European Commission

Document Management in DG SANTE

Presentation to Newcomers

SANTE/A1.001

Health and Food Safety

Electronic Archiving and Document Management in the European Commission

European Commission

e★domec

➢ *Commission Decision 47/2002/EC*
and its implementing rules

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e-Domec rules

- *Definition of an official document*
- *Actions to perform on official documents*
- *Responsibilities*
  - **Corporate level: SG, DIGIT, HAS**
  - **DG level: DMO, CAD, DMCs, Heads of Unit, all staff**
    - DMO: ensures implementation of the rules, reports to SG, manages the network of DMC and the CAD tasks

What is an official document at the Commission ?

❑ *is drawn up as* **effective administrative or legal evidence** *of decisions, situations, intentions linked to the activities of the Commission*

OR

❑ *received or formally drawn up by a Commission department in the course of its activities (documents that have been signed or approved rather than the rough draft of a text)*

<u>and</u>

❑ *likely to require action, follow-up or a reply (e.g. a complaint which must be answered) or which involve the responsibility of the Commission (e.g. a contract)*

<u>and</u>

❑ *containing important information, which is not short-lived (e.g. a decision)*

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What do we do with official documents?

The documents meeting the criteria have to be
- ☐ registered
- ☐ filed and
- ☐ preserved

In any medium: paper, electronic, e-mail, fax...

Registering a document

How in practice:

➢ **in ARES** **(ECAS login password)**

and other applications: DECIDE (CIS-Net, e-Greffe at different stages), ABAC, SYSPER2, etc... (for specific documents)

➢ **Migration to ARES on 18 May 2010**

ARES in DG SANTE

Standard Operating ARES Procedures

Central registration of mail
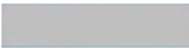
Central creation of external persons and organisations
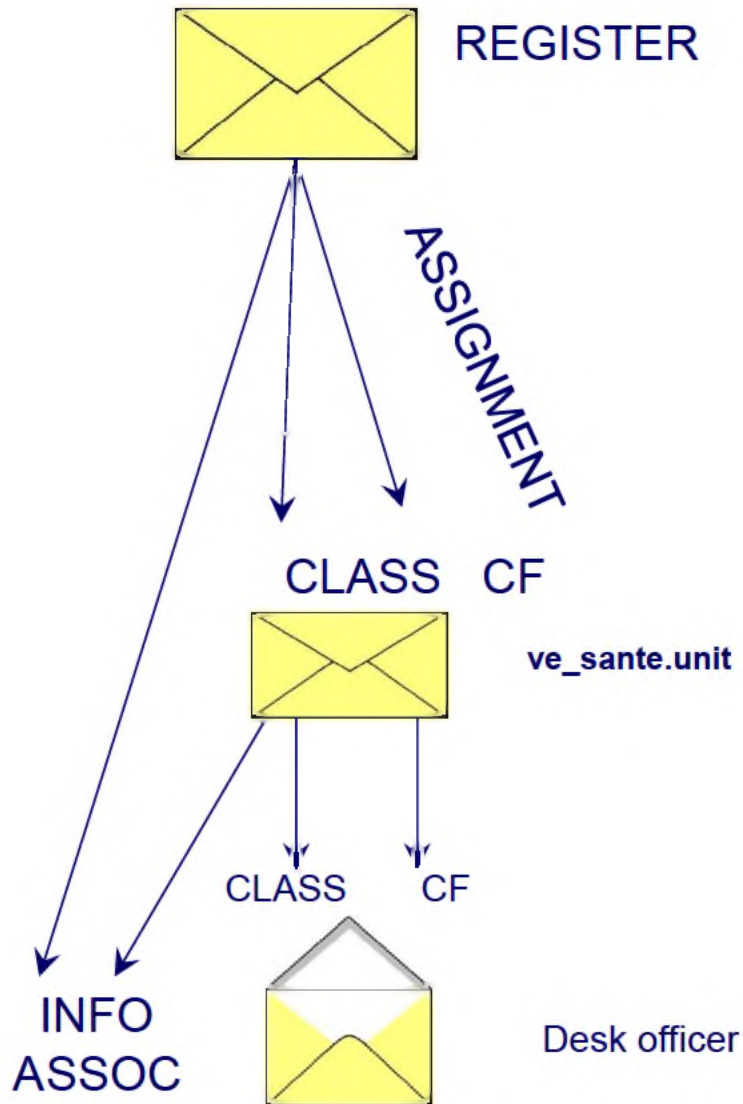
Filing plan update & Archive schedule

