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DECISION

THE SECRETARY-GENERAL OF THE EUROPEAN PARLIAMENT,

HAVING REGARD TO the Bureau decision of 2 July 2012 laying down rules on document management in the European Parliament, in particular Article 12 thereof,

HAVING REGARD TO the Bureau decision of 28 November 2001 on public access to European Parliament documents,

WHEREAS, with a view to laying down a uniform procedure for processing documents inside Parliament, it is essential for the institution to adopt common rules to be applied by all the departments in the Secretariat;

WHEREAS all departments in the Secretariat should play a significant role in applying, coordinating and overseeing the new document management structure;

WHEREAS the Guide to the Obligations of Officials and Other Servants of the European Parliament (the Code of Conduct) adopted by the Bureau on 7 July 2008 lays down an openness requirement for the European civil service;

WHEREAS Parliament documents must be managed in accordance with requirements including those laid down in: 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; Regulation (EC) No 45/2001 of the European Parliament and of the Council of 18 December 2000 on the protection of individuals with regard to the processing of personal data and on the free movement of such data; Council Regulation (EEC, Euratom) No 354/83 of 1 February 1983 concerning the opening to the public of the historical archives; Regulation (EU, Euratom) No 966/2012 of the European Parliament and the Council of 25 October 2012 on the financial rules applicable to the general budget of the Union and repealing Council Regulation (EC, Euratom) No 1605/2002; and Regulation (EEC, Euratom, ECSC) No 259/68 of the Council of 29 February 1968 laying down the Staff Regulations of Officials and the Conditions of Employment of Other Servants of the European Communities and instituting special measures temporarily applicable to officials of the Commission (Staff Regulations);

WHEREAS rigorous, standardised document management is fundamental to an effective policy on public access to European Parliament documents based primarily on the electronic register of references (ERR) set up under the Bureau decision of 28 November 2001;

WHEREAS documents containing information that may come within the scope of Article 2(1), (2) and (3) of Regulation (EEC, Euratom) No 354/83 require special treatment;

WHEREAS this decision lays down general arrangements for document management and is without prejudice to the specific arrangements for the handling of confidential information;

HAS ADOPTED THIS DECISION:

Article 1
Definition

The definition of the term ‘document’ given in Article 2(f) of the Bureau decision of 2 July 2012 laying down rules on the document management in the European Parliament (hereinafter ‘the Bureau Decision’) shall apply for the purposes of this decision.

CHAPTER I
Registration of documents

Article 2
Scope and aims of registration

1. Documents drawn up or received by Parliament's Administration which meet the criteria laid down in Article 3 of the Bureau Decision shall be registered.
2. The aims of registering such documents shall include:
 - (a) formally acknowledging the Administration's responsibility for the documents, including for legal and financial purposes;
 - (b) enabling the Administration to identify a document without any possibility of error, by linking metadata with the original;
 - (c) certifying that a document has been formally drawn up, i.e. that the author has approved it as ready for forwarding, by either signing it or arranging for its distribution;
 - (d) compiling files on specific matters being dealt with by the Administration, using a consistent and effective filing system;
 - (e) keeping a record of Parliament's activities;

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- (f) making it easier to allocate a document to a person, a department or a system for action, follow-up, consultation or storage;
- (g) making documents easier to access and trace throughout their life cycle;
- (h) enabling Parliament to keep registers containing document references in order to fulfil its obligations, not least under the rules on openness.

Article 3
Department responsible for registration

1. Registration shall be performed by the originating department or by the department responsible for taking receipt of the document.
2. When a document is received by a department other than the department responsible for taking receipt of it, that department shall forward the document to the department responsible at the earliest opportunity.

Article 4
Registration procedure

1. The department responsible shall analyse each of the documents it formally draws up or receives with a view to determining whether it must be registered in accordance with the requirements laid down in Article 3 of the Bureau Decision.
2. If, under that article, a document must be registered, the department responsible shall register it. It shall save the relevant metadata, as specified in Annex I, and link the document to those metadata in the registration system. The registration system shall assign a unique reference to the document and keep a trace of all of the operations performed in the system.
3. Where necessary, the department responsible shall assign the document a distribution code establishing access rights to it within Parliament.
4. Documents may not be registered more than once.
5. Documents which do not meet the criteria for registration laid down in Article 3 of the Bureau Decision may be saved in a document management system or filed in the appropriate file.

