

HANDLING INSTRUCTION NO 3¹

REGISTRATION, NOTIFICATION AND DESTRUCTION OF CONFIDENTIAL INFORMATION

1. INTRODUCTION

- (1) Registration of confidential information shall be organised as follows:
 - (a) registration for security purposes applies for information classified as:
 - 'CONFIDENTIEL UE/EU CONFIDENTIAL and above or equivalent';
 - (b) registration for administrative purposes applies for information classified as:
 - 'RESTREINT UE/EU RESTRICTED or equivalent'; and
 - 'other confidential information'.
- (2) Registration for security purposes is a basic tool to ensure traceability of information classified as CONFIDENTIEL UE/EU CONFIDENTIAL and above or equivalent. Whereas registration of regular information pertains exclusively to the creation and reception of a document, registration for security purposes means the application of procedures which record all relevant life-cycle phases of the classified information, including production, handling, dissemination, consultation and destruction. These phases and the concrete data to be registered are defined herein.
- (3) Registration of information classified as RESTREINT UE/EU RESTRICTED or equivalent for administrative purposes is subject to less stringent rules than those applicable to registration for security purposes.
- (4) Registration of 'other confidential information' for administrative purposes is governed by the general Parliament rules on document management², with the exceptions provided for herein.

2. PRINCIPLES

- (5) Confidential information, whether created by Parliament or received from a third party, shall be registered. The type of data and the moment of registration vary according to confidentiality level of the information.
- (6) Information classified as CONFIDENTIEL UE/EU CONFIDENTIAL and above or equivalent shall be registered for security purposes. Information classified as RESTREINT UE/EU RESTRICTED or equivalent and 'other confidential information' shall be registered for administrative purposes.

¹ Decision of the Bureau of the European Parliament of 15 April 2013 concerning the rules governing the treatment of confidential information by the European Parliament ("the Bureau Decision")

² Decision of the Bureau of the European Parliament of 2 July 2012 concerning the rules on document management in the European Parliament

- (7) Documents created by Parliament and containing confidential information shall be registered as soon as it is formally drawn up.
- (8) Confidential information formally received by Parliament shall be registered after signature of an acknowledgement of receipt provided by the depository institution. A copy of this acknowledgement of receipt shall be kept and joined to the file. If the depository institution does not provide an acknowledgement of receipt the parliamentary body/office or service authorised to receive the information shall issue one. The acknowledgement of receipt for classified information is attached in Annex I. For the acknowledgement of receipt of 'other confidential information', the parliamentary body/office holder or service holding the information may issue one by e-mail or using the form in Annex II, if such a document is not provided by the depository institution.
- (9) An acknowledgement of receipt shall indicate the level of the confidentiality of the information deposited. The original reference number of the information received shall be retained.
- (10) Registration of confidential information may be carried out by paper or by electronic means, depending on the level of confidentiality. However, registration of EUCI may be performed electronically only in an authorised communication and information system ("CIS"). Until an authorised CIS becomes operational, EUCI shall be registered only in paper logbooks, with the exception of information classified as RESTREINT UE/EU RESTRICTED or equivalent, which may be registered in an accredited electronic logbook by the CIU. Separate logbooks according to the classification level shall be maintained. The same logbook may be used to record consecutive years (per level of classification) with each year clearly indicated.
- (11) Logbooks shall be classified as appropriate. Security rules applying to EUCI shall apply to logbooks, according to their commensurate classification level. Logbooks shall be structured to reflect the incoming or outgoing status of EUCI, origin and destination.
- (12) The registration number attributed by Parliament to each confidential information created or received is unique. For information related to staff members it shall be sufficient to file the documents under the staff number of the respective staff member.
- (13) Registration numbers for EUCI shall comprise, in the following order: department acronym/confidentiality level acronym/consecutive 3-digit minimum numbering/last 2 digits of the year. Numbering shall be initialised on the 1st of January of each year.
- (14) Acronyms are TS= TRÈS SECRET UE/EU TOP SECRET or equivalent, S=SECRET UE/EU SECRET or equivalent, C=CONFIDENTIEL UE/EU CONFIDENTIAL or equivalent, R=RESTREINT UE/EU RESTRICTED or equivalent.

For instance, the first document containing information classified as CONFIDENTIEL UE/EU CONFIDENTIAL and received by or produced inside the Secure Area of the CIU in 2015 shall be registered as CIU/C/001/15.

In the event of modification, the prefixes "rev", "rev I", "rev II", etc. shall be used. Thus a first revision of CIU/C/001/15 shall be registered as CIU/C/001/15/rev.