Central creation of files
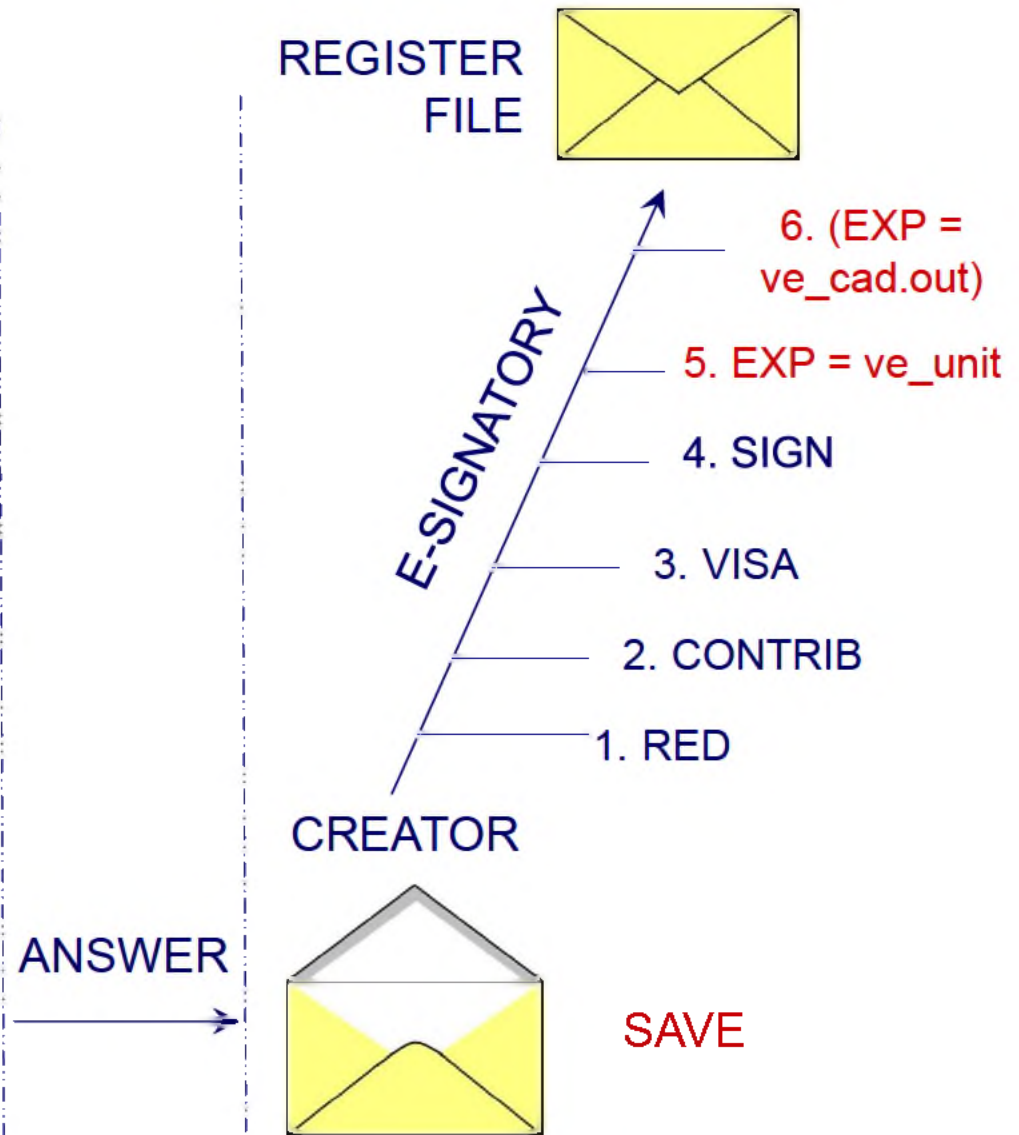
Helpdesk and support team

SANTE ARES SUPPORT mailbox
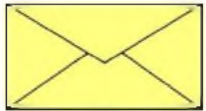
tel.

