



Brussels, 6.8.2015  
COM(2015) 391 final

ANNEX 1

## **ANNEX**

*to the*

### **REPORT FROM THE COMMISSION**

**on the application in 2014 of Regulation (EC) No 1049/2001 regarding public access to  
European Parliament, Council and Commission documents**

## ANNEX<sup>1</sup>

### Statistics relating to the application of Regulation (EC) No 1049/2001

#### 1. NUMBER OF DOCUMENTS ENTERED IN THE REGISTER

	COM	SEC	C	JOIN	SWD	OJ	PV	Total
<b>2014</b>	1,649	1,438	15,996	89	377	118	88	19,755

#### INITIAL REQUESTS

#### 2. APPLICATIONS RECEIVED AND HANDLED

	2010	2011	2012	2013	2014
Applications registered	6,361	6,477	6,014	6,525	6,227
Replies given <sup>2</sup>	7,148	7,075	6,334	7,659	7,156
Replies given based on Regulation 1049/2001 <sup>3</sup>	6,127	6,055	5,274	5,906	5,637

#### 3. RESULT

	2010		2011		2012		2013		2014	
	No	%	No	%	No	%	No	%	No	%
Full access granted	5,034	82.16	4,856	80.20	3,928	74.48	4,400	73.43	4,096	72.77
Partial access granted	329	5.37	462	7.62	454	8.61	640	10.68	866	15.36
Access refused	764	12.47	737	12.18	892	16.91	866	14.45	668	11.87
<b>Total</b>	<b>6,127</b>	<b>100</b>	<b>6,055</b>	<b>100</b>	<b>5,274</b>	<b>100</b>	<b>5,906</b>	<b>100</b>	<b>5,630</b>	<b>100</b>

<sup>1</sup> Figures as extracted on 23rd April 2015.

<sup>2</sup> Please note that a single request can concern several documents and can consequently give rise to several different replies.

<sup>3</sup> Please note that this category does not include the replies given outside the scope of Regulation 1049/2001, for example replies given under Regulation 45/2001.

#### 4. BREAKDOWN OF REFUSALS BY EXCEPTION APPLIED (%)

	2010	2011	2012	2013	2014
4.1.a. 1st indent – Protection of public security	1.94	2.40	1.34	1.53	1.52
4.1.a. 2nd indent Protection of defence and military matters	0.14	0.39	0.11	0.26	0.00
4.1.a. 3rd indent - Protection of international relations	9.83	12.02	3.58	6.19	7.27
4.1.a. 4th indent – Protection of the financial, monetary or economic policy	2.15	1.88	1.40	1.66	1.57
4.1.b. Protection of privacy and the integrity of the individual	9.76	8.90	14.65	16.26	21.00
4.2.1st indent - Protection of commercial interests	11.84	16.83	16.94	16.14	14.92
4.2 2nd indent - Protection of court proceedings and legal advice	7.32	6.76	9.84	5.42	4.94
4.2 3rd indent - Protection of the purpose of inspections, investigations and audits	26.63	21.90	25.32	23.60	25.01
4.3 subparagraph 1– Decision-making process, no decision yet taken	16.80	17.15	20.23	20.60	15.95
4.3. subparagraph 2- Decision making process, decision already taken: opinions for internal use as part of deliberations and preliminary consultations	9.62	8.58	4.92	6.51	6.19
4.5. Refusal by Member State/third author <sup>4</sup>	3.94	3.18	1.67	1.85	1.63
Total	100	100	100	100	100

4 As from the report 2014, this category is not used anymore, as it does not constitute an exception in the sense of Art. 4 of Regulation 1049/2001. However, the raw data available did not in all cases enable a ventilation according to the exception of Art. 4 of Regulation 1049/2001.

## CONFIRMATORY REQUESTS

### 5. APPLICATIONS RECEIVED AND HANDLED

	2010	2011	2012	2013	2014
Applications registered	181	165	229	236	300
Replies given	152	162	202	252	327
Replies given based on Regulation 1049/2001 <sup>5</sup>	122	144	160	189	272

### 6. RESULT

	2010		2011		2012		2013		2014	
	No	%	No	%	No	%	No	%	No	%
Confirmation of initial reply – Access refused	61	50	61	42.36	91	56.88	106	56.08	154	56.62
Partial revision – Partial access granted	42	34.43	62	43.05	39	24.38	45	23.81	67	24.63
Full revision – Full access granted	19	15.57	21	14.58	30	18.75	38	20.11	51	18.75
<b>Total</b>	<b>122</b>	<b>100</b>	<b>144</b>	<b>100</b>	<b>160</b>	<b>100</b>	<b>189</b>	<b>100</b>	<b>272</b>	<b>100</b>