Article 5
Making changes to the content of a registered document

If changes are made to the content of a document that has been registered, the amended document shall be treated as a new document. The document shall therefore be re-analysed in accordance with Article 4.

Article 6
Correcting registration errors

1. All registration errors shall be corrected and a record shall be kept of the following information:

- (a) the name of the person making the correction;
- (b) the date on which it was made;
- (c) the data that were corrected.

2. This information shall be kept for the same length of time as the document to which it relates.

Article 7
Provisional registration

Each directorate-general shall lay down procedures enabling it to register documents provisionally in the event of a registration system failure.

CHAPTER II
Mail handling

Article 8
Mail handling objectives

Mail entering and leaving Parliament's premises shall be processed in a manner consistent with Parliament's policy on information management and internal and external communication.

Article 9
Receipt of incoming mail

1. The department responsible for Parliament's mail shall take receipt of incoming mail at Parliament's three places of work once the necessary security checks have been completed.

2. Mail addressed to the President, the Secretary-General, the Deputy Secretary-General and committee and delegation chairs, and any mail addressed simply to 'the European Parliament', shall be identified and sorted for processing by the department responsible for Parliament's mail in accordance with Article 10 and Annex II.

3. Mail for addressees other than those listed in paragraph 2 shall be placed in the internal mail for direct distribution to the persons concerned. Mail addressed to Secretariat departments shall be opened and analysed in accordance with Article 4. Should any such mail prove to be for one of the addressees referred to in paragraph 2, the department which

received it shall forward it to the department responsible for Parliament's mail at the earliest opportunity.

4. When an item of mail as referred to in paragraph 2 is received by one of Parliament's information or liaison offices, it shall be forwarded to the department responsible for Parliament's mail at the earliest opportunity.

5. Officials and other staff may not have their private mail sent to Parliament. The department responsible for Parliament's mail may have such mail returned to the sender.

6. The department responsible for Parliament's mail shall be under no obligation to take receipt of unsolicited and unaddressed direct mail.

7. If the identity of an addressee cannot be established because the name is illegible, unknown or incomplete, the department responsible for Parliament's mail may have the item returned to the sender. It may also take steps to identify the addressee and deliver the item. If it is unable to do so, the item shall be destroyed.

Article 10

Dealing with mail covered by Article 9(2)

1. Without prejudice to the mail handling provisions set out in Annex II, the department responsible for Parliament's mail shall open mail covered by Article 9(2).

2. The department responsible for Parliament's mail shall register such mail and either allocate it itself or forward an allocation proposal to the departments responsible. Where necessary, the department responsible for Parliament's mail shall assign such mail a distribution code establishing the access rights to it within Parliament.

3. By way of exception from Article 15, the department responsible for Parliament's mail shall forward the originals of such items to the department responsible for the historical archives for centralised storage.

Article 11

Processing outgoing mail

1. Outgoing mail shall be processed and submitted to the postal operator by the department responsible for Parliament's mail.

2. The department responsible for Parliament's mail shall validate the mail items registered by the sending departments, thus certifying their actual date of despatch.

Article 12

Procedures for handling mail in Parliament

The procedures for handling mail in Parliament are set out in Annex II.

CHAPTER III

Filing

Section 1

Filing of documents

Article 13

Aims of filing

The purpose of this process, which involves departments opening files on the specific matters they are dealing with and organising those files in accordance with the filing plan, as referred to in Article 16, shall be to:

- (a) make it easier to search for and find documents throughout their life cycle, in particular by creating minimum metadata sets for each file and for the headings in the filing plan in accordance with Annex I;
- (b) enhance the quality of the work performed by Parliament's departments and ensure continuity, in particular where responsibility for a given matter passes from one member of staff to another;
- (c) keep track of work and rationalise the tasks to be carried out by the various departments.

Article 14

Opening and closing files

1. A file shall be opened for each matter when work starts on it, and closed once the matter has been dealt with.
2. Departments shall open a file on each matter they are required to deal with under their specific remit. Once the matter has been dealt with, it shall close the file.
3. Each file shall be linked to the relevant heading in the filing plan.

Article 15

File integrity

1. All documents that have been registered shall be filed by the department responsible in accordance with Article 14(2).
2. Documents that have not been registered may be included in files in order to provide a more comprehensive overview of the matter at hand. Such documents shall become an integral part of the file in which they have been included when the file is closed.
3. Each department shall ensure that the files for which it is responsible are complete. It shall check that all key items are present.

