



**EUROPEAN COMMISSION**  
DIRECTORATE-GENERAL FOR EDUCATION AND CULTURE

Resources  
**Logistics and document management**

Brussels,  
EAC.R.5/APa, MMi  
File code: 2013-AA0201

**NOTE TO ALL THE MEMBERS OF THE E-DOMEC NETWORK OF THE DG EAC**

**Subject: List of documents of the DG EAC to be registered**

Some of the members of EAC staff (similar to staff of other directorates-generals) periodically require a tool that identifies the documents to be officially registered. The Secretariat-General has always proposed the conditions of registration as they are exposed in the fundamental e-Domec documents<sup>1</sup> as the reference guideline to be taken into account.

In fact, a defined and closed list could generate the risk of restricting the number of official documents to be registered and could dissuade the staff from including not foreseen items, even if they are compliant with the registration rules.

Nevertheless, in order to provide assistance in this task, the EAC Document Management Team has drawn up a list of some examples of documents that require registration in the main official system of the Institution (Ares). Therefore, the list here presented is not (and cannot be) exhaustive and absolutely does not exclude other types of documents from registration.

Indeed, drafts, versions or amendments of the types included in this list may sometimes also be object of registration. It is the case when the person responsible considers it necessary to reflect the effective administrative or legal evidence and always provided that they comply with the registration conditions<sup>2</sup>.

Thus, the members of the staff are reminded to always verify beforehand the registration conditions with any document drawn up or received in the development of their activities.

<sup>1</sup> Mainly [SEC\(2009\)1643, II.2.2](#). You can find more complete texts in enclosure.

<sup>2</sup> Likewise what the Secretariat-General does with the different versions of SEC and COM documents that you can find in Vista.

[REDACTED]

Enclosures:

- I – Conditions for the registration of documents [EN/FR]
- II – Non-exhaustive list of documents of the DG EAC to be registered

c.c.:

[REDACTED]



**EUROPEAN COMMISSION**  
DIRECTORATE-GENERAL FOR EDUCATION AND CULTURE

Resources  
**Logistics and document management**

## CONDITIONS FOR THE REGISTRATION OF DOCUMENTS

### 1. DOCUMENTS TO BE REGISTERED<sup>1</sup>

Documents to be registered are all documents, regardless of the medium<sup>2</sup>, that:

- (1) are received or formally drawn up by a Commission department in the course of its activities;

and

(2)

- (a) are likely to require action, follow-up or a reply from the Commission or one or more of its departments;

or

- (b) involve the responsibility of the Commission or one or more of its departments;

and

- (3) contain important information which is not short-lived.

Documents that are drawn up as effective administrative or legal evidence<sup>3</sup> of decisions, situations, intentions or events linked to the activities of the Commission or its departments must also be registered.

Documents which fulfil **either the condition set out in the preceding paragraph or all the conditions set out in points (1) to (3) above** must be **registered** in the general register or in a specific register unless they are governed by rules or procedures with equivalent effect.

---

<sup>1</sup> The following text is extracted and adapted from [SEC\(2009\)1643](#), II.2.2.

<sup>2</sup> This includes e-mail. Given the informality of many e-mails exchanged within the Commission and the informal appearance of the e-mail format as such, confusion might arise as to whether e-mails carrying formal communication should be registered or not. To address this problem, guidelines on the registration of e-mails have been adopted by the Secretary-General (see SEC(2006)353).

<sup>3</sup> 'Effective evidence' means the capacity of the document to produce the effects intended by the author on the addressee: the addressee must be able to regard the document (and the facts represented therein) as credible and therefore be able (or required) to act accordingly.

It is not necessary to register a document in the general register if it is already registered in a specific register and vice versa.

A specific register must fulfil the same criteria as the general register, and the procedure involved must afford equivalent guarantees.

## 2. DEFINITIONS OF THE KEY NOTIONS RELATING TO REGISTRATION CRITERIA<sup>4</sup>

### 2.1. Received

A document is **considered received** when it is available to the service(s) for which it is intended.

**Available** means that the document has arrived at the premises of the service or has been handed to *an official competent to deal with the document* or can be accessed through an information system available to the service.

An **official competent to deal with the document** is either an official involved in the handling of the matter to which the document is related, or an official charged with the task of receiving or treating incoming documents.

In the absence of formal procedures for the transmission, a document **handed** to an *official competent to deal with it* is considered available to the service at the moment of handing over. If the document fulfils the conditions for registration, it must be registered as soon as possible. A document **handed** to *any other official* is not considered available to the service at the moment of handing over, but must be forwarded to an *official competent to deal with it as soon as possible*.