### 7. BREAKDOWN OF REFUSALS BY EXCEPTION APPLIED (%)

	2010	2011	2012	2013	2014
4.1.a. 1st indent – Protection of public security	2.67	1.33	1.31	0.92	0
4.1.a. 2nd indent - Protection of defence and military matters	0.00	2.00	0.65	3.69	2.84
4.1.a. 3rd indent - Protection of international relations	6.67	4.67	7.19	0	0.71
4.1.a. 4th indent – Protection of the financial, monetary or economic policy	3.33	3.34	0.00	7.37	4.61
4.1.b. - Protection of privacy and the integrity of the individual	9.33	20.67	10.46	16.13	18.09
4.2. 1st indent - Protection of commercial interests	16.67	14.66	11.76	11.98	15.96
4.2. 2nd indent - Protection of court proceedings and legal advice	10	1.33	7.84	6.91	10.28
4.2. 3rd indent - Protection of the purpose of inspections, investigations and audits	32	32.68	45.10	36.87	32.98
4.3 subparagraph 1 – Decision-making process, no decision yet taken	11.33	15.33	6.54	10.60	11.35

<sup>5</sup>

Please note that this category does not include the replies given outside the scope of Regulation 1049/2001.

4.3. subparagraph 2 - Decision making process, decision already taken: opinions for internal use as part of deliberations and preliminary consultations	8	4	9.15	5.53	3.19
<b>Total</b>	<b>100</b>	<b>100</b>	<b>100</b>	<b>100</b>	<b>100</b>

## BREAKDOWN OF INITIAL REQUESTS

### 8. ACCORDING TO SOCIAL AND OCCUPATIONAL PROFILE OF APPLICANTS (%)

	2010	2011	2012	2013	2014
Academics	21.29	23.24	22.70	22.08	19.80
Lawyers	10.24	10.69	13.58	14.46	18.30
Civil society (interest groups, industry, NGOs. etc.)	9.85	8.18	10.32	16.62	16.04
Public authorities (other than the EU institutions)	7.33	13.56	7.12	8.24	8.23
Other EU institutions	3.77	8.32	7.64	8.76	12.80
Journalists	2.02	3.35	4.81	4.58	6.00
Not specified	45.5	32.68	33.83	25.26	18.83
<b>Total</b>	<b>100</b>	<b>100</b>	<b>100</b>	<b>100</b>	<b>100</b>

### 9. ACCORDING TO GEOGRAPHICAL ORIGIN (%)

	2010	2011	2012	2013	2014
Austria			1.78	1.73	1.48
Belgium	17.95	21.42	21.85	24.23	29.30
Bulgaria	0.69	0.93	0.70	0.54	1.08
Cyprus	0.20	0.25	0.08	0.17	0.11
Croatia	-	-	-	0.14	0.24
Czech Republic	4.23	0.93	2.01	1.39	1.00
Denmark	2.02	2.11	1.58	3.12	1.68
Estonia	0.09	0.19	0.17	0.11	0.16
Finland	0.81	1.57	0.55	0.64	1.10
France	9.05	8.90	7.53	7.27	7.97
Germany	16.62	12.27	14.04	12.96	11.94
Greece	1.22	1.10	1.73	1.67	1.24
Hungary	0.89	0.96	0.63	0.86	0.63
Ireland	1.49	1.02	1.50	0.84	1.31
Italy	8.85	12.37	7.54	5.91	8.02
Latvia	0.13	0.15	0.17	0.12	0.36
Lithuania	0.31	0.42	0.30	0.78	0.34
Luxembourg	1.99	2.12	1.79	1.50	1.48
Malta	0.22	0.12	0.17	0.20	0.26

Netherlands	4.43	4.18	4.62	3.80	3.61
Poland	2.76	2.68	2.79	3.95	2.65
Portugal	1.16	1.15	1.11	0.98	1.40
Romania	1.11	0.87	0.91	0.67	0.65
Slovakia	0.56	0.56	0.81	0.35	0.65
Slovenia	0.52	0.31	0.22	0.29	0.39
Spain	6.86	7.16	5.70	6.54	6.24
Sweden	2.18	1.81	2.16	2.19	1.42
United-Kingdom	7.24	8.59	10.17	7.64	7.41
Non-EU European countries	0.50	0.40	0.37	1.81	1.81
North America	0.11	0.23	0.88	0.28	0.94
Australia and New Zealand	0.09	0.03	0.03	0.02	0.00
Africa	0.05	0.02	0	0.08	0.24
South America	0.05	0.02	0.03	0.03	0.03
Asia	0.04	0.06	0.05	0.26	0.39
Not specified	3.49	3.73	6.03	6.96	2.47
<b>Total</b>	<b>100</b>	<b>100</b>	<b>100</b>	<b>100</b>	<b>100</b>