4. Once a file has been closed, no documents may be added to or removed from it, except in connection with the appraisals referred to in Articles 24 and 27.

Section 2 **Filing plan**

Article 16 *Parliament's filing plan*

1. Parliament's filing plan shall reflect the activities carried out by the institution as a whole and the specific tasks assigned to each directorate-general.

2. It shall:

(a) provide an overview of the document management structure adopted by the institution;

(b) ensure that documents are filed in a consistent manner by identifying common areas of activity within the institution;

(c) make it easier to search for Parliament files and documents, on the basis of metadata created for files and headings in accordance with Annex I.

Article 17 *Filing plan management*

1. Each directorate-general shall be responsible for managing the filing plan headings relating to the areas coming within its remit.

2. An information system shall be set up for the purpose of managing Parliament's filing plan. That system shall evolve in line with changes to the filing plan and shall be compatible with Parliament's electronic document management systems.

Article 18 *Filing plan contents*

The contents of the filing plan are specified in Annex III.

CHAPTER IV **Document and file retention**

Section 1 **Aims and responsibilities**

Article 19 *Aims*

The purpose of document and file retention is to:

- (a) guarantee that evidence of Parliament's activities is kept for the purpose of ensuring compliance with the institution's legal and financial obligations;
- (b) ensure the physical protection of documents and files;
- (c) enable Parliament's departments to find and consult documents and files swiftly and easily on the basis of the file retention metadata specified in Annex I;
- (d) enhance transparency and make it easier for the public to gain access to documents;
- (e) provide public access to Parliament's historical archives.

Article 20

Current and intermediate records: organisation and responsibilities

Each directorate-general shall be responsible for managing and processing its own current and intermediate records and shall take all necessary action in this connection.

Article 21

Historical archives: organisation and responsibilities

1. The department responsible for the historical archives shall manage and process Parliament's historical archives.
2. The historical archives shall be made up of material transferred from the directorate-generals' intermediate records in accordance with Articles 24, 25 and 26.

Section 2

Retention system tools

Article 22

Common retention list for Parliament as a whole

1. The common retention list shall enable directorates-general to identify the category into which each of the files they create and keep falls for retention purposes.
2. The list shall show the length of time each category of file is to be retained for, on the basis of its administrative retention period (ARP) and its potential value to Parliament as a historical record and for the purpose of building the institution's memory.
3. It shall also specify the action to be taken for each category of file when its ARP comes to an end.

Article 23
Specific retention list for each directorate-general

1. The specific retention list for each directorate-general sets out the specific action to be taken pursuant to the common retention list. It focuses on the management of current and intermediate records, providing directorates-general with the basis they require in order to fulfil all their obligations in connection with the retention of documents and files accumulated in the course of their work.
2. The list specifies the ARP for each category of file and the action to be taken once the ARP comes to an end, i.e. whether the files should be destroyed or transferred to the department responsible for the historical archives, for preservation.

Section 3
Appraisal and transfer to Parliament's historical archives

Article 24
Appraisal of files by directorates-general

1. In accordance with its retention list, each directorate-general shall conduct an annual appraisal of the files in its intermediate records whose ARP has come to an end.
2. During the course of this exercise, it may use sampling and/or selection methods to rationalise the number of files to be transferred to the department responsible for the historical archives.
3. Each directorate-general shall analyse the files that are to be transferred for permanent preservation, with a view to removing and destroying all documents that have become redundant and are of no value to Parliament as historical records or for building the institution's memory.

The directorates-general shall pay particular attention to documents containing information which may come within the scope of Article 2(1), (2) and (3) of Regulation (EEC, Euratom) No 354/83. They shall flag up any such information on the transfer form for the relevant file, in order to bring it to the notice of the department responsible for the historical archives.

4. During the course of an appraisal, directorates-general may, where the circumstances so warrant and on the basis of a reasoned decision, choose not to destroy a file that is marked down for destruction in the retention list.
5. Each directorate-general shall ensure that the destruction of a file is duly documented by means of a destruction form containing the minimum file destruction metadata specified in Annex I, as well as a destruction certificate. These records shall be entered in the relevant electronic document management systems and kept permanently.