Mail Lifecycle

INCOMING MAIL

OUTGOING MAIL

REGISTER

REGISTER FILE

ASSIGNMENT

CLASS   CF

ve_sante.unit

CLASS   CF

INFO ASSOC

Desk officer

E-SIGNATORY

6. (EXP = ve_cad.out)

5. EXP = ve_unit

4. SIGN

3. VISA

2. CONTRIB

1. RED

CREATOR

ANSWER

SAVE

E-Mail Lifecycle with Areslook

INCOMING e-MAIL

OUTLOOK reception by Desk Officer

Desk Officer: save it in Ares with Areslook + CLASS
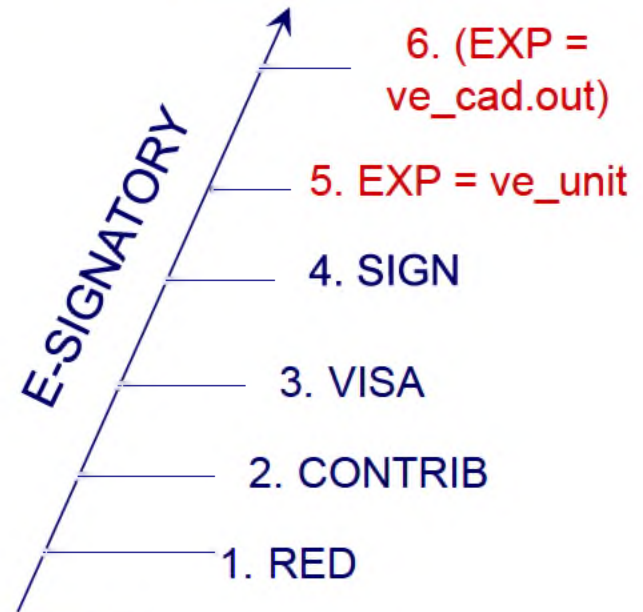
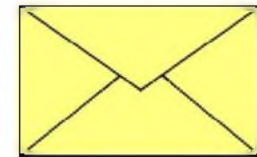**Assign to: ve_sante.dir/unit (Assistant)**
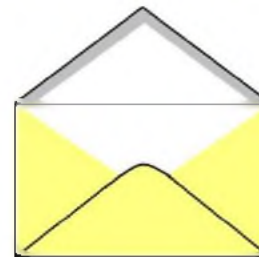
INFO
ASOC

CF

Desk Officer

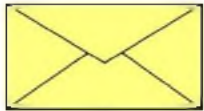ANSWER

OUTGOING e-MAIL

REGISTER and FILE

6. (EXP = ve_cad.out)

5. EXP = ve_unit

4. SIGN

3. VISA

2. CONTRIB

1. RED

E-SIGNATORY

CREATOR

SAVED in Ares by Assistant

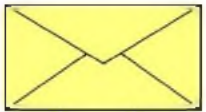# E-Mail Lifecycle with Areslook

INCOMING e-MAIL

OUTLOOK reception by Desk Officer

Desk Officer: save it in Ares with Areslook + CLASS

Assign to: ve_sante.dir/unit (Assistant)

INFO ASSOC

CF

Desk Officer

ANSWER

OUTGOING e-MAIL

Assistant: registration in Ares

Desk Officer: save it in Ares with Areslook + CLASS

SENT via Outlook by Desk Officer (without validation)