An **e-mail** is available to the service(s) for which it is intended as soon as it is accessible to an official competent to deal with it through the Commission's e-mail system, i.e. when it has been delivered to that official's inbox, or to a functional mailbox available to that official.

In the case of a document **accessible through an external information system**, there must also be *intention of transmission* from the author to the Commission. A document is not received by the Commission simply because it is accessible via a website somewhere in the world. If, however, someone makes it known to the Commission that a document, which someone wishes the Commission to read, is available at a certain web address, the document in question is then considered received by the Commission<sup>5</sup>, and should immediately be downloaded and processed for possible registration in the same way as a document received by post.

### 2.2. Formally drawn up

A document is considered **formally drawn up** when it has been *approved as ready* by the author and is ready for transmission.

---

<sup>4</sup> The following texts are extracted from [SEC\(2009\)1643](#), IV.3.

<sup>5</sup> Provided that the document can actually be found and identified on the given website.

A document in general is **approved as ready** either by an act of approval (for example a signature), or by de facto treating the document as ready (for example by sending it to the intended recipient(s), by making it accessible via a website, etc.). An **e-mail** is **approved as ready** when the author decides to send it to the intended recipient(s).

**Author** does not mean the person(s) charged with the practical task of drafting or typing. The author is the person or the organisational entity *responsible for the content* directly in accordance with the established rules and procedures of the Commission (including the rules and procedures on delegation).

**Ready** does not necessarily mean the final version. An intermediate or draft version of a document may be considered ready as such (for example ready to be sent out for an inter-service consultation).

**Transmission** means an author sending a document to a recipient<sup>6</sup>. This recipient can be a *person*, an *organisational entity* or an *archiving/information system*.

If the recipient is a **person** or an organisational **entity**, *transmission* is **formal** when the recipient is the one for whom the document is ultimately intended. If the recipient is an **archiving/information system** (for example in the case of a note to the file) *transmission* is **formal** when the document is incorporated into the system, for example the file in question.

### 2.3. Important and not short-lived

When deciding if a document should be registered, the key issue will often be to decide whether it is *important* and not *short-lived*.

**Important** and **not short-lived** are criteria subject to subtle judgment that will vary with the content and context of the document.

Documents containing information which is unimportant and short-lived are, in contrast, documents:

- whose loss would not prevent the departments concerned from meeting the Commission's administrative or evidential needs<sup>7</sup>; or
- whose value is clearly temporary and rapidly lapsing<sup>8</sup>, ancillary and instrumental; or

---

<sup>6</sup> 'Author' and 'recipient' can be one or several persons, depending on circumstances.

<sup>7</sup> Therefore, when judging the importance of a document, the effect of not having it available when accounting for the actions based on its content should be considered. Has the Commission made a decision, paid out money, entered into a legal obligation, or taken some other kind of action based on a certain document? Would it be needed if that action at some point had to be justified or explained? Or would it be necessary in order to prove that the Commission has fulfilled its legal, financial, administrative or other obligations? If yes, it is important.

- which are considered or treated as unimportant and short-lived by a records schedule, a procedural regulation or routine administrative practice.

---

<sup>8</sup> This importance may be short-lived. After a short time, it no longer matters if the action can be justified or explained. The issue is to define the duration of a short time. It seems reasonable that this should be measured in weeks rather than months.