Article 25
Transfer of files by directorates-general

1. When transferring a set of files to the department responsible for the historical archives for archival processing, directorates-general shall submit a transfer form together with the files. The transfer form shall contain, as a minimum requirement, the transfer metadata for the files, as specified in Annex I.
2. The transfer form shall be signed by the head of the department responsible and the document management officer (DMO), and countersigned by the head of the department responsible for the historical archives to signify the department's acceptance of the transfer.
3. The department responsible for the historical archives may refuse to accept a transfer if the directorate-general's retention list has not been correctly followed.
4. When a directorate-general transfers a file to the department responsible for the historical archives it also transfers responsibility for processing and preserving the file to that department.

Article 26
Appraisal methods and file destruction procedure

Details of the appraisal methods to be used and the procedure for destroying files are set out in Annexes IV and V.

Section 4
Permanent preservation and accessibility of historical archives

Article 27
Further appraisal by the department responsible for the historical archives

1. The department responsible for the historical archives shall review the files that directorates-general transfer to it for preservation and, where appropriate, shall make a further appraisal of the documents they contain.
2. Should it find any duplicates or discover that the retention list has not been correctly followed, the department responsible for the historical archives may decide to destroy the relevant documents or files. It may also use sampling and/or selection methods after consulting the department concerned.

Article 28
Processing historical archives

1. The department responsible for the historical archives shall describe the contents of files for permanent preservation and shall preserve the document registration and filing metadata specified in Annex I. In order to ensure that documents are permanently preserved, it shall make use of electronic document management systems.

2. The department responsible for the historical archives shall take the necessary steps to ensure that historical archives are processed in such a way as to prepare them for subsequent transfer to the European University Institute (EUI) in Florence in accordance with Article 30.

Article 29
Accessibility of historical archives

1. The department responsible for the historical archives shall provide access to files selected for permanent preservation once they have been processed in accordance with Article 28. The files shall be made accessible at the earliest opportunity, and at the latest within 30 years, in accordance with Regulation (EEC, Euratom) No 354/83.

2. Documents containing information that may come within the scope of Article 2(1), (2) and (3) of Regulation (EEC, Euratom) No 354/83 shall not be made accessible. Such documents shall be reviewed by the department responsible for the historical archives. If it is found that there are no longer any grounds for an exception, the documents may be made public following consultation of the originating department and in accordance with the conditions laid down in the aforementioned Article 2.

3. Wherever possible, documents shall be made accessible in electronic form.

4. The department responsible for the historical archives shall put in place the facilities required for historical archives made accessible in accordance with paragraphs 1, 2 and 3 to be consulted on Parliament's premises.

Article 30
Depositing historical archives with the European University Institute (EUI) in Florence

1. The department responsible for the historical archives shall deposit with the EUI paper files from Parliament's historical archives that have been made accessible to the public.

2. Parliament shall retain ownership of the archives and shall be responsible for organising files deposited with and made available to the EUI.

CHAPTER V
Electronic register of references (ERR)

Article 31
Forwarding metadata to the ERR

1. Responsibility for forwarding the metadata for a document to the ERR in accordance with the procedure laid down in Annex VII shall lie with the department which drew the document up or is responsible for taking receipt of it.

2. Metadata for the following types of document shall be forwarded to the ERR:

(a) Documents relating to Parliament's activities;

(b) General information documents;

(c) Documents forwarded by the other institutions and by Member States;

(d) Correspondence from third parties.

3. Parliament departments may decide to forward to the ERR metadata for documents not covered by the above list.

Article 32

Procedure for forwarding metadata to the ERR

The procedure for forwarding metadata to the ERR is set out in Annex VII.

CHAPTER VI

Interdepartmental group on document management (GIDOC)

Article 33

GIDOC responsibilities

GIDOC shall adopt internal rules and a work programme that takes account of the need to draw up and update the filing plan and the common retention list, with due regard for the remit set out in Article 10 of the Bureau Decision.

Article 34

GIDOC secretariat

The duties of the GIDOC secretariat shall be laid down in GIDOC's internal rules.

CHAPTER VII

Final provisions

Article 35

Implementation in Parliament's Secretariat

1. Each directorate-general shall take the organisational, technical and administrative action required in order to implement this decision.

2. The directorates-general shall provide GIDOC with information on all such action whenever it so requests and at least once a year.