ARES in DG SANTE - Training

- *Mandatory training for Assistants/Secretaries*

  ARES Hands-on (by DIGIT, one day), DI_ARES_HO in Syslog

- *Recommended training for Desk Officers*

  ARES for Managers (by DIGIT, ½ day), DI_ARES_MANAGERS in Syslog

- *Videos on Areslook*

  AresLook: Procedure for Desk Officers, Administrators, Managers in DG SANTE
  (please click "Enable All Features", when prompted)
  Areslook: Information for assistants
  (please click "Enable All Features", when prompted)

- *Areslook:*

  Procedure for Desk Officers, Administrators, Managers
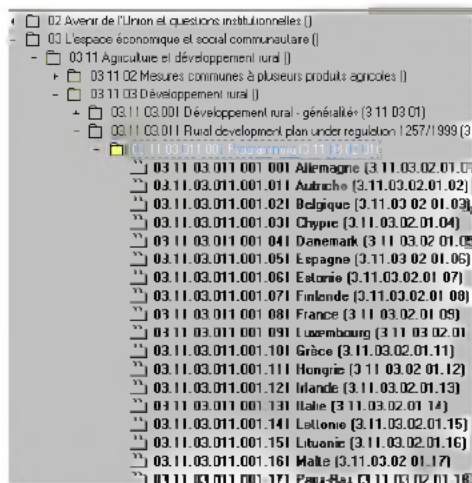
Filing – Official list of files

All Units have an official list of files in ARES

Each Unit 'chef de file' is responsible for filing ("CLASS" task in ARES)

Each administrator is responsible for filing documents related to the actions he or she is responsible for

✓Print out and circulate your Unit's list of files
   In ARES, search "Files" : Chef de file = Unit

