B.80.010.030 Internal audit follow-up</b>							
<b>Internal audit recommendations and decisions</b> - "Follow-up tool"	Master	Teammate <sup>3</sup>	Keep current	n/a	Confidential	More complete than the RECOS file. Information dating from 10 years and more is deleted within the database.	n/a
- RECOS file		Excel (DMS)					Chronological
Previous versions of the RECOS file Yearly snapshots; to be created during the first month of each year.			2 years	Destruction			By year
<b>Internal audit follow-up exchange with audited entity</b>	Master	E-mail (DMS)	5 years after start of follow-up	Destruction	Confidential		By year, then by audit
<b>B.80.010.040 Internal audit quality assessment</b>							
<b>RS010- Internal audit quality assessment reports</b> Report is established by an external organisation and includes the various evaluation documents which were used during the assessment.	Master	Word (RMS)	Permanent	Preservation	Confidential	These audits take place every 5 years.	Chronological

<sup>3</sup> Audit Tool used for the follow-up of recommendations

Series: title, description	Master / Copy	Medium, format & storage	Retention period	Disposition & Storage	Access classification level	Notes / Rationale	Folder structure
<b>B.80.010.050 Regulatory advice and consultancy</b>							
<b>Regulatory advice and consultancy records</b> Records documenting informal advice to CoE staff members. Includes questions and replies.	Master	E-mail, Word (DMS)	5 years	Destruction	Confidential		By theme
<b>B.80.020 External audit</b>							
<b>Exchange DIO – external auditors</b>	Master	E-mail, Word (DMS)	5 years	Destruction	Confidential		Chronological
<b>Comments to external auditor's report</b> Prepared by the DIO for the SG on the basis of the attached draft report.	Master	E-mail, Word (DMS)	5 years	Destruction	Confidential	The master of external auditor's reports are sent to the treasurer (DGA-TPAD).	Chronological
<b>External auditor nominations records</b> Records documenting the evaluation of applicants and the nomination of the auditors. Include: - CVs - Offers - Draft decisions - Draft letter nominations	Master	E-mail, Word, PDF (DMS)	Until the end of the mandate	Destruction	Confidential	Special attention has to be paid to personal data protection: strict access restrictions apply.	By year
- Final decisions and nominations	Copy					Master is kept by Private Office.	

Series: title, description	Master / Copy	Medium, format & storage	Retention period	Disposition & Storage	Access classification level	Notes / Rationale	Folder structure
<b>Transitory records relating to external audit</b> - Exchange with external auditors linked to logistical support.	Master	E-mail (Staff mailbox)	Until procedure is finalised	Destruction	Confidential		n/a
<b>B.80.030 Independent audit support</b>							
<b>Oversight Advisory Committee annual reports</b> Annual reports on the Oversight Advisory Committee's activities submitted to the Committee of Ministers.	Master	Word (DMS)	Kept until publication of the report	Destruction	Confidential	Published as CM documents.	By year
<b>Oversight Advisory Committee meeting records</b> Including: - Agenda - Declarations of interests - Memoranda - Presentations - Discussed documents - Minutes	Master	Word, Excel, PDF, PowerPoint (DMS)	10 years	Destruction	Confidential		By year, then by meeting
<b>Transitory records relating to independent audit support</b> - Draft documents - Meeting preparation documentation - Exchange with Audit Committee members	Master	Email, Word, Excel (Personnal Workspace or staff mailbox)	Keep until procedure finalised / meeting accomplished	Destruction	Confidential		n/a

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Series: title, description	Master / Copy	Medium, format & storage	Retention period	Disposition & Storage	Access classification level	Notes / Rationale	Folder structure
<b>RS010- Investigation and preliminary assessment case records</b> Case files of preliminary assessment or investigation. Include: Allegations, collected documents, interview records, email exchanges, letters, memos, notes for the files and other case-related information and working documents.	Master	Word, PDF, Excel, e-mail (DMS), paper (originals / copies) (DIO safe)	5 years after the closure of the case (preliminary assessment / investigation)	Destruction	Confidential	<a href="#">As per Instruction No. 65 of 28 June 2016 on investigations and DIO's Charter</a>  Personal information and data should be anonymised as soon as personally identifiable format is no longer necessary.	By case, then by type of document / activity
Preliminary assessment, closure and final investigation reports			10 years after the closure of the case (preliminary assessment / investigation)				
<b>Register of cases and recommendations</b> Register of allegations on fraud, corruption, and other breaches of CoE rules and relevant recommendations issued following activities carried out under instruction No. 65.	Master	Excel (DMS)	Keep current	n/a	Confidential	<a href="#">See Instruction No. 65 of 28 June 2016 on investigations and DIO's Charter</a>	n/a
<b>RS020- Follow-up records of recommendations issued following preliminary</b>	Master	Word, PDF, Excel, e-mail (DMS)	10 years	Review for useful information	Confidential	<a href="#">See Instruction No. 65 of 28 June 2016 on investigations</a>	Chronological