Article 36

Training to be provided in connection with implementation of this decision

In coordination with GIDOC, the directorate-general with responsibility for professional training shall hold appropriate training courses, in particular for the officials responsible for implementing this decision.

Article 37

Reporting to the Secretary-General and updating this decision

Before 1 November 2015, GIDOC shall report to the Secretary-General on progress in implementing this decision and, where appropriate, shall submit proposals for changes.

Article 38

Repeal

The following provisions are hereby repealed:

- (a) Secretary-General's note of 30 March 2000 on official mail;
- (b) Secretary-General's note of 8 May 2001 on official mail – Adonis;
- (c) Decision of 31 May 2002 of the Secretary-General on implementing measures for the registration of documents;
- (d) Note of 12 November 2002 from the Secretary-General, entitled ‘Towards improved information and greater transparency: the archives of the European Parliament’;
- (e) Notice of 18 March 2003 from the Secretary-General on filing mail and administrative documents;
- (f) Note of 1 October 2004 from the Deputy Secretary-General on transferring archives to the Historical Archives;
- (g) New instructions of 9 December 2005 from the Secretary-General on registering mail;
- (h) Decision of 1 October 2008 of the Secretary-General on management of current and intermediate records at the EP.

Article 39

Entry into force

This decision shall enter into force on 1 November 2013.

Done at Brussels,

Klaus WELLE

ANNEX I Metadata

1. Definition

This annex lists the metadata that must travel with documents at every stage in their life cycle. Metadata are data describing the context, content and structure of documents.

2. Document registration metadata

The minimum document registration metadata shall be:

- (a) the document date;
- (b) the registration date;
- (c) the unique reference created at registration;
- (d) the document's author and, where appropriate, the department responsible;
- (e) the document recipient and, where appropriate, the department responsible;
- (f) the title and subject matter of the document;
- (g) the distribution code;
- (h) the title of the file or files containing the document and, where appropriate, the references for the procedure under which it comes;
- (i) the number of attachments and a brief description of those attachments.

3. Filing metadata

1) The minimum metadata for each file shall be:

- (a) the alphanumeric code for the filing plan heading;
- (b) the alphanumeric code for the file;
- (c) the file's title;
- (d) the department responsible;
- (e) the distribution code;
- (f) the file creation date;
- (g) the file closure date;
- (h) the file's status.

2) The minimum metadata for each filing plan heading shall be:

- (a) the wording of the heading;
- (b) the alphanumeric code;
- (c) the creation date;
- (d) the closure date;
- (e) the heading's status;
- (f) the department responsible.

4. File retention metadata

The minimum file retention metadata shall be:

- (a) the file category;
- (b) the administrative retention period;
- (c) the action to be taken at the end of the ARP;
- (d) the department responsible;
- (e) the location;
- (f) the medium;
- (g) the distribution code;
- (h) a list of the documents in the file.

5. File destruction metadata

The following minimum metadata shall be permanently preserved for files that are destroyed:

- (a) the alphanumeric code for the file;
- (b) the file's title;
- (c) the department responsible;
- (d) the file creation date;
- (e) the file closure date;
- (f) the file category;
- (g) a description of the file;
- (h) the destruction date.

6. File transfer metadata

For each transfer, the following minimum metadata shall be added to the metadata already created:

- (a) the transfer date;
- (b) the department responsible;
- (c) any exceptions under Article 2(1), (2) and (3) of Regulation No 354/83.

ANNEX II

Mail handling

This annex sets out the procedures for handling mail.

1. Role of the department responsible for Parliament's mail

The department responsible for Parliament's mail shall:

- (a) take receipt of incoming mail;
- (b) process that mail;
- (c) process and frank outgoing mail.

2. Taking receipt of mail

The department responsible for Parliament's mail shall put in place arrangements, procedures and systems to ensure efficient receipt, sorting and processing of incoming and outgoing mail.

It shall sort the mail and forward items for distribution inside Parliament to the departments responsible for routing mail and delivering it to mail boxes.

Special arrangements for certain types of mail:

(a) Recorded deliveries and express mail

The department responsible for Parliament's mail shall take receipt of recorded mail (including items requiring acknowledgment of receipt) and express mail. Details of such items shall be entered in an IT system, which shall notify the addressees of their arrival and ask them to collect them within a given period of time. If they are not collected within that time, they may be returned to the sender.

The department responsible for Parliament's mail shall open recorded mail items for Article 9(2) addressees and register them in an electronic registration system.