Filing Plan consists of headings arranged in a hierarchy
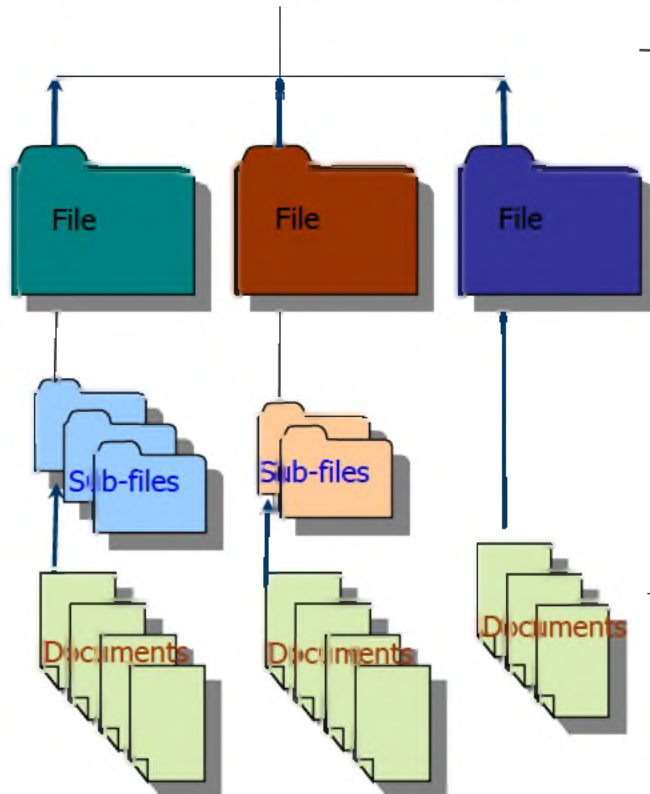
Association of files with terminal headings of the file plan.
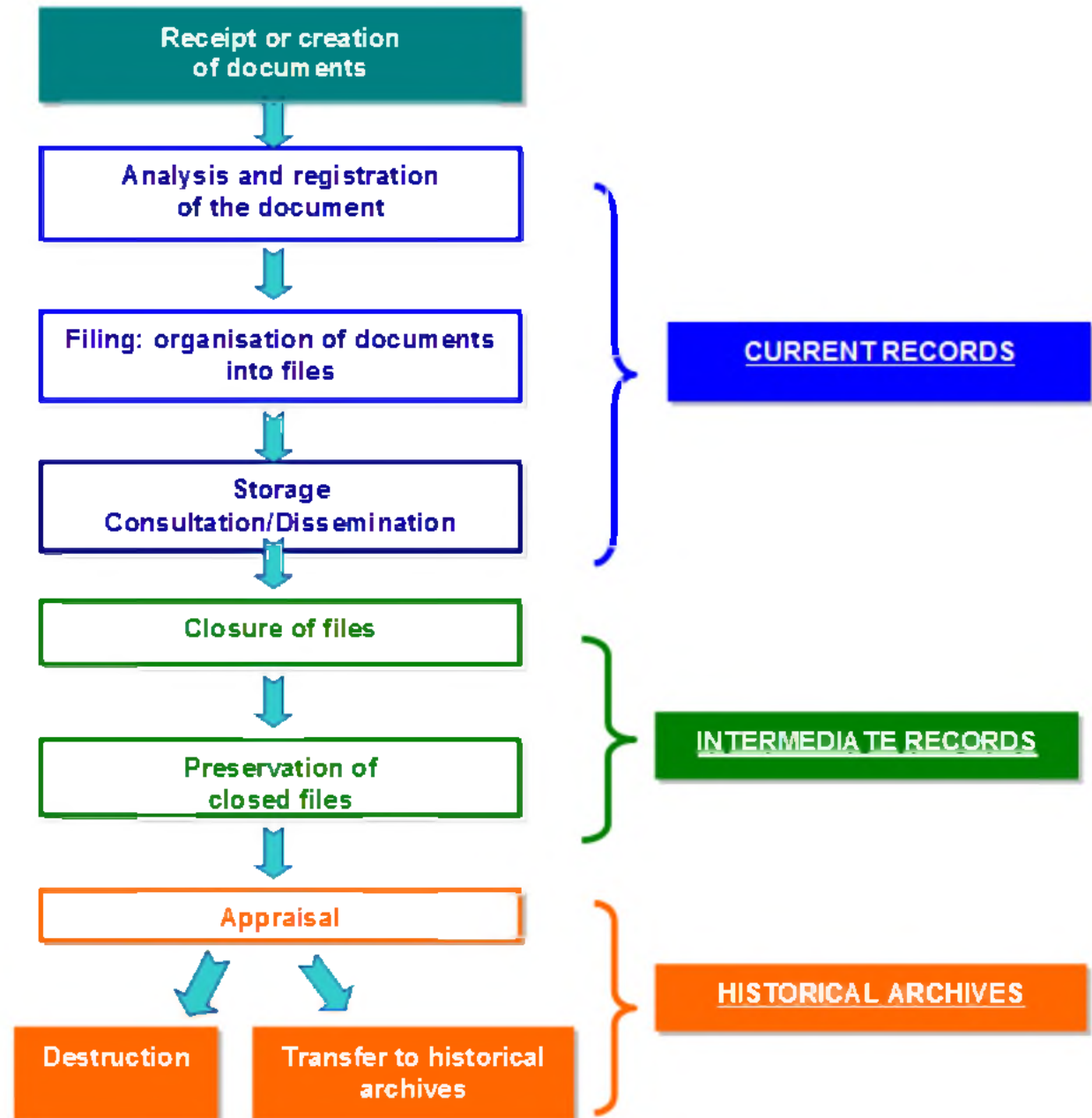A file can only be linked to one heading and that heading must be a terminal heading;

File   File   File

A file may be divided into subfiles to help in managing and retrieving documents.

Sub-files   Sub-files

Filing of the documents in a file. The same document can be filed in more than one file.

