

# Chapter

## Article 6 Record-keeping policies

(1) The code of conduct shall include provisions requiring contributors to establish record-keeping policies that ensure that a record is kept by the contributor of all relevant information necessary to check the contributor's adherence to the code of conduct, including a record of at least the following information:

(a) the contributor's policies and procedures governing the contribution of input data and any material changes to those policies or procedures;

(b) the register of conflicts of interest referred to in Article (8)(1)(b) of this Regulation;

(c) any disciplinary action taken against any of the contributor's staff in respect of benchmark-related activities;

(d) a list of submitters and persons performing checks in respect of contributions, including their names and roles within the contributor's organisation and the dates when they were authorised and, where applicable, ceased to be authorised to carry out their submission-related roles;

(e) in respect of each contribution of input data:

(i) the input data contributed;

(ii) the data taken into account in determining the input data contribution, and any data that was excluded;

(iii) any use of discretion;

(iv) any input data checks undertaken;

(v) any communications in relation to the contribution of input data between the submitter and anyone within the contributor's organisation performing checks in respect of contributions.

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(2) The code of conduct shall require the record-keeping policies to provide that information be kept for a minimum of five years, or three years where the records are of telephone conversation or electronic communications, and be stored on a medium that allows the information to be accessible for future reference.

(3) The administrator may choose to omit the requirement in point (iv) of paragraph 1(e) in the case of a contributor contributing input data to a significant benchmark.

(4) The administrator may choose to omit either or both of the requirements in points (iv) and (v) of paragraph 1(e) in the case of a contributor contributing input data to a non-significant benchmark.