(b) Private mail

Letters which are marked as such, or on which the addressee's status is not specified, shall be treated as private mail and routed for direct delivery to the addressee.

Letters from bodies which deal with sensitive matters (e.g. OLAF) shall be delivered, unopened, directly to their addressees.

(c) Parliament's accounting documents

The department responsible for Parliament's mail shall take delivery of such documents, stamp them with a date and number to certify their date of receipt and order of entry, and then forward them to the department responsible.

(d) Mail relating to procurement procedures

The department responsible for Parliament's mail shall certify the date of receipt of mail relating to procurement procedures. Details of such items shall be entered in an IT system and e-mails shall be sent to the departments responsible, asking them to collect the items from the department responsible for Parliament's mail.

3. Processing incoming mail

Mail addressed to Members, political groups, officials and other staff, as well as to service providers with a Parliament address, shall be delivered directly to the addressees.

Mail items covered by Article 9(2) shall be handled as follows:

(a) Opening

Letters and parcels delivered to the three places of work shall be opened in a specially fitted-out room in accordance with the relevant security rules and procedures.

Any suspicious items shall be dealt with in accordance with those procedures.

(b) Registration

Each item shall be registered in an electronic registration system by the department responsible for Parliament's mail, which shall create a data sheet containing metadata identifying the item.

(c) Scanning

The department responsible for Parliament's mail shall then scan each item (with the exception of items covered by point 5(c) below) into the electronic registration system.

(d) Allocation

When mail addressed to the President and the Secretary-General is received, the department responsible for Parliament's mail shall submit an allocation proposal to the Secretary-General's Office, which shall approve it either as it stands or with changes (and after consulting the President's Office if the item is addressed to the President).

Mail for addressees other than the President and Secretary-General shall be allocated and e-mailed to the relevant directorate-general or department by the department responsible for Parliament's mail.

4. Processing outgoing mail

Outgoing mail shall be registered by the originating departments and forwarded to the department responsible for Parliament's mail, which shall:

- (a) 'close' each item in the electronic registration system and allocate it a unique reference, thus certifying the actual date of despatch;
- (b) frank the item;
- (c) despatch the item.

Sealed envelopes must bear the sender's name and Parliament address. The department responsible for Parliament's mail may carry out checks to make sure that improper use is not being made of this service.

Items for recorded delivery must be marked 'Recorded mail'. Where acknowledgment of receipt is required, this must be specified. The despatch slip must be filled in by the sending department.

Mail may be sent by courier service through the department responsible for Parliament's mail only in exceptional circumstances and with that department's approval.

5. Transfer of originals to the department responsible for the historical archives

(a) Incoming mail

The department responsible for Parliament's mail shall send the department responsible for the historical archives all mail (originals plus any attachments) coming under Article 9(2) within 15 working days of its receipt. Any attachments that have not been scanned shall be forwarded to the secretariats of the relevant directorates-general.

The department responsible for Parliament's mail shall send all mail that has been allocated a specific distribution code to the department responsible for the historical archives, under double cover, within 15 working days of its receipt. The originals of any attachments shall be sent to the addressee department.

(b) Outgoing mail

The department responsible for Parliament's mail shall send the department responsible for the historical archives copies of outgoing mail and of any attachments within five working days of its despatch.

The department responsible for Parliament's mail shall send copies of mail that has been allocated a 'restricted access' distribution code to the department responsible for the historical archives, under double cover, within five working days of its despatch.

(c) List of attachments not to be scanned or sent to the department responsible for the historical archives

- (i) Attachments that are illegible or in non-standard formats;
- (ii) press articles;
- (iii) brochures and leaflets;
- (iv) lists of petition signatories;
- (v) private correspondence containing personal data covered by Regulation (EC) No 45/2001;
- (vi) Parliament documents already available in other databases;
- (vii) documents from other institutions that are already available on those institutions' websites or are to be published in the Official Journal;
- (viii) documents relating to legal proceedings;
- (ix) accounting documents covered by the Financial Regulation;
- (x) books.

ANNEX III

Filing plan contents

The filing plan shall be based on Parliament's various fields of activity. It shall comprise common, institution-wide headings, which may have no more than three levels, and specific headings for each directorate-general, which may have no more than five levels.

The institution-wide headings covering activities common to the whole of Parliament shall be located above the headings covering the specific activities of each directorate-general.