3. PRACTICE

3.1 Registration for security purposes

- (15) Registration for security purposes provides a reliable means of knowing who has possession of particular classified information, ensuring that only security-cleared and authorised individuals with a need-to-know may have access.
- (16) Registration for security purposes is compulsory for:
- (a) information classified as:
 - TRÈS SECRET UE/EU TOP SECRET or equivalent;
 - SECRET UE/EU SECRET or equivalent;
 - CONFIDENTIEL UE/EU CONFIDENTIAL or equivalent;
 - (b) all copies and translations of such information.
- (17) Information classified as CONFIDENTIEL UE/EU CONFIDENTIAL and above or equivalent shall be registered exclusively by the CIU within the registry room of the Secure Area. Such information shall not be registered in the electronic management system for administrative documents of the European Parliament (GEDA system or any other equivalent electronic tool).
- (18) Information classified as CONFIDENTIEL UE/EU CONFIDENTIAL and above or equivalent shall be registered:
- (a) as soon as the document containing it is formally drawn up;
 - (b) on arrival at or departure from the CIU; or
 - (c) on arrival at or departure from the CIS.
- (19) As soon as the document containing the information is formally drawn up, the originator³ shall complete an initial declaration, provided by the CIU, attesting to the creation of information classified as CONFIDENTIEL UE/EU CONFIDENTIAL and above, annexed hereto (Annex III). The initial declaration shall list all data pertinent to the correct security registration of the information. The originator shall personally deliver the completed initial declaration to the CIU. At the moment of delivery, the completed initial declaration shall be co-signed by the originator and the CIU staff member.
- (20) On receipt of the completed initial declaration, the CIU shall register the information in the logbook.
- (21) Information classified as CONFIDENTIEL UE/EU CONFIDENTIAL and above or equivalent received by the European Parliament shall be registered after completion of

³ 'Originator' means the duly authorised author of confidential information (see Article 2(0) of the Bureau Decision).

an acknowledgement of receipt. The original reference number of the information formally received shall be retained.

- (22) Information classified as CONFIDENTIEL UE/EU CONFIDENTIAL and above or equivalent stored on accredited media such as CDs, diskettes and USB keys shall be registered in the same manner as paper documents.
- (23) Registration for security purposes by the CIU shall be carried out using paper or electronic means in an authorised CIS. Until an authorised CIS becomes operational, information classified as CONFIDENTIEL UE/EU CONFIDENTIAL and above or equivalent shall be registered only in paper logbooks. Separate logbooks according to classification level shall be maintained. The same logbook may be used to record consecutive years (per level of classification) with each year clearly indicated.
- (24) Any modification of registered information shall be recorded.
- (25) Information classified as CONFIDENTIEL UE/EU CONFIDENTIAL and above or equivalent may only be processed (created, edited, copied, stored, printed, deleted, destroyed, etc.) in the Secure Area. Only accredited procedures for these purposes, including environmental procedures, hardware, software, operating procedures, etc., may be used. Changes to accredited procedures shall be authorised by the Security Accreditation Authority.
- (26) Details completed in the logbooks shall comprise:

Document bearing confidential information

- (a) registration number;
- (b) document title: full title including enclosure titles;
- (c) originator: institution and department, plus all other available details on the originator;
- (d) document date;
- (e) initial reference number: reference details attributed by the originator including number of enclosures and total number of pages;
- (f) classification, marking or designator: clarifying information confidentiality level, expiry date of confidentiality of information, including handling information set out in the marking or designator;
- (g) reception or creation date and time, including in the case of creation the date and time of any revision or modification;
- (h) language: original language and number of copies plus details of other language versions and number of copies;

Incoming transmission letter

- (i) letter of transmission: date of transmission and, where appropriate, the GEDA registration reference;

Notification

- (j) access/distribution list;
- (k) referral/dispatch: date of referral/dispatch, details of institution, department or third party;
- (l) letter/email of notification: date and reference details of referral/dispatch email or letter, including GEDA registration reference;

Distribution and consultation

- (m) deposit type: definition of "temporary" or "definitive" deposit type with return of temporary deposits recorded in "remarks";
- (n) number of referral/dispatch copies;
- (o) cross-reference of referral/dispatch copies with addressees, including indication of translations;
- (p) consultation: date, time and full name of persons accessing the information;
- (q) consultation by persons not included in the original access/distribution list: date and time of release and return of information, full name of person accessing the information recorded in "remarks";

Declassification/downgrading

- (r) declassification or downgrading: date, time and full name of person performing declassification, full name of person authorising declassification recorded in "remarks";

Destruction

- (s) destruction: date and time of destruction of the information, full name of person effecting the destruction and full name of person witnessing the destruction.
- (27) On registration and according to section 3.3 of this handling instruction, the CIU shall notify those on the access/distribution list that consultation is available in the reading room of the Secure Area.

- (28) Information classified as CONFIDENTIEL UE/EU CONFIDENTIAL or equivalent and SECRET UE/EU SECRET or equivalent may only be printed by cleared CIU staff within the Secure Area.
- (29) Information classified as CONFIDENTIEL UE/EU CONFIDENTIAL or equivalent may be printed on a pre-printed green watermark specifying the security classification level. Information classified as SECRET UE/EU SECRET or equivalent may only be printed on a pre-printed red watermark specifying the security classification level. Only accredited printers may be used.
- (30) In Parliament, information classified as CONFIDENTIEL UE/EU CONFIDENTIAL and above or equivalent shall be registered and managed exclusively by the CIU. In accordance with the exceptions laid down in point 3.2.2 of Annex II to the Framework Agreement and in Article 6(5) of the Inter-Institutional Agreement between Parliament and the Council, information classified as CONFIDENTIEL UE/EU CONFIDENTIAL or equivalent originating from the European Commission or the Council may be provided by the CIU to the secretariat of a parliamentary body/office holder or service as a temporary deposit for use at an in camera meeting, in accordance with Article 11(3) and (4) of the Bureau Decision. Further, other institutions may, under their own responsibility, provide for classified information to be used at an in camera parliamentary meeting on the basis of an established practice or following specific arrangements with the parliamentary body/office holder or service concerned.
- (31) The secretariat of the parliamentary body/office-holder or service responsible for the in camera meeting shall ensure compliance with Article 11(2) and (3) of the Bureau Decision and shall ensure that persons designated to participate in the meeting comply with Article 3 (4) and (7) of the Bureau Decision.
- (32) Information classified as CONFIDENTIEL UE/EU CONFIDENTIAL or equivalent temporarily deposited with the secretariat of the parliamentary body/office holder or service for an in camera meeting may under no circumstances be registered by any parliamentary body/office holder or service.
- (33) When information classified as CONFIDENTIEL UE/EU CONFIDENTIAL or equivalent is provided to the secretariat of a parliamentary body/office holder or service for an in camera meeting, the following procedure shall apply:
- (a) the CIU shall provide numbered copies of the information for each MEP in a sealed envelope;
 - (b) the CIU shall complete a confirmation of a temporary deposit for an in camera meeting, annexed hereto (Annex IV), comprising a general summary of the temporary deposit together with a comprehensive list of MEPs and their allocated copy number. The sealed envelopes shall be personally delivered to the secretariat of the parliamentary body/office holder or service at which time the secretariat shall sign the general summary in the acknowledgement of receipt and retain the comprehensive list;
 - (c) the CIU shall record this temporary deposit;