## 10. ACCORDING TO AREA OF INTEREST (%)

Directorate-General / Service <sup>6</sup>	2010	2011	2012	2013	2014
AGRI – Agriculture and Rural Development	3.15	2.62	3.44	3.05	5.02
BEPA – Bureau of European Policy Advisers <sup>7</sup>	0.03	0.11	0	0.06	0.15
BUDG – Budget	1.24	1.02	0.81	0.72	0.74
CLIMA – Climate Action	1.21	2.22	2.86	2.53	1.71
COMM – Communication	0.74	1.26	0.65	0.55	0.60
COMP – Competition	9.07	6.99	6.81	5.13	7.55
CONNECT – Communications Networks, Content and Technology <sup>8</sup>	1.79	1.98	1.74	2.07	1.55
DEVCO – Development and Cooperation-EuropeAid (former DEV + AIDCO)	2.77	3.30	4.67	2.89	3.99
DGT – Translation	0.36	0.14	0.20	0.14	0.05
DIGIT – Informatics	0.09	0.09	0.12	0.05	0.06
EAC – Education and Culture	1.13	1.05	1.13	2.13	0.84
ECFIN – Economic and Financial Affairs	2.32	1.57	1.11	1.53	1.44

<sup>6</sup> Please note that OLAF does not record its requests for access to documents in the same system.

<sup>7</sup> As from 1 January 2015, BEPA became EPSC.

<sup>8</sup> Please note that DG CONNECT was previously DG INFSO (until 1 July 2012).

ECHO – Humanitarian Aid and Civil Protection	0.28	0.33	0.18	0.23	0.18
ELARG – Enlargement <sup>9</sup>	1.47	1.04	0.95	0.93	0.97
EMPL – Employment, Social Affairs and Inclusion	2.74	1.64	3.47	2.51	2.61
ENER – Energy	2.91	5.86	5.15	4.78	3.20
ENTR – Enterprise and Industry <sup>10</sup>	4.48	4.84	4.55	5.02	5.02
ENV – Environment <sup>11</sup>	4.86	6.37	6.61	5.07	5.29
EPSO – European Personnel Selection Office	0.14	0.23	0.23	0.18	0.23
ESTAT – Eurostat	0.31	0.20	0.20	0.28	0.36
FPIS – Foreign Policy Instruments Service <sup>12</sup>	-	-	0.13	0.46	0.90
HOME – Home Affairs	1.63	4.74	3.14	2.07	2.82
HR – Human Resources and Security + OIB (Office for Infrastructure and Logistics in Brussels) + OIL (Offices for Infrastructure and Logistics in Luxembourg) + PMO (Office for Administration and Payment of Individual Entitlements)	2.29	2.34	2.98	2.23	2.45
IAS – Internal Audit Service	0.09	0.05	0.02	0.17	0.03
JUST – Justice	6.75	2.54	3.72	4.21	3.60
MARE – Maritime Affairs and Fisheries	0.66	0.95	0.66	1.01	1.07
MARKT – Internal market and services <sup>13</sup>	6.14	5.72	5.02	4.30	5.05
MOVE – Mobility and Transport	3.13	3.02	2.66	4.15	3.47
OP – Publications Office	0.19	0.37	0.12	0.11	0.10
RELEX – External Relations	3.29	2.39	-	-	-
REGIO – Regional Policy	3.06	2.29	3.41	2.20	4.13
RTD – Research and Innovation + JRC – Joint Research Centre	1.82	1.27	1.61	1.95	2
SANCO – Health and Consumer <sup>14</sup>	5.44	6.96	7.28	8.26	7.21
SCIC – Joint Interpreting and Conference Service	0.08	0	0.02	0.02	0

<sup>9</sup> As from 1 January 2015, DG ELARG became DG NEAR.

<sup>10</sup> As from 1 January 2015, DG ENTR became DG GROW.

<sup>11</sup> Please note that DG ENV splitted into DG ENV and DG CLIMA in 2010.

<sup>12</sup> Please note that since the creation of the European External Action Service (EEAS), only documents of FPI are retained within the Commission.

<sup>13</sup> As from 1 January 2015, DG MARKT became DG FISMA.

<sup>14</sup> As from 1 January 2015, DG SANCO became DG SANTE.



SG – Secretariat General	11.64	10.12	12.10	13.88	11.57
SJ – Legal Service	2.68	2.76	4.37	3.75	3
TAXUD – Taxation and Customs Union	5.30	7.80	4.92	6.01	5.57
TRADE – Trade	3.06	3.47	2.48	4.73	5.08
<b>Total</b>	<b>100</b>	<b>100</b>	<b>100</b>	<b>100</b>	<b>100</b>