The levels in each heading shall move downwards from the general to the specific. The headings may be structured either by subject area or by file type. Each sub-division shall have a short, representative title, and shall be assigned a numeric or alphanumeric code serving as the file reference.

ANNEX IV

Appraisal methods

This annex sets out the appraisal methods to be used within Parliament.

1. Sampling and selection

Sampling and selection are two appraisal methods used to determine which of a number of files in a given category are to be permanently preserved. The two methods may be used in combination with each other.

2. Sampling

The choice of which files to keep is made on the basis of objective criteria.

This method is used for files that are representative of a department's work as a whole.

It is based on the following principles:

- (a) all the files must have a similar internal structure;
- (b) the sample taken must be representative of the set of files being reviewed; an appropriate sampling rate must therefore be set.

The size of the individual files in a given set will have a bearing on the number to be preserved.

Sampling may be either systematic (i.e. based on chronological, alphabetical or other criteria) or random.

3. Selection

The files to be kept are chosen on the basis of specific criteria established in advance, such as media interest and value for research purposes. The remaining files are destroyed.

Unlike with the sampling method, the number of files to be kept is not predetermined. Furthermore, the files chosen will not necessarily be representative of the relevant department's work.

ANNEX V

Destruction procedure

This operation involves destroying documents or complete files on the basis of their ARP, as specified in the retention list. It shall be performed by the directorates-general once they have carried out an appraisal of the files whose ARP has come to an end. The destruction of each item shall be duly documented by means of a destruction form and a destruction certificate.

When the department responsible for the historical archives receives files for preservation from the directorates-general, it may decide to destroy further files following a second appraisal conducted in accordance with its own archiving criteria.

Destruction shall mean removing all traces of information stored in hard-copy or electronic form or as audio and video recordings.

The destruction of physical media shall be performed in accordance with the environmental management (EMS) and security and safety rules in force in Parliament.

ANNEX VI

Forwarding metadata to the electronic register of references (ERR)

This annex sets out the procedure for forwarding metadata to the ERR, the interface through which the public may gain access to Parliament documents in accordance with Article 11 of Regulation (EC) No 1049/2001.

1. Forwarding procedure

The metadata for each document, together with its distribution code and an indication of whether it may be accessed directly or on request, shall be forwarded to the ERR when the document is drawn up, tabled or received.

The metadata entered in the various IT applications used in Parliament are forwarded to the ERR automatically. However, they may also be entered directly, using the ERR uploading application.

2. Document metadata to be forwarded to the ERR

The following metadata shall be forwarded:

- (a) the document reference;
- (b) the institutional reference, where available;
- (c) the title or subject matter of the document;
- (d) the document author and/or authority;
- (e) the date on which the document was drawn up and/or the date of the event to which it relates;
- (f) the date of entry into the ERR;
- (g) the references for the procedures under which the document comes and/or the files in which it is included;
- (h) any other relevant references or links.

3. Forwarding the metadata for the various types of document

The metadata for documents relating to Parliament's activities shall be forwarded to the ERR when the documents are made public or tabled with the relevant Secretariat departments. This shall be done automatically when they are entered in an electronic document management system.

The metadata for general information documents shall be forwarded to the ERR no later than three working days after they are made public by the department responsible. The metadata for studies, working documents, briefings and notes drawn up by Parliament departments on request shall be forwarded to the ERR once the documents have been received by the addressees.

The metadata for documents from other institutions and from Member States shall be forwarded to the ERR by the department responsible for receiving and forwarding the documents when it allocates them to the department responsible.

The metadata for third-party correspondence shall be forwarded to the ERR by the receiving or sending department no more than three working days after the item has been allocated to the body or department responsible.

The metadata for petitions from members of the public may be forwarded to the ERR only with the petitioners' consent.

The metadata for mail received directly by Secretariat departments, and therefore not processed by the department responsible for Parliament's mail, shall be forwarded to the ERR within three working days of their receipt, once the receiving department has registered the items in an electronic document management system.

4. Responsibility for the accuracy of the metadata forwarded to the ERR

Under the authority of its directorate-general's document management officer, the department responsible for sending or receiving a document shall ensure that the metadata for the document is accurate and is forwarded on time to the ERR. It shall also ensure that the correct distribution code is assigned to the document and shall act on any notifications generated by the ERR application.