Documents   Documents   Documents

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Preservation and Archiving

- *General obligation to preserve all official files*
- *Availability of closed files in the DG / in ARES during the ARP (Administrative Retention Period)*
- *At the end of the ARP: appraisal of files in compliance with the CRL (Common Retention List):*
  - **TRANSFER to the HAS (Historical Archives Service) of most of the official files**

    or
  - **Destruction of files (exception)**

A D M I N I S T R A T I V E   C Y C L E

Receipt or creation
of documents

↓

Analysis and registration
of the document

↓

Filing: organisation of documents
into files

↓

Storage
Consultation/Dissemination

CURRENT RECORDS

↓

Closure of files

↓

Preservation of
closed files

INTERMEDIATE RECORDS

↓

Appraisal

↓ ↓

Destruction   Transfer to historical
archives

HISTORICAL ARCHIVES

Working documents

Save them on a network drive (U: Unit drive, P: Common drive, …)

- ✓ **When possible structure the folders according to the official list of files**

- ✓ **Keep a trace of the different versions**

You can also save important working documents in the register (.xls, .doc…)

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However...

*Network drives are **not** proper document management tools, they are working tools*

They ...

- *don't give numbers to identify documents*
- *don't manage user access rights properly*
- *don't guarantee long term e-preservation*
- *have **no legal value***

Security of documents

Objective: to ensure confidentiality, integrity and availability of information, of documents

EU Classified information:
- ✓ **EU Restricted/Restreint UE**
- ✓ **EU Confidential, EU Secret, EU Top Secret**

Security rules and EU classified information

Unclassified information but Limited (Business confidential, staff matters, OLAF investigations)

- ✓ **Security markings and designators**

Handling of EU classified documents and confidential documents

✓ **Can be seen only by persons who "NEED TO KNOW"**

✓ **Paper copies must be kept in a locked cupboard and/or in a locked room**

EU Classified information: EU Restricted/Restreint UE
✓ **Not possible to scan or attach in CIS-Net or ARES**

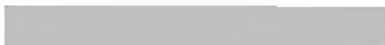*Confidential information: business confidential, staff matters*
✓ **In ARES, add a specific security marking**
✓ **File into a restricted access file**

A1.001 Document management
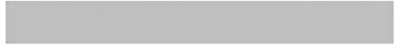
Centralised at CAD
(Cellule d'Administration des Documents)

- **Implementing document management rules:**
  e-Domec Decision 47/2002
- **Managing incoming and outgoing mail**
  Including CAB and PRES mail
- **Managing documents in internal decision-making process**

  Inter-service consultations (CIS-Net)
- **Managing the implementation of codes of conduct:**

  Public access to documents (Regulation 1049/2001)

  Protection of personal data (Regulation 45/2001)

| Document management: | |
Document management in SANTE — mySANTE	
■ DHoU responsible for the DM sector	
■ Document management officer (DMO)	
■ Deputy DMO and Security of documents	
■ CAD team BXL: ■ Incoming mail registration and assignment	
■ Outgoing mail registration	
■ President's mail ■ Cabinet's mail	
■ Coordination of CIS - CIS-Net	

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Document management:	
■ CAD team LUX under A5	
■ CAD Grange under F6	
Filing and archiving: ■ Filing plan management ■ Management of archives ■ Transfers to Historical Archives	
■ Complaints Handling/Accueil des plaignants (CHAP) – jointly with Unit A2	
Mail clerks in BXL:	

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Codes of conduct implementation:	
■ Public access to documents (Regulation 1049/2001) ■ Code of good administrative behaviour (Decision 2000/633) Access to Documents — **my**SANTE	
■ Protection of personal data (Regulation 45/2001) Protection of Personal Data — **my**SANTE	
ARES support team: ARES — **my**SANTE ■ Helpdesk and support ■ Training and coaching	

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For more information…

Visit our Document Management site:

mySANTE *– Procedures & guidelines - Document Management*

Visit the SG e-Domec website at:
https://myintracomm.ec.europa.eu/sg/dm/Pages/index.aspx

Discover ARES on **my**SANTE*:*
https://myintracomm.ec.europa.eu/dg/sante/procedures-guidelines/doc-management/Pages/ares-adonis.aspx

Quick link to ARES