- (d) the above mentioned sealed envelopes shall be distributed by the secretariat of the parliamentary body/office holder or service to MEPs on commencement of the meeting. MEPs shall sign the comprehensive list in the acknowledgement of receipt against their allocated copy number. The secretariat shall insert the time of delivery of each sealed envelope on the comprehensive list;
- (e) at the end of the meeting, the secretariat of the parliamentary body/office holder or service shall recover the copies of the information for each MEP in the unsealed envelopes. MEPs shall sign the comprehensive list on return against their allocated copy number. The secretariat shall insert the time of receipt of each copy of the information for each MEP on the comprehensive list. The secretariat shall return those copies of the information for each MEP together with the updated comprehensive list to the CIU without delay. The secretariat and the CIU shall co-sign the comprehensive list confirming return of the copies of the information for each MEP;
- (f) the CIU shall record the return of this information. The CIU shall destroy the copies of the information for each MEP and the unsealed envelopes without delay in an appropriate level accredited shredder (see rules on destruction in Chapter 4 hereafter). The CIU shall store the confirmation of a temporary deposit for an in camera meeting comprising the general summary of the temporary deposit together with the comprehensive list of MEPs and their allocated copy number for a duration of five years.

3.2 Registration for administrative purposes

- (34) Registration for administrative purposes means the application of procedures which record the life-cycle, including creation, handling, distribution, consultation and destruction of information classified as:
 - RESTREINT UE/EU RESTRICTED or equivalent; and
 - 'other confidential information'.

3.2.1 Registration of information classified as RESTREINT UE/EU RESTRICTED or equivalent

- (35) Information classified as RESTREINT UE/EU RESTRICTED or equivalent shall be registered by the CIU or by the secretariat of the parliamentary body/office holder or service:
 - (a) as soon as the document containing it is formally drawn up;
 - (b) on arrival at or departure from the CIU or the secretariat of the parliamentary body/office holder or service;
 - (c) on arrival at or departure from the CIS.
- (36) Information classified as RESTREINT UE/EU RESTRICTED or equivalent created by the European Parliament shall be registered by the originator as soon as the document containing the information is formally drawn up. The originator shall, without delay, submit an initial declaration to the CIU, communicating:

- (a) date of creation;
 - (b) document title;
 - (c) security classification and marking;
 - (d) registration number.
- (37) Information classified as **RESTREINT UE/EU RESTRICTED** or equivalent formally received by the European Parliament shall be registered by the service responsible for official reception of the information, either the CIU or the secretariat of the parliamentary body/office holder or service. The head of unit of the secretariat of the parliamentary body/office holder or service shall, without delay, submit an initial declaration to the CIU confirming receipt of information classified as **RESTREINT UE/EU RESTRICTED** or equivalent including:
- (a) date of reception;
 - (b) originator: institution and department;
 - (c) document title, full title including enclosure titles;
 - (d) security classification and marking;
 - (e) registration number, including reference details attributed by the originator institution.
- (38) Registration of information classified as **RESTREINT UE/EU RESTRICTED** or equivalent shall follow a uniform registration system to be established within an authorised CIS.

Until the uniform system established within an authorised CIS becomes operational, information classified as **RESTREINT UE/EU RESTRICTED** or equivalent shall be registered:

- (a) by the CIU in paper logbooks or in accredited electronic logbook;
 - (b) by parliamentary body/office holder or service, in paper logbooks provided by the CIU upon request of the head of unit of the parliamentary body/office holder or service concerned. The template of the paper logbook is annexed hereto (Annex VI(b)).
- (39) Details of information classified as **RESTREINT UE/EU RESTRICTED** or equivalent completed in the logbook shall comprise:

Document bearing confidential information

- (a) registration number;
- (b) document title: full title including enclosure titles;
- (c) originator: institution and department, plus all other available details;

- (d) document date;
- (e) initial reference: reference details attributed by the originator including number of enclosures and total number of pages;
- (f) classification, marking or designator: clarifying information confidentiality level, expiry date of confidentiality of information, including handling information set out in the marking or designator;
- (g) reception or creation date and time, including in the case of creation the date and time of any revision or modification;
- (h) language: original language and number of copies plus details of other language versions and number of copies;

Incoming transmission letter

- (i) letter of transmission: date of transmission and, where appropriate, the GEDA registration reference;