COMMISSION EUROPÉENNE  
DIRECTION GÉNÉRALE ÉDUCATION ET CULTURE

Ressources  
Logistique et gestion documentaire

# **NON-EXHAUSTIVE LIST OF DOCUMENTS OF THE DG EAC TO BE REGISTERED**

<b>DOCUMENT Types</b>	<b>Examples</b>
Acknowledgements of receipt of a declarations of assurance	<a href="#">Ares(2013)1020696</a>
Action plans of agencies and services linked to the DG EAC following to an evaluation report	<a href="#">Ares(2013)1040463</a>
Adoptions of procedural rules	<a href="#">Ares(2013)1341538</a>
Agendas of steering/expert group meetings	<a href="#">Ares(2012)987866</a>
Agendas of the meetings for the national authorities' representatives	<a href="#">Ares(2010)85739</a>
Agreements between the DG EAC and the national agencies	<a href="#">Ares(2013)1002149</a>
Amendments to contracts	<a href="#">Ares(2013)1014151</a>
Appointments of a new representative of a national authority	<a href="#">Ares(2013)1020276</a>
Appointments of evaluation committees to advise on the award of a contract	<a href="#">Ares(2013)2197667</a>
Appointments of members of a selection board for a group of experts	<a href="#">Ares(2011)24871</a>
Appointments of members of an advisory group	[Limited]
Appointments of national representatives to take part in advisory groups for the development of actions	<a href="#">Ares(2013)533203</a>
Appointments of representatives of education and culture committees	<a href="#">Ares(2010)654851</a>
Appointments of the evaluation committees following a call for tender	<a href="#">Ares(2012)1229625</a>
Approvals of the terms of reference for the evaluations of programmes	<a href="#">Ares(2012)771308</a>
Approvals of working programmes of national agencies	<a href="#">Ares(2013)1016728</a>
Assessments of the DG EAC's needs for the preparation of the Multiannual Financial Framework	<a href="#">Ares(2011)347790</a>
Assessments of work programmes following a grant agreement	<a href="#">Ares(2013)1003824</a>
Audit visits concerning control and audit systems of programmes	<a href="#">Ares(2010)929772</a>
Auditor's reports on grant agreements	<a href="#">Ares(2012)699890</a>
Audits in respect of statements of assurance for the financial year	<a href="#">Ares(2013)716903</a>
Audits' reports from a granted entity	<a href="#">Ares(2011)583501</a>
Award decisions following a call for tenders	<a href="#">Ares(2012)1337754</a>
Briefings of the Commissioner	<a href="#">Ares(2012)216936</a>
Briefings of the Director General	<a href="#">Ares(2012)1067454</a>
Budget amendments	<a href="#">Ares(2013)315290</a>
Budget execution reports	<a href="#">Ares(2011)1151845</a>
Calls for financial contribution (calls for funds) for the	<a href="#">Ares(2012)181902</a>

participation in programmes	
Citizens' information requests, not registered elsewhere, which fall under the registration condition	<a href="#">Ares(2013)1854724</a>
Comments regarding complaints for the European Ombudsman	<a href="#">Ares(2011)333231</a>
Communication strategies for the DG EAC's actions and programmes	<a href="#">Ares(2012)770177</a>
Consultations on infringement procedures	<a href="#">Ares(2013)373899</a>
Contract (e.g. following a call for tender). Sending to the contractor	<a href="#">Ares(2012)384600</a>
Contributions of the DG EAC to annual meetings between the College and the Court of Auditors	<a href="#">Ares(2009)101939</a>
Contributions of the DG EAC to the reports according the art. 318 of the Treaty on the Functioning of the EU	<a href="#">Ares(2013)372114</a>
Contributions of the DG EAC to topics discussed in Interdepartmental groups	<a href="#">Ares(2013)532510</a>
Contributions to the Commission Work Programmes	<a href="#">Ares(2012)666064</a>
Corrections of selection decisions following a call for proposals	<a href="#">Ares(2011)1356106</a>
Credit adjustments	<a href="#">Ares(2011)1224661</a>
Credit reports	<a href="#">Ares(2013)37233</a>
Cross delegations over budget lines	<a href="#">Ares(2013)53061</a>
Debit notes	<a href="#">Ares(2011)168552</a>
Decisions of the DG EAC to adopt the use of IT applications	<a href="#">Ares(2010)170760</a>
Declarations of absence of conflict of interests and of confidentiality by a member of an opening board or an evaluation committee of a contract	<a href="#">Ares(2013)1922070</a>
Declarations of assurance of national authorities	<a href="#">Ares(2009)389705</a>
Declarations of costs following a mission	[Limited]
Declarations of undertaken contract with the DG EAC	<a href="#">Ares(2013)1020815</a>
Decommitments of a specific grant agreement	<a href="#">Ares(2013)1004873</a>
Delegations of programmes to the executive agencies	<a href="#">Ares(2009)117855</a>
DG EAC annual activity reports	<a href="#">Ares(2013)516481</a>
DG EAC annual IT master plans	<a href="#">Ares(2013)55158</a>
DG EAC annual management plans	<a href="#">Ares(2011)1365093</a>
DG EAC contributions to negotiations with member states	<a href="#">Ares(2013)142782</a>
DG EAC risk assessments	<a href="#">Ares(2011)1205919</a>
Endorsements of the Committee of Regions to the DG EAC proposals	<a href="#">Ares(2010)157275</a>
Establishments of steering groups mandates for the ex post evaluation of programmes	<a href="#">Ares(2012)697865</a>
Evaluations of the executive agencies	<a href="#">Ares(2009)56994</a>
Follow-ups of the budget execution	<a href="#">Ares(2013)1706182</a>
Follow-ups of the moving of the DG EAC premises	<a href="#">Ares(2012)1212552</a>
Global transfers and budget implementation plans	<a href="#">Ares(2012)850026</a>
Grant agreements sent to the beneficiary to be signed	<a href="#">Ares(2010)317065</a>
Green papers involving the DG EAC actions	<a href="#">Ares(2009)176540</a>
Guidelines for the implementation and execution of the DG EAC programmes	<a href="#">Ares(2009)114625</a>