Series: title, description	Master / Copy	Medium, format & storage	Retention period	Disposition & Storage	Access classification level	Notes / Rationale	Folder structure
<b>assessments or investigations</b> Records containing recommendations sent to the SG and/or the MAE concerned and information for their implementation. May include for example memos, exchanges and other information on the implementation of recommendations.						<a href="#">and DIO's Charter</a>	
<b>B.90. Risk management</b>							
<b>Risk management background information</b>	Master	Word, PDF (DMS)	Keep current	n/a	Internal		Chronological
<b>A.20.100 Financial control</b>							
<b>RS010 Financial authority records</b> Includes the following sub-series:							
<b>DIO financial authority records</b> - Delegation of financial responsibility and authority letter - Cost centre signatories table	Copy	PDF (DMS)	5 years	Destruction	Confidential	Concerns each cost centre. Original with DPB.	By entity, by year
<b>RS050 Declarations of interests in the context of procurement</b> Includes the following sub-series:							
<b>Declarations of interests in the context of procurement</b>	Master	SharePoint list	Keep current	n/a	Confidential	Individual declarations in the Sharepoint	n/a

Series: title, description	Master / Copy	Medium, format & storage	Retention period	Disposition & Storage	Access classification level	Notes / Rationale	Folder structure
Signed by all concerned staff according to Rule No.1282 of 18 October 2007 on the declaration of interests in the context of procurement.						annual collection.	
<b>Annual extract from list of declarations of interests</b>		Excel (RMS)	10 years	Destruction			By year
<b>Annual analysis of the declarations of interests</b> - Analysis - Annual report	Master	Excel, Word (RMS)	10 years	Destruction	Confidential		By year
<b>➤ Evaluation Division</b>							
<b>B.70.005 Evaluation policy development</b>							
<b>RS010- Evaluation policy preparation records</b>	Master	Word (RMS)	10 years after adoption	Destruction	Confidential		Chronological
<b>RS020- Evaluation policies and mission statements</b> Includes for example new and previous evaluation policies and other documents related to the aim and purpose of the evaluation function.	Master	Word (RMS)	Keep as long as in force + 5 years after adoption of new version	Destruction	Public		Chronological
<b>B.70.010 Evaluation methodology and criteria development</b>							
<b>RS010- Evaluation methodology records</b>	Master	Word (RMS)	Permanent	Preservation	Internal		Chronological

Series: title, description	Master / Copy	Medium, format & storage	Retention period	Disposition & Storage	Access classification level	Notes / Rationale	Folder structure
Includes for example guidelines for external evaluations.							
<b>B.70.020 Conducting evaluations</b>							
<b>RS010- Evaluation plan</b>	Master	Excel (DMS)	Keep current	n/a	Internal		Chronological
- Annual situations of evaluation plan To be created during the first month of each year.			5 years	Destruction			By year
<b>Evaluation working papers</b> - Terms of reference (describing the purpose and structure of an evaluation including methodology) - Preliminary report ( <i>rapport de démarrage</i> ) - Formal exchange with evaluated entity - Notes to the file - Mission reports - Background information - Draft versions of report (French <i>Dossiers de travail de l'Evaluation</i> )	Master	Word (DMS)	5 years	Destruction	Confidential		By evaluation
<b>Evaluation report preparation records</b> - Exchange with evaluated entity	Master	Word (DMS)	5 years	Destruction	Confidential		By evaluation

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Series: title, description	Master / Copy	Medium, format & storage	Retention period	Disposition & Storage	Access classification level	Notes / Rationale	Folder structure
<b>RS010- evaluation performance matrix</b> Self-evaluation	Master	Excel (DMS)	Keep current	n/a	Confidential	If discontinued, last version to be moved into RMS.	Chronological
Annual situations of evaluation performance matrix To be created during the first month of each year.		Excel (RMS)	10 years	Destruction			By year
B.70.050 Evaluation advice and consultancy							
<b>Evaluation advice and consultancy records</b> - exchanges with entities	Master	E-mail (DMS)	5 years after completion	Destruction	Confidential		By theme
➤ Administrative support and transversal DIO activities							
A.20.020 Procurement							
<b>RS010- Procurement supporting records</b> Includes the following sub-series:							
<b>DIO procurement supporting records</b> Non-accounting records linked to procurement processes such as - Tender documentation - Offers/Bids - Requests for proposals - Exchange with bidders - Exchange with suppliers - Draft contracts	Master	E-mail, Word, Excel (DMS)	5 years after finalisation of procurement procedure	Destruction	Confidential	Rule No. 1333 of 29 June 2011 on the procurement procedures of the Council of Europe, Article 19.4.	By type of purchase

