



## EUROPEAN COMMISSION

Directorate General Financial Stability, Financial Services and Capital Markets Union

Director General

Brussels, 13.01.2015  
FISMA.a.4 (2015) 9728

### Note to all DG FISMA staff

**Subject: General instructions for meetings with interest representatives and participation in external conferences**

The purpose of these instructions is to ensure that DG FISMA is transparent about meetings with interest representatives and attendance at conferences on behalf of the Commission. Officials receiving meeting requests should know if the same organisation or individual is meeting other colleagues on the same topic. We should also know if colleagues plan to attend the same conference on behalf of the Commission to ensure an efficient use of our resources.

In addition, these instructions provide guidance on the minutes to be drawn up and centrally stored as a record of each meeting, so that they can be retrieved in the case of access-to-documents requests. Keeping minutes of meetings with interest representatives is part of administrative good practice.

#### What is a meeting?

- A bilateral encounter, including video-conference, with one or more organisations or individuals to discuss an issue related to policy-making and implementation, in or outside Commission premises, and initiated by the interest representative or by the Commission.
- Not included: expert group meetings, phone calls, encounters of a purely private or social character or spontaneous encounters, e.g. receptions, casual encounters. However, a lunch or dinner to discuss policy is covered.
- Not covered: meetings with visitor groups to explain our policies.

#### What is an interest representative?

- All organisations and self-employed individuals, irrespective of their legal status, who aim to influence the formulation and implementation of policy, e.g. business associations, NGOs, companies, law firms, individuals engaged in lobbying, think tanks.
- Not covered: representatives of other EU institutions or bodies, the Member States, third countries, international organisations, the social partners in the context of the EU's Social Dialogue or political parties. However, a meeting organised by a public authority but involving interest representatives is covered.

- Special rules apply to churches, religious communities and philosophical organisations as well as local, regional and municipal authorities.

If you have questions on these definitions or on any other issue related to these instructions, please look at the new page on our intranet: [http://www.cc.cec/markt/intranet/index.cfm?action=page&id\\_page=2159](http://www.cc.cec/markt/intranet/index.cfm?action=page&id_page=2159). This page will be updated regularly. If still in doubt, contact Unit A4 for further guidance.

Please also note that Annex III of the inter-institutional agreement setting up the Transparency Register contains a **Code of Conduct** that interest representatives should observe in all relations with you. I encourage you to take note of this Code of Conduct. <http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=OJ:L:2011:191:0029:0038:EN:PDF>

While registration in the **Transparency Register** is not yet mandatory for meetings by members of staff other than the Director-General and you are not prevented from meeting interest representatives that are not registered, please raise awareness of the register among your interlocutors and encourage those who have not registered yet to do so. <http://ec.europa.eu/transparencyregister/info/homePage.do?redir=false&locale=en>

## Procedure

Please observe the following instructions for all meeting requests from interest representatives as of 22 January 2015:

1. Register the request and the follow-up given to it in BASIS Events Management according to the instructions provided in the user guide in Annex<sup>1</sup>. Please also register requests that you have refused or that are cancelled so that they become visible to all colleagues in the DG who may have received a similar request.

Please do the same for conference invitations that you intend to accept on behalf of the Commission.

2. Following the meeting, draw up minutes according to the attached template. The latest version of the template can be found here: [http://www.cc.cec/markt/intranet/index.cfm?action=page&id\\_page=2159](http://www.cc.cec/markt/intranet/index.cfm?action=page&id_page=2159)
3. Register the minutes in ARES and file as usual, i.e. in their logical "business" file and encode the registration number in BASIS Events Management. BASIS will file them automatically a second time in a generic file where all meeting minutes can be retrieved easily.

There is no obligation to draw up minutes for **conferences**. However, if you write a report or minutes on a conference that you have attended on behalf of the Commission, these minutes should be registered in ARES and the registration number encoded in BASIS Events Management.


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<sup>1</sup> Please check the Intranet for the latest version of this User Guide. [http://www.cc.cec/markt/intranet/index.cfm?action=page&id\\_page=2159](http://www.cc.cec/markt/intranet/index.cfm?action=page&id_page=2159)

4. **Approval:** All minutes must be approved personally by the Head of Unit before their registration in Ares.
5. **Documents handed over during the meeting:** Please always ask your interlocutor whether documents (e.g. reports, position papers) handed over during the meeting may or may not be released under an access-to-documents request. Non-disclosure must be justified by one of the exceptions under Regulation (EC) No 1049/2001.

I attach great importance to the correct management of our relations with stakeholders and to being able to retrieve the related information easily. I therefore rely on you to follow the instructions in this note.

As regards meetings of Commissioners, their Cabinets and Directors-General, they are now published on the Commission's website under decisions adopted by the College on 26 November 2014.

  
Jonathan FAULL

Contact:



Attachments: - Meetings template  
- BASIS Events Management User Guide



## EUROPEAN COMMISSION

Directorate General Financial Stability, Financial Services and Capital Markets Union

**Meeting DATE and PLACE:** (e.g. 25.3.2015, Brussels, Commission offices)

**Name ORGANISATION(S)/INDIVIDUAL(S)**

*In the case of an organisation, please indicate both the name of the organisation and its representative(s) whom you meet as well as his/her/their function(s), e.g. John Smith, General Secretary, European Investors Association; Alisa Johnson, EU Affairs Director, European Investors Association. This information should be recorded for all participants in the meeting and their organisations.*

*If the individual you meet represents an organisation, please indicate which organisation, e.g. Marie Dupont representing XYZ Company.*

If applicable: Transparency Register identification number

*Please always ask your interlocutor(s) if he/she/they respectively his/her/their organisation(s) is/are registered in the Transparency Register, and if yes, request the registration number(s). Please draw attention to the Transparency Register and encourage registration.*

*Please draw the attention of your interlocutor to the fact that minutes will be prepared of the meeting and that these minutes, as well as any documents handed over during the meeting such as position papers, reports etc. may be fully or partly disclosed following an access-to-documents request.*

*Please ask your interlocutor(s) whether he/she/they consider(s) that a document is a public document or not and what the reason would be for not disclosing the document (e.g. protection of commercial interests, protection of personal data). Please record the answer in these minutes.*

**Main ISSUES DISCUSSED:**

*Short factual summary of the main issues discussed.*

*Please list any documents handed over during the meeting indicating whether your interlocutor(s) considered that they can be disclosed following an access-to-documents request or not and what the reason would be for not disclosing them.*

*As a reminder, these minutes and any documents received may be fully or partly disclosed under access-to-documents requests, unless their disclosure would:*

*- undermine the protection of the public interest as regards public security, defence and*

*military matters, international relations and the financial, monetary or economic policy of the EU or a Member State;*

*- undermine the protection of privacy and the integrity of the individual, in particular regarding the protection of personal data;*

*- undermine the protection of commercial interests, including intellectual property;*

*- undermine the protection of court proceedings and legal advice;*

*- undermine the purpose of inspections, investigations and audits;*

*in which case they would fall under the exceptions from the right of access to documents under Article 4 of Regulation (EC) No 1049/2001.*

[http://www.cc.cec/market/intranet/index.cfm?action=page&id\\_page=1093](http://www.cc.cec/market/intranet/index.cfm?action=page&id_page=1093)

**Abbreviation of the DIRECTORATE/UNIT:** (e.g. FISMA.B, FISMA.C2)

**Name of the AUTHOR of the minutes:** (i.e. yourself)