IAC (Internal Audit Capability) work plans	[Limited]
Impact assessments of policies	<a href="#">Ares(2010)479930</a>
Internal Committee sheets implementing selection decisions	<a href="#">Ares(2013)1012869</a>
Internal control action plans	<a href="#">Ares(2012)114326</a>
Internal movements of posts	[Limited]
Inter-service Consultations launched by the DG EAC	<a href="#">Ares(2013)1261256</a>
Invitations to conferences and events organised by the DG EAC	<a href="#">Ares(2010)452090</a>
Invitations to expert group meetings	<a href="#">Ares(2013)310957</a>
Invitations to meetings of inter-service groups led by the DG EAC	<a href="#">Ares(2013)517182</a>
Invitations to meetings to national authorities' representatives	<a href="#">Ares(2009)258795</a>
Invitations to take part in external events	<a href="#">Ares(2010)66625</a>
Invitations to the DG EAC committee meetings	<a href="#">Ares(2012)1357981</a>
Invitations to third country representatives to take part in meetings and events	<a href="#">Ares(2012)1273752</a>
Invitations to working group meetings	<a href="#">Ares(2011)178155</a>
Invoices of a contracted entity following a call for tender	<a href="#">Ares(2011)1399133</a>
Invoices of publications purchases by the EC Library	<a href="#">Ares(2013)1000802</a>
Letters of acceptance to take part in external events	<a href="#">Ares(2010)889529</a>
Letters of rejection following a call for proposals	<a href="#">Ares(2011)1339757</a>
Letters to unsuccessful bids following a call for tenders	<a href="#">Ares(2012)1348046</a>
Letters to winning bids following a call for tenders	<a href="#">Ares(2011)1299425</a>
Media requests for information to the DG EAC	<a href="#">Ares(2011)23363</a>
Memorandum of understanding (MoU) between the EU and a third country for an DG EAC action	<a href="#">Ares(2013)1788737</a>
Memorandum of understanding (MoU) involving DG EAC	<a href="#">Ares(2012)906825</a>
Minutes of committee meetings	<a href="#">Ares(2010)114576</a>
Minutes of coordination meetings between the DG EAC and an executive agency	<a href="#">Ares(2012)1440762</a>
Minutes of inter-service impact assessment steering groups	<a href="#">Ares(2010)479930</a>
Minutes of the DG EAC commissions within the European Parliament	<a href="#">Ares(2009)226614</a>
Minutes of the Directors' Board	<a href="#">Ares(2013)123218</a>
Minutes of working group meetings	<a href="#">Ares(2010)810973</a>
Modifications of the organisation chart	[Limited]
Multi-annual audit plans for national authorities	<a href="#">Ares(2011)1108136</a>
National agency financial reports	<a href="#">Ares(2009)176861</a>
National agency reports	<a href="#">Ares(2009)75681</a>
National agency work programmes	<a href="#">Ares(2012)5553</a>
National reports as contributions to joint reports	<a href="#">Ares(2012)52634</a>
National statistical reports on the development of programmes	<a href="#">Ares(2013)326736</a>
Nominations of members of advisory committees	<a href="#">Ares(2012)844834</a>
Notes for launching of platforms, databases, registers, etc.	<a href="#">Ares(2011)765540</a>
Notes for the ex-post controls of accounting	<a href="#">Ares(2013)2527497</a>
Notes for the reimbursement of travel expenses of trainees	<a href="#">Ares(2013)318360</a>
Notes to the Directors' Board	<a href="#">Ares(2013)2573727</a>
Notifications of final payments of projects awarded	<a href="#">Ares(2009)314396</a>