Series: title, description	Master / Copy	Medium, format & storage	Retention period	Disposition & Storage	Access classification level	Notes / Rationale	Folder structure
<b>RS020- Procurement accounting records</b> Includes the following sub-series:							
<b>DIO procurement accounting records</b> Accounting records linked to procurement processes such as - Contracts/orders - Invoices - Acceptance of work certificates	Master / Copy	E-mail, Word, Excel, PDF (RMS), Paper (Cupboard)	10 years after finalisation of procurement procedure	Destruction	Confidential	Rule No. 1333 of 29 June 2011 on the procurement procedures of the Council of Europe, Article 19.4.	By purchase
<b>A.20.030 Expenditure management</b>							
<b>RS080- Mission and travel reimbursement records</b> Includes the following sub-series:							
<b>DIO mission and travel reimbursement records</b> - Mission orders - Invoices linked to missions	Master	Electronic (G DD)	10 years	Destruction	Confidential (Shared with finances)		n/a
<b>Transitory records related to the mission and travel</b> - Exchange on missions	Master	E-mail (Staff mailbox)	Keep until reimbursement is finalised	Destruction	Confidential		By mission
<b>B.60. Programme and budget management</b>							
<b>RS070- Programme and budget monitoring records</b> Includes the following sub-series:							
<b>DIO entity budget proposals</b> Includes preparatory RBB documentation.	Master	E-mail, Word (DMS)	5 years	Destruction	Confidential		By year

Series: title, description	Master / Copy	Medium, format & storage	Retention period	Disposition & Storage	Access classification level	Notes / Rationale	Folder structure
<b>DIO programme and budget monitoring records</b> - Budgetary situations (including staff) - Budgetary forecasts etc.	Master	E-mail, Word, Excel (RMS)	10 years	Destruction	Confidential		By year
<b>Programme and budget management exchanges</b> Exchange with the DPB.	Master	E-mail (DMS)	5 years	Destruction	Confidential		Chronological
<b>A.30.020 Recruitment and career management</b>							
<b>Recruitment records</b> For internal and external recruitments; contains all or any of the following: - Copies of application files - Interview records - Evaluation - Entity's recommendation - Panel decision - Exchange	Master / Copy	E-mail, Word, PDF, Excel (DMS)	2 years	Destruction	Confidential	Personal data on unsuccessful candidates should only be kept for 6 months.	By vacancy
<b>Unsolicited applications</b> Applications and replies	Master	E-mail, Word, PDF (DMS)	2 years	Destruction	Confidential	Applicants are informed that data is kept for 2 years.	Chronological
<b>Staff files</b> If needed at Division level, e.g. for working time requests; reference letters etc.	Master / Copy	E-mail, Word (DMS)	5 years	Destruction	Confidential	Master of personal file is with DHR.	By staff category



Series: title, description	Master / Copy	Medium, format & storage	Retention period	Disposition & Storage	Access classification level	Notes / Rationale	Folder structure
<b>A.30.030 Staff training and development</b>							
<b>RS070- Staff training material</b> Includes the following sub-series:							
<b>E-Learning material</b> News, guidelines and other documents or videos to support e-learning.	Master	Word, PDF, Articulate Storyline 360 (RMS, Share DIO_Web)	10 years	Review for useful information	Restricted		By theme
<b>DIO training exchanges</b> DIO exchanges with the DHR about E-learning procedures.	Master	E-mail, Excel (DMS)	5 years	Destruction	Confidential		n/a
<b>Evaluation culture and capacity building records</b> Includes, inter alia, evaluation training programme and training material, for example, for an evaluation masterclass.	Master	Word, PDF, PowerPoint (DMS)	5 years	Destruction	Internal		By theme
<b>A.30.120 Traineeship management</b>							
<b>Traineeship records</b> Entity's files containing info on trainee, the work carried out, etc.	Master	E-mail, Word, Excel (DMS)	2 years after end of traineeship	Destruction	Confidential		Chronological
<b>A.30.080 Leave and attendance management</b>							
<b>DIO Absence tables</b> - General absence tables - Sick leave tables - Grid activities and leave	Master	Excel (DMS)	N + 1 year	Destruction	Confidential		By year

Series: title, description	Master / Copy	Medium, format & storage	Retention period	Disposition & Storage	Access classification level	Notes / Rationale	Folder structure
<b>Notification of absences</b> Messages by staff to inform of absence.	Master	E-mail in HR correspondent's mailbox	Delete after processing Leave Workflow	Destruction	Confidential	Once treated, no value.	n/a
<b>A.10.020 Work planning</b>							
<b>RS010- Work programmes</b> Includes the following sub-series:							
<b>DIO work organisation</b> - Division mandates - Organisational charts - Responsibilities	Master	E-mail, Word, Excel (DMS)	5 years	Destruction	Internal		By year
<b>DIO work programmes</b> Work programmes of planned internal audits and evaluation	Master	Word (RMS)	10 years	Review for useful information	Confidential		By year
<b>A.10.040 Management and activity reporting</b>							
<b>RS010- Progress and activity records</b> Includes the following sub-series:							
<b>DIO notifications</b> Notifications, e.g. on finalised audit and evaluation reports, in form of memoranda to entity or SG with executive summary and/or the full report.	Master	E-mail with Word and PDF (DMS)	2 years	Destruction	Confidential		By activity (business groupings)
<b>Management and activity reporting exchanges</b> - Internal exchange - Draft versions	Master	E-mail (Staff mailbox), Word (DMS)	2 years	Destruction	Confidential		Chronological

Series: title, description	Master / Copy	Medium, format & storage	Retention period	Disposition & Storage	Access classification level	Notes / Rationale	Folder structure
<b>DIO Activity reports</b> DIO annual reports	Master	Word (DMS)	5 years	Destruction	Confidential	Published as a CM document. CM document becomes the DIO master.	By year
<b>Follow-up reports</b> DIO recommendations follow-up reports of internal audit and evaluation.	Master	Word (RMS)	15 years	Review for preservation	Restricted		Chronological
<b>A.10.050 Conducting staff and management meetings</b>							
<b>RS010 Internal meeting records</b> Includes the following sub-series:							
<b>DIO internal meeting records</b> Records documenting Internal Oversight internal meetings such as staff meeting minutes.	Master	Word (DMS)	5 years	Review for useful information	Confidential		By meeting
<b>A.10.060 Internal Council of Europe communication</b>							
<b>RS020 Intranet Documents</b> Includes the following sub-series:							
<b>DIO intranet documents</b> News or procedures prepared by entity or in collaboration with other CoE entities in order to be published on the CoE Intranet.	Master / Copy	Word, PDF (RMS)	2 years	Review for useful information	Internal	Records created in the context of the DIO core activities should be filed within their appropriate DIO series so that the right retention period be applied.	Chronological

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Series: title, description	Master / Copy	Medium, format & storage	Retention period	Disposition & Storage	Access classification level	Notes / Rationale	Folder structure
<b>Authorisation, copyright</b> Authorisation to use professional material (e.g. pictures, text) owned by other organisations.	Master	Electronic messages (DMS)	Keep current	As long as needed / published	Internal		n/a
<b>C.90.005 Development of communication policies, strategies and procedures</b>							
<b>DIO communication strategy</b> Road map of events and strategies for DIO communication.	Master	Word, Excel (DMS,)	5 years	Review for useful information	Confidential		n/a
<b>C.90.070 Managing publications</b>							
<b>RS010- Council of Europe awareness-raising material</b> Includes the following sub-series:							
<b>DIO Awareness-raising material</b> Flyers, information and communication material on the Council of Europe's DIO. Includes: - Infographic material. - Videos and photos for communication.	Master	Word, PDF (RMS) Paper (Cupboard), MP4, JPEG, Gif, PSD, Png in, InDesign (Share DIO_Web)	10 years	Review for preservation	Public	Videos and photos selected for preservation should be transferred in the MAM.	By topic
<b>RS050- Council of Europe publications</b> Includes the following sub-series:							
<b>Publications on DIO issues</b> May include: - Publications on evaluation	Master	PDF (RMS)	Permanent	Preservation	Public	Masters of publications produced by DGS-SPDP are kept by them.	By theme

Series: title, description	Master / Copy	Medium, format & storage	Retention period	Disposition & Storage	Access classification level	Notes / Rationale	Folder structure
						Copies will be kept until masters are available in RMS, then replaced by links.	