Notification

- (j) access/distribution list;
- (k) referral/dispatch: date of referral/dispatch, details of institution, department or third party;
- (l) letter/email of notification: date and reference details of referral/dispatch email or letter, including GEDA registration reference;

Distribution and consultation

- (m) deposit type: definition of "temporary" or "definitive" deposit type with return of temporary deposits recorded in "remarks";
- (n) number of referral/dispatch copies;
- (o) cross-reference of referral/dispatch copies with addressees, including indication of translations;
- (p) consultation: date, time and full name of person accessing the information;
- (q) consultation by persons not included in the original access/distribution list: date and time of release and return of information, full name of person accessing the information recorded in "remarks";

Document declassification/downgrading

- (r) document declassification or downgrading: date, time and full name of person performing declassification, full name of person authorising declassification recorded in "remarks";

Destruction

- (s) destruction: date and time of destruction of the information, full name of person effecting the destruction and full name of person witnessing the destruction.
- (40) On registration and according to section 3.3 of this handling instruction, the CIU or the secretariat of the parliamentary body/office holder or service, as appropriate, shall notify those on the access/distribution list that consultation is available;
- (41) Information classified as RESTREINT UE/EU RESTRICTED or equivalent provided by the Council to the European Parliament within 12 months following the entry into force of the Inter-Institutional Agreement between Parliament and the Council shall be subject to temporary arrangements, including registration procedures.

During this period, information classified as RESTREINT UE/EU RESTRICTED or equivalent provided by the Council shall be afforded the same level of protection as information classified as CONFIDENTIEL UE/EU CONFIDENTIAL and above or equivalent and shall, therefore, be registered exclusively by the CIU.

3.2.2 Registration of 'other confidential information'

- (42) 'Other confidential information' created by the European Parliament shall be registered in accordance with its markings by the originator as soon as the document containing the information is formally drawn up.
- (43) 'Other confidential information' received by the European Parliament shall be registered in accordance with its markings by the service responsible for official reception of the information, either the CIU or the secretariat of the parliamentary body/office holder or service.
- (44) 'Other confidential information' shall be registered in electronic document management system of the European Parliament (GEDA or equivalent electronic tool), subject to the handling instructions required by the relevant markings. The text of the information may be attached in GEDA according to the handling instructions required by its markings.
- (45) The document title (if necessary modified to remove any protected information, including personal data) and its status as 'other confidential information' shall be entered in GEDA.
- (46) Details of 'other confidential information' completed in GEDA shall comprise:

Document bearing confidential information

- (a) registration number;
- (b) document title in the sense of preceding paragraphe 45: title including enclosure titles;
- (c) originator: institution and department, plus all other available details;

- (d) document date;
- (e) marking: type of marking and if indicated, the expiry date;
- (f) reception or creation date, including in the case of creation the date of any revision or modification;

Incoming transmission letter

- (g) letter of transmission: date of transmission and GEDA reference;

Notification

- (h) access/distribution list, if available;
- (i) referral/dispatch: date of referral/dispatch, details of institution, department or third party;

Moreover, details of 'other confidential information' completed in GEDA may also comprise:

Distribution and consultation

- (j) deposit type: details of the department holding the document, definition of "temporary" or "definitive" deposit type with return of temporary deposits recorded

Document unmarking

- (k) document unmarking: date, time and full name of person performing unmarking, full name of person authorising unmarking shall be recorded

3.3 Notification of confidential information

- (47) On registration, CIU or the secretariat of the parliamentary body/office holder or service, as appropriate, shall notify those with an established need-to-know or only the persons referred to on the access/distribution list, if available, that consultation is available.
- (48) Notification may be carried out electronically or by internal post, according to the following instructions.

3.3.1 Notification of information classified as CONFIDENTIEL UE /EU CONFIDENTIAL and above or equivalent

- (49) CIU is the only parliamentary body entitled to notify information classified as CONFIDENTIEL UE /EU CONFIDENTIAL and above or equivalent.
- (50) The subject field of the notification letter or email shall have the title "NOTIFICATION OF EUROPEAN UNION CLASSIFIED INFORMATION".
- (51) In the event of notification by email, the functionalities and commands "reply", "reply to all" and "forward" shall be disabled.

- (52) The notification letter or email shall invite the addressees to reserve their consultation time slot by email to the CIU (CIU@ep.europa.eu).
- (53) No other mention or reference to the title and/or content of the classified information concerned shall be made. Under no circumstances shall the text of the information concerned be scanned or attached to the notification letter or email.
- (54) The transmission letter bearing the final phrase "when detached from enclosures, this letter is unclassified" may be attached to the notification letter or email.
- (55) The notification letter or email, together with the access/distribution list, shall be registered in GEDA and the following shall apply:
- (a) GEDA subject field shall have the title EUCI following by the registration number of the classified information;
 - (b) GEDA confidentiality field shall be labelled "*accès réservé - CIU*";
 - (c) a link shall be made to the GEDA file, where this exists, containing the transmission letter.
- 3.3.2 *Notification of information classified as RESTREINT UE/EU RESTRICTED or equivalent*
- (56) The subject field of the notification letter or email shall have the title:
- (a) "*NOTIFICATION OF EU RESTRICTED INFORMATION - CIU*" , if the notification is done by CIU;
 - (b) "*NOTIFICATION OF EU RESTRICTED INFORMATION*" , if the notification is done by another parliamentary body/office holder or service.
- (57) In the event of notification by email, the functionalities and commands "*reply*", "*reply to all*" and "*forward*" shall be disabled.
- (58) The notification letter or email shall invite the addressees to reserve their consultation time slot by email.
- (59) Reference to the title of the classified information, modified to remove any classified or protected data, may be made in the notification letter or email. No other mention or reference to the title and/or content of the classified information concerned shall be made. Under no circumstances shall the text of the information concerned be scanned or attached to the notification letter or email.
- (60) The transmission letter bearing the final phrase "when detached from enclosures, this letter is unclassified" may be attached to the notification letter or email.
- (61) The notification letter or email, together with the access/distribution list, shall be registered in GEDA and the following shall apply:

- (a) the title of the information classified as RESTREINT UE/EU RESTRICTED or equivalent to be introduced in the GEDA subject field shall be modified to remove classified or protected data;
- (b) GEDA confidentiality field shall be labelled "*accès réservé*" followed by " CIU", if the notification is done by the CIU;
- (c) GEDA confidentiality field shall be labelled "*accès réservé*", if the notification is done by other parliamentary body/office holder or service. The CIU shall be assigned as addressees in copy;
- (d) a link shall be made to the GEDA file, where this exists, containing the transmission letter.

3.3.3 Notification of 'other confidential information'

- (62) 'Other confidential information' shall be notified in accordance with its marking, by GEDA by notification letter and/or email. If an access/distribution list is available, notification may only be sent to the addressees indicated therein.
- (63) The title of the 'other confidential information' to be introduced in the GEDA subject field shall be modified to remove protected data, including personal data.
- (64) The GEDA confidentiality field shall be labelled "fiche nominative" or "*accès réservé*" followed by the specific marking in accordance with the handling conditions required by the relevant markings.
- (65) Text of 'other confidential information' may be attached to GEDA only if permitted by the respective marking (see handling instruction No 1).
- (66) In the event of notification by letter or email, the title of the 'other confidential information' to be introduced in the subject field of the notification letter or email shall be modified to remove protected information, including personal data.
- (67) In the event of notification by email, the functionalities and commands "*reply*" and "*reply to all*" shall be disabled and the command "*forward*" only be allowed in favour of persons who have a need-to-know.
- (68) The text of 'other confidential information' may be attached to the notification letter or email if permitted by the respective marking (see handling instruction No 1).
- (69) The notification letter or email shall be registered in GEDA, linked to the corresponding GEDA registration fiche.

4. DESTRUCTION OF CONFIDENTIAL INFORMATION

4.1 Destruction of EUCI

- (70) Destruction of EUCI shall be effected:
 - (a) when copies in paper or electronic form are no longer required;

- (b) in a crisis, as an emergency action to prevent unauthorised access;
 - (c) on request of the originator or of the relevant authority that originally authorised creation of the information.
- (71) Rules on destruction of EUCI shall apply without prejudice to the rules on archiving.
- (72) Copies of EUCI distributed for consultation purposes shall be destroyed without delay on return to the CIU.
- (73) Copies can be destroyed only by the physical means of destruction defined and accredited by the Security Accreditation Authority and in line with handling instruction No. 4 and handling instruction No 7.
- (74) Destruction of EUCI shall be evidenced by the destruction certificate annexed hereto (Annex V), completed immediately on destruction and bearing the signatures of the person authorising the destruction, the person effecting the destruction and the person witnessing the destruction.
- (75) Completed destruction certificates shall be filed and archived:
- (a) by the CIU for information classified as CONFIDENTIEL UE /EU CONFIDENTIAL and above or equivalent;
 - (b) by the CIU or by the parliamentary body/office holder or service, as relevant, for information classified as classified RESTREINT UE/EU RESTRICTED or equivalent.
- (76) Details of destruction of EUCI completed in the relevant logbook shall comprise the:
- (a) date and time of destruction of the information;
 - (b) full name and signature of the person effecting the destruction;
 - (c) full name and signature of the person authorising the destruction;
 - (c) full name and signature of the person witnessing the destruction;
 - (d) registration number of original document and copy numbers;
 - (e) original physical form of the destroyed EUCI;
 - (f) means of destruction; and
 - (g) place of destruction.
- 4.1.1 *Minimum standards for destruction of information classified as TRÈS SECRET UE/EU TOP SECRET or equivalent*
- (77) In no circumstances shall information classified as TRES SECRET UE/EU TOP SECRET or equivalent be disposed of in normal office waste.

- (78) Destruction of information classified as TRES SECRET UE/EU TOP SECRET or equivalent shall be witnessed by a person holding security clearance corresponding to at least the classification level of the information being destroyed.
- (79) Information classified as TRES SECRET UE/EU TOP SECRET or equivalent shall be destroyed only with the prior written consent of the originator.
- (80) Information classified as TRÈS SECRET UE/EU TOP SECRET or equivalent shall be destroyed and disposed of by the CIU on instructions from the originator or from a competent authority, with the logbook updated accordingly.
- (81) The CIU shall store completed destruction certificates together with the distribution forms for information classified as TRÈS SECRET UE/EU TOP SECRET or equivalent for a duration of at least ten years.
- 4.1.2 *Minimum standards for destruction of information classified as SECRET UE/EU SECRET and CONFIDENTIEL UE/EU CONFIDENTIAL or equivalent*
- (82) In no circumstances shall information classified as SECRET UE/EU SECRET and CONFIDENTIEL UE/EU CONFIDENTIAL or equivalent be disposed of in normal office waste.
- (83) Destruction of information classified as SECRET UE/EU SECRET and CONFIDENTIEL UE/EU CONFIDENTIAL or equivalent by the CIU shall take place in the registry room of the Secure Area where the information was registered using one of the methods set out below.
- (84) Documents and computer media bearing information classified as SECRET UE/EU SECRET and CONFIDENTIEL UE/EU CONFIDENTIAL or equivalent shall be destroyed by burning, pulping, shredding or other reduction into an unrecognisable and non-reconstructable form.
- (85) Shredders used shall have prior approval by the Security Accreditation Authority.
- (86) Destruction shall be effected within the Secure Area by CIU staff under the supervision of the Security Authority.
- (87) Destroyed documents shall be disposed of by CIU staff.
- (88) The CIU shall store completed destruction certificates together with the distribution forms for information classified as SECRET UE/EU SECRET and CONFIDENTIEL UE/EU CONFIDENTIAL or equivalent for a duration of at least five years.
- (89) Destruction of information classified as SECRET UE/EU SECRET or equivalent shall be witnessed by a person holding security clearance corresponding to at least the classification level of the information being destroyed.
- (90) Information classified as CONFIDENTIEL UE/EU CONFIDENTIAL, SECRET UE/EU SECRET or TRÈS SECRET UE/EU TOP SECRET or equivalent shall be destroyed and disposed of by the CIU on instruction from the originator or from a competent authority, with the logbook updated accordingly.

4.1.3. *Minimum standards for destruction of information classified as RESTREINT UE/EU RESTRICTED or equivalent*

- (91) In no circumstances shall information classified as RESTREINT UE/EU RESTRICTED information or equivalent be disposed of in normal office waste without prior shredding.

4.2 Destruction of ‘other confidential information’

- (92) Destruction of ‘other confidential information’ shall be effected in accordance with Annex I of handling instruction No 1 and with Parliament's rules on document management.

ANNEXES:

- | | |
|-----------------|--|
| I. | Acknowledgement of receipt (EUCI) |
| II. | Acknowledgement of receipt (OCI) |
| III. | Initial declaration |
| IV. | Confirmation of a temporary deposit for an in camera meeting |
| V. | Destruction certificate |
| VI. (a,b and c) | Details of the logbook components |

Annex I - ACKNOWLEDGEMENT OF RECEIPT

(Model for EUCI)



ЕВРОПЕЙСКИ ПАРЛАМЕНТ PARLAMENTO EUROPEO EVROPSKÝ PARLAMENT EUROPA-PARLAMENTET
EUROPÄISCHES PARLAMENT EUROOPA PARLAMENT ΕΥΡΩΠΑΪΚΟ ΚΟΙΝΟΒΟΥΛΙΟ EUROPEAN PARLIAMENT
PARLEMENT EUROPÉEN PARLAIMINT NA HEORPA EUROPSKI PARLAMENT PARLAMENTO EUROPEO
EIROPAS PARLAMENTS EUROPOS PARLAMENTAS EURÓPAI PARLAMENT IL-PARLAMENT EWROPEW
EUROPEES PARLEMENT PARLAMENT EUROPEJSKI PARLAMENTO EUROPEU PARLAMENTUL EUROPEAN
EURÓPSKY PARLAMENT EVROPSKI PARLAMENT EUROOPAN PARLAMENTTI EUROPAPARLAMENTET

Acknowledgement of receipt

FROM	
Institution/third party and department	
Name of the person responsible for referral	
TO:	
Institution/third party and department	
Name of the addressee(s)	
Specific handling arrangements (if available):	

Details of the document transmitted / received* - **content or title should not be referred to**

Classified information register		Type of document (Note, USB key, etc)	Reference(s) of package:	Reference(s) of the document:	Date of <u>dispatch</u> / <u>receipt</u> *	Copy No(s):
Logbook	Year					

* Delete as appropriate

Place, date and time of the delivery : _____

(Name and signature of the person responsible for delivery. Stamp)	(Name and signature of the person responsible for reception. Stamp)

Instructions:

1. Check documents against this receipt
2. Sign and stamp this receipt
3. Original shall be kept or returned signed and stamped to Classified Information Unit.

Annex II - ACKNOWLEDGEMENT OF RECEIPT
(Model for 'other confidential information')

FROM (Institution/third party and department or person):

TO (Institution/third party and department or person):

Document Specification

MARKING or equivalent :

DOCUMENT REFERENCE:

DATE:

COPY NUMBERS (per language):

NUMBER OF PAGES (per language):

ATTACHMENTS (if any):

ACCESS LIST:

by name of individual person (if more space needed, please attach duly signed list):

.....

.....

.....

by function or by department:

- President of Parliament,

- All Members,
- Secretary General,
- Members of committee:,
- Secretariat of committee:,
- Chairman and rapporteur of committee:
- others:

SPECIFIC ARRANGEMENTS (if any):

.....

Place and date time of the delivery/reception _____

(Name and signature of the person responsible for delivery.)	(Name and signature of the person responsible for reception.)
Stamp	Stamp

REGISTRATION NUMBER:

Annex III - INITIAL DECLARATION

CONFIRMATION OF CREATION OF A CLASSIFIED DOCUMENT IN THE EUROPEAN PARLIAMENT - Bureau decision, Annex II., SN 2 - G (44)

This declaration shall be completed by the originator and signed by the originator and the CIU staff on receipt.

ORIGINATOR

Full name in capital letters:

Department + address + telephone number:

LEVEL OF CLASSIFICATION:

DATE:

LANGUAGE:

REQUEST FOR TRANSLATION (LANGUAGES):

ACCESS LIST:

by name of an individual (if more space needed, please attach duly signed list):

.....
.....
.....

by function or by department:

- President of Parliament,
- All Members,
- Secretary General,
- Members of committee:,
- Secretariat of committee:,
- Chairman and rapporteur of committee:
- others:

SPECIFIC ARRANGEMENTS (if any):

.....
.....
.....

ORIGINATOR:

Name:

Signature:

Place and date: / /20

CIU:

Name:

Signature:

Place and date: / /20

Registration number:

Annex IV - CONFIRMATION OF A TEMPORARY DEPOSIT

FOR AN IN CAMERA MEETING

CONFIRMATION OF A TEMPORARY DEPOSIT OF A DOCUMENT CLASSIFIED AS 'CONFIDENTIEL UE/EU CONFIDENTIAL' OR EQUIVALENT WITH A PARLIAMENTARY COMMITTEE BY THE CIU FOR THE PURPOSES OF AN IN CAMERA MEETING AND RETURN OF DOCUMENT TO THE CIU - Bureau decision, Article 11 (3) and (4)

SIGNATURES

confirming temporary deposit of the document classified as 'CONFIDENTIEL UE/EU CONFIDENTIAL' or equivalent with the committee secretariat for a meeting held in camera:

CIU (stamp, place + date, full name and signature of person responsible for carriage/deposit of document):

COMMITTEE SECRETARIAT

(Committee name, stamp, place + date, full name and signature of person responsible for receipt of document):

Original document registration number:

Document reference:

Languages:

Total number of copies provided to committee secretariat/languages:

Total number of pages per copy/language:

Total number of pages of this table:

Originator (person, department and institution):

Remarks:

Annex V - DESTRUCTION CERTIFICATE
(Classified Information Unit - European Parliament)

Original document registration number:

Level of classification:

- ‘TRÈS SECRET UE/EU TOP SECRET’ or equivalent;
- ‘SECRET UE/EU SECRET’ or equivalent;
- ‘CONFIDENTIEL UE/EU CONFIDENTIAL’ or equivalent;
- ‘RESTREINT UE/EU RESTRICTED’ or equivalent.

Document title:

Copy numbers (per language):

Total number of copies destroyed:

Originator (department and institution):

Classification, marking or designator:

Physical form of the destroyed document (paper, CD, etc.):

Method of destruction (burning, pulping, shredding, etc.):

Comments:

Date and time of destruction:

Place of destruction (as precise as possible):

Destroyed by:

Name:

Signature:

Destroyed on instruction from:

Name:

Signature:

Witnessed by:

Name:

Signature:

Annex VIa - DETAILS ON THE USE OF REGISTER LOGBOOK

Any person involved in the registration process of confidential documents in the European Parliament is to observe the existing EP rules for treatment of confidential information, especially the Bureau decision in force and its handling instructions.

Information classified as CONFIDENTIEL UE/EU CONFIDENTIAL, SECRET UE/EU SECRET or TRÈS SECRET UE/EU TOP SECRET, or its equivalent may only be registered by the CIU for security purposes. Information classified as RESTREINT UE/EU RESTRICTED or its equivalent and "other confidential information" received from third parties shall be registered for administrative purposes by the service responsible for the official reception of the document, being either the CIU or the secretariat of a parliamentary body/office-holder or service. "Other confidential information" and information classified as RESTREINT UE/EU RESTRICTED produced within Parliament shall be registered by the originator, for administrative purposes.

When a parliamentary body/office holder or service is responsible for registration of information classified as RESTREINT UE/EU RESTRICTED or equivalent, it shall always do so only in paper logbooks provided by the CIU.

When a parliamentary body/office holder or service is responsible for registration of 'other confidential information' received from third parties, it can do so either in a paper logbook provided by the CIU or in their own paper or electronic logbooks. When using logbooks not provided by the CIU, at least the following conditions shall be fulfilled:

- the logbook shall be entitled as "other confidential information",
- an introductory page shall contain a table for names of persons responsible for maintenance of the logbook,
- the logbook shall record at least a minimum amount of data per level of confidentiality, as listed in handling instruction 3,
- the structure of the logbook shall follow the basic distinction between "Reception or Creation" and "Disposal"

A parliamentary body/office holder or service shall keep separate logbooks for registration of information classified as RESTREINT UE/EU RESTRICTED or equivalent and "other confidential information".

Further requirements for registration of confidential information are contained especially in handling instructions 3, 5 and 11.

A breach of security, loss or compromise of confidential information shall entail the application of the relevant laws, rules and regulations, and in particular the provisions concerning procedures and penalties as set out in the European Parliament's Rules of Procedure, and in the Staff Regulations of Officials and the Conditions of Employment of Other Servants of the European Union.

Opening and closing of every logbook shall be recorded. All entries are to be made in ink. Any errors are to be corrected by striking out incorrect entries, with a single line, and inserting correct details alongside. Such amendments are to be initialled by the respective head of unit holding the logbook, apart from registers for "other confidential information".

The top bar of the logbook table contains items that need to be filled out for registration of all levels of confidentiality. Therefore the person responsible for registration shall fill out only those columns that are relevant for a given level of confidential information (see HI 3), taking into account specifications included in the markings and security designators.

The table of the register is divided into 2 parts, "Reception or Creation" and "Disposal".

Notes on use of columns

(a) Registration number: Registration number shall be composed of the following information and in the following order: an acronym of a department (CIU or PECH etc.) / an acronym of the level of confidentiality / consecutive number with minimum 3 digits / last 2 digits of a year/eventually the version reference. Numbers start every year from one (001).

Example: the first document of the year 2013 containing information classified as CONFIDENTIEL UE/EU CONFIDENTIAL and received by or produced inside of the CIU Secure Area: CIU/C/001/13

Example: revised draft of the same document as described above: CIU/C/001/13/rev1

Several consecutive years (per level of confidentiality) can be recorded in the same logbook. .

The acronyms to be used: TS= TRÈS SECRET UE/EU TOP SECRET or equivalent, S=SECRET UE/EU SECRET or equivalent, C=CONFIDENTIEL UE/EU CONFIDENTIAL or equivalent, R=RESTREINT UE/EU RESTRICTED

For "other confidential information" the acronyms are determined by the HI 1.

(b) Title of the document: Including titles of its attachments.

(c) Originator: Maximum amount of information available, at least identification of the Institution/third party and the department.

(d) Date of the document: Date indicated on the document. If no date mentioned, please, leave this column blank.

(e) Reference number: Reference number of the document, which is the initial number attributed to the document by the originator. Apart from that, the following information shall be noted in this column: number of attachments and number of pages of the document (including its attachments).

(f) Classification, marking or designator: Please indicate type of confidentiality and add information on handling included in the marking or the designator, including the expiry date.

(g) Date of reception or creation: Information to be recorded is the date and time of reception or creation. For reception, it is the date and time stated on the acknowledgement of receipt. For creation, it is the date and time stated in the initial declaration. The date of any revision or modification of the original document should also be included

(h) Date of the letter of transmission: Concerns documents transmitted to the European Parliament by a third party or from one parliamentary body/office holder or service to another.

(i) GEDA reference of the transmission letter: GEDA number.

(j) Languages: Original language of the document and number of copies as well as any other language versions and their number of copies.

(k) Access list: The Originator should provide a list of individuals by name or functions that could have access to the document. The access list can be indicated as follows:

- President of the European Parliament,
- All Members,
- Secretary General,
- Members of the following committee ...,
- Secretariat of the following committee ...,
- Chairman and rapporteur of the following committee

(l) Referred/dispatched to: Institution, department or third party

(m) Notification/reference letter: Notification letter serves for informing the Institution, department or third party to which confidential information is addressed to on the delivery of such information. Information to be registered: GEDA reference number of the notification letter or email. Notification for "other confidential information" or information classified as RESTREINT UE/EU RESTRICTED or equivalent may be sent via GEDA.

(n) Date of notification: GEDA date of attribution for "other confidential information" and information classified as "RESTREINT UE/EU RESTRICTED" or equivalent.

(o) Date of referral/dispatch: Date and time of the signing of the receipt.

(p) Type of deposit: Either "Temporary" or "Definitive". When temporary, please indicate end date of the deposit. For example: Temporary (until 27.6.2013) or Temporary (PECH committee -in camera meeting - 15.6.2013). Return of such documents shall be noted in the column "Remarks". All "RESTREINT UE/EU RESTRICTED" classified information or equivalent deposited in services other than CIU is done on a temporary base, since after the period (6 months/1year max) it has to be deposited within CIU. Any copy transmitted by CIU for a meeting *in camera* outside the Secure Area in respect of the exceptions foreseen by the Bureau Decision or under any specific arrangement within the Framework Agreement with the European Commission or the Interinstitutional Agreement (IIA) with the Council, shall be returned to CIU immediately after the end of the meeting together with the traceability list duly signed, as the register for this level of classification is exclusively handled by CIU.

(q) Number of copies: Please, enter the number of copies per language received or produced if more than one. Each copy is to be recorded on a separate entry.

(r) Copies - reference and addressee(s): Under this title please indicate the number of copies. For CONFIDENTIEL UE/EU CONFIDENTIAL and above or equivalent, a cross reference of the copies and addressees should be indicated. In case of a small group of addressees, their identity shall be mentioned directly under this heading. In case of a long list of addressees, this one will be kept in the file of the document. If translations have been made, the language of the copy should be indicated here too.

(s) Consultation: Date, time and full name of the person.

(t) Destruction: Date, time, by whom and witnessed by whom. Both the person destroying the document and witnessing the destruction shall sign up in this column.

(u) Remarks: In such a case that the existing headings do not provide place for all the data to be filled in, such information shall be entered under this heading. Under this heading, among others, the following information shall be also filled in:

- Identification of the dossier to which confidential information is linked to (for registration for administrative purposes only).
- For EUCI, name, date and time of release of information + date and time of its return for all occasions upon which a document is consulted by a person not included in the original access list. This consultation is still subject to the authorisation of the originator and a correspondent security authorisation
- Declassification, unmarking or downgrading of a document shall be also recorded under this heading. Especially the following information: date, time, full name of the person performing declassification and full name of the person authorising this

Signature block (to be filled out by the persons responsible for entries into this logbook):

Name (BLOCK LETTERS)	Signature	Signature of the Head of Unit

LOGBOOK No	
Date of opening	
Date of closure	

Annex VI (c) - logbook register for inspections

RECORD OF INSPECTIONS			
Date	Name (BLOCK LETTERS)	Signature	Remarks (if any)

RECORD OF INSPECTIONS			
Date	Name (BLOCK LETTERS)	Signature	Remarks (if any)