Notifications of final payments to contracts following a call for tenders	<a href="#">Ares(2013)619205</a>
OLAF investigations	[Limited]
Openings of call for proposals	<a href="#">Ares(2011)1132053</a>
Openings of call or tender	<a href="#">Ares(2012)890428</a>
Payment summary notes	<a href="#">Ares(2013)1975838</a>
Plans to celebrate events in collaboration with the presidency of the Council	<a href="#">Ares(2010)947810</a>
Presentations of the Commissioner to follow the plenary sessions of the European Parliament	<a href="#">Ares(2009)49539</a>
Projects and drafts of budget	<a href="#">Ares(2011)1364485</a>
Proposals for improving European governance	<a href="#">Ares(2009)93798</a>
Recovery of bank interests earned by national agencies	<a href="#">Ares(2011)7899356</a>
Recovery orders in final reports of national agencies	<a href="#">Ares(2011)1357877</a>
Rejection decisions for grant award following a call for proposal	<a href="#">Ares(2010)948177</a>
Replies to citizens' information requests, not registered elsewhere, under the registration conditions	<a href="#">Ares(2013)2533179</a>
Replies to citizens' requests to the Cabinet	<a href="#">Ares(2010)95611</a>
Replies to infraction requests	<a href="#">Ares(2010)210843</a>
Replies to media requests	<a href="#">Ares(2011)262650</a>
Reports following the evacuation of staff in the DG EAC's premises	<a href="#">Ares(2013)1143882</a>
Reports of an evaluation committee following a call for tender	<a href="#">Ares(2012)1324715</a>
Reports of document management of the DG EAC	<a href="#">Ares(2012)188701</a>
Reports of evaluation of the DG EAC programmes and actions	<a href="#">Ares(2012)1002413</a>
Reports of national authorities	<a href="#">Ares(2012)644915</a>
Reports of the executive agencies	<a href="#">Ares(2012)1014978</a>
Reports on cross sub delegations	<a href="#">Ares(2012)106819</a>
Reports on IAC activity	[Limited]
Reports on the participation of external events	<a href="#">Ares(2012)592042</a>
Reports submitted as a result of a specific contract with EAC	<a href="#">Ares(2013)1002412</a>
Requests for additional software installations	<a href="#">Ares(2010)676146</a>
Requests for authorisation for expenditures/commitments	<a href="#">Ares(2012)941043</a>
Requests for briefings and presentations in a dialogue/conference of the DG EAC	<a href="#">Ares(2011)1340311</a>
Requests for co-financing to organise events between the DG EAC and the Council	<a href="#">Ares(2011)457685</a>
Requests for contributions to members of inter-service groups led by the DG EAC	<a href="#">Ares(2013)29700</a>
Requests for duration extensions of a contract	<a href="#">Ares(2012)217943</a>
Requests for feedback following a call for tender	<a href="#">Ares(2012)1396648</a>
Requests for information from the European Ombudsman regarding complaints	<a href="#">Ares(2009)50909</a>
Requests for layout modifications and refurbishment of buildings	<a href="#">Ares(2013)728057</a>
Requests for payment following a grant agreement	<a href="#">Ares(2010)78434</a>
Requests for publications by the library	<a href="#">Ares(2013)2482586</a>
Requests for recovery orders following a participation of a	<a href="#">Ares(2012)107923</a>

country in programmes	
Requests for services previous to the organisation of events	<a href="#">Ares(2013)44871</a>
Risk assessment exercise reports	<a href="#">Ares(2011)1309541</a>
Road maps for the revision of internal tools and procedures	<a href="#">Ares(2013)1013267</a>
Schedules for disposal of files	<a href="#">Ares(2012)583597</a>
Selection decisions for grant awards following a call for proposals	<a href="#">Ares(2010)692146</a>
Selections of trainees Blue Book for the DG EAC	[Limited]
Signed contracts following a grant agreement	<a href="#">Ares(2010)369236</a>
Specification of eligibility criteria for benefiting from programmes	<a href="#">Ares(2009)380500</a>
States of play (analysis) of DG EAC tools, procedures and actions	<a href="#">Ares(2013)2662310</a>
Sub-delegations and charts	<a href="#">Ares(2013)2653852</a>
Support replies to the president's mail	<a href="#">Ares(2009)127427</a>
Transfer notes of files between units, DGs and services	<a href="#">Ares(2012)1527425</a>
Transmission notes of RAL projects	<a href="#">Ares(2009)331690</a>
Units' contributions to internal reports	<a href="#">Ares(2013)2658653</a>
Work programmes for partnerships with third countries	<a href="#">Ares(2013)